ESYD CRITERIA OF COMPETENCE FOR ASSESSORS AND EXPERTS FOR ACCREDITATION OF GHG VERIFIERS ACCORDING TO ELOT EN ISO/IEC 17029, ELOT EN ISO 14065 AND REGULATIONS (EU) AVR 2018/2067, FAR 2019/331, MRV 2015/757

ESYD CAS-GHG

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CRITERIA FOR ESYD ASSESSORS

1 SCOPE AND GENERAL REQUIREMENTS

1.1 The aim of this document is to set out criteria for the competence of personnel required to undertake assessments on behalf of ESYD under ISO/IEC 17029, ISO 14065, Regulations (EU) AVR 2018/2067, FAR 2019/331, MRV 2015/757 and the relevant documents developed by the EU (European Union Emissions Trading Scheme - EU ETS), EA and IAF.

1.2 This document prescribes the criteria for assessors/experts, lead assessors and technical reviewers. All the above personnel should comply with the standard ISO/IEC 17011 and the Regulations (EU) AVR 2018/2067, FAR 2019/331, MRV 2015/757 (Accreditation and Verification Regulation-AVR, Free Allocation Rules for EU ETS IV and MRV for the monitoring, reporting and verification of carbon dioxide emissions from maritime transport, and amending Directive 2009/16/EC).

1.3 Regulation (EC) No. 765/2008 requires ESYD to have a sufficient number of competent personnel at its disposal for the proper performance of accreditation under ISO/IEC 17029, ISO 14065. This includes access to a sufficient number of assessors, lead assessors and technical experts.

1.4 ESYD shall appoint an assessment team for each particular assessment. An assessment team shall consist of a lead assessor and, where necessary a suitable number of assessors and / or technical experts for a specific scope of accreditation.

1.5 ESYD guarantees its full independence from verifiers it assesses and its impartiality in carrying out its accreditation activities.

2 CRITERIA FOR ASSESSORS, TECHNICAL EXPERTS AND REVIEWERS

2.1 Skills, qualifications and experience

2.1.1 Assessors / experts shall be technically competent and have up-to-date knowledge of the standard methods and specifications for those fields where they are required to exercise judgement during the assessment.

2.1.2 They shall have the capability to communicate effectively, both in writing and orally.

2.1.3 Assessors/experts shall have the combination of qualifications and experience necessary to enable them to function effectively as members of an assessment team.

2.1.4 Assessors shall be free from any interest, in relation to the applicant (commercial, financial or other), that might cause them to act in other than an impartial or non-discriminatory manner. Assessors shall not have provided to the applicant organization any consultancy services, which might compromise the accreditation process and decision. Any such relation shall be declared to ESYD.

2.1.5 As a general rule, an assessor or technical expert would normally be expected to hold a minimum total of 8 credits under the scoring system set out in the Appendix to this document, including a minimum of 1 credit from qualification and a minimum of 6 credits from experience. Two out of the 6 credits from experience shall be derived from criteria "experience score II" as described in the Appendix.

2.1.6 ~~The assessor shall participate as observer – trainee in at least two assessments in order to undertake assessments on behalf of ESYD.~~

2.1.7 The assessment team shall include at least one person with the knowledge of the monitoring and reporting of greenhouse gas emissions pursuant to Regulations (EU) No 2018/2066 and MRV 2015/757 that are relevant for the scope of accreditation and the competence and understanding required to assess the verification activities within the installation or aircraft operator or ship operator for that scope, and at least one person with the knowledge of relevant national legislation and guidance.

2.1.8 Every assessor of the assessment team shall have the competence to carry out the activities required for Accreditation by the AVR 2018/2067 (Chapter III) for EU ETS and Commission Delegated Regulation (EU) 2016/2072 of 22 September 2016 on the verification activities and accreditation of verifiers pursuant to Regulation (EU) 2015/757 of the European Parliament and of the Council on the monitoring, reporting and verification of carbon dioxide emissions from maritime transport, when assessing the verifier. To that end, the assessor shall:

(a) meet the requirements laid down in the ISO/IEC 17011;

(b) have knowledge of Directive 2003/87/EC and relevant amendments, Regulations (EU) 2066/2018, 2067/2018, 2019/331, 2015/MRV, Implemented and Delegated Regulations as appropriate by the scheme, relevant standards (ISO 14064 series) and other relevant legislation as well as applicable guidelines (the relevant documents developed by the EU Commission (European Union Emissions Trading Scheme - EU ETS), EA and IAF):

(c) have knowledge of data and information auditing including:

(i) data and information auditing methodologies, including the application of the materiality level and assessing the materiality of misstatements;

(ii) analyzing inherent risks and control risks;

(iii) sampling techniques in relation to data sampling and checking the control activities;

(iv) assessing data and information systems, IT systems, data flow activities, control activities, control systems and procedures for control activities;

2.1.9 Independent reviewers shall, in addition to the competence requirements referred to in paragraph 2.1.8, have sufficient knowledge and experience to evaluate the accreditation.

