

RGGI COATS User's Guide for Version 2.9

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RGGI COATS User's Guide for Version 2.9

1.0 Overview

This document provides a general overview and introduction to the key features of Version 2.9 (User Registration, General Account Creation and Management, Compliance Account Management, Source Management, Allowance Transfers, Special Approvals, and Offset Projects) of the Regional Greenhouse Gas Initiative CO₂ Allowance Tracking System (RGGI COATS) web application. It is intended to guide you, as a first-time or returning user, through the tasks and functionality that you will most frequently encounter in your use of the RGGI COATS application.

The registration and accounts infrastructure of the application is based on EATS (Emissions and Allowance Tracking System), a generic application originally sponsored by the U.S. Environmental Protection Agency (EPA) and now maintained and operated by the **Regional Greenhouse Gas Initiative, Inc.** (RGGI, Inc.) and its vendors.

RGGI, Inc. has contracted with SRA International, Inc., a CSRA Company. The **Regional Greenhouse Gas Initiative** (RGGI) is a cooperative effort by participating states to reduce emissions of carbon dioxide (CO₂), a greenhouse gas that causes climate change. More information about RGGI is available at <http://www.rggi.org>. RGGI, Inc. is a non-profit corporation created to provide technical and administrative services to the CO₂ Budget Trading Programs of the Regional Greenhouse Gas Initiative (RGGI).

This User's Guide is a guide to using the electronic RGGI COATS system, and should not be considered to be an authoritative description of the requirements of the CO₂ Budget Trading Programs. RGGI COATS users are subject to relevant requirements of the CO₂ Budget Trading Programs. Screenshots in this guide are intended to be used as illustrative guides and layouts may differ or be updated over time.

1.1 Key RGGI COATS Concepts and Definitions

An **Allowance Transfer** is the movement of CO₂ allowances between general and compliance accounts performed by authorized account representatives, alternate account representatives, or designated electronic submission agents. Allowance Transfers include both sale or purchase transactions and non-sale or non-purchase transactions.

An **Auction Distribution** transaction is the movement of CO₂ allowances (and/or CO₂ Cost Containment Reserve allowances, if applicable) from a state account to the general or compliance accounts registered by an auction winner on the basis of auction results.

For a CO₂ budget source and each CO₂ budget unit at the source, an **Authorized Account Representative (AAR)** is the natural person who is authorized by the owners and operators of the source and all CO₂ budget units at the source to represent and legally bind each owner and operator in matters pertaining to the CO₂ Budget Trading Program or, for a general

account, the natural person who is authorized to transfer or otherwise dispose of CO₂ allowances held in the general account.

An **Alternate Authorized Account Representative (AAAR)** is a person who may act on behalf of the authorized account representative.

An **Electronic Submission Agent (Agent)** is a person designated by an AAR or AAAR to act in the system on their behalf.

A **General Account** is a CO₂ Allowance Tracking System account that is not a compliance account, set-aside, retirement, or surrender (compliance deduction) account.

A **CO₂ Budget Source** is a source that includes one or more CO₂ budget units. A source is any governmental, institutional, commercial, or industrial structure, installation, plant, building, or facility that emits or has the potential to emit any air pollutant. A "source," including a "source" with multiple units, shall be considered a single "facility."

A **CO₂ Budget Unit at the Source** is a unit that is subject to the CO₂ Budget Trading Program requirements. A unit is a fossil fuel-fired stationary boiler, combustion turbine, or combined cycle system.

A **CO₂ Cost Containment Reserve (CCR) Allowance** is a CO₂ allowance that is offered for sale at an auction by a state for the purpose of containing the cost of CO₂ Allowances. CO₂ CCR allowances offered for sale at an auction are separate from and additional to CO₂ allowances allocated from the state CO₂ Budget Trading Program base and adjusted budgets.

A **CO₂ Offset Allowance** is a CO₂ allowance awarded to the project sponsor of a CO₂ emissions offset project and is subject to relevant compliance deduction limitations.

A **Compliance Account** is a CO₂ Allowance Tracking System account established for a CO₂ budget source, in which are held CO₂ allowances available for use by the source for a control period and each interim control period for the purpose of meeting the source's CO₂ budget emissions limitation.

An **Offset Project** is a greenhouse gas emissions reduction or carbon sequestration project that occurs outside the electric power generation sector. An eligible offset project may qualify for the award of CO₂ offset allowances, provided it meets all applicable state regulatory requirements.

Special Approvals is the module by which special applications and the award of CO₂ allowances for these applicants will be tracked in RGGI COATS (e.g., Voluntary Renewable Energy (VRE)).

1.2 General Tips and Data Entry Conventions

The following information describes the navigation tools for the application.

Menu Navigation. The menu options across the top of the screen provide access to the functional areas within the application. The functional areas displayed in the menu depend on the user group assigned. When you move your mouse pointer over the main menu options, any available submenu options will be displayed. If you click on the main menu option, the "home" page for that module will appear.

Grids and Tabs. The module home pages contain grids that summarize the existing data contained in RGGI COATS for the selected subject area (Accounts, Sources, Allowance Transactions, Special Approvals, etc.). In instances where pages contain multiple grids, the grids can be navigated using the series of tabs across the top of the grids. Each tab displays a subject area name. Grids that contain too many rows of data to display on one page can be navigated using the arrows at the bottom or the scroll bar along the right side. To view more detail or edit information presented in a grid, grids contain "hyperlinks" and/or radio buttons. Hyperlinks are identified by underlined text; simply clicking on a hyperlink will take you to the detail page for the selected item. Radio buttons appear in the left hand grid column; to select a row of data to view or change, click on the radio button for the desired row and then click on the button below the grid to perform the desired action. In most cases, home page grid column headers can be sorted ascending or descending by clicking on the grid column header.

Filters. To make an item in a grid easier to find, you can use the filters above the grid. Filters may be either an "exact match" or "partial match." Multiple filters can be applied at the same time to further narrow a search. Click on the Filter button to execute your search. Click on the Clear button to refresh the grid to display all data.

Edit Button. To change the information that appears in a grid, fill the radio button adjacent to the item to be changed. Click the Edit button. This will take you to a "Select" page where you are able to select a new item to be added from existing data. To select, fill the radio button adjacent to the selection, provide any other required information, and click the Select button.

Add Button. If new data needs to be added (i.e., a person or organization does not appear in the grid on the Select pages), you can click on the Add button. This will take you to an Add page where new data can be added to the database. Once new data has been added, it remains in the database and may be selected again at a later time.

Back Button. Click on the Back button on any screen to navigate from a low-level screen back to a higher level screen. Clicking on the Back button before any selected changes have been saved or submitted will not store any of the changes made on that screen. Using the Browser back arrow will reverse back to previously viewed pages, instead of returning to the higher level menu option.

Save and Submit Buttons. When you click on a Save or Submit button, a message will display in red at the top of the screen. If the Save or Submit was successful, the message will inform you that data was saved. Use the Back or Cancel buttons to return to previous menus or screens if you do not wish to save or submit the changes. If the Save failed, one or more Error Messages will display in red at the top of the screen describing the problem encountered. On the applicable data entry screen, correct the problem and click on Save or Submit again.

Show History Button. Clicking the Show History button beneath a grid displays all of the historical associations for a particular item. Click on the Show Current button to return to the current associations.

Required Fields. Required fields on each data entry screen are indicated by a red asterisk (*).

2.0 Registering to be a RGGI COATS User

In order to create a general account or access an existing account in RGGI COATS, you must first register to be a user. Individuals who exist in EPA's Clean Air Markets Division information system as representatives for sources in RGGI participating states have received email invitations to register (see Section 2.1). Individuals who have been added by an existing RGGI COATS user as an Alternate Authorized Account Representative (AAAR) or Electronic Submission Agent (Agent) will also receive an email invitation to register (see Section 2.1). Other individuals wishing to be users should follow the instructions in Section 2.2.

2.1 Steps to Complete Registration for Pre-Registered, Invited Users

1. **Click on the Link in the Pre-Registration Email.** After you receive an email from the RGGI COATS system administrator (rggi-coats@csra.com) indicating that you are pre-registered as a user for the RGGI COATS system, click on the link contained in the email. This will bring you to the Complete Registration for Access to RGGI COATS page.

**Figure 2-1
Complete Pre-Registration Page**

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Reports | Reference | Home Help

Complete Registration for Access to RGGI COATS

Another process has entered the details below for you. Please verify the details are accurate and choose a user name and password. All required fields are indicated with a red asterisk (*). If a field is not editable, then it originates from the CAMD Business System (CBS) and must be edited in that system. Changes made in the CAMD Business System will flow through to COATS, as COATS is synchronized with the CAMD database on a periodic basis.

Step 1: Enter Information

Mr., Mrs., Ms.	<input type="text"/>
First Name	Megan
Last Name	Reilly
Middle Initial	Z.
Phone Number	434-123-1234
Fax Number	434-123-1234
Address	652 Peter Jefferson Parkway
City	Charlottesville
Country	United States
State/Province	Virginia
Postal Code	22911

Important: Enter a valid email address to receive notification of your completed registration as a user. Valid COATS passwords must be a minimum of seven characters in length and contain the following: at least one alphabetic character, and at least one numeric and one special characters.

Email Address	emailaddress@sra.com
Email Salutation (e.g. Bill Smith,)	<input type="text"/>
Create your COATS username *	<input type="text"/>
Create your password *	<input type="password"/>
Re-enter password *	<input type="password"/>

Information already provided for you is prepopulated in the appropriate fields.

Complete the remaining required fields (indicated with an *) and then click Next.

RGGI Inc.

RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO2 budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island and Vermont.

- 2. Complete Registration Information.** As a pre-registered user, many fields will already be completed on the registration page. If you are a pre-existing CAMD AAR or AAAR, then certain fields will also be un-editable on the registration page (First Name, Last Name, Address, City, State, Postal Code, Phone Number, Fax Number, and Email Address). If any revisions need to be made to these fields, they must be made directly in CBS (see Section 4.0). Verify and/or complete all other required fields in the registration form, as indicated by a red asterisk (*). Click the **Next** button.
- 3. Agree to Terms.** In order to submit your electronic registration, you must agree to the terms and policy of the RGGI COATS system. To continue and agree to the terms, click

the **I agree to these terms** button. If you do not agree to the terms, you will not be permitted to access the system.

- 4. Review and Print the User Login Request Form.** All RGGI COATS users must have an original wet ink signature on a hardcopy form on file at SRA International, Inc. before access to the system is granted. Click on the **Print** button in the upper right corner of the page. Print the form, and sign the page using blue ink. Mail the form to SRA International, Inc. at:

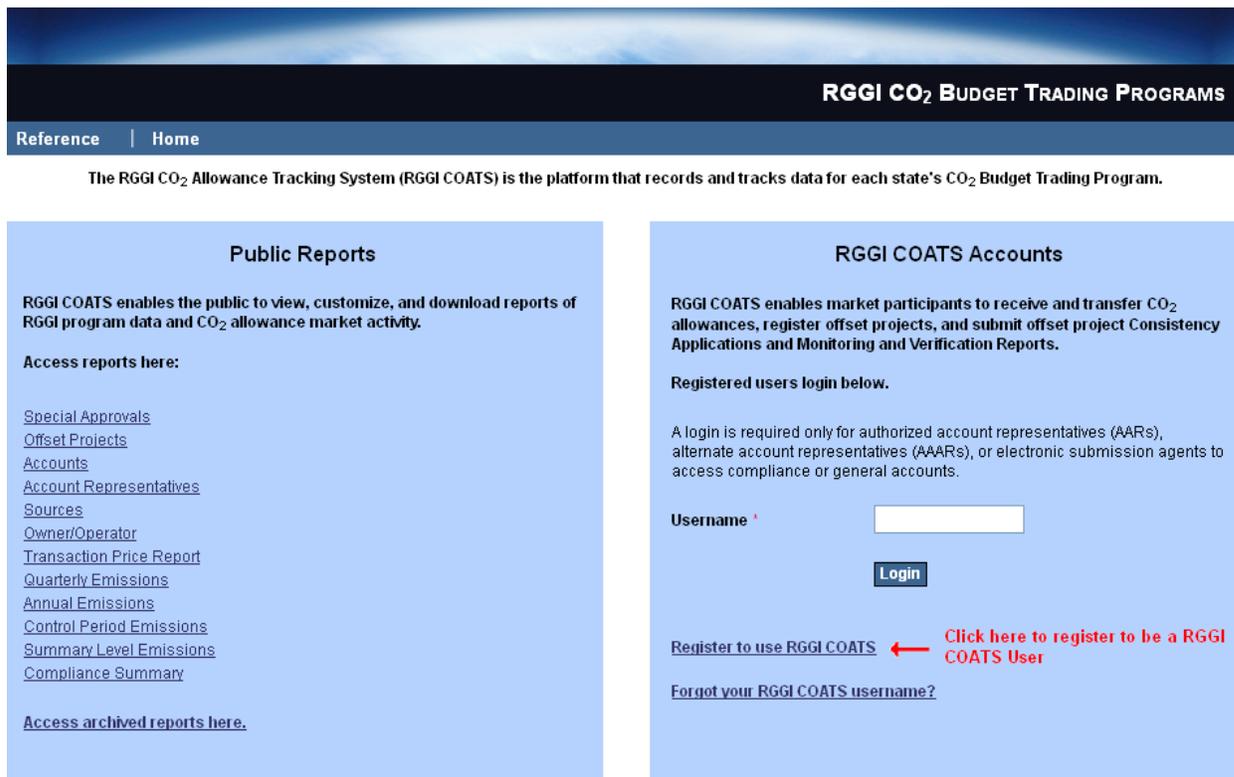
RGGI COATS
SRA International, Inc., A CSRA Company
650 Peter Jefferson Pkwy
Suite 320
Charlottesville, VA 22911

- 5. Login to RGGI COATS.** After SRA processes your hardcopy User Login Request form, you will receive an email indicating that your login request has been approved. At this time, you can log into the system with the RGGI COATS username and password you created in Step 2.

2.2 Steps to Request a RGGI COATS User Login

- 1. Register to Use RGGI COATS.** Click on the **Register to use RGGI COATS** link on the COATS homepage (www.rggi-coats.org). This will bring you to the Registration Information for Access to RGGI COATS page.

**Figure 2-2
RGGI COATS Homepage**



The Regional Greenhouse Gas Initiative (RGGI) is a cooperative effort by participating states to reduce emissions of carbon dioxide (CO₂), a greenhouse gas that causes climate change.



2. **Complete Registration Information.** Complete all required fields in the registration form, as indicated by a red asterisk (*). Click the **Next** button. Refer to Figure 2-1 to view a similar form.
3. **Agree to Terms.** In order to submit your electronic registration, you must agree to the terms and policy of the RGGI COATS system. To continue and agree to the terms, click the **I agree to these terms** button. If you do not agree to the terms, you will not be permitted to access the system.
4. **Review and Print the User Login Request Form.** All RGGI COATS users must have a wet ink signature on a hardcopy form on file at SRA International, Inc. before access to the system is granted. Click on the **Print** button in the upper right corner of the page. Print the form, and sign the page using blue ink. Mail the form to SRA International, Inc. at:

SRA International, Inc., A CSRA Company
650 Peter Jefferson Pkwy
Suite 320
Charlottesville, VA 22911

- 5. Login to RGGI COATS.** After SRA processes your hardcopy User Login Request form, you will receive an email indicating that your login request has been approved. At this time, you can log into the system with the RGGI COATS username and password you created in Step 2.

