DECISION No 16/2022

OF THE ADMINISTRATIVE BOARD OF THE EUROPEAN UNION AGENCY FOR THE COOPERATION OF ENERGY REGULATORS

of 14 December 2022

laying down the Guidelines on the prevention and management of conflict of interest for the Administrative Board and the Board of Appeal of the European Union Agency for the Cooperation of Energy Regulators

THE ADMINISTRATIVE BOARD OF THE EUROPEAN UNION AGENCY FOR THE COOPERATION OF ENERGY REGULATORS,

Having regard to Regulation (EU) 2019/942 of the European Parliament and of the Council of 5 June 2019 establishing a European Union Agency for the Cooperation of Energy Regulators (hereinafter the ‘ACER Regulation’), and, in particular Articles 18(1) and (7), 19(1)(o), 26(2), and 27 thereof,

Having regard to the Commission Delegated Regulation (EU) 2019/715 of 18 December 2018 on the framework financial regulation for the bodies set up under the TFEU and Euratom Treaty and referred to in Article 70 of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council, and, in particular Article 42 thereof,

Having regard to Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation),


---

1 OJ L 158, 14.06.2019, p. 22.
2 OJ L 122, 10.05.2019, p. 1.
3 L 119, 4.5.2016, p 1
Having regard to Decision No 2/2015 of the Administrative Board of the Agency for the Cooperation of Energy Regulators of 31 January 2015 laying down a policy for the prevention and management of conflict of interest,

Having regard to the opinion of the Board of Appeal,

Whereas:

1) When carrying out its tasks, ACER shall act independently, objectively, and in the interest of the Union. ACER shall take autonomous decisions, independently of private and corporate interests.

2) The prevention and management of conflicts of interest is necessary to ensure the impartial and objective exercise of the functions of the Administrative Board and of the Board of Appeal, as well as the reputation of the Agency and the credibility of the rule of law principles as a fundamental value of the EU. This is essential for ensuring the independence and integrity of the Administrative Board and of the Board of Appeal and maintaining public confidence in the integrity and impartiality of public bodies, as well as in their decision-making processes that serve the public interest.

3) As regards the Administrative Board and without prejudice to the role of the members appointed by the Commission, the Members and the Alternate Members shall undertake to act independently and objectively in the interest of the Union as a whole, and shall neither seek nor follow instructions from Union institutions, bodies, offices or agencies. The Members and Alternate Members shall neither seek nor follow instructions from any government of a Member State or from any other public or private body.

4) No Member of the European Parliament shall be a member of the Administrative Board. A member of the Administrative Board shall not be a member of the Board of Regulators.

5) As regards the Board of Appeal, it should be part of ACER, but independent from its administrative and regulatory structure. Its Members and Alternate Members shall undertake to act independently and in the public interest. They shall not be bound by any instructions. They shall not perform any other duties in ACER, in its Administrative Board, in its Board of Regulators or in any of its working groups.
The Board of Appeal shall be composed of individuals selected from among current or former senior staff of the regulatory authorities, competition authorities or other Union or national institutions with relevant experience in the energy sector.

Members of the Board of Appeal shall also not take part in any appeal proceedings if they have any personal interest therein, if they have previously been involved as representatives of one of the parties to the proceedings, or if they participated in the decision under appeal.

Each Member and Alternate Member of the Administrative Board and of the Board of Appeal shall make, on an annual basis, a written declaration of commitments and a written declaration of interests, indicating either the absence of any interest which might be considered to be prejudicial to his or her independence or any direct or indirect interest which might be considered prejudicial to his or her independence. Those declarations, along with an up to date curriculum vitae, shall be made public.

The responsibility for declaring any interest that might be considered prejudicial to their independence can only be placed on the concerned persons themselves.

High quality of expertise is by nature based on prior experience and knowledge acquired in the relevant domain.

Some of those interests may however conflict with ACER’s objectives and responsibilities.

Some interests that are considered to cause a conflict of interests in particular in the context of ACER mandate should be defined and accordingly prohibited.

Other interests that might cause conflict of interests should be defined in order to provide guidance to the concerned persons when filling the declarations under this Decision.

