

EnergyTag



# GC Issuer Accreditation Process



# GC Issuer Accreditation Process

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# Introduction

The [EnergyTag® Granular Certificate \(GC\) Scheme Standard](#) introduces a framework for the implementation of robust granular certificate schemes and the criteria to be met by GC Issuers in order to comply with the EnergyTag standard. This document details the Accreditation Process to be followed by GC Issuers wishing to claim that they are an “EnergyTag Compliant GC Issuer” or “EnergyTag Accredited GC Issuer” and to use the EnergyTag® trademark in making such claims.

# GC Issuer Accreditation Process

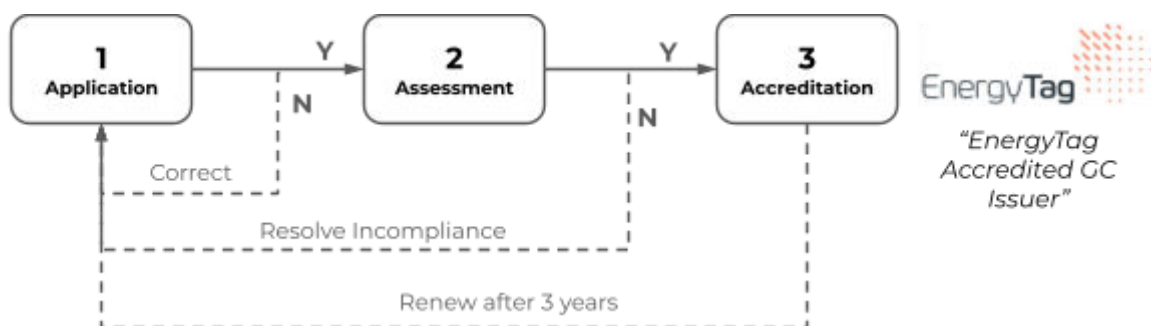
## Aim of the Accreditation Process

The process of accrediting GC Issuers according to the EnergyTag Standard includes the collection of evidence that the candidate GC Issuer is or wishes to administer a GC Scheme which complies with the [EnergyTag Granular Certificate Scheme Standard](#).

## Roles in the Accreditation Process

- **Applicant:** An organization that is applying to become accredited as an EnergyTag Accredited GC Issuer for GC Schemes.
- **GC Issuer:** An organization responsible for administering the Granular Certificates within a Domain for a given Energy Carrier, ensuring the avoidance of Double Counting of the Attributes represented by the Granular Certificates it administers throughout their lifetime.
- **Standard Body (EnergyTag):** The organization that administers the EnergyTag GC Scheme Standard and approves a list of Assessors that it permits to Accredite EnergyTag Compliant Issuers. EnergyTag is a non-profit entity registered in the United Kingdom.
- **Assessor:** An Organization approved by EnergyTag to assess whether or not an Applicant complies with the requirements set out in this document and, if it satisfies the Assessor that it does so, will accredit the Applicant as an EnergyTag Accredited GC Issuer.

## Overview of the Accreditation Process



**Figure - GC Issuer Accreditation Process**

The three main steps of the GC Issuer accreditation process are:

1. **Application:** in which the Applicant applies to be accredited.
2. **Assessment:** in which the Assessor collects evidence which will enable it to assess whether the candidate GC Issuer is compliant with the criteria of the

EnergyTag GC Scheme Standard, based on which an Accreditation outcome is determined by the Assessor.

3. **Accreditation:** Attestation as result of a positive conformity assessment process, in which the Assessor formally grants the GC Issuer the status of EnergyTag Accredited GC Issuer.

## Accreditation Process Steps

### *Step 1 – Application*

#### 1) Initial Application

- a) The Applicant submits the [GC Issuer Assessment Application Form](#) to an Approved GC Issuer Assessor. The accreditation form requests basic contact details and requirements that must be met to enable the assessment to proceed.
- b) Based on the Application Form, the Assessor decides whether to:
  - i) **Continue to Assessment:** The Assessor will provide information to the Applicant regarding the accreditation process, including such matters as its timeline, the required documentation, and the assessment fee.
  - ii) **Refuse the application:** The Assessor will provide details as to why and how issues preventing the Assessment from being conducted might be rectified.
- c) The Assessor concludes a Confidentiality Agreement with the Applicant (the Assessor will provide a template for this).