2.1.10 ESYD may include technical experts in the assessment team to provide detailed knowledge and expertise on a specific subject matter needed to support the lead assessor or assessor in carrying out assessment activities.
A technical expert shall have the competence required to support the lead assessor and assessor effectively on the subject matter for which his knowledge and expertise is requested.
As a general guide, an expert would normally be expected to hold a minimum total of 7 credits under the scoring system set out in the Appendix of this document, including a minimum of 1 credit in qualifications and at least 5 credits in experience.

In addition, the technical expert shall:

(a) have knowledge of Directive 2003/87/EC and relevant amendments, Regulations (EU) 2066/2018, 2067/2018, 2019/331, 2015/MRV, Implemented and Delegated Regulations as appropriate by the scheme, relevant standards, and other relevant legislation as well as applicable guidelines (the relevant documents developed by the EU (European Union Emissions Trading Scheme - EU ETS), EA and IAF;
(b) have a sufficient understanding of verification activities

A technical expert undertakes specified tasks under the direction and full responsibility of the lead assessor of the assessment team concerned.

2.2 Training

2.2.1 Assessors are trained to the extent necessary to ensure their competence in the skills required for assessment. The following are regarded as particularly relevant:

(a) knowledge and understanding of standards: ISO/IEC 17011, ISO/IEC 17029, ISO 14065, ISO 14064-1, ISO 14064-2, ISO I4064-3, Regulations (EU) 2066/2018, 2067/2018, 2019/331, 2015/MRV, Implemented and Delegated Regulations as appropriate by the scheme,, ESYD Procedures (PA), ESYD Regulation (RA), the EC Guidance Notes as well as interpretations in the guidance documents developed by

the Commission services to explain the requirements in the A&V Regulation and any other relevant requirements (as the relevant documents developed by the EU (European Union Emissions Trading Scheme - EU ETS), EA and IAF),

(b) skill in the assessment techniques of examining, questioning, evaluating and reporting,

(c) the knowledge and understanding of the relevant accreditation procedures and accreditation requirements,

(d) the knowledge of the relevant assessment method and assessment documents.

2.2.2 All assessors shall participate in and successfully complete the ESYD Assessor Training Course, or equivalent recognised training, before undertaking assessments on behalf of ESYD.

3 CRITERIA FOR LEAD ASSESSORS

3.1 Skills, qualifications and experience

3.1.1 A lead assessor for accreditation under ISO/IEC 17029, ISO 14065 shall meet the competence requirements referred to in paragraph 2.1.8, have demonstrated competence to lead an assessment team and be responsible for carrying out an assessment in accordance with AVR.

3.1.2 Lead Assessors shall possess, in addition to the requirements laid down for assessors:

(a) the combination of skills, qualifications and experience necessary to enable them to function effectively as managers of assessment teams,

(b) detailed knowledge of quality systems and their implementation in GHG Verification,

(c) detailed knowledge of the Accreditation Criteria, Regulations and other relevant requirements so as to be able to exercise judgement against these requirements,

(d) skill in the assessment techniques of examining, questioning, evaluating and reporting, knowledge of methods of identifying and following up on corrective actions after assessment findings, and in the GHG Verification surveillance techniques.

3.1.3 As a general rule, a lead assessor would be expected to hold a minimum total of 10 credits under the scoring system set out in the Appendix to this publication

(with a minimum of 2 credits from qualifications and a minimum of 7 credits from experience).

3.1.4 An assessor in order to be nominated lead assessor under ISO/IEC 17029, ISO 14065, shall:

(a) have attended successfully a training program as in par. 2.2

(b) have participated in at least 4 GHG assessments during the last 3 years, one of which has to be conducted in the year before his nomination,

(c) have participated in at least one assessment in GHG accreditation as lead assessor trainee. The lead assessor of this assessment team acts as evaluator for the evaluation of the lead assessor trainee, after notification of the Unit. After the assessment, the lead assessor submits an evaluation report for the assessor according to the documents, ESYD FE-LA-B ~~and ESYD FE-LA-L~~ (Procedure PAS04),

(d) have a positive proposal on the basis of the points a, b, c of the paragraph 3.1. by the technical committee for the nomination of the assessor as lead assessor,

(e) have the proposal approved by the National Accreditation Council.

3.1.5 A member of the Unit in order to be nominated as lead assessor under ISO 14065 shall:

(a) meet the competence requirements referred to the paragraphs 3.1 until 3.1.4 and

(b) have to be a member of the Accreditation (ESYD) Unit for at least three years,

3.1.6 In the cases that the member of the Unit is already lead assessor in an accreditation standard, in order to be nominated lead assessor in another accreditation standard, only the point a, of the paragraph 3.1.5 shall be applied in conjunction with the prerequisite to be a positive proposal of the Managing Director to the National Accreditation Council.