Any conflict of interests should be promptly identified, handled and mitigated without delay.

Declarations rendered by the Members and Alternates of the Administrative Board and of the Board of Appeal should be published as soon as completed so as to ensure public confidence in the integrity of ACER decision-making processes.

With the same purpose, risks identified under the policy for the prevention and management of conflicts of interest shall be rendered public.
17) In line with the above-mentioned developments, and drawing from the experience gained in the implementation of Decision AB no 2/2015, it is of utmost importance to integrate the existing policy by laying down detailed guidelines on the decision-making processes for avoiding conflicts of interest for the Administrative Board and the Board of Appeal of ACER, in order to ensure their independence.

18) It is appropriate to ensure the publication of the annual declarations submitted by the Members of the Administrative Board and the Board of Appeal, as well as the assessment of the review panels as a material step in ensuring transparency towards the public and accountability, enabling the public to have trust in the impartiality of the decision-making process.

19) The procedures and provisions on processing and publishing the Declarations of Interest, Declaration of Commitments and curriculum vitae have been drafted in line with Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data⁴,

HAS ADOPTED THIS DECISION:

**Article 1**

The Guidelines shall integrate Decision No 2/2015 of the Administrative Board of the Agency for the Cooperation of Energy Regulators of 31 January 2015 laying down a policy for the prevention and management of conflict of interest with regard to the Administrative Board and the Board of Appeal.

**Article 2**

The sub-section ‘Administrative Board’ and ‘Board of Appeal’ included in Section 4.2.3.2 of Decision No 2/2015 of the Administrative Board of the Agency for the Cooperation of Energy Regulators of 31 January 2015 laying down a policy for the prevention and management of conflict of interest ‘Handling of the Declarations of Interests’ are hereby repealed.

**Article 3**

This Decision shall be enter into force on the day of its adoption and it shall be notified to the Board of Appeal.

Done at Ljubljana, 14 December 2022.

For the Administrative Board

The Chair

M. THIOLLIÈRE
ANNEX I

GUIDELINES ON THE PREVENTION AND MANAGEMENT OF CONFLICT OF INTEREST FOR
THE ADMINISTRATIVE BOARD AND THE BOARD OF APPEAL OF THE EUROPEAN UNION
AGENCY FOR THE COOPERATION OF ENERGY REGULATORS

Article 1
Scope

The present Guidelines is applicable to:

a) the Members and the Alternate Members of the Administrative Board;

b) the Members and the Alternate Members of the Board of Appeal.

Article 2
Definitions

For the purposes of these Guidelines:

(a) ‘annual declarations’ means declarations that Members and Alternate Members shall submit
upon their appointment and in any case on a yearly basis in the context of the implementation
of the policy for the prevention and management of conflict of interest adopted by Decision
AB no 02/2015 of the Administrative Board of the Agency for the Cooperation of Energy
Regulators of 31 January 2015, namely the Declaration of Interests, the Declaration of
Commitment, and the Curriculum Vitae, according to the template defined thereof;

(b) ‘member’ means a Member or Alternate Member of the Administrative Board or of the
Board of Appeal of ACER;

(c) ‘interest’ means the relation of being objectively concerned in something – e.g. by having a
right or title thereto, a claim thereupon, a share therein, business engagement, affiliation,
family ties, paid or unpaid involvement, or membership, falling within fields of competence
of ACER, that creates or have the potential to create a conflict of interest;

(d) ‘close family members’ means a partner in a stable relationship, siblings or a direct ascendant
or descendant of persons subject to Decision AB no 02/2015 and the present Guidelines;

(e) ‘conflict of interest’ means a conflict between the public duty of ACER and the interest of a
member or his/her close family members, whereby such interest may compromise or be
reasonably perceived to compromise the member’s capacity to act independently and in the
interests of ACER and the Union when performing his or her duties;

Page 6 of 17
(f) ‘policy’ means the policy for the prevention and management of conflict of interest adopted by Decision AB no 02/2015 of the Administrative Board of the Agency for the Cooperation of Energy Regulators of 31 January 20215;

(g) ‘secretariat’ means either the Administrative Board Secretariat or the Registry of the Board of Appeal respectively.