3.0 Steps to Login to RGGI COATS

In order to create a general account, access any existing accounts, perform allowance transfers or access your user information in RGGI COATS, you must first login to RGGI COATS and agree to the terms of the certification statements for the general accounts, sources, and compliance accounts you will represent in the system.

3.1 Steps to Enter Username and Password

- 1. Enter Username.** Navigate to <http://www.rggi-coats.org>. At the Login page, enter the RGGI COATS username you created in Section 2.0, Step 2 in the field Username and click the **Login** button.
- 2. Enter Password.** On the following page, enter the RGGI COATS password you created in Section 2.0, Step 2 in the field Password. Click the **Login** button.

**Figure 3-1
RGGI COATS Login Page**

The Regional Greenhouse Gas Initiative (RGGI) is a cooperative effort by participating states to reduce emissions of carbon dioxide (CO₂), a greenhouse gas that causes climate change.


 RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO₂ budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New York, Rhode Island and Vermont.

3.2 Steps to Certify for General Accounts Represented, Compliance Accounts Represented, and Accounts Represented as an Electronic Submission Agent

1. **Review the General Accounts Represented, Compliance Accounts Represented, and Accounts Represented as an Electronic Submission Agent.** Confirm that the information contained in the grids listing the General Accounts you represent as either an Authorized Account Representative (AAR) or as an Alternate Authorized Account Representative (AAAR), the Compliance Accounts you represent as either an AAR or an AAAR, and the Accounts you represent as an Electronic Submission Agent is complete and accurate. If you notice any incorrect or missing information, contact the RGGI COATS System Administrator at rggi-coats@csra.com to report the error.
2. **Review the Certification Statements for General Accounts, Compliance Accounts, and Accounts Represented as an Electronic Submission Agent.** Read each of the certification statements.

3. **Click the Checkbox and Enter your RGGI COATS Password.** Click the checkbox to indicate that you agree that you do represent all of the accounts listed in the grids on this page and that you also agree with all of the terms of the above certification statements. Enter your RGGI COATS password as your electronic signature for the certification statements on the page. Click the **Certify** button.

Figure 3-2
RGGI COATS Certification Page

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Please read the following certification statements, mark the checkbox indicating that you agree to the above certification statements, enter your password, and click the Certify button.

General Accounts Represented

Account Number	Account Name	Responsibility	Begin Date
GN10789	XYZ General	Authorized Account Representative	09/08/2008

I certify that I was selected as the CO₂ authorized account representative or the CO₂ alternate authorized account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to CO₂ allowances held in the general accounts above. I certify that I have all the necessary authority to carry out my duties and responsibilities under the CO₂ Budget Trading Program on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the Department, the Commissioner or its agent or a court regarding the general account.

Compliance Accounts Represented

Account Number	Account Name	Responsibility	Begin Date
CT10722	New CT Source Compliance Account	Alternate Authorized Account Representative	09/08/2008

I certify that I was selected as the CO₂ authorized account representative or alternate CO₂ authorized account representative, as applicable, by an agreement binding on the owners and operators of the CO₂ budget source and each CO₂ budget unit at the sources above. I certify that I have all the necessary authority to carry out my duties and responsibilities under the CO₂ Budget Trading Program on behalf of the owners and operators of the CO₂ budget source and of each CO₂ budget unit at the source and that each such owner and operator shall be fully bound by my representations, actions, inactions, or submissions and by any decision or order issued to me by the Department, the Commissioner or a court regarding the source or unit.

Accounts Represented as an Electronic Submission Agent

Account Number	Account Name	Designating Representative Name	Responsibility	Begin Date
NY10778	MECR New Source Compliance Account	Brent Beerley	Authorized Account Representative	09/08/2008

I was delegated as an electronic submission agent by a CO₂ authorized account representative or an alternate CO₂ authorized account representative for the accounts above.

By clicking this box, I agree with all of the above terms. *

Password *

If you object to the statements for any of the accounts above, you may not continue. Contact the RGGI COATS Administrator at rggi-coats@pqa.com to resolve any inconsistencies.

Certify

Review and confirm account information in all three of the grids on the page.

Read all three certification statements before agreeing to the terms and entering your electronic signature (password).

Click the checkbox to agree with all of the above terms. Enter your password as your electronic signature.

Click to continue to the RGGI COATS Home page.

4.0 Steps to Update Personal Information, including Adding Agents

Note: If you are also a primary or alternate representative for a source in the Clean Air Markets Division (CAMD) information system, the changes you make on this RGGI COATS page will be temporary. All personal information for CAMD primary or alternate representatives is maintained in the CAMD Business System (CBS), not in RGGI COATS. To permanently update your contact information, you must update your information in the CAMD Business

System (CBS) (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Any data from CBS will supersede data in RGGI COATS.

1. **Go to your My Web Profile Page.** Click on the **My Profile** link in the top bar above the RGGI CO₂ Allowance Tracking System banner. This will bring you to My Web Profile page.

Figure 4-1
My Profile Link



2. **Manage Personal Contact Information.** To change your title, phone number, mobile phone number, or fax number, enter the new values in the fields in the top block, answer a challenge question, and click the **Save** button.

If you are not a CAMD user and need to change your name, please submit a request by email to rggi-coats@csra.com.

Note: If you are an AAR or AAAR in the CAMD Business System, there will be some fields on your My Profile page that will not be editable in RGGI COATS. The fields that will not be editable include First Name, Last Name, Middle Initial, Phone Number, and Fax Number. To permanently update these fields of your contact information, you must update your information in the CAMD Business System (CBS) (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

Figure 4-2 My Profile Page

My Web Profile

If you are a CAMD user and a field is not editable, then it originates from the CAMD Information System and must be edited in that system. Changes made in CAMD will automatically be updated in RGGI COATS.

If you are not a CAMD user and need to modify your name, please submit a request by email to rggi-coats@sra.com.

Title (Mr./Ms.)	<input type="text" value="Ms."/>
First Name	Industry User
Last Name	Delaware
Middle Initial	
Phone Number *	<input type="text" value="123-555-1234"/>
Mobile Phone	<input type="text" value="123-555-3276"/>
Fax Number	<input type="text" value="123-555-1234"/>

You must correctly answer the challenge question displayed in order to save any changes.

Challenge Question	What is your grandmother's middle name?
Challenge Answer *	<input type="text"/>

Save

Address Details	Email Preferences	Change Password	Organization	My Agents	Agent For	Manage Security
Email Preferences						
Email Address *	<input type="text" value="delaware@company.com"/>					
Email Salutation (e.g. Bill Smith.) *	<input type="text" value="Industry User"/>					
Enter Session PIN *	<input type="text" value="....."/>	Generate Session PIN				
Save	 Use the buttons at the bottom of each tab to save, add, or modify information in the tab.					

- 3. Manage Email Preferences (Email Preferences Tab).** To change your email address or the email salutation, click on the Email Preferences tab. Enter a new email address or salutation, generate a session PIN, retrieve it from your email, and enter the session PIN. Click the **Save** button.

Note: If you are an AAR or AAAR in the CAMD Business System, your email address will not be editable in RGGI COATS. To permanently update these fields of your contact information, you must update your information in the CAMD Business System (CBS) (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

- 4. Manage Addresses (Address Details Tab).** To manage your address information, click on the Address Details tab.

**Figure 4-3
Addresses Tab**

Address Details | Email Preferences | Change Password | Organization | My Agents | Agent For | Manage Security

Address Details

	Address Type	Address	Begin Date
<input type="radio"/>	Physical Address	650 Peter Jefferson Place Suite 300 Charlottesville, Virginia 22911 United States	05/22/2017
<input type="radio"/>	Mailing Address	650 Peter Jefferson Place Suite 300 Charlottesville, Virginia 22911 United States	05/22/2017

Use the Add/Replace button to add a new address or change an existing address by overwriting the original.

Add/Replace **Show History**

A. Add/Replace an Address. To add a new address or replace an existing one, click on the **Add/Replace** button under the Address Details grid. On the following Add Address page, complete the required fields, select the Address Type, and click the **Save** button. Click the **Back** button to return to the previous page.

B. Show Address History. To view the current and past addresses, click the **Show History** button. All current and past address records will be displayed with an end date.

Note: If you are an AAR or AAAR in the CAMD Business System, your Physical Address will not be editable in RGGI COATS. To permanently update these fields of your contact information, you must update your information in the CAMD Business System (CBS) (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

All RGGI COATS users will also be able to create and manage a Mailing Address. This address type will be editable and manageable in RGGI COATS for all RGGI COATS users.

- 5. Change your Password (Change Password Tab).** To change your password, click on the Change Password tab. Enter the new password, answer a challenge question, and click the **Save** button.
- 6. Manage your Agents (My Agents Tab).** To view or change your Electronic Submission Agents, click on the My Agents tab.

**Figure 4-4
My Agents Tab**



A. Add an Agent.

- **Select Existing RGGI COATS User.** To add or change an agent, click on the **Add** button below the grid. On the Select Agent page, use the filter criteria to find a specific person, fill the radio button next to the agent's name, and click the **Select** button.
- **Add New User.** To add an agent, click on the **Add** button below the grid. If the agent you would like to select is not listed in the grid on the Select Agent page after using the filter criteria, click the **Add** button below the grid. On the Add New Agent page, complete the required information, as indicated by a red asterisk (*) and click the **Save** button. The person designated as an agent will receive an email invitation to register as a RGGI COATS user once assigned a role.
- **Assign Agent Role.** On the Select Agent Detail page, select the Contact Type (defaults to Agent). Answer a challenge question, enter your RGGI COATS password, and click the **Select** button.

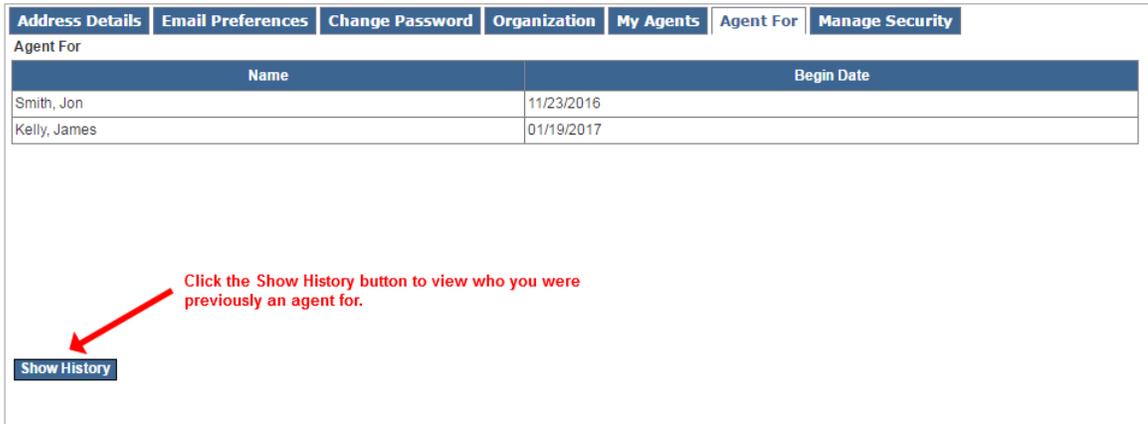
Note: You may have up to five agents.

- B. End Agent Relationship.** To end the agent relationship, fill the radio button next to the person's name. Click the **End Relationship** button and select a date from the calendar.
- C. Show Agent History.** To view a list of all current and past agents, click on the **Show History** button. All current and past agents will be displayed in the grid with an End Date.
- D. View Agent Details.** To view agent information, click on the Name link in the My Agents grid. This will take you to the Person Details page where you can view the

agent’s details including contact information and affiliated organizations.

- 7. **View your Agent Relationships (Agent For Tab).** To view COATS users for whom you are agent, click on the **Agent For** tab.

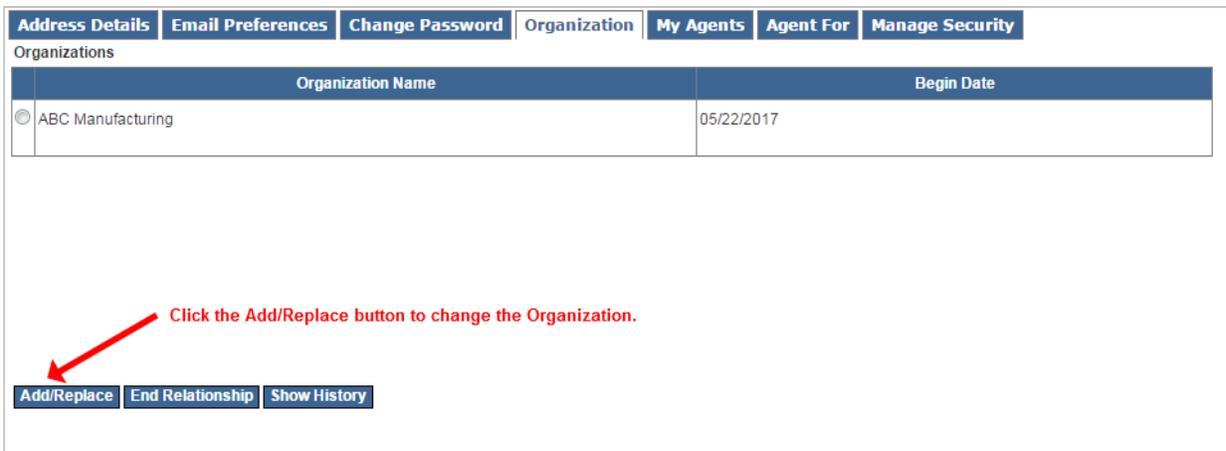
**Figure 4-5
Agent For Tab**



- A. **Show Agent History.** To view any End Dates, click on the **Show History** button. All current and past agent relationships will be displayed in the grid.

- 8. **Manage your Organization Affiliation (Organization Tab).** To view and change your organization affiliation, click on the Organizations tab.

**Figure 4-6
Organization Tab**



A. Add Organization.

- **Select Existing RGGI COATS Organization.** To add an organization affiliation, click on the **Add/Replace** button below the grid. On the Select Organization page, fill the radio button next to the organization's name, and click the **Select** button.
- **Add New Organization.** To add an organization, click on the **Add/Replace** button below the grid. If the organization you would like to select is not listed in the grid on the following page, click the **Add** button below the grid. On the Add New Organization page, complete the required information and click the **Save** button.
- **Confirm Organization Relationship.** On the Confirm Organization Relationship page, click the **Confirm** button.

B. End Organization Relationship. To end an organization relationship, fill the radio button next to the organization's name. Click the **End Relationship** button.

C. Show Organization History. To view a list of all current and past organizations, click on the **Show History** button. All current and past organizations will be displayed in the grid with an End Date.

9. Manage your Security Information (Manage Security Tab). To reset your secret question, personal image or challenge questions, click on the Manage Security tab.

**Figure 4-7
Manage Security Tab**

A. Reset Secret Question.

- **Answer Challenge Question.** To reset your secret question, answer a challenge question and click the **Reset Secret Question** button. Your existing secret

question information will not be visible on the next screen.