3.1.7 The members of the Unit can have technical competence in specific fields in the following cases:

a) in technical fields where they have proved working experience for at least two years, in which there have not been significant changes of technology,

b) in technical fields which can be documented either through their basic studies or through their post graduate studies and in which there have not been significant changes of technology.

~~The appointment of these technical fields shall be documented by the relevant Technical Committees.~~

3.2 Training

3.2.1 Lead assessors shall have undergone training as specified for assessors in 2.2 of this document.

4 DOCUMENTATION OF COMPETENCE

4.1 Assessors / Experts / Lead Assessors shal provide ESYD with documents of their qualifications, experience and training. Records of qualifications, experience, training and performance are maintained. These records shall be maintained up to date for each assessor/lead assessor, and shall be made available by ESYD, on request. The records shall identify, for each individual:

(a) name and address,

(b) date of birth,

(c) organization affiliation and position held.

(d) educational qualifications,

(e) current professional qualifications,

(f) work experience with dates,

(g) assessor training received and result of any relevant examination or evaluation with dates,

(h) training in GHG and ISO/IEC 17029, ISO 14065, ISO 14064-1, ISO 14064-2, ISO I4064-3, Regulations (EU) 2066/2018, 2067/2018, 2019/331, 2015/MRV, Implemented and Delegated Regulations as appropriate by the scheme, ESYD Procedures (PA), ESYD Regulation (RA), the EC Guidance Notes as well as interpretations in the guidance documents developed by the Commission services to explain the requirements in the A&V Regulation and the relevant documents developed by EA and IAF)

(i) details of participation in assessments (records of ESYD assessments are confidential to ESYD, the organisation and the individual assessor),

(j) signature of supervisor or immediate managerial staff testifying to accuracy of information provided,

(k) date of most recent updating of records,

(l) organisation or individual responsible for updating the records.

5 MAINTAINING OF COMPETENCE

5.1 The preservation of competence of assessors/experts/lead assessors shall be conditional on their maintaining compliance with the criteria set out in Sections 2 and 3 above. All parties concerned have a responsibility to review the compliance of assessors/lead assessors with the criteria on a continuing basis and, in particular, before their engagement in any given assessment exercise. It is the responsibility of assessors to maintain their technical competence and familiarity with standard methods and specifications.

5.2 It is a requirement for assessor acceptance that assessors/lead assessors ensure they are aware of, and implement developments and changes in ESYD policy, requirements and regulations. This may involve attending workshops/seminars organised by ESYD.

5.3 ESYD may, through its programme for monitoring assessor performance, maintain or cancel the acceptance of an assessor/lead assessor or require re-training or requalification.

5.4 In any case, a lead assessor, assessor or expert maintains his technical competence for the GHG Verification fields he has dealt according to the following criteria:

- Demonstrated relevant working experience for at least one (1) year within a period of three (3) consequently years,
  or
- Performance of at least two (2) accreditation assessments within a period of three (3) years.
- For the maintenance of competence in the GHG field Verifivations it is prerequisite the regural participation to the workshops / training / seminars / meetings organized by ESYD.

The lead assessors/ assessors can maintain their technical competence in the technical fields where they have performed at least six assessments during the last three years.

5.5 APPENDIX

Scoring system for evaluating the qualifications and experience of assessors and lead assessors

This scoring system is to be used to provide a first measure of a candidate's suitability for assessment duties. It shall always be supplemented by knowledge gained from any interviews held, performance at training courses and personal contact.

Assessors will normally be expected to hold a minimum total of 8 credits with a minimum of 1 credit resulting from qualifications and a minimum of 6 credits resulting from experience.

Lead Assessors will normally be expected to hold a minimum total of 10 credits, with a minimum of 2 credits resulting from qualifications and a minimum of 7 credits resulting from experience.

Qualifications	**Score**
(i) Recognized degree from a university level / higher educational institution in a relevant scientific/ technological / environmental discipline,	2 credits
(ii) Additional specialization in the areas to be assessed,	1 credit

Total qualification credits: _____

Experience Score

(i) Practical experience in a scientific or technological discipline

1 credit for every year of experience with a maximum of 5 credits.

(ii) If 2 or more years of this experience was in the areas of GHG Verifications,

2 additional credits

or,

if 2 or more years of this experience were in a position responsible for the above,

3 additional credits

(iii) If this experience was in the auditing of environmental management systems,

1 additional credit

or,

if 2 or more years of this experience were in the assessment of calibration/ testing laboratories or certification/ inspection bodies or inspection to an accreditation standard recognized by ESYD,

2 additional credits

(iv) For ESYD GHG assessors,
1 additional credit for each year of experience with a maximum of three credits.

Total experience credits: _____

Total credits (Experience + Qualifications): _____