**Article 3**

**Likely sources of Conflict of Interest – Administrative Board**

1. For the purpose of this Decision, the following interests shall always being considered as having a likely risk to create a conflict of interest and are thus strictly prohibited:

   a) present employment, meaning any form of regular, occasional and ad hoc occupation or business, part-time or full time, paid or unpaid, including self-employment, in or to a national regulatory authority participating in ACER decision-making process, or an association of such persons as well as ACER working groups and task-forces;

   b) membership of the government of a Member State of the Union or of the European Economic Area;

   c) membership of the European Parliament.

2. For the purpose of this Decision, and notwithstanding paragraph 1 of this Article, the following non-exclusive list of interests may create a conflict of interests:

   - present employment or consultancy, meaning any form of regular, occasional and ad hoc occupation or business, part-time or full time, paid or unpaid, including self-employment, in or to any public or private entity directly affected by ACER activities or a trade association of such persons. This includes also services provided on an honorary basis (i.e. for free or without the payment of fees or emoluments) and any advice related to products, their development and/or assessment methods thereof;

   - membership of a managing body, advisory body, or equivalent structure meaning any participation in an internal decision-making body (e.g. board membership, directorship) of an energy market participant directly and individually concerned by ACER activities, or a trade association of such persons;

   - the holding of any financial instrument, including stocks, equities or bonds thereof, relating to market participants that are directly affected by ACER activities.
Article 4

Likely sources of Conflict of Interest – Board of Appeal

1. For the purpose of this Decision, the following interests shall always being considered as having a likely risk to create a conflict of interest and are thus strictly prohibited:
   a) present employment, meaning any form of regular, occasional and ad hoc occupation or business, part-time or full-time, paid or unpaid, including self-employment at ACER;
   b) membership of the government of a Member State of the Union or of the European Economic Area;
   c) membership of the European Parliament;
   d) membership of the Administrative Board and of the Board of Regulators, ACER working groups and task forces;
   e) membership of a managing body, advisory body, or equivalent structure meaning any participation in an internal decision-making body (e.g. board membership, directorship) of any private entity directly and individually concerned by ACER activities or a trade association of such persons.

2. For the purpose of this Decision, and notwithstanding paragraph 1 of this Article, the following non-exclusive list of interests may create a conflict of interests:
   a) present employment or consultancy, meaning any form of regular, occasional and ad hoc occupation or business, part-time or full-time, paid or unpaid, including self-employment, in or to any public or private entity directly affected by ACER activities or a trade association of such persons. This includes also services provided on an honorary basis (i.e. for free or without the payment of fees or emoluments) and any advice related to products, their development and/or assessment methods thereof;
   b) the holding of any financial instrument, including stocks, equities or bonds thereof, relating to market participants that are directly affected by ACER activities.

Article 5

General Principles

1. Members shall be informed of their obligations vis-à-vis the annual declarations to be submitted in accordance with the policy and these Guidelines and the risks attached to non-
compliance with such obligations. The secretariat will ensure individual awareness through adequate information on the subject of the policy.

2. Upon their appointment, and every year thereafter during their term of office, members shall submit their Declaration of Interest, the Declaration of Commitment and the updated Curriculum Vitae, as required under the policy.

3. In addition, members shall declare a personal interest or an interest of a close family member that creates a conflict of interest as soon as they become aware of any situation concerning them which could be considered a conflict of interests as defined in these Guidelines, inform the Agency and provide all relevant information.

4. The responsibility for complete and truthful annual declarations shall lie exclusively with the member submitting the annual declarations required by the policy.

5. The identification and handling of conflict of interests shall be based on the evaluation of the annual declarations submitted by the members.

Article 6

Procedure

1. By 1 December of each year, the Agency shall launch the procedure for the submission of the annual declarations foreseen in the policy, informing members about their obligations under the policy and the ACER Regulation and the potential consequences of non-compliance within the established deadline.

The Agency shall in particular invite members to submit their individual Declaration of Interest, Declaration of Commitment and the updated Curriculum Vitae.