- **Update Secret Question.** When prompted, provide the secret question and answer requested and click the **Save** button.

B. Reset Personal Image.

- **Answer Challenge Question.** To reset your personal image, answer a challenge question and click the **Reset Personal Image** button. Your existing personal image information will not be visible on the next screen.
- **Update Personal Image information.** When prompted, provide the personal image information requested and click the **Save** button.

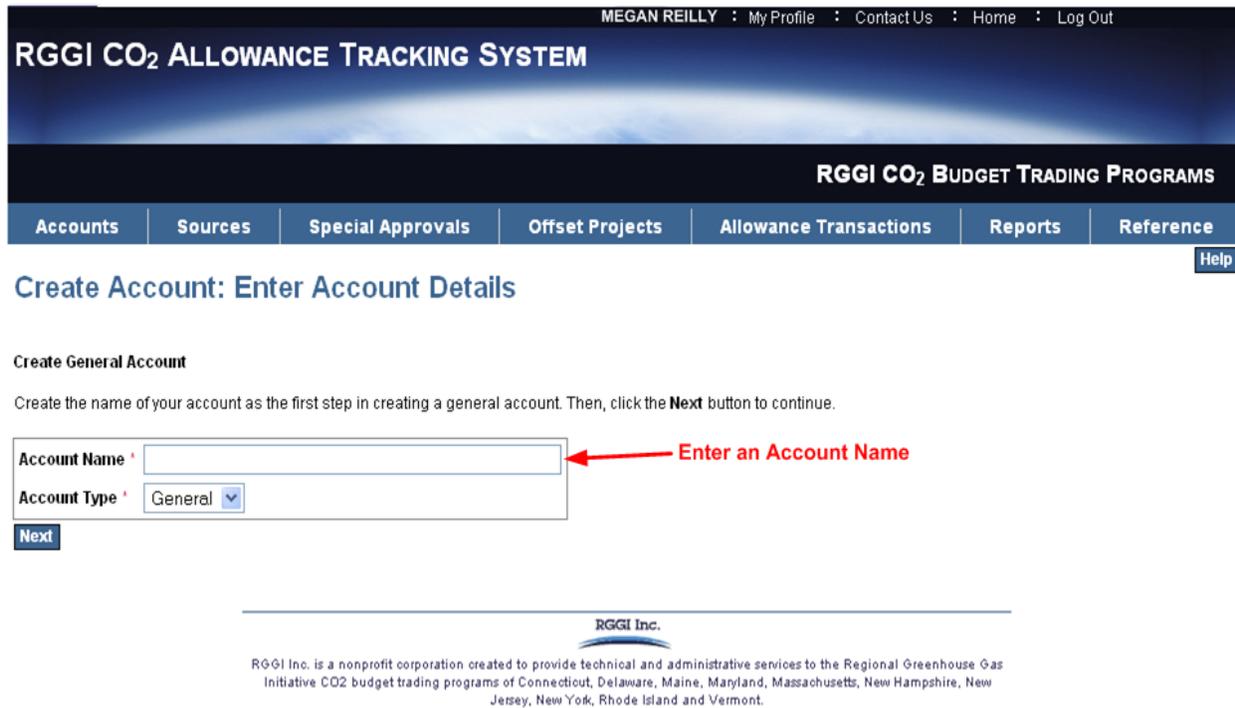
C. Reset Challenge Questions.

- **Answer Challenge Question.** To reset your challenge questions, answer a challenge question and click the **Reset Challenge Questions** button. Your existing challenge question information will not be visible on the next screen.
- **Update Challenge Questions.** When prompted, provide the challenge question information requested and click the **Save** button.

5.0 Steps to Create a General Account

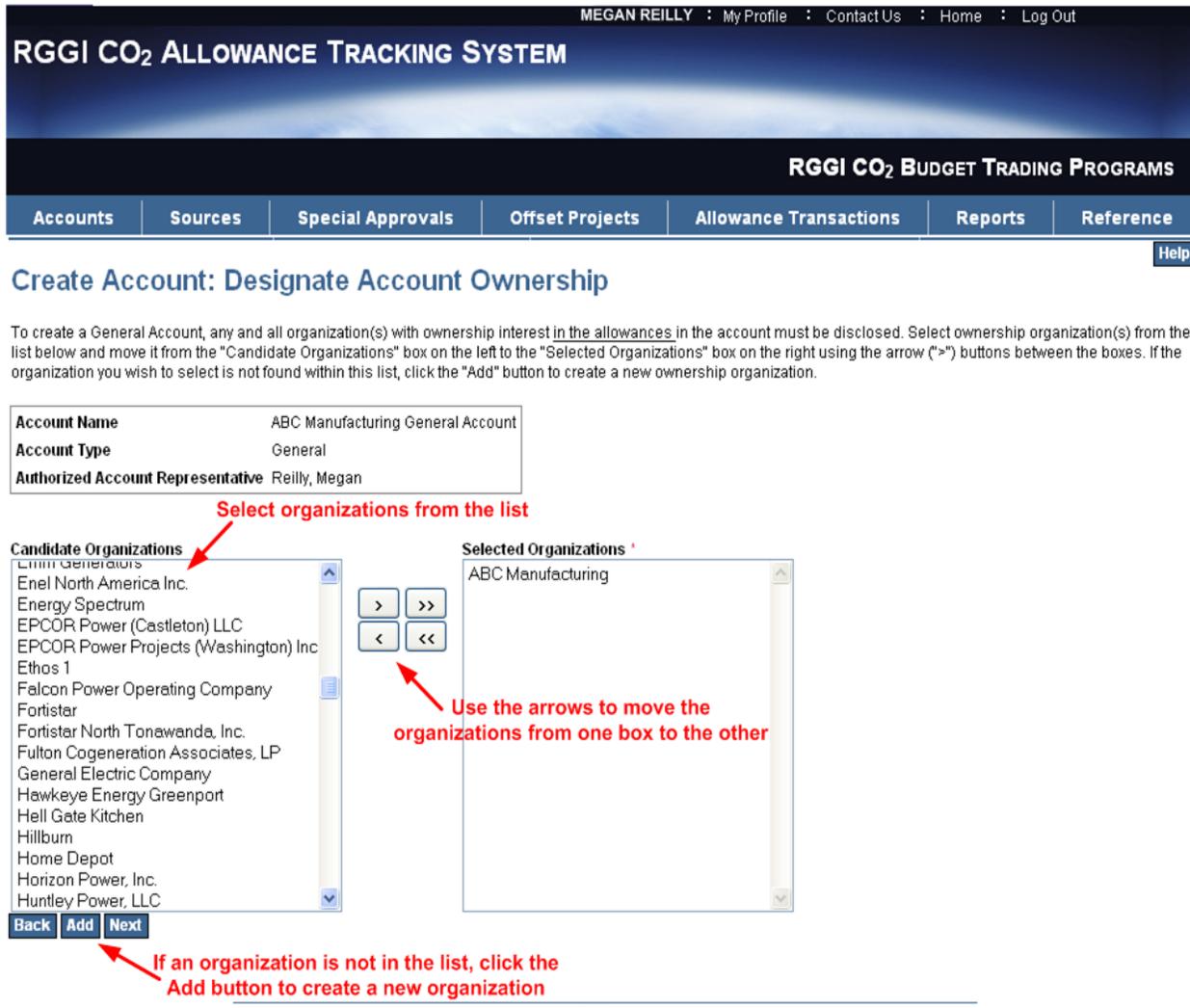
1. **Click on Create General Account Sub-menu.** After you login to the system, move your mouse pointer over the **Accounts** menu link in the top navigation bar. This will display the **Create General Account** sub-menu link. Click on the **Create General Account** link.
2. **Assign Account Name and Account Type.** On the Create Account: Enter Account Details page, enter an Account Name, and verify that General is selected in the Account Type drop-down list. Click the **Next** button.

Figure 5-1
Create Account: Enter Account Details



- 3. Designate Account Ownership.** You must select or add organizations that hold ownership interest in the CO₂ allowances held in the general account.

**Figure 5-2
Create Account: Designate Account Ownership**




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A. Select Existing Organization. On the Create Account: Designate Account Ownership page, click on one or more organizations in the Candidate Organizations box. To select multiple organizations, hold down "Ctrl" on your keyboard and click on each organization.

Use the ">" and "<" buttons to move the organization(s) between the Candidate Organizations and Selected Organizations boxes.

B. Add a New Organization. If you do not see a specific organization in the Candidate Organizations box, click the **Add** button. On the Add New Owner page, enter the Name, Organization Type (optional), and a Physical Address (optional) of the

organization. Click the **Save** button. Use the directions in Step 3A to select the organization you just added.

C. Click **Next** to continue.

4. **Designate an Alternate Authorized Account Representative (AAAR).** This information is optional. To proceed without designating an AAAR, click the **Next** button.

Figure 5-3
Create Account: Select AAAR

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Create Account: Select Alternate Authorized Account Representative

Select the optional Alternate Authorized Account Representative ("AAAR"), if any, for the General Account using the radio buttons in the grid below. The grid is initially blank and you must first enter filter criteria in the box to the right to display a specific AAAR or list of AAARs. The designated AAAR will have the same system permissions for the General Account as the AAR. Note that the grid can be sorted by clicking on the grid column

Filter Criteria ▼

First Name

Last Name

Organization Name

Use the filter to find a person

Account Name	ABC Manufacturing General Account
Account Type	General
Authorized Account Representative	Reilly, Megan

Organizations

Owner/Operator	Owner/Operator Role
ABC Manufacturing	Owner

The AAAR grid is blank by default

Alternate Authorized Account Representative

Name	Organization Name
No people match your current filter criteria entered in the box at the top right of the screen.	

If you cannot find a person using the filter, click the Add button to add a new user

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A. Select an Existing RGGI COATS User. To designate an existing user as an AAAR for this account, use the filter at the top right corner of the page to search for the

- person. Enter the user's Last Name, First Name, and/or Organization and click the **Filter** button. Existing users matching your filter criteria will display in the Alternate Authorized Account Representative grid at the bottom of the page. To select a user, fill in the radio button next to the name. Click the **Next** button.
- B. Add a new RGGI COATS User.** If you are unable to find the user you would like to designate as the General Account's AAAR by using the filter criteria to search for an existing RGGI COATS user, you may add a new RGGI COATS user. To add a new user and assign the user as the AAAR, click on the **Add** button below the Alternate Authorized Account Representative grid. On the Add New Account Representative page, complete the required information as indicated by a red asterisk (*). Click the **Save** button. Fill in the radio button next to the person's name. Click the **Next** button. The person designated as an AAAR will receive an email invitation to register as a RGGI COATS user once the account is created. The newly created person will need to follow the link in the email invitation to the pre-registration page and follow the registration instructions contained in Section 2.1 of the User's Guide. After they have completed the online Registration page and the Agree to Terms page, and completed and mailed the RGGI COATS User Login Request form with an original wet ink signature to SRA, they will be approved as RGGI COATS users and be able to log in to the system and view the account(s) for which they have been designated as a representative.
- 5. Review Account Information and Submit Certification Statement.** On the Create Account: Review and Submit page, review the information you entered previously. If you made an error, use the **Back** button to navigate to the previous page(s) and correct the error(s). Read the Certification Statement. Answer a challenge question and enter your RGGI COATS password to certify the information. Click the **Submit** button.

**Figure 5-4
Create Account: Review and Submit**

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

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Create Account: Review and Submit

Account Name	ABC Manufacturing General Account
Account Type	General
Authorized Account Representative	Reilly, Megan
Alternate Authorized Account Representative	Miller, Thomas

Organizations

Owner/Operator	Owner/Operator Role
ABC Manufacturing	Owner

Certification Statement

I certify that I was selected as the CO2 authorized account representative or the CO2 alternate authorized account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to CO2 allowances held in the general account. I certify that I have all the necessary authority to carry out my duties and responsibilities under the CO2 Budget Trading Program on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the Department, the Commissioner or its agent or a court regarding the general account.

Entering your password below acknowledges that you have read and agreed to the above certification.

Enter password

[Back](#) [Submit](#)

If the information on the page is correct, enter your COATS system password, and click the Submit button

Use the Back button to navigate to a previous page to make a change


 RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO2 budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island and Vermont.

6.0 Steps to View and Maintain Account Details

- 1. Go to the Account Detail Page.** Click on the **Accounts** menu link in the top navigation bar. This will bring you to the Accounts page, which displays all accounts with which you have been associated as an Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or Electronic Submission Agent (Agent). Use the filter to locate a specific account, or scroll through the list. Click on the Account Number link to access the Account Details page.

See Section 6.1 for details on viewing and maintaining Account Details for General Accounts. See Section 6.2 for details on viewing and maintaining Account Details for Compliance Accounts.

6.1 Steps to View and Maintain General Account Details

**Figure 6-1
General Account Details Page**

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Account Details

Account data saved.
Account people relationship data saved.
Account people relationship data saved.
Account owner/operator relationship saved.

The system message(s) confirm the data was saved in the system

Account Number GN10787
Account Name ABC Manufacturing General Account
Account Type General
Status Open
Opened on 08/29/2008
Closed on
Allowances can be Transferred Yes
Allowances can be Acquired Yes
State All States

Account Representative Details Electronic Submission Agents Owner Details Available Allowances

Account Representative Details

	Name	Representative Type	Begin Date
<input type="radio"/>	Reilly, Megan	Authorized Account Representative	08/29/2008
<input type="radio"/>	Miller, Thomas	Alternate Authorized Account Representative	08/29/2008

Change End Alternate Show History

- 1. Review Account Details.** Review the information in the top block to confirm that the Account Name is correct.
- 2. Manage Account Representative Details (Account Representative Details Tab).** To view or change account representatives relationships, click on the Account Representative Details tab.

**Figure 6-2
Account Representatives Tab**

Account Representative Details				Electronic Submission Agents	Owner Details	Available Allowances
Account Representative Details						
	Name	Representative Type			Begin Date	
<input type="radio"/>	Reilly, Megan	Authorized Account Representative			08/29/2008	
<input type="radio"/>	Miller, Thomas	Alternate Authorized Account Representative			08/29/2008	
Change	End Alternate	Show History				

 Use the Change button to update a representative

A. Change an Account Representative.

- **Select Existing RGGI COATS User.** To change an account representative, click on the **Change** button below the grid. On the Select Representative page, fill the radio button next to the new account representative's name, and click the **Select** button.
- **Add New User.** To change an account representative, click on the **Change** button below the grid. If the account representative you would like to select is not listed in the grid, click the **Add** button below the grid. On the Add New Account Representative page, complete the required information and click the **Save** button.
- **Assign Representative Type.** On the Select Account Representative Detail page, select the Representative Type and select a Begin Date (optional). Click the **Select** button. Note: Changing a representative will automatically end the current representative relationship of the same type (i.e., only one AAR and only one AAAR may exist at one type).

B. End AAAR Relationship. To end the AAAR relationship with the account, fill the radio button next to the person's name. Click the **End Alternate** button.

C. Show Representative History. To view a list of all current and past account representatives, click on the **Show History** button. All current and past account representatives will be displayed in the grid with an End Date.

D. View Representative Details. To view or change representative information, click on the Name link in the Account Representative Details grid. This will take you to the Person Details page where you can view representative details including contact information and affiliated organizations.