#### 2) Assessment Document Preparation

- a) The Applicant completes the two Assessment Documents:
  - i) [GC Scheme Protocol](#) (See template in Annex 1), which gives an overview of the key aspects of the GC Scheme in a standardized format.
  - ii) [GC Scheme - Protocol Assessment Checklist](#) (See Annex 2), which lists the relevant criteria from the EnergyTag GC Scheme Standard and requests that the Applicant assesses itself against each criterion. The Assessor will use this self-assessment as the basis for the Assessment.
- b) Once these documents have been produced, the Applicant will submit them to the Assessor.
- c) The Applicant pays the Assessment Fee to the Assessor.

#### 3) Review Assessment Document Completeness

- a) The submitted documents are reviewed for completeness by the Assessor:
  - i) If complete, the Assessor informs the Applicant that they are ready to proceed with the Assessment.
  - ii) If incomplete, the Assessor provides the Applicant with a detailed list of what is missing and proposes a deadline for the Applicant to address the issues to be considered part of the same accreditation process.

## Step 2 – Assessment

### 4) Review of Assessment Documents

- a) The Assessor assesses the GC Scheme Protocol and GC Scheme - Protocol Assessment Checklist to evaluate whether the Applicant fulfills all requirements for operating an EnergyTag compliant GC Scheme. This shall be based on the 4-eye principle of Assessment.
- b) Where the Assessor observes non-compliance with the EnergyTag standard, a distinction shall be made between:
  - i) *Recommendations*: recommendations on how the Applicant can improve their GC Scheme, based on best practices.
  - ii) *Minor non-compliance*: non-compliance with the EnergyTag standard which does not undermine the credibility of the GC Scheme. The Assessor will set a required target for remedying this within a specified number of months.
  - iii) *Major non-compliance*: non-compliance with the EnergyTag standard which undermines the credibility of the GC Scheme making Accreditation impossible until such shortcoming(s) have been rectified.

### 5) Iterative Feedback Process

- a) The Assessor provides feedback on the Assessment documents to the Applicant, including a list of observations in the Observation Log of the [GC Scheme - Protocol Assessment Checklist](#).
- b) The Applicant reviews the feedback explaining how it proposes to address any areas of non-compliance and sends back updated Assessment documents.
- c) Two rounds of iterative feedback are included (if necessary) in the Assessment process before the Assessor proceeds to finalise the Assessment.

### 6) Final Assessment Report Preparation

- a) The Assessor drafts an Assessment Report, indicating:
  - i) The conclusions of the assessment.
  - ii) A list of Recommendations, Minor non-compliances, and/or Major non-compliances.
- b) The Assessor shares the Assessment report with the Applicant for review.
- c) After review, the Assessor prepares the final report and determines the Accreditation Outcome.

### 7) Accreditation Outcome and Final Assessment Report

- a) The Assessor shares the final Assessment report with the Applicant including a clear indication of the Accreditation Outcome:
  - i) **Fully Accredited**: Where the assessment detected no non-compliance, the GC Issuer can move directly to Accreditation.

- ii) **Accredited with minor non-compliance:** Where the assessment resulted in a minor non-compliance, Accreditation is granted contingent on the resolution of Minor non-compliances:
  - (1) The Applicant shall, within a specified timeframe after reception of the Final Assessment Report, provide evidence to the Assessor that the Minor non-compliances have been remedied.
  - (2) The Assessor shall verify whether the Minor non-compliances have been sufficiently remedied.
  - (3) If not, the Applicant shall, within a specified timeframe, provide evidence to the Assessor that the remaining Minor non-compliances have been satisfactorily remedied in line with the EnergyTag standard.
  - (4) If, after this period, the minor non-compliances have still not been satisfactorily remedied, then the Assessor may choose to review (and, potentially, withdraw) the Accreditation status.
- iii) **Not accredited due to major non-compliance:** In this case, the GC Scheme cannot be Accredited. The GC Issuer is welcome to re-apply for an Assessment at a later date once they have reason to believe that Major non-compliances have been rectified, and can substantiate this.
- b) The Applicant may submit an appeal to the Assessor, should they deem this necessary. The Assessor will consider all Appeals. Should the Applicant sustain its Appeal, it may escalate to the Board of EnergyTag.

### *Step 3 – Accreditation*

#### **8) Accreditation of the Applicant GC Issuer**

- a) Where the Assessment has resulted in a Compliant EnergyTag GC Scheme, the Assessor will proceed to Accredite the assessed GC Scheme.
- b) The Assessor and the Applicant will sign the [EnergyTag Accreditation Agreement](#), which details the terms of Accreditation.
- c) Upon signature of the EnergyTag Accreditation Agreement by both parties, the Applicant is formally Accredited as an “EnergyTag Accredited GC Issuer”. The Accreditation is valid for:
  - i) **First Assessments:** In the case where it is the first GC Issuer Assessment, Accreditation lasts 1 year, with a second assessment required at this point. This is to ensure that in the initial phases of operation that practice remains compliant with the initial Scheme protocol.
  - ii) **Subsequent Assessments:** All accreditation lasts for 3 years for any assessment besides the First Assessment.
- d) The Assessor informs EnergyTag of the successful accreditation.
- e) The Accredited GC Issuer may claim to be an “EnergyTag Compliant GC Issuer” or “EnergyTag Accredited GC Issuer” and use the EnergyTag

trademark in making these claims. It may not make claims related to EnergyTag that are not covered under the GC Scheme Standard.