2. By 31 December of each year, the Administrative Board and the Board of Appeal shall designate the members of the Review Panel which shall examine the annual declarations to be submitted by each member.

3. By 31 January of each year, members shall fill in and submit their annual declarations valid for the ongoing year thereby declaring any interest with respect to all activities in which such member or his/her close family members are involved or have been involved during the five years preceding the Declaration.

4. By 28 February of each year, the annual declarations shall be published on ACER website.
5. Members may be requested to provide additional information with respect to one or more declared interests. Such information shall be provided within five working days from receipt of the request.

6. By 31 March of each year, the Review Panel shall have completed the assessment of the annual declarations and shall publish its assessment report on ACER website.

Article 7

Composition of the Review Panel of the Administrative Board

1. The Review Panel of the Administrative Board shall consist of the Chair, the Vice-Chair and one member of the Board appointed by the European Commission and one appointed member of the Board acting as alternate.

2. Notwithstanding paragraph 1, the Chair, the Vice-chair, or the European Commission Representative, as the case may be, shall not take part in the panel where their individual situation is considered. The person concerned shall be replaced by his/her alternate.

3. The Review Panel acts by majority of its members and it shall be assisted by the relevant secretariat.

Article 8

Composition of the Review Panel of the Board of Appeal

1. The Review Panel of the Board of Appeal shall consist of the Chair, the Vice-Chair, the eldest member of the Board among the remaining members and one additional member acting as alternate.

2. The alternate shall replace each of the members of the review panel when their individual declarations shall be assessed.

3. The review panel acts by majority of its members and it shall be assisted by the relevant secretariat.

Article 9

Failure to comply

1. In case of failure to submit the annual declarations by the established date, the relevant secretariat shall send a final reminder to the member concerned, who shall be asked to provide the annual declarations within ten (10) working days, informing that in case of failure to comply the member concerned will be suspended.
2. If notwithstanding this reminder the member concerned still fails to provide the annual declarations, the relevant secretariat shall inform the respective Board.

3. The Chair of the relevant Board shall assign the member concerned with an additional term of ten (10) working days to comply with his or her obligations. In case of failure to comply, the Chair of the relevant Board shall inform the appointing institution and the member concerned shall be suspended with immediate effects from the exercise of duties as defined under the ACER Regulation, until the annual declarations are submitted. The suspension shall be duly published on ACER website and during the suspension period, the member concerned shall not receive any information related to the activity of the Board to which it belongs.

Article 10
Submission of Annual Declarations

1. Members shall indicate in the Declaration of Interests whether the interest declared is current or concern a time within the preceding five years, in which case all relevant dates shall be indicated.

2. Full address and contact details shall be provided for every natural or legal person in relation to which an interest is declared. In addition, for legal persons, members shall indicate whether it is public or private entity.

3. Details of the subject matter of each declared interest shall be given, indicating the domain in which the activity is, or was, carried out and clarifying the role of the concerned body or organisation in the matter. Details on the role of the concerned member shall also be provided, including related duties and responsibilities, as applicable, and indicating the executive or non-executive nature of such duties and responsibilities.

4. The Chair of the respective Board, with the assistance of the relevant secretariat, is responsible for keeping the Register of the annual declarations.

Article 11
Assessment of Annual Declarations

1. The examination of the annual declaration shall be concluded by the relevant Review Panel by assigning one of the following risk levels to each member’s profile:
- **Level 1:** No relevant interest declared.

- **Level 2:** Relevant interest declared (e.g., in the energy sector) but which do not appear likely to have any direct influence on the decision-making process of the Board in question (and are not expected to have any such influence during the year following the declaration) or which are not such that it could foreseeably derive any particular benefit from the relevant Board decision.

- **Level 3:** Interests declared pertaining directly to the field of competence of the relevant Board.

2. Interests can only be assessed by considering whether the specific interests declared are compatible with ACER’s activities and interests, as well as the mandate of the relevant Board.

3. On the basis of the risk level assigned, the Review Panel concerned shall propose to the relevant Board the steps to be undertaken vis-à-vis the member concerned, taking into consideration the merits of each case within the framework laid down in paragraph 4 below.