3. View Electronic Submission Agents (Electronic Submission Agents Tab). To view agents designated by the AAR or AAAR, click on the Electronic Submission Agents tab. The grid lists all agents. To modify agent relationships, see Section 4.0, Step 6.

**Figure 6-3
Agents Tab**

Account Representative Details	Electronic Submission Agents	Owner Details	Available Allowances
Electronic Submission Agents			
Agent Name	Responsibility	Name	
Agent, Mia	Agent	Reilly, Megan	
Alexander, Jay	Agent	Reilly, Megan	
Armstrong, Louis	Agent	Reilly, Megan	
Relling, Walter	Agent	Reilly, Megan	

Agents affiliated with the AAR and/or AAAR are listed in this grid. Agents cannot be added or removed from this tab. You must go to the My Profile page to update agent relationships

4. **Manage Owner Details (Owner Details Tab).** To view or change owner relationships, click on the Owner Details tab.

**Figure 6-4
Owner Details Tab**

Account Representative Details	Electronic Submission Agents	Owner Details	Available Allowances
Owner Details			
	Name	Begin Date	
<input type="radio"/>	ABC Manufacturing	08/29/2008	

Use the Change button to add an owner to the account

Use the End Relationship button to end an owner's relationship with the account

Change **End Relationship** **Show History**

A. Add Owner.

- **Select Existing RGGI COATS Organization.** To add an organization as an owner for an account, click on the **Change** button below the grid. On the Select Owner page, fill the radio button next to the organization's name, and click the **Select** button.
- **Add New Organization.** To add an organization as an owner for an account, click on the **Change** button below the grid. If the organization you would like to select is not listed in the grid on the following page, click the **Add** button below

the grid. On the Add New Owner page, complete the required information and click the **Save** button.

- **Confirm Account Owner Relationship.** On the Confirm Account Owner Detail page, answer a challenge question, enter your RGGI COATS password, and click the **Confirm** button.

B. End Owner Relationship. To end an owner relationship with the account, fill the radio button next to the organization's name. Click the **End Relationship** button.

C. Show Ownership History. To view a list of all current and past owners, click on the **Show History** button. All current and past account owners will be displayed in the grid with an End Date.

D. View Owner Details. To view or change owner information, click on the Name link in the Owner Details grid. This will take you to the Edit Owner page where you can change the name of the Owner or add/change the address.

5. View Available Allowances (Available Allowances Tab). To view available allowances, click on the Available Allowances tab.

Figure 6-5
Available Allowances Tab

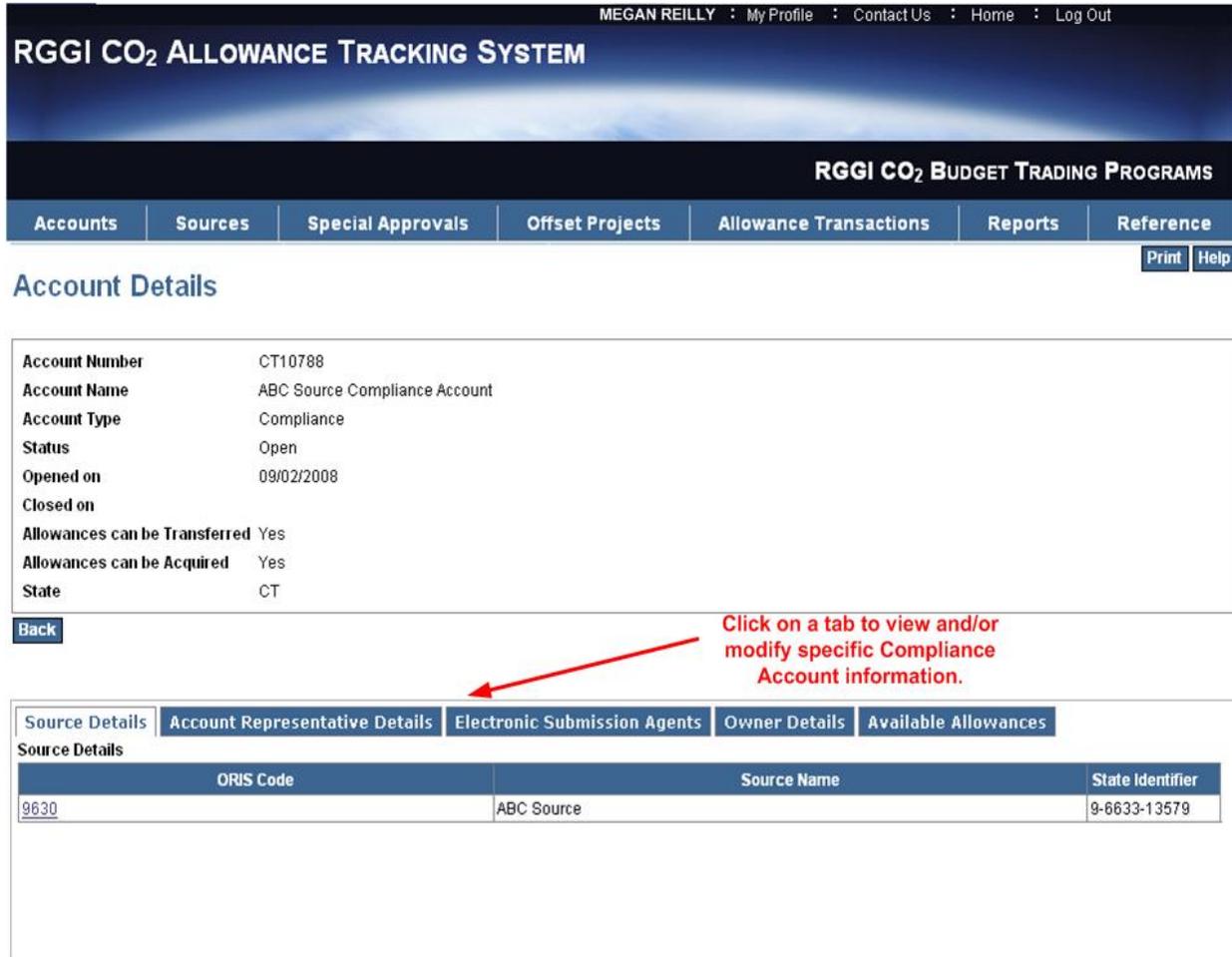
Account Representative Details		Electronic Submission Agents		Owner Details		Available Allowances	
Available Allowances							
Allocation Year	Type	Originating State	Serial Range		Acquire Date	Quantity	
2008	Standard	NY	1185189 - 1185208		08/29/2008	20	

Displays the total number of allowances held in the account

Total Allowances Available: 20

6.2 Steps to View and Maintain Compliance Account Details

Figure 6-6
Account Details Page



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Account Details

Account Number	CT10788
Account Name	ABC Source Compliance Account
Account Type	Compliance
Status	Open
Opened on	09/02/2008
Closed on	
Allowances can be Transferred	Yes
Allowances can be Acquired	Yes
State	CT

Back

Click on a tab to view and/or modify specific Compliance Account information.

Source Details	Account Representative Details	Electronic Submission Agents	Owner Details	Available Allowances
----------------	--------------------------------	------------------------------	---------------	----------------------

Source Details

ORIS Code	Source Name	State Identifier
9630	ABC Source	9-6633-13579

- 1. View Account Details.** Review the information in the top block to confirm that the Account Name is correct.
- 2. View Source Details (Source Details Tab).** To view source information for the compliance account, click on the Source Details tab. Click on the ORIS Code link to view and/or manage Source Detail information, see Section 7.0.

**Figure 6-7
Source Details Tab**

Source Details	Account Representative Details	Electronic Submission Agents	Owner Details	Available Allowances
Source Details				
ORIS Code	Source Name	State Identifier		
9630	ABC Source	9-6633-13579		

Use the ORIS Code link to view Source Details for the Compliance Account Source.

- 3. View Account Representative Details (Account Representative Details Tab).** To view account representatives relationships, click on the Account Representative Details tab.

**Figure 6-8
Account Representatives Tab**

Source Details	Account Representative Details	Electronic Submission Agents	Owner Details	Available Allowances
Account Representative Details				
Name	Representative Type	Begin Date		
Reilly, Megan	Authorized Account Representative	09/02/2008		
Relling, Walter	Alternate Authorized Account Representative	09/02/2008		
Show History				

AARs and AAARs loaded from the CAMD Business System (CBS) are not editable in RGGI COATS. Changes to these representatives must be made directly in the CBS.

AAR and AAAR data for compliance accounts in RGGI COATS is synchronized with facility representative data for the RGGI Program in the CAMD Business System (CBS): <http://www.epa.gov/airmarket/business/industry/cbs.html>. AAR and AAAR relationships must be managed in CBS for compliance accounts.

- A. Change an Account Representative.** AAR and AAARs for RGGI COATS Compliance Accounts will be loaded and maintained from the CAMD Business System (CBS). AAR and AAAR relationships will not be editable in COATS, and will need to be managed directly in the CAMD Business System (CBS) if any revisions are required (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.
- B. End AAAR Relationship.** Ending the AAR or AAAR relationship with the source and compliance account will need to be managed directly in the CAMD Business System (CBS) (see <https://www.epa.gov/airmarkets> for more information about the

CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

C. Show Representative History. To view a list of all current and past account representatives, click on the **Show History** button. All current and past account representatives will be displayed in the grid with an End Date.

4. View Electronic Submission Agents (Electronic Submission Agents Tab). To view agents designated by the AAR or AAAR, click on the Electronic Submission Agents tab. The grid lists all agents. To modify agent relationships, see Section 4.0, Step 6.

**Figure 6-9
Electronic Submission Agents Tab**

Source Details	Account Representative Details	Electronic Submission Agents	Owner Details	Available Allowances
Electronic Submission Agents				
Agent Name	Responsibility	Name		
Agent, Mia	Agent	Reilly, Megan		
Armstrong, Louis	Agent	Reilly, Megan		
Relling, Walter	Agent	Reilly, Megan		


Manage Agents through the My Agents tab on My Profile page.

Note: Agents are designated by an AAR or AAAR from his or her My Profile page. You may manage your personal agent designations from the My Profile page.

5. Manage Owner Details (Owner Details Tab). To view owner relationships, click on the Owner Details tab.

**Figure 6-10
Owner Details Tab**

Source Details	Account Representative Details	Electronic Submission Agents	Owner Details	Available Allowances
Owner Details				
		Name	Begin Date	
		ABC Manufacturing	09/03/2008	
		ABC Org	09/03/2008	
<p>Current and historical Owner/Operator relationships are available to view by clicking the Show History button. Maintaining Owner/Operator relationships must be done directly in the CAMD Business System.</p>				
		Show History		

A. Change Owner or Operator. Owners, Operators, and Owner/Operators for RGGI COATS Compliance Accounts will be loaded and maintained from the CAMD Business System (CBS). Owner/Operator relationships will not be editable in RGGI COATS, and will need to be managed directly in the CAMD Business System (CBS) if any revisions are required (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

B. Show Ownership History. To view a list of all current and past owners, click on the **Show History** button. All current and past account owners will be displayed in the grid with an End Date.

C. View Owner Details. To view owner information, click on the Name link in the Owner Details grid. This will take you to the Edit Owner page where you can view the name of the Owner, the Enterprise Type, or the address.

6. View Available Allowances (Available Allowances Tab). To view available allowances, click on the Available Allowances tab.

**Figure 6-11
Available Allowances Tab**

Account Representative Details		Electronic Submission Agents		Owner Details		Available Allowances	
Available Allowances							
Allocation Year	Type	Originating State	Serial Range	Acquire Date	Quantity		
2008	Standard	NY	1185189 - 1185208	08/29/2008	20		

Displays the total number of allowances held in the account

Total Allowances Available: 20

6.3 Steps to View Account Balance Report

1. **Click on Account Balance Report Sub-menu.** After you login to the system, move your mouse pointer over the **Accounts** menu link in the top navigation bar. This will display the **Account Balance Report** sub-menu link. Click on the **Account Balance Report** link.
2. This will bring you to the **Account Balance Report - Select Account** page, which displays all accounts for which you have been associated as an Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or Electronic Submission Agent (Agent). Use the filters to locate a specific account, or scroll through the list to select an account.

Figure 6-12
Account Balance Report - Select Account Page

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Account Balance Report - Select Account

In order to generate an Account Balance report, select an account in the grid via radio button and click the *Get Report* button. Optionally, you may enter the date for which you wish to view the account's balance. The report will be generated as of the end of the date entered. If no date is provided, the current balance will be displayed.

Use the filter criteria to find a specific account.

Filter Criteria ▾

Account Number

Account Name

ORIS Code

Authorized Account Representative

State

Status

Account Type

Filter Clear

Use a radio button to select one of the accounts listed.

Select Account	Account Number ▲	State	Account Name	ORIS Code	Authorized Account Representative	Account Type	Status
<input checked="" type="radio"/>	GN80970	All States	ABC Manufacturing General Account		Jones, John	General	Open
<input type="radio"/>	GN80971	All States	Acme General Account		Jones, John	General	Open
<input type="radio"/>	GN80972	All States	Company 1, Inc. Account		Jones, John	General	Open

Balance Date  Select a Balance Date or leave blank for current balance.

Click the Get Report button to proceed to the Account Balance Report page.

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- 3. Enter the Balance Date.** Enter the date for which you wish to retrieve account balance information as of the end of that day, or click the calendar icon to the right of the field; a calendar will pop up. Select the date by clicking on the hyperlinked date on the calendar. The pop-up calendar will close, and this date will populate in the field in the correct MM/DD/YYYY format. If no date is selected, the system will default to the current system date. Click the **Get Report** button.

Figure 6-13
Account Balance Report Page

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

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Account Balance Report

Account Number GN80970
Account Name ABC Manufacturing General Account

This report reflects the balance as of 12/04/2017

Allocation Year	Allowance Type	Quantity
2009	Standard	100
2009	CO2 Offset	15
2011	Standard	150
2015	Cost Containment Reserve	200

Total Allowances: 465 [Export Data](#)

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View the grid for Allocation Year, Allowance Type, and Quantity of allowances held in the account as of the Balance Date selected, or current date if not selected, including the Total Allowances in the lower left hand corner.

Print this page for your records by using the Print button.

Click the Export Data button to download the grid as a .csv file to your local drive.

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7.0 Steps to View and Maintain Source Details

- 1. Go to the Sources Page.** Click on the **Sources** link in the menu navigation bar below the RGGI CO₂ Allowance Tracking System banner. This will bring you to the Sources page, which displays all sources which you have been associated as an Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or Electronic Submission Agent (Agent).

**Figure 7-1
Sources Link**



2. **Go to the Source Details Page.** Use the filter on the Sources page to locate a specific source, or scroll through the list. Click on the ORIS Code link or the Source Name link to access the Source Details page for the Source.

Figure 7-2
Source Details Page

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Source Details

Source Name ABC Source
 ORIS Code 9630
 State/Province Connecticut
 County Litchfield
 State Identifier 9-6633-13579
 NAICS Code 2211 - Electric Power Generation, Transmission and Distribution

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Click on a tab to view specific Source information.