- f) EnergyTag may include the Accredited GC Issuer as such on its website.

## Revision History

- Document created: 4-March-2024.
- Last reviewed: 12-November-2024.



## Annex 1: GC Scheme Protocol

|                                                                                    |   |
|------------------------------------------------------------------------------------|---|
|  |   |
| <b>GC Scheme Protocol Template</b>                                                 |   |
| <b>Contents</b>                                                                    |   |
| Identification                                                                     | 1 |
| Legal/regulatory Framework                                                         | 1 |
| GC Scheme Configuration (Include Schematic If Possible)                            | 2 |
| Governance and Roles                                                               | 2 |
| Granular certificate issuing                                                       | 3 |
| Double counting is avoided within GC Scheme                                        | 3 |
| GC Attributes                                                                      | 4 |
| Double claims are avoided – disclosure framework                                   | 4 |
| Fraud prevention and detection measures                                            | 4 |
| Error Handling                                                                     | 4 |
| Storage                                                                            | 5 |
| IT security                                                                        | 5 |
| Account holder behaviour control and transparency                                  | 5 |

- In the [GC Scheme Protocol](#), the GC Issuer gives an overview of the key aspects of its GC Scheme in standardized format.
- GC Issuers should create a copy of the template provided and complete it, as it forms the basis for the Assessment.
- This document is publicly available on the EnergyTag website for all approved GC Schemes, to enhance transparency and best practice sharing<sup>1</sup>.

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<sup>1</sup> For inspiration of protocols from current EAC Schemes, see the [AIB's Domain Protocol Page](#).

## Annex 2: GC Scheme Protocol Assessment Checklist

### Criteria Checklist

| ID  | Chapter Name | Criteria ID | Old Criteria ID (Standard V1) | Criteria as in EnergyTag GC Scheme Standard                                                                                                                                                                                                                                                                     | Compliance Type |
|-----|--------------|-------------|-------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| 1.1 | Roles        | 1.1.1       | 1.1.1                         | There are various Roles involved in the administration of a GC Scheme. These may or may not be vested in the same party. Where they are vested in several parties, attention shall be given to the interaction between the various Roles, with some interactions being mandatory to ensure trust in the Scheme. | May             |
| 1.1 | Roles        | 1.1.2       | 1.1.2                         | A GC Account Holder shall adhere to the criteria as set out by the GC Issuer.                                                                                                                                                                                                                                   | Shall           |

- The [GC Scheme Protocol Assessment Checklist](#) lists all criteria for becoming an EnergyTag-compliant GC Scheme.

### Assessment Columns

| ID  | Chapter Name | Criteria ID | Criteria as in EnergyTag GC Scheme Standard                                   | Compliance Type | GC Scheme Compliance (GC Issuer Self-Assessed) | Comment / Supporting Docs (GC Issuer Self-Assessed) | GC Scheme Final Assessment (EnergyTag) | Comment / Guidance (EnergyTag)                               |
|-----|--------------|-------------|-------------------------------------------------------------------------------|-----------------|------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------|
| 1.1 | Roles        | 1.1.2       | A GC Account Holder shall adhere to the criteria as set out by the GC Issuer. | Shall           | Yes                                            | Account holder obligation followed                  | Yes                                    | Good process in place for checking account holder compliance |

- It includes columns for both the Applicant and Assessor to review compliance of the Scheme with each criterion.

### Observation Log

| Observation # | Criteria ID | Criteria | Compliance Assessment | Assessor Observation 1 | Applicant Response 1 | Assessor Observation 2 | Applicant Response 2 |
|---------------|-------------|----------|-----------------------|------------------------|----------------------|------------------------|----------------------|
| 1             |             |          |                       |                        |                      |                        |                      |
| 2             |             |          |                       |                        |                      |                        |                      |

- It includes an observation log for discussion of non-compliance issues.
- Observations are dealt with by iterating between the Assessor and the Applicant.
- Once a sufficient number of observations are performed and resolved, a judgement is made by the Assessor, deeming the Assessment status of the specific criteria.