4. If the matter is classified as risk level 1 or 2, no further action is required. However, the Chair of the relevant Board may at any time ask the Review Panel to reconsider the matter, in particular in the event of a change of circumstances, with a view to revise the classification.

5. For matters classified as risk level 3, the Review Panel shall immediately inform the member concerned that a possible conflict of interests has been identified, and invite him or her to present any observations within 14 calendar days. On the expiry of the latter, the relevant Review Panel taking account of such observations, if any, or requesting additional information, if needed, shall indicate to the relevant Board if a conflict of interest under risk level 3 is confirmed. Where the existence of a conflict of interest is confirmed by the Review Panel, the relevant Board shall take a decision giving two (2) months to the member concerned to remedy the conflict. During this period of time the member shall be suspended.

6. In case the conflict is not remedied within the term indicated, the Chair of that Board shall inform the appointing institution, as the case may be, providing full details of the facts found and indicating whether the situation already existed at the time of appointment of the person concerned, or has arisen subsequently. The European Commission shall also be informed.
Article 12

New circumstances giving rise to a potential conflict of interest

1. Where a new interest arises, which is not covered by the existing declarations, the member concerned shall inform the relevant secretariat, no later than five (5) working days following the acknowledgment of the relevant interest by submitting the revised annual declarations. The Review Panel shall, within the shortest possible delay, revise the assigned level of risk and decide whether the new declared interest amounts to a potential conflict of interest. For matters classified at risk level 3, the framework laid down at Article 8(4) of the present Guidelines applies.

2. Upon being informed of a prospective employment by a member, the Review Panel shall, within the shortest possible delay, take a position whether or not the prospective employment amounts to a conflict of interests and it shall inform the relevant Board. The Board shall take the necessary preventive measures to address the identified conflict of interest.

Article 13

Transparency Obligations

1. In addition to the annual declarations, at the beginning of each Board meeting or at the launch of any written procedure, members shall declare any interest which could be considered prejudicial to their independence and impartiality with respect to any item on the agenda of the meeting.

2. Following the oral declaration mentioned in paragraphs 1 above, should a potential conflict of interest be identified, the Chair of the relevant Board may ask the member concerned to provide additional information before taking any decision.

3. Where the Agenda of the meeting is communicated to members in advance, any member who becomes aware of a potential conflict affecting him/her in connection with any item on the Agenda shall inform the secretariat of the body in question within two working days from receiving the Agenda. The relevant Chair may ask the member concerned to provide additional information, in which case it shall be provided within five (5) working days and in any event at least two (2) working days before the meeting.

4. Where a declaration is made pursuant to paragraph 1 or 3 above, the Chair may decide that the person concerned should not be present at the meeting or, as the case may be, the
discussion of the relevant item, or that the person may remain but shall not take part in that discussion.

5. Any oral or written declaration of interest and any conflict of interest identified in relation to any item on the Agenda of a meeting shall be recorded in the minutes of that meeting.

6. In the case of an ad-hoc declaration made at a meeting, the assessment should take into account the context in which the declaration is made, including the items on the agenda of a meeting in which the member participates, and the role and function that the member is required to take on or perform in that context.

Article 14

Honours, decorations, favour, gifts or payments

Any sum of money or gifts must always be refused.

The offer of honours, decorations, hospitality or favours which are related to their capacity of members shall be reported to the relevant secretariat before acceptance. The secretariat shall inform the Review Panel to assess the situation within ten (10) working days as of the notification by the member concerned.

Article 15

False or incomplete declarations

1. In case ACER is aware, or is made aware, of some information that is not consistent with, or that is missing from, the annual declarations of members or that an interest has not been declared in the context of a meeting or of a written procedure, and where a preliminary assessment suggests that it concerns a declarable interest, the relevant secretariat shall seek additional information from the member with regard to the omission or the inaccurate information, which shall be provided within fourteen (14) calendar days. At the same time, the concerned person shall be requested to update the annual declarations addressing the missing and/or inaccurate details. The Chair of the relevant Board and the Review Panel shall be informed.