Units Account Representative Details Geographic Location Owner/Operator Compliance Account Electronic Submission Agents

Unit Details

Unit ID	Current Status	Status Date	Commence Operation Date	Commence Commercial Operation Date
1	Operating	09/02/2008	08/01/2008	08/15/2008

3. **View Source Details.** Review the information in the top block to confirm that the Source Name, ORIS Code, State, County, and NAICS Code are correct. Source Name, ORIS Code, State, County, and NAICS Code will be loaded and maintained from the CAMD Business System. These fields will not be editable in RGGI COATS, and will need to be managed directly in the CAMD Business System (CBS) if any revisions are required (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in COATS. The State Identifier field will be editable only by the RGGI COATS System Administrator.
4. **View Source Units Details (Units Tab).** To view Units at the Source, click on the Units tab.
5. **View Account Representative Details (Account Representative Details Tab).** To view account representatives relationships, click on the Account Representative Details tab.

Figure 7-3
Source Account Representatives Tab

Units	Account Representative Details	Geographic Location	Owner/Operator	Compliance Account	Electronic Submission Agents
Account Representative Details					
Name	Representative Type	State	Begin Date		
Reilly, Megan	Authorized Account Representative	CT	09/02/2008		
Relling, Walter	Alternate Authorized Account Representative	CT	09/02/2008		

Click on the Name link to view Person information.

Click on the Show History button to view current and historical Account Representative relationships.

A. Change an Account Representative. Source AAR and AAARs will be loaded and maintained from the CAMD Business System (CBS). Source AAR and AAAR relationships will not be editable in RGGI COATS, and will need to be managed directly in the CAMD Business System (CBS) if any revisions are required (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

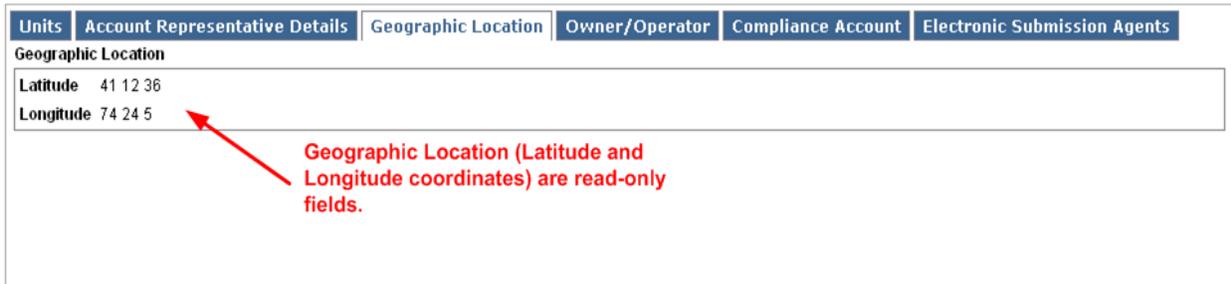
B. Show Representative History. To view a list of all current and past account representatives, click on the **Show History** button. All current and past account representatives will be displayed in the grid with an End Date.

C. View Representative Details. To view or change representative information, click on the Name link in the Account Representative Details grid. This will take you to the Person Details page where you can view representative details including contact information and affiliated organizations. For AAR and AAARs loaded and maintained from the CAMD Business System (CBS), information will need to be managed directly in the CAMD Business System (CBS) if any revisions are required (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

6. View Geographic Location Details (Geographic Location Tab). To view Source Geographic Location, click on the Geographic Location Tab. For Sources loaded and maintained from the CAMD Business System (CBS), Geographic Location includes latitude and longitude coordinates and will not be editable in RGGI COATS. Source Geographic Location latitude and longitude coordinates will display as read-only fields, and will need to be managed directly in the CAMD Business System (CBS) if any revisions are required (see <https://www.epa.gov/airmarkets> for more information about

the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

Figure 7-4
Source Geographic Location Tab

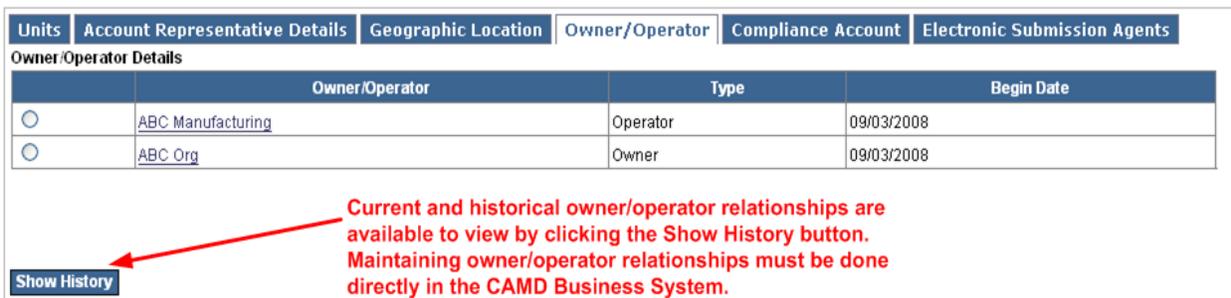


Units	Account Representative Details	Geographic Location	Owner/Operator	Compliance Account	Electronic Submission Agents
Geographic Location					
Latitude	41 12 36				
Longitude	74 24 5				

Geographic Location (Latitude and Longitude coordinates) are read-only fields.

- 7. View Owner/Operator Details (Owner/Operator Tab).** To view the Owner, Operator, and/or Owner/Operator Organizations for the source, click the Owner/Operator tab. For Sources loaded and maintained from the CAMD Business System (CBS), Owner/Operator relationships will not be editable in RGGI COATS, and will need to be managed directly in the CAMD Business System (CBS) if any revisions are required (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

Figure 7-5
Owner/Operator Tab



Units	Account Representative Details	Geographic Location	Owner/Operator	Compliance Account	Electronic Submission Agents
Owner/Operator Details					
	Owner/Operator	Type	Begin Date		
<input type="radio"/>	ABC Manufacturing	Operator	09/03/2008		
<input type="radio"/>	ABC Org	Owner	09/03/2008		

Show History

Current and historical owner/operator relationships are available to view by clicking the Show History button. Maintaining owner/operator relationships must be done directly in the CAMD Business System.

- A. Show Owner/Operator History.** To view a list of all current and past Owner/Operator organizations, click on the **Show History** button. All current and past owner/operator organizations will be displayed in the grid with an End Date.
- B. View Owner/Operator Details.** To view owner/operator information, click on the Name link in the Owner/Operator Details grid. This will take you to the Edit Organization page where you can view organization details including organization name, type, and address. Owner/Operator organizations are loaded and maintained

from the CAMD Business System (CBS), and not all information will be editable through RGGI COATS. Owner/Operator address will be editable in RGGI COATS. All other Organization Information fields will not be editable in RGGI COATS, and will need to be managed directly in the CAMD Business System (CBS) if any revisions are required (see <https://www.epa.gov/airmarkets> for more information about the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

8. **View Compliance Account Details (Compliance Account Tab).** To view the Compliance Account for the source, click on the Compliance Account Tab. Click the Account Number link to view the Account Details page for the Compliance Account. Each source loaded to RGGI COATS will automatically have an associated Compliance Account created, following the naming convention "[Source Name] Compliance Account."

**Figure 7-6
Source Compliance Accounts Tab**

Units	Account Representative Details	Geographic Location	Owner/Operator	Compliance Account	Electronic Submission Agents
Account Details					
Account Number	Account Name		State	Account Type	
CT10788	ABC Source Compliance Account		CT	Compliance	


Use the Account Number link to view the Account Details page for the Compliance Account.

9. **View Electronic Submission Agents Details (Electronic Submission Agents Tab).** To view agents designated by the AAR or AAAR, click on the Electronic Submission Agents tab. The grid lists all agents. To modify agent relationships, see Section 4.0, Step 6.

**Figure 7-7
Source Electronic Submission Agents Tab**

Units	Account Representative Details	Geographic Location	Owner/Operator	Compliance Account	Electronic Submission Agents
Electronic Submission Agents					
	Agent Name	Responsibility	Name		
	Agent, Mia	Agent	Reilly, Megan		
	Armstrong, Louis	Agent	Reilly, Megan		
	Relling, Walter	Agent	Reilly, Megan		

Manage Agents through the My Agents tab on My Profile.

Note: Agents are designated by an AAR or AAAR from his or her My Profile page. You may manage your personal agent designations from the My Profile page.

8.0 Allowance Transactions

8.1 Reviewing Completed Transactions

- 1. View the Allowance Transactions Page.** Click on the **Allowance Transactions** menu link in the top navigation bar. This will bring you to the Allowance Transactions page, which displays all transactions for accounts which you have been associated as an Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or Electronic Submission Agent (Agent). Use the filter to locate a specific allowance transaction, or scroll through the list.

Figure 8-1
Allowance Transactions Page

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RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

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Allowance Transactions

Click on the Transaction ID link in the grid below to view transaction details. Use the filter criteria to the right to find a specific transaction or list of transactions more easily. Click the Export Data button under the grid to export the grid data to Excel (.csv). Also, note that the grid can be sorted by clicking on the grid column headers (first click is ascending, second click is descending).

Enter filter criteria or scroll the grid to find a specific allowance transaction

Click the Transaction ID link to view detailed transaction information on the Allowance Transaction Confirmation page.

Filter Criteria ▼
State: [Dropdown]
Transaction ID: [Text]
Account Number: [Text]
Account Name: [Text]
Authorized Account Representative: [Text]
Transaction Type: [Dropdown]
Begin Date: [Text] [Calendar]
End Date: [Text] [Calendar]
Transaction Status: [Dropdown]
Filter Clear

Transaction ID	State	Transaction Type	Transferring Account	Transferring Account Primary Representative	Acquiring Account	Acquiring Account Primary Representative	Recorded Date	Transaction Status	Allowances Transferred	Price per allowance of sale or purchase transaction (\$)
rggi11136	CT	Allowance Transfer	CT10788: ABC Source Compliance Account	Reilly, Megan	CT10722: New CT Source Compliance Account	Allen, John	09/03/2008	Complete	10	4.68
rggi11135	CT	Allowance Transfer	CT10766: 819 Source Compliance Account	Reilly, Megan	CT10788: ABC Source Compliance Account	Reilly, Megan	09/03/2008	Complete	3	
rggi11134	CT	Allowance	CT10774: Aiya	Reilly, Megan	CT10788: ABC	Reilly, Megan	09/03/2008	Complete	10	3.44

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Export Data

- 2. View the Allowance Transaction Confirmation Page.** The Allowance Transaction Confirmation page provides the user the ability to review the details of a completed allowance transaction. Click on the Transaction ID link to view the Allowance Transaction Confirmation page.

**Figure 8-2
Allowance Transaction Confirmation Page**

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

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Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

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Allowance Transaction Confirmation Review details of a completed allowance transaction.

Transaction ID	rggi11136
Transaction Date	09/03/2008
Recorded Date	09/03/2008
Transaction Type	Allowance Transfer

[Back](#) ← Use the Back button to navigate back to Allowance Transactions page.

Transferring Account	Acquiring Account
Account Number: CT10788	Account Number: CT10722
Account Name: ABC Source Compliance Account	Account Name: New CT Source Compliance Account
State: CT	State: CT
Authorized Account Representative: Reilly, Megan	Authorized Account Representative: Allen, John

Allowances Transferred

Allocation Year	Type	Originating State	Serial Range	Quantity
2008	Standard	NY	1185174-1185183	10

Total Allowances Transferred: 10

Transaction Status History

Date	Transaction Status
09/03/2008	Complete


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8.2 Steps to Complete an Allowance Transfer

- 1. Click on Transfer Allowances Sub-menu.** After you log in to the system, move your mouse pointer over the **Allowance Transactions** menu link in the top navigation bar. This will display the **Transfer Allowances** sub-menu link. Click on the **Transfer Allowances** link.

**Figure 8-3
Transfer Allowances Sub-menu**



2. **Step 1 -- Select the Transferring Account.** Use the filter to locate a specific account, or scroll through the list. Only accounts to which the user has a relationship as an AAR, AAAR or electronic submission agent are available for selection. Select the Account from which CO₂ allowances will be transferred from using the radio button. The **Allowance Holdings** grid under the Accounts grid displays detailed information about the allowances held in the account selected above, including the Allowance Type, Originating State, Serial Range, and the Quantity of allowances. Then click the **Next** button.

Figure 8-4
Transfer Allowances: Step 1 -- Select Transferring Account Page

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Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference [Help](#)

Transfer Allowances: Step 1 - Select Transferring Account

Use filter criteria to find a specific transferring account.

Filter Criteria ▼

Representative Name

Account Number

Account Name

Click the radio button to select a transferring account and view the Allowance Holdings available in that account.

	Account Number	Account Name	Authorized Account Representative	State	Allowances can be Transferred
<input checked="" type="radio"/>	CT10788	ABC Source Compliance Account	Reilly, Megan	CT	Yes
<input type="radio"/>	GN10787	ABC Manufacturing General Account	Reilly, Megan	All States	Yes

1 - 2 of 2

Allowance Holdings

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Frozen	Quantity
2008	Standard	NY	1185174 - 1185183	09/03/2008	No	10
2008	Long Term Contract	NY	1188862 - 1188864	09/03/2008	No	3

View the Allowance Holding grid for details on the allowances held in the account, including the Total Allowances Available in the lower right hand corner.

Total Allowances Available: 13


 RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO2 budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island and Vermont.

- Step 2 -- Select the Acquiring Account.** Use the filter to locate a specific account, or scroll through the list. Select the Account which will receive the transferred CO₂ allowances using the radio button in the grid. Then click the **Next** button.

Figure 8-5
Transfer Allowances: Step 2 -- Select Acquiring Account Page

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Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference [Help](#)

Transfer Allowances: Step 2 - Select Acquiring Account

Review that the correct Transferring Account has been selected in the previous step. Click the Back button to go back to Step 1 – Select Transferring Account.

Use filter criteria to find a specific acquiring account.

Filter Criteria ▼

Representative Name

Account Number

Account Name

Allowances to be Transferred From

Account Number	CT10788
Account Name	ABC Source Compliance Account
State	CT

Account Number	Account Name	Authorized Account Representative	State	Allowances can be Acquired
<input checked="" type="radio"/> CT10722	New CT Source Compliance Account	Allen, John	CT	Yes

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Click the radio button to select an acquiring account.

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4a. Step 3a -- Select Allowances to Transfer: Automatic Selection Method. Before proceeding with selecting which allowances to transfer, you must choose a selection method. Choosing Automatic will load a grid below the Available Allowances grid. In this bottom-most grid, enter in the Amount to Transfer, select the Allocation Year(s) if applicable, and choose whether to begin the amount transferred with the last or the first allowances acquired. There is a Calculate button below the grid, which will refresh the page with a new Allowances to be Transferred grid, showing the selections made in the previous grid.

Figure 8-6
Transfer Allowances: Step 3a -- Select Allowances to Transfer: Automatic Selection Method

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Transfer Allowances: Step 3 - Select Allowances to Transfer

Allowances to be Transferred From
Account Number CT10788
Account Name ABC Source Compliance Account
State CT

Allowances to be Transferred To
Account Number CT10722
Account Name New CT Source Compliance Account
State CT

Choose Selection Method: **Automatic** ← Automatic Selection

Available Allowances

Allocation Year	Allowance Type	Originating State	Serial Range	Allowance(s)	Frozen	Date Acquired
2008	Standard	NY	1185174-1185183	10	No	08/28/2008
2008	Long Term Contract	NY	1188862-1188864	3	No	08/28/2008

Amount to Transfer: 4 ← Enter the quantity of allowances.

Select Allocation Year(s) *
2008 (selected)
2009
2010
2011
← Select the Allocation Year of the allowances COATS will select from the Available Allowances grid.

Deduction Method
 Begin with last acquired Begin with first acquired ← Choose deduction method.

Calculate ← After entering the above criteria and clicking Calculate, COATS will automatically select the allowance serial numbers to transfer.

Allowances to be Transferred

Allowance Year	Allowance Type	Serial Range	Originating State	Date Acquired	Allowance(s)
2008	Standard	1185174-1185177	NY	08/28/2008	4

Back Next

4b. Step 3b -- Select Allowances to Transfer: Serial Block Selection Method. As an alternative to the automatic selection method described above as Step 3a, you may select allowances to transfer by selecting from a specific serial block range. Select which CO₂ allowances from the Transferring Account will be transferred to the Acquiring Account by the Serial Block Selection Method of the Transfer Allowances transaction.

Figure 8-7
Transfer Allowances: Step 3b -- Select Allowances to Transfer: Serial Block Selection Method

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

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Accounts Sources Special Approvals Offset Projects Emissions Compliance Allowance Transactions Public Reports Reference

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Transfer Allowances: Step 3 - Select Allowances to Transfer

Allowances to be Transferred From
 Account Number CT10788
 Account Name ABC Source Compliance Account
 State CT

Allowances to be Transferred To
 Account Number CT10722
 Account Name New CT Source Compliance Account
 State CT

Choose Selection Method: **Serial Block** ← Serial Block selection

Use the **Select All** checkbox if all allowances held in the Transferring Account will be transferred. Select All

	Allocation Year	Type	Originating State	Serial Range	Frozen	Total Allowances Available	Quantity
<input checked="" type="checkbox"/>	2009	Standard	NJ	4532905 - 5667048	No	1134144	10
<input type="checkbox"/>	2009	Standard	CT	157144247 - 157490790	No	346544	0

Total to be Transferred: 10

Back Next

Check the serial block of allowances you would like to transfer from the Transferring Account to the Acquiring Account.

Enter the Quantity of each checked serial block to be transferred.

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- A. Select the Serial Allowance Block.** Use the checkboxes in the **Available Allowances** grid to select which allowance blocks from the Transferring Account will be transferred to the Acquiring Account. If all allowances held in the Transferring Account will be transferred, click the **Select All** checkbox above the **Available Allowances** grid. Otherwise, use the checkboxes in the grid to select specific rows of allowance blocks to be transferred.
- B. Enter the Allowance Quantity.** Once the allowance block(s) to be transferred has been selected using the **Available Allowances** grid checkboxes or the **Select All** checkbox, use the Quantity column to enter in the number of allowances to be transferred. The allowances will be calculated from the beginning of the selected serial allowance block. For example, if the allowance block selected contains allowances from Beginning Serial Number 4532905 to Ending Serial Number 5667048 and you wish to transfer ten allowances, you would enter “10” into the Quantity column for that serial allowance block row, and ten allowances with Beginning Serial Number 4532905 to Ending Serial Number 4532914 would be

transferred. Note that you may only enter a quantity between 1 and the total available allowances in that serial allowance block.

- 5. Review and Approve Transaction.** On the Transfer Allowances: Step 4 -- Review and Approve Transaction page, review the information you entered previously. If you made an error, use the **Back** button to navigate to the previous page(s) and correct the error(s). Complete all required fields (see Steps B-F below for further information and instruction). Read the Certification Statement. Generate a session PIN, retrieve it from your email, and enter the session PIN. Enter your RGGI COATS password to certify the information. Click the **Submit** button to complete the transaction.

Figure 8-8
Transfer Allowances: Step 4 -- Review and Approve Transaction

Transfer Allowances: Step 4 - Review and Approve Transaction

Allowances to be Transferred From		Allowances to be Transferred To	
Account Number	CT10788	Account Number	CT10722
Account Name	ABC Source Compliance Account	Account Name	New CT Source Compliance Account
State	CT	State	CT
Authorized Account Representative	Reilly, Megan	Authorized Account Representative	Allen, John

Allowances to be Transferred

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Quantity
2008	Standard	NY	1185174-1185177	08/28/2008	4

Total to be Transferred: 4

The CO₂ allowance transfer must include a transaction date, which is the date of the completion of the sale or purchase transaction for the CO₂ allowance(s), if any, and must include the sale or purchase price of the CO₂ allowance that is the subject of a sale or purchase transaction. The "sale or purchase transaction" is the financial transaction associated with the current allowance transfer. Note that the "sale or purchase transaction" may have occurred prior to the date that the allowance transfer is recorded in COATS, and that RGGI COATS will automatically record today's date as the transaction date if you do not report a transaction date.

If the CO₂ allowance transfer is the result of a settlement on a futures exchange, the exchange settlement box below should be checked and the sale or purchase transaction price reported to RGGI COATS should be consistent with the payment instructions to the respective buyer clearing member for the full contract value based upon the expiration day's settlement price in a means and manner prescribed by the clearing service provider.

Click the Submit button to finalize the allowance transfer.

Transaction Date: 02/08/2019

Price per allowance of associated sale or purchase transaction (\$):

Check here if there is no associated sale or purchase transaction:

Check here if an exchange settlement transaction:

Comment:
 Click the "Check here if an exchange settlement transaction" checkbox if the transaction is the result of a settlement on a futures exchange.

Enter Session PIN *

Enter your COATS Password as your electronic signature to indicate that you agree to the terms of the certification statement.

Generate Session PIN

I am authorized to make this submission on behalf of the owners and operators of the CO₂ budget sources or CO₂ budget units for which the submission is made. I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting material statements and information, including the possibility of fines or...

Click the Submit button to complete the transaction.

Use the Back button to navigate back to make a change.

If the allowance transfer is a sale or purchase transaction, then the "Price per allowance of associated sale or purchase transaction (\$)" field must be completed. If it is not, the "Check here if there is no associated sale or purchase transaction" checkbox must be clicked.

- A. Review the information for the Transferring Account, Acquiring Account, and Allowances to be Transferred.** Confirm the information is complete and accurate for the Transferring Account displayed in the **Allowances to be Transferred From** block on the upper left side of the screen. Confirm the information is complete and accurate for the Acquiring Account displayed in the **Allowances to be Transferred To** block on upper right side of the screen. Confirm the correct allowances have been selected in the **Allowances to be Transferred** grid, including the allocation year, type of allowances to be transferred, originating state, serial range of allowances, and total quantity of allowances to be transferred.

Note: The "*sale or purchase transaction*" is the financial transaction associated with the current allowance transfer. It is possible that the "sale or purchase transaction" may have occurred prior to the date that the allowance transfer is recorded in COATS, meaning the "Transaction Date" may be prior to the "Recorded Date."

B. Enter the Transaction Date. If the sale or purchase transaction corresponding to the current recordation of the transfer of allowances occurred on a date previous to the current date, then this field must be completed with the sale or purchase transaction date. Click the calendar icon to the right of the field; a calendar will pop up. Select the date of the Sale or Purchase Transaction by clicking on the hyperlinked date on the calendar. The pop-up calendar will close, and this date will populate in the field in the correct MM/DD/YYYY format. If no date is selected, the system will default to the current system date.

C. Enter Applicable Price Information for the Transaction.

- **Enter "Price per Allowance for Associated Sale or Purchase Transaction."** This field must be completed if the transaction is a sale or purchase transaction, or if a financial transfer occurred between two parties for the transfer of CO₂ allowances.
- **Click "Check here if there is no sale or purchase transaction" checkbox.** This checkbox should only be clicked if the transaction is not a sale or purchase transaction, or if there was no financial transfer between two parties for the transfer of CO₂ allowances, as might occur if allowances were transferred between two accounts owned by the same organization.

D. Click "Check here if an exchange settlement transaction" check box.

This checkbox should only be clicked if the transaction is the result of a settlement on a futures exchange.

E. Enter Comment. Enter a comment regarding the allowance transaction (optional). The comment is available to both the transferring and acquiring account representatives once the transaction is complete.

F. Read the Certification Statement and enter RGGI COATS Password as Electronic Signature on the Transaction Certification Statement. Read the certification statement. Generate a session PIN, retrieve it from your email, and enter the session PIN. Enter your RGGI COATS password as your electronic signature to indicate that you have read, understood, and agreed to the terms of the certification statement. Click the **Submit** button to complete the allowance transfer.

6. Confirmation of Allowance Transaction. Review the information related to the completed transaction. The **Print** button in the top right corner of the page allows you to print the page for your records. Check your email inbox for a system-generated confirmation of the allowance transfer. Click the **Continue** button to proceed to the Allowance Transactions page.

Figure 8-9
Transfer Allowances: Confirmation of Allowance Transfer

[Print](#) [Help](#)

Transfer Allowances: Confirmation of Allowance Transaction

Print this page using the Print button for your records.

Your allowance transfer has been completed. Please print this page for your records. Email confirmation regarding this transaction will be forwarded shortly.

Recorded Date	08/22/2018
Transaction Date	08/22/2018
Transaction ID	rggi163818
Transaction Status	Complete
State	All States
Price per allowance of associated sale or purchase transaction (\$)	
Exchange Settlement Transaction	No

Check your email inbox for a system-generated email confirmation of the transaction.

Allowances Transferred From	
Account Number	CT10788
Account Name	ABC Source Compliance Account
State	CT
Authorized Account Representative	Reilly, Megan

Allowances Transferred To	
Account Number	CT10722
Account Name	New CT Source Compliance Account
State	CT
Authorized Account Representative	Allen, John

Allowances Transferred

Allocation Year	Type	Originating State	Serial Range	Quantity
2009	Standard	NY	511152127 - 511152130	4

Total Allowances Transferred 4

Transaction Status History

Date	Transaction Status
08/22/2018	Complete

[Continue](#) ← **Click on the Continue button to proceed to the Allowance Transactions page.**

- View the Allowance Transactions Page.** View the grid of Allowance Transactions. Click on the Transaction ID link to view the details of the transaction on the Allowance Transaction Confirmation Page. You can navigate directly to this page by clicking on the **Allowance Transaction** menu (see Section 8.1, Step 1).

Figure 8-10
Allowance Transactions Page

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Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

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Allowance Transactions

Click on the Transaction ID link in the grid below to view transaction details. Use the filter criteria to the right to find a specific transaction or list of transactions more easily. Click the Export Data button under the grid to export the grid data to Excel (.csv). Also, note that the grid can be sorted by clicking on the grid column headers (first click is ascending, second click is descending).

Enter filter criteria or scroll the grid to find a specific allowance transaction

Click the Transaction ID link to view detailed transaction information on the Allowance Transaction Confirmation page.

Filter Criteria ▼

State

Transaction ID

Account Number

Account Name

Authorized Account Representative

Transaction Type

Begin Date

End Date

Transaction Status

Filter Clear

Transaction ID	State	Transaction Type	Transferring Account	Transferring Account Primary Representative	Acquiring Account	Acquiring Account Primary Representative	Recorded Date	Transaction Status	Allowances Transferred	Price per allowance of sale or purchase transaction (\$)
rggi11136	CT	Allowance Transfer	CT10788: ABC Source Compliance Account	Reilly, Megan	CT10722: New CT Source Compliance Account	Allen, John	09/23/2008	Complete	4	4.68
rggi11135	CT	Allowance Transfer	CT10766: 819 Source Compliance Account	Reilly, Megan	CT10788: ABC Source Compliance Account	Reilly, Megan	09/03/2008	Complete	3	
rggi11134	CT	Allowance	CT10774: Aiya	Reilly, Megan	CT10788: ABC	Reilly, Megan	09/03/2008	Complete	10	3.44

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Export Data

8. Allowance Transaction Modification Request. If any completed transaction details require a modification (e.g., transaction price, transaction date, exchange settlement transaction, roll back), click on the **Request Modification** button.

**Figure 8-11
Allowance Transaction Confirmation Page**

INDUSTRY USER DELAWARE : My Profile : Contact Us : Home : Log Out
 Last login : 11/07/2016 02:47 PM

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts	Sources	Special Approvals	Offset Projects	Emissions	Compliance	Allowance Transactions	Public Reports	Reference
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Print Help

Allowance Transaction Confirmation

Transaction ID	rggi2663
Transaction Date	11/02/2016
Recorded Date	11/07/2016
Transaction Type	Allowance Transfer
Exchange Settlement Transaction	No

Back Request Modification
← Click on the Request Modification button if any completed transaction details require a modification.

<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: left; padding: 2px;">Transferring Account</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">Account Number</td> <td style="padding: 2px;">GN10288</td> </tr> <tr> <td style="padding: 2px;">Account Name</td> <td style="padding: 2px;">Industry Account A</td> </tr> <tr> <td style="padding: 2px;">State</td> <td style="padding: 2px;">All States</td> </tr> <tr> <td style="padding: 2px;">Authorized Account Representative</td> <td style="padding: 2px;">Delaware, Industry User</td> </tr> </tbody> </table>	Transferring Account		Account Number	GN10288	Account Name	Industry Account A	State	All States	Authorized Account Representative	Delaware, Industry User	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: left; padding: 2px;">Acquiring Account</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">Account Number</td> <td style="padding: 2px;">GN10289</td> </tr> <tr> <td style="padding: 2px;">Account Name</td> <td style="padding: 2px;">Industry Account B</td> </tr> <tr> <td style="padding: 2px;">State</td> <td style="padding: 2px;">All States</td> </tr> <tr> <td style="padding: 2px;">Authorized Account Representative</td> <td style="padding: 2px;">Smith, Jon</td> </tr> </tbody> </table>	Acquiring Account		Account Number	GN10289	Account Name	Industry Account B	State	All States	Authorized Account Representative	Smith, Jon
Transferring Account																					
Account Number	GN10288																				
Account Name	Industry Account A																				
State	All States																				
Authorized Account Representative	Delaware, Industry User																				
Acquiring Account																					
Account Number	GN10289																				
Account Name	Industry Account B																				
State	All States																				
Authorized Account Representative	Smith, Jon																				

- A.** In the table **Modification Request Details**, enter in the transaction detail to be modified or select Request a Rollback to request the transaction to be rolled back. Enter in your **Session PIN** and **Password**, and click **Submit**.

Figure 8-12
Allowance Transaction Modification Request

INDUSTRY USER DELAWARE : My Profile : Contact Us : Home : Log Out
Last login : 11/07/2016 02:47 PM

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

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Accounts | Sources | Special Approvals | Offset Projects | Emissions | Compliance | Allowance Transactions | Public Reports | Reference

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Allowance Transaction Modification Request

Enter proposed modification details below, or request a full transaction rollback. Only complete fields which require a change.

Transaction ID	rggi2663
Transaction Date	11/02/2016
Recorded Date	11/07/2016
Transaction Type	Allowance Transfer
Price per allowance of associated sale or purchase transaction (\$)	
Exchange Settlement Transaction	No

Transferring Account		Acquiring Account	
Account Number	GN10288	Account Number	GN10289
Account Name	Industry Account A	Account Name	Industry Account B
State	All States	State	All States
Authorized Account Representative	Delaware, Industry User	Authorized Account Representative	Smith, Jon

Modification Request Details ← In the table Modification Request Details, enter in the transaction detail to be modified or select Request a Rollback to request the transaction to be rolled back.