2. Upon completion of the update, the annual declarations shall be processed and screened in accordance with the present Guidelines.

3. The Chair may take any preventive action regarding the member’s participation in the Board’s activities.
4. Where the relevant Review Panel has reason to believe that the relevant information has still not been declared or that the information provided is still incorrect, the Review Panel shall inform the member concerned in writing. The member concerned shall provide the necessary justification for the omission or incorrect submission providing annual declarations anew by ten (10) working days of the notification.

5. Once the clarification and explanation has been received, the Review Panel shall assess it in order to determine whether the error or omission should be regarded as a breach of trust. This shall be the case where the following conditions are met:
   a) the information missing from the Declaration of Interests is a declarable interest according to the Policy and these Guidelines, and
   b) the failure to declare full and correct information was intentional or resulted from gross negligence or the member concerned has been found to have failed to meet other obligations under the Policy and these Guidelines.

6. Before any decision, the member in question shall be informed of the Review Panel’s preliminary assessment and shall be invited to a hearing to present his or her views within ten (10) working days of the notification.

7. If the Review Panel has serious reasons to believe that there has been a breach of trust, it shall bring the case to the attention of the relevant Board.

8. The Review Panel shall perform an assessment of the minutes of the meetings or of the records of the written procedure where the member concerned participated, as well as of the drafts submitted to and the acts adopted by the relevant Board. The Review Panel shall clarify whether, and if appropriate, the extent to which, that member influenced the acts adopted by the relevant Board. The Board shall take all appropriate measures to address these findings.

9. Where it has been informed of a case pursuant to paragraph 7, the relevant Board shall take a decision having due regard to all information provided.

10. The member concerned shall be informed of the Board’s preliminary conclusions and shall be invited to present his or her views within ten (10) working days of the notification. Where those views are not provided within the time indicated, the Board may proceed to a decision. The Board may also seek the views of the European Commission before taking its decision. In the meantime, the member in question shall not participate in the activities of the Board.
11. If the Board decides that a breach of trust has occurred, the Chair of the Board shall inform the person in question, the European Commission and the appointing institution.

Article 16

Remedial Actions

1. Whenever a breach of trust reveals a case of suspected fraud, the Agency shall inform the European Antifraud Office (OLAF) without delay. If the member in question was involved in the Agency’s decision-making process without having declared a conflicting interest, the authority which adopted the decision in question, may undertake other remedial actions, in particular by way of amending or withdrawing any decision, to the extent legally permissible, if it reasonably appears that its objectivity could have been seriously affected by the conflict of interests.

2. In case of a breach of trust, the Agency shall be entitled to make this information public.

Article 17

Publication and protection of personal data

1. ACER processes the collection, assessment and publication of all declarations, submitted in the implementation of the policy and these Guidelines, as well as the publication of the assessment of the Review Panel pursuant to Article 5(1)(b) of Regulation (EU) No 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC.

2. The purpose of the data processing is to safeguard the independence of ACER and its constituent bodies, ensure accountability towards the public and trust in the independence and impartiality of the decision-making process.

3. The recipients of the annual declarations are the persons and bodies identified in the present Decision and, in particular, the public.

4. Furthermore, declarations may be transferred to bodies in charge of a monitoring or inspection task in conformity with Union Law, including the European Court of Auditors, the Internal Audit Service, OLAF, the European Ombudsman and the European Data Protection Supervisor.
5. The conservation period of the declarations shall be two years after the discharge for the budgetary year to which the annual declarations relate.

6. Data subjects have a right to access their declarations and to update or correct it at any time. Members have the obligation to inform third parties whose personal data may be processed in the context of such annual declarations (e.g., spouses, partners, householder members) about the collection and processing of their personal data and transmission to the entities indicated at paragraph 4 of this Article.

7. The full address and contact details of natural persons (e.g., spouses, partners, householder members) shall not be released to the public.

8. Data subjects also are entitled to have recourse at any time to ACER’s Data Protection Officer (dpo@acer.europa.eu) and/or to the European Data Protection Supervisor (http://www.edps.europa.eu).