New Transaction Date	11/07/2016	<input type="checkbox"/> Request a Rollback
New Price per Allowance (\$)		
Exchange Settlement Transaction		
Reason for Modification or Rollback *	Correcting the Transaction Date	
Enter Session PIN *	<input type="button" value="Generate Session PIN"/>
Password *	

← Enter in your Session PIN and Password, and click Submit.

- B.** After clicking Submit, you will return to the **Allowance Transaction Confirmation** page. Note that a counterparty representative will need to review and approve the request before it can be completed by the COATS System Administrator.

**Figure 8-13
Allowance Transaction Modification Request -- Submitted**

INDUSTRY USER DELAWARE : My Profile : Contact Us : Home : Log Out
 Last login : 11/07/2016 02:47 PM

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts
Sources
Special Approvals
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Emissions
Compliance
Allowance Transactions
Public Reports
Reference
Print Help

Allowance Transaction Confirmation

The transaction modification request has been initiated. A counterparty representative will need to review and approve the request before it can be completed.

Transaction ID	rggi2663
Transaction Date	11/02/2016
Recorded Date	11/07/2016
Transaction Type	Allowance Transfer
Exchange Settlement Transaction	No

Back
Request Modification

Transferring Account

Account Number	GN10288
Account Name	Industry Account A
State	All States
Authorized Account Representative	Delaware, Industry User

Acquiring Account

Account Number	GN10289
Account Name	Industry Account B
State	All States
Authorized Account Representative	Smith, Jon

Allowances Transferred

Allocation Year	Type	Originating State	Serial Range	Quantity
2014	Standard	DE	255281011 - 255281025	15
2014	Standard	ME	1000886611 - 1000886615	5

Total Allowances Transferred: 20

Transaction Status History

Date	Transaction Status
11/07/2016	Complete

Allowance Transaction Modification Requests

Modification ID	Modification Type	Requested By	Approved By	Modification Status
rggi2663-1	Modification	Delaware, Industry User Industry Account A Transferring AAR 11/07/2016		Proposed

9. Transaction Conversation. You can log a comment on a transaction to which you have access as an AAR, AAAR, or Agent. The RGGI Market Monitor and COATS System Administrator may also log a comment on a transaction.

**Figure 8-14
Transaction Conversation -- Comment Logged**

INDUSTRY USER DELAWARE : My Profile : Contact Us : Home : Log Out
 Last login : 11/07/2016 02:47 PM

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

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Allowance Transaction Confirmation

Your transaction comment has been logged.

Transaction ID	rggi2663
Transaction Date	11/02/2016
Recorded Date	11/07/2016
Transaction Type	Allowance Transfer
Exchange Settlement Transaction	No

Back
Request Modification

Transferring Account

Account Number	GN10288
Account Name	Industry Account A
State	All States
Authorized Account Representative	Delaware, Industry User

Acquiring Account

Account Number	GN10289
Account Name	Industry Account B
State	All States
Authorized Account Representative	Smith, Jon

Allowances Transferred

Allocation Year	Type	Originating State	Serial Range	Quantity
2014	Standard	DE	255281011 - 255281025	15
2014	Standard	ME	1000886611 - 1000886615	5

Total Allowances Transferred: 20

Transaction Status History

Date	Transaction Status
11/07/2016	Complete

Allowance Transaction Modification Requests

Modification ID	Modification Type	Requested By	Approved By	Modification Status
rggi2663-1	Modification	Delaware, Industry User Industry Account A Transferring AAR 11/07/2016		Proposed

Transaction Conversation

Delaware, Industry User:
Transferring AAR
11/07/2016 03:21 PM

Please review the modified transaction date.

Delete

Add Comment:

Save

You can log a comment on a transaction to which you have access as an AAR, AAAR, or Agent.

8.3 Steps to Completing a Compliance Deduction

The **Compliance Deduction transaction** will be available from January 31 until the allowance transfer deadline on 11:59 PM Eastern Time on March 1 following the relevant control period for AARs, AAARs, or electronic submission agents to surrender allowances from compliance accounts. For more information on compliance, please see the RGGI, Inc. website: <http://www.rggi.org/market/tracking/compliance>.

1. **Click on Compliance Deduction Sub-menu.** After you log in to the system, move your mouse pointer over the **Allowance Transactions** menu link in the top navigation bar. This will display the **Compliance Deduction** sub-menu link. Click on the **Compliance Deduction** link.

Figure 8-15
Compliance Deduction Sub-menu



2. **Step 1 -- Select the Transferring Account.** Use the filter to locate a specific compliance account, or scroll through the list. Only compliance accounts to which the user has a relationship as an AAR, AAAR or electronic submission agent are available for selection. Select the Account from which CO₂ allowances will be transferred using the radio button. The **Allowance Holdings** grid under the Accounts grid displays detailed information about the allowances held in the account selected above, including the Allowance Type, Originating State, Serial Range, and the Quantity of allowances. Then click the **Next** button.

Figure 8-16 Compliance Deduction: Step 1 -- Select Surrendering Account Page

Surrender Allowances: Step 1 - Select Surrendering Account

Surrendering allowances permanently withdraws COATS allowances from compliance accounts for the purpose of compliance.

Use the filter criteria to find a specific transferring account.

Use the radio button to select a transferring account and view the Allowance Holdings available in that account.

Filter Criteria ▾
Representative Name <input type="text"/>
Account Number <input type="text"/>
Account Name <input type="text"/>
<input type="button" value="Filter"/> <input type="button" value="Clear"/>

Account Number	Account Name	Authorized Account Representative	State	Allowances can be Transferred
<input checked="" type="radio"/> VT10236	DEMO 1 Compliance Account	AAR, Vermont	VT	Yes
<input type="radio"/> VT10257	DEMO 2 Compliance Account	AAR, Vermont	VT	Yes
<input type="radio"/> VT80967	October Compliance Account	AAR, Vermont	VT	Yes

1 - 3 of 3

Allowance Holdings

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Frozen	Quantity
2009	Standard	New Jersey	359855107 - 359856106	09/18/2017	No	1000
2010	Standard	New Jersey	382747913 - 382747913	09/18/2017	No	1
2011	Standard	Vermont	607239225 - 607246985	04/28/2017	No	7761

Total Allowances Available: 8763

View the Allowance Holdings grid for details on the allowances held in the account, including the Total Allowances Available in the lower right hand corner.

- Step 2 -- Select Surrender Account.** Use the filter to locate a specific surrender account, although only the Surrender Account for the same state as the Compliance Account selected in Step 1 will display. Select the Surrender Account which will receive the transferred CO₂ allowances using the radio button in the grid. Then click the **Next** button.

Figure 8-17 Compliance Deduction: Step 2 -- Select Surrender Account

Surrender Allowances: Step 2 - Select Surrender Account

[Help](#)

Filter Criteria ▼	
Authorized Account Representative	<input type="text"/>
Account Number	<input type="text"/>
Account Name	<input type="text"/>
Filter	Clear

Allowances to be Surrendered From

Account Number	VT10236
Account Name	DEMO 1 Compliance Account
State	VT

	Account Number	Account Name	Authorized Account Representative	State	Allowances can be Acquired
<input checked="" type="radio"/>	VT80982	Control Period 4 Surrender Account		VT	Yes
<input type="radio"/>	VT10256	Control Period 2 Surrender Account		VT	No
<input type="radio"/>	VT10889	Control Period 1 Surrender Account		VT	No
<input type="radio"/>	VT10962	Control Period 3 Surrender Account		VT	No

1 - 4 of 4

[Back](#) [Next](#)

Use the radio button to select the Surrender Account. Only the Surrender Accounts associated with the state in which the Compliance Account Selected in Step 1 is located will appear in the grid for selection.

- Step 3a -- Select Allowances to Surrender – Automatic Selection Method.** Before proceeding with selecting which allowances to transfer, you must choose a selection method. Choosing Automatic will load a grid below the Available Allowances grid. Then in this bottom-most grid, enter in the Amount to Transfer, select the Allocation Year(s) if applicable, and choose whether to begin the amount transferred with the last or the first allowances acquired. There is a Calculate button below the grid, which will refresh the page with a new Allowances to be Surrendered grid, showing the selections made in the previous grid.

Figure 8-18 Compliance Deduction: Step 3a -- Select Allowances to Surrender – Automatic Selection Method

[Help](#)

Surrender Allowances: Step 3 - Select Allowances to Surrender

Allowances to be Surrendered From

Account Number VT10236
 Account Name DEMO 1 Compliance Account
 State VT

Allowances to be Surrendered To

Account Number VT80982
 Account Name Control Period 4 Surrender Account
 State VT

Choose Selection Method: Automatic ← Automatic Selection

Available Allowances

Allocation Year	Allowance Type	Originating State	Serial Range	Allowance(s)	Frozen	Date Acquired
2009	Standard	NJ	359855107 - 359856106	1000	No	09/18/2017
2010	Standard	NJ	382747913 - 382747913	1	No	09/18/2017
2011	Standard	VT	607239225 - 607246985	7761	No	04/28/2017
2014	Standard	ME	613248376 - 613248376	1	No	09/18/2017

Amount to Surrender ← Enter the quantity of allowances.

Select Allocation Year(s) * 2009 ← Select the Allocation Year of the allowances COATS will select from the Available Allowances grid.

Deduction Method Begin with last acquired Begin with first acquired ← Choose the deduction method.

Calculate After entering the above criteria and clicking Calculate, COATS will automatically select the allowance serial numbers to transfer.

Allowances to be Surrendered

Originating State	Allowance Year	Allowance Type	Serial Range	Date Acquired	Allowance(s)
NJ	2009	Standard	359856007 - 359856106	09/18/2017	100

Back Next

4. Step 3b -- Select Allowances to Surrender – Serial Block Selection Method. As an alternative to the automatic selection method described above as Step 3a, you may select allowances to transfer by selecting from a specific serial block range.

Figure 8-19 Compliance Deduction: Step 3b -- Select Allowances to Surrender – Serial Block Selection Method

[Help](#)

Surrender Allowances: Step 3 - Select Allowances to Surrender

Allowances to be Surrendered From

Account Number	VT10236
Account Name	DEMO 1 Compliance Account
State	VT

Allowances to be Surrendered To

Account Number	VT80982
Account Name	Control Period 4 Surrender Account
State	VT

Choose Selection Method: Serial Block ← Serial Block Selection

Use the Select All checkbox if all allowances held in the Transferring Account will be transferred. Select All

Allocation Year	Type	Originating State	Serial Range	Frozen	Total Allowances Available	Quantity
<input checked="" type="checkbox"/> 2009	Standard	NJ	359855107 - 359856106	No	1000	<input type="text" value="100"/>
<input type="checkbox"/> 2010	Standard	NJ	382747913 - 382747913	No	1	<input type="text" value="0"/>
<input type="checkbox"/> 2011	Standard	VT	607239225 - 607246985	No	7761	<input type="text" value="0"/>
<input type="checkbox"/> 2014	Standard	ME	613248376 - 613248376	No	1	<input type="text" value="0"/>

Back Next Check the serial block of allowances you would like to transfer from the Transferring Account to the Acquiring Account.

Total Allowances to be Surrendered 100
Enter the Quantity of each checked serial block to be transferred.

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- A. Select the Serial Allowance Block.** Use the checkboxes in the **Available Allowances** grid to select which allowance blocks from the Transferring Account will be transferred to the Acquiring Account. If all allowances held in the Transferring Account will be transferred, click the **Select All** checkbox above the **Available Allowances** grid. Otherwise, use the checkboxes in the grid to select specific rows of allowance blocks to be transferred.

- B. Enter the Allowance Quantity.** Once the allowance block(s) to be transferred has been selected using the **Available Allowances** grid checkboxes or the **Select All** checkbox, use the Quantity column to enter in the number of allowances to be transferred. The allowances will be calculated from the beginning of the selected serial allowance block. For example, if the allowance block selected contains allowances from Beginning Serial Number 4532905 to Ending Serial Number 5667048 and you wish to transfer ten allowances, you would enter “10” into the Quantity column for that serial allowance block row, and ten allowances with Beginning Serial Number 4532905 to Ending Serial Number 4532914 would be transferred. Note that you may only enter a quantity between 1 and the total available allowances in that serial allowance block.

- 5. Review and Approve Transaction.** On the Transfer Allowances: Step 4 -- Review and Approve Transaction page, review the information you entered previously. If you made an error, use the **Back** button to navigate to the previous page(s) and correct the error(s). Complete all required fields (see Steps B-D below for further information and

instruction). Select a Control Period. Read the Certification Statement. Generate a session PIN, retrieve it from your email, and enter the session PIN. Enter your RGGI COATS password to certify the information. Click the **Submit** button to complete the transaction.

Figure 8-20
Compliance Deduction: Step 4 -- Review and Approve Transaction

Surrender Allowances: Step 4 - Review and Approve Transaction

Allowances to be Surrendered From

Account Number: VT10236
 Account Name: DEMO 1 Compliance Account
 State: VT
 Authorized Account Representative: AAR, Vermont

Allowances to be Surrendered To

Account Number: VT80982
 Account Name: Control Period 4 Surrender Account
 State: VT

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Quantity
2009	Standard	NJ	359855107 - 359855206	09/18/2017	100

Total Allowances to be Surrendered 100

Please review the transaction. Click the Submit button to finalize the surrender.

Control Period * ← Select the appropriate control period for which you would like the allowance transfer to be credited.

Comment

Enter Session PIN * Generate Session PIN

I am authorized to make this submission on behalf of the owners and operators of the CO₂ budget sources or CO₂ budget units for which the submission is made. I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or

Password * ← Enter COATS password.

Back Submit

A. Review the information for the Transferring Account, Acquiring Account, and Allowances to be Surrendered. Confirm the information is complete and accurate for the Transferring Account displayed in the **Allowances to be Surrendered From** block on the upper left side of the screen. Confirm the information is complete and accurate for the Acquiring Account displayed in the **Allowances to be Surrendered To** block on upper right side of the screen. Confirm the correct allowances have been selected in the **Allowances to be Surrendered** grid, including the allocation year, type of allowances to be transferred, originating state, serial range of allowances, and total quantity of allowances to be transferred.

B. Select Control Period. Select the appropriate control period for which you would like the allowance transfer to be credited. Control periods will be limited to the control periods associated with the Surrender Account selected on Step 2. In most cases, while up to 3 control period may display, only one control period will be available to receive allowances at a time.

- C. Enter Comment.** Enter a comment regarding the allowance transaction (optional). The comment is available to both the transferring and acquiring account representatives once the transaction is complete.
- D. Read the Certification Statement and enter RGGI COATS Password as Electronic Signature on the Transaction Certification Statement.** Read the certification statement. Generate a session PIN, retrieve it from your email, and enter the session PIN. Enter your RGGI COATS password as your electronic signature to indicate that you have read, understood, and agreed to the terms of the certification statement. Click the **Submit** button to complete the allowance transfer.
- 6. Confirmation of Allowance Transaction.** Review the information related to the completed transaction. The **Print** button in the top right corner of the page allows you to print the page for your records. Check your email inbox for a system-generated confirmation of the allowance transfer. Click the **Continue** button to proceed to the Allowance Transactions page.

**Figure 8-21
Compliance Deduction: Confirmation of Allowance Transfer**

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts | Sources | Special Approvals | Offset Projects | Emissions | Compliance | Allowance Transactions | Public Reports | Reference

[Print](#) [Help](#)

Surrender Allowances: Confirmation of Surrender Transaction

Your allowance surrender has been completed. Please print this page for your records. Email confirmation regarding this transaction will be forwarded shortly.

Date of Allowance Surrender	08/22/2018
Transaction Date	08/22/2018
Transaction ID	rggi163819
Transaction Status	Complete
State	VT

Check your email for a system-generated email confirmation of the transaction.

Print this page for your records by using the Print button.

Allowances to be Surrendered From		Allowances to be Surrendered To	
Account Number	VT10236	Account Number	VT80982
Account Name	DEMO 1 Compliance Account	Account Name	Control Period 4 Surrender Account
State	VT	State	VT
Authorized Account Representative	AAR, Vermont		

Allowances Transferred			
Allowance Year	Allowance Type	Serial Range	Allowance(s)
2009	Standard	359855107 - 359855206	100

Total Allowances to be Surrendered 100

Transaction Status History	
Date	Transaction Status
08/22/2018	Complete

[Continue](#) ← **Click the Continue button to proceed to the Allowance Transactions page.**

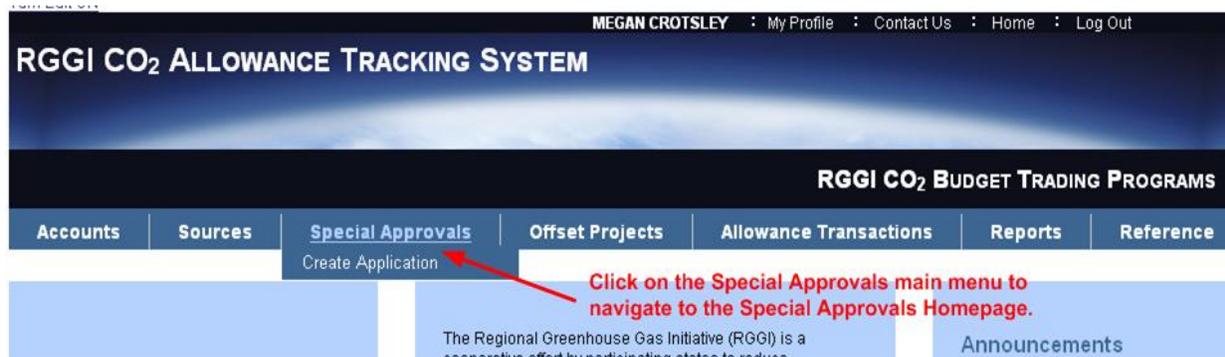

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9.0 Special Approvals

9.1 Special Approvals Homepage

- 1. Click the Special Approvals Menu.** Click on the **Special Approvals** menu link in the top navigation bar. This will bring you to the Special Approvals Homepage.

Figure 9-1
Special Approvals Menu



- 2. View the Special Approvals Homepage.** The Special Approvals Homepage displays applications that you are associated with. Use the filter to locate a specific application, or scroll through the list. Click on the Application ID to access the Application Details page, which lists the details of the application.

Note: You are associated with an application by being the Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or electronic submission agent (Agent) for the registered account for the application.

In the case of Voluntary Renewable Energy (VRE) applications or Limited Industrial Exemption (LIE) applications, you are associated with an application by being the user who created it in RGGI COATS or by being added as a Contact to the application on the Application Details page.

**Figure 9-2
Special Approvals Homepage**

MEGAN CROTSLEY : My Profile : Contact Us : Home : Log Out

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources **Special Approvals** Offset Projects Allowance Transactions Reports Reference

Print Help

Special Approvals

Click on the Application ID link in the grid below to view application details. Use the filter criteria to the right to find a specific application or list of applications more easily. Click the Export Data button under the grid to export the grid data to Excel (.csv). Also, note that the grid can be sorted by clicking on the grid column headers (first click is ascending, second click is descending).

Use the filter criteria to find a specific application.

Filter Criteria

Application ID

Application Name

Application Type

Reviewing State

Application Submission Date

Filter Clear

Application ID ▲	Application Name	Application Type	Reviewing State	Application Submission Date	Last Action Taken	Quantity of Allowances Transacted
CT-ERA-1103	Northern Conn ERA	Early Reduction Allowances (ERA)	CT		Allocation Instruction	175

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Click on the Application ID link to navigate to the Application Details page.

Click the Export Data button to download the grid as a .csv file to your local drive.

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- 3. View an Application Details Page.** The Application Details page provides the user the ability to review and/or modify the details of an existing application. Click on the Application ID link to view the Application Details page.

**Figure 9-3
Application Details Page**

MEGAN CROTSLEY : My Profile : Contact Us : Home : Log Out

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts | Sources | **Special Approvals** | Offset Projects | Allowance Transactions | Reports | Reference

Print | Help

Application Detail

Application ID: CT-ERA-1103

Application Name:

Application Type: Early Reduction Allowances (ERA)

Reviewing State: CT

Allocation Year: 2009

Allowance Type: Early Reduction

Application Submission Date:

Back Save

Application Actions | **Application Documents** | Registered Account | Contacts | Application Transactions

Application Actions

	Action Date	Action Type	Quantity of Allowances	Allowance Type
<input type="radio"/>	03/02/2009	Allowances Allocated	175	Early Reduction
<input type="radio"/>	03/02/2009	Allowances Originated	175	Early Reduction
<input type="radio"/>	03/02/2009	Allocation Instruction	175	Early Reduction
<input type="radio"/>	03/02/2009	Origination Instruction	175	Early Reduction
<input type="radio"/>	03/02/2009	Approved	175	Early Reduction

View and/or modify the details for an application in the top detail block or under a specific tab.

9.2 Steps to Create a Special Approvals Application

1. **Click on the Create Application Sub-Menu.** After you log in to the system, move your mouse pointer over the **Special Approvals** menu link in the top navigation bar. This will display the **Create Application** sub-menu link. Click on the **Create Application** link.

Figure 9-4
Create Application Sub-Menu



2. **Complete the Create Application Page to add a Special Application to RGGI COATS.** After clicking on the Create Application sub-menu, you will be navigated to the Create Application Page.

Figure 9-5
Create Application Page



The Special Approvals module supports state-specific CO₂ allowance application submittals. Each RGGI participating state has established, or will establish, an application process related to the application types for that state supported in the COATS Special Approvals module. Application submittals to a participating state through the COATS Special Approvals module must conform with the application process established by that state and use any application forms specified by the state. Some state application processes may require actions or submissions directly to the state that are external to COATS. Please familiarize yourself with state-specific requirements before making a submission in the COATS Special Approvals module, and contact your respective state representative if you have any questions about these requirements. Note that only permissible combinations of Reviewing State and Application Type will be accepted by COATS upon clicking the Save button below.

Application Name *	<input type="text"/>
Application Type *	<input type="text" value=""/>
Renewable Energy Project Type	<input type="text" value=""/>
Reviewing State *	<input type="text" value=""/>
Account	<input type="text" value=""/>
Select Organization	<input type="button" value="Select"/> <input type="button" value="Clear"/>
Allocation Year *	<input type="text" value=""/>
<input type="button" value="Save"/>	

Complete all required fields (as indicated by a red asterisk) for the application.

Click Save when complete. Upon clicking Save, the application will be created, and you will be navigated to the Application Details page for the newly created application.

- A. **Enter a Unique Application Name.** Type the name for your application into the Application Name field. This field is required, as it is indicated by a red asterisk (*),

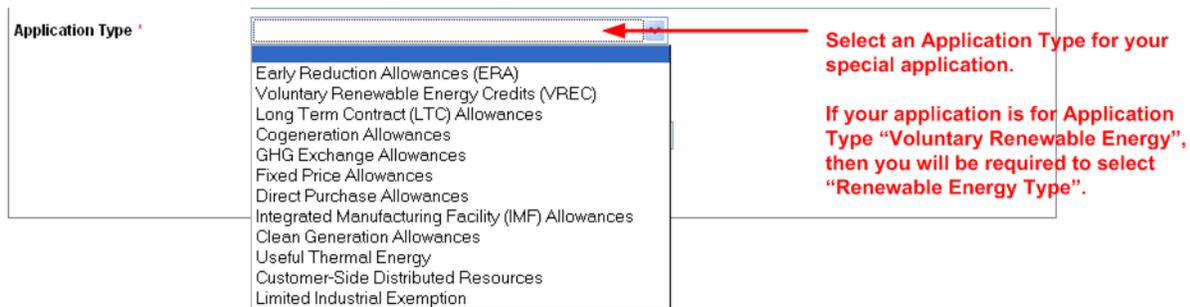
and you will not be allowed to save your new application if this field has not been completed.

Figure 9-6
Create New Application - Application Name



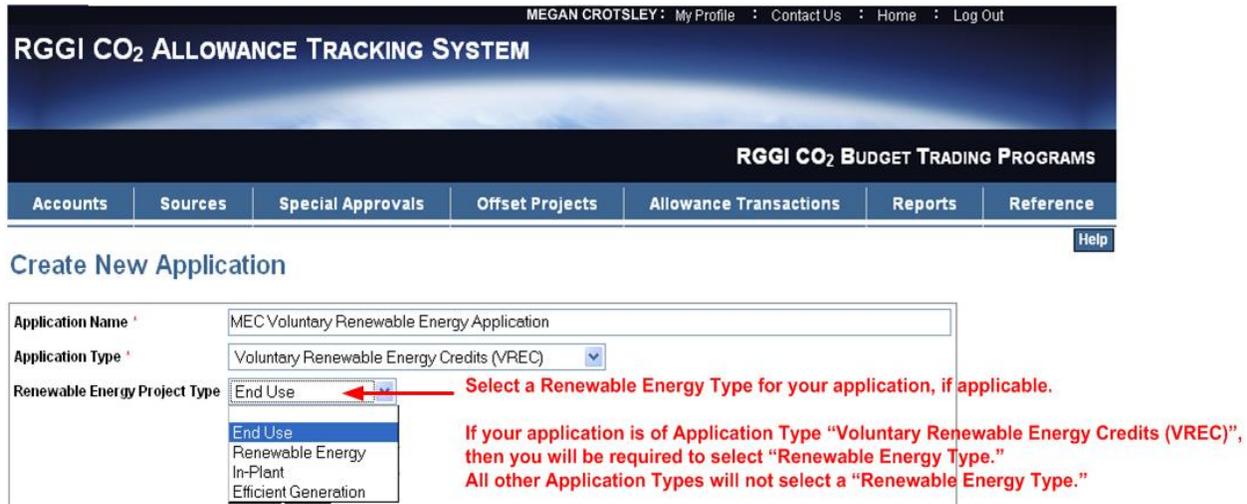
B. Select an Application Type. Select the type of application from the drop-down menu.

Figure 9-7
Create New Application – Application Type



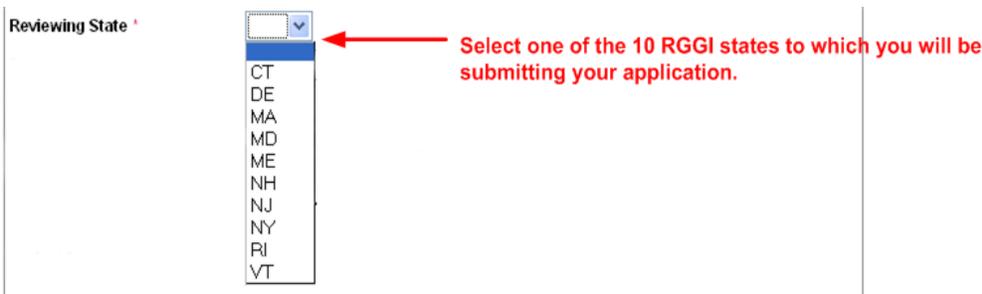
- **If Applicable, Select a Renewable Energy Project Type.** If you have selected an Application Type of "Voluntary Renewable Energy Credits (VREC)," then you will be required to select a Renewable Energy Type from the drop-down menu.

Figure 9-8
Create New Application – Renewable Energy Type (if applicable)



C. Select a Reviewing State. Select the state that will review and make a determination regarding the award of allowances for your application.

Figure 9-9
Create New Application – Reviewing State



D. Select an Account. Select the RGGI COATS account that will receive allowances, if the awarding of allowances for the application is approved.

Note: All RGGI COATS accounts for which you act as an Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or electronic submission agent (Agent) will display in the Account drop-down menu.

However, general accounts can only be selected if for Massachusetts' GHG Exchange Application. (Compliance accounts may also be selected for Massachusetts' GHG Exchange Application.)

In addition, Voluntary Renewable Energy Credits (VREC) and Limited Industrial Exemption (LIE) Applications will not select an account; they will instead select an Organization to associate with their application.

Figure 9-10
Create New Application – Select Account

Account

Select the COATS account that will receive allowances, if the awarding of allowances for the application is approved.

Note: General Accounts can only be selected if for MA's GHG Exchange Application. VREC and LIE Applications will not select an Account, instead they will select an Organization.

E. Select an Organization. Select an organization for the application. Click the **Select** button. You will be navigated to the Select Organization page.

Note: Only Voluntary Renewable Energy Credit (VREC) and Limited Industrial Exemption (LIE) Applications will require the selection of an organization.

Figure 9-11
Create New Application – Select an Organization

Select Organization

Click the **Select** button to choose a sponsor organization to associate with the application.

Note: For VREC and LIE Applications, selecting an organization will be required.

- On the Select Organization page, use the radio button to select an organization that already exists in RGGI COATS. Then click the **Select** button.

Figure 9-12 Select Organization Page



Select Organization

Use the filter criteria to ease your search for a specific organization.

Use the filter criteria to the right to find a specific organization or list of organizations more easily. Once you have located an organization in the grid, fill the radio button to select it. Click the **Select** button.

If the organization you would like to select is not listed in the grid, click the **Add** button below the grid.

A dropdown menu labeled "Filter Criteria" with a downward arrow. Below it is a text input field labeled "Organization". At the bottom of the dropdown are two buttons: "Filter" and "Clear". A red arrow points from the text above to the "Organization" input field.

Select an organization using the radio button.

Select Organization

Sponsor Organization	
<input type="radio"/>	ABB Alstom Power
<input type="radio"/>	Adam Diamant
<input type="radio"/>	Adirondack Council Inc.
<input type="radio"/>	AEE 2, LLC
<input type="radio"/>	Aeolus Fund II Master Fund, Ltd.
<input type="radio"/>	AER NY-GEN, LLC

< 1 - 100 of 527 >

Back Add Select

Click the Select button to select an organization from the grid.

If the organization you would like to associate with your application is not contained in the grid, you may add it by clicking the Add button.

- If you cannot find the organization that you would like to associate with your application in the grid on the Select Organization page, then you may add it to RGGI COATS. Click the **Add** button below the grid. You will be navigated to the Add Organization page.

Figure 9-13
Add Organization Page



Add New Organization

Enter the organization and the address details below. Fields marked by * are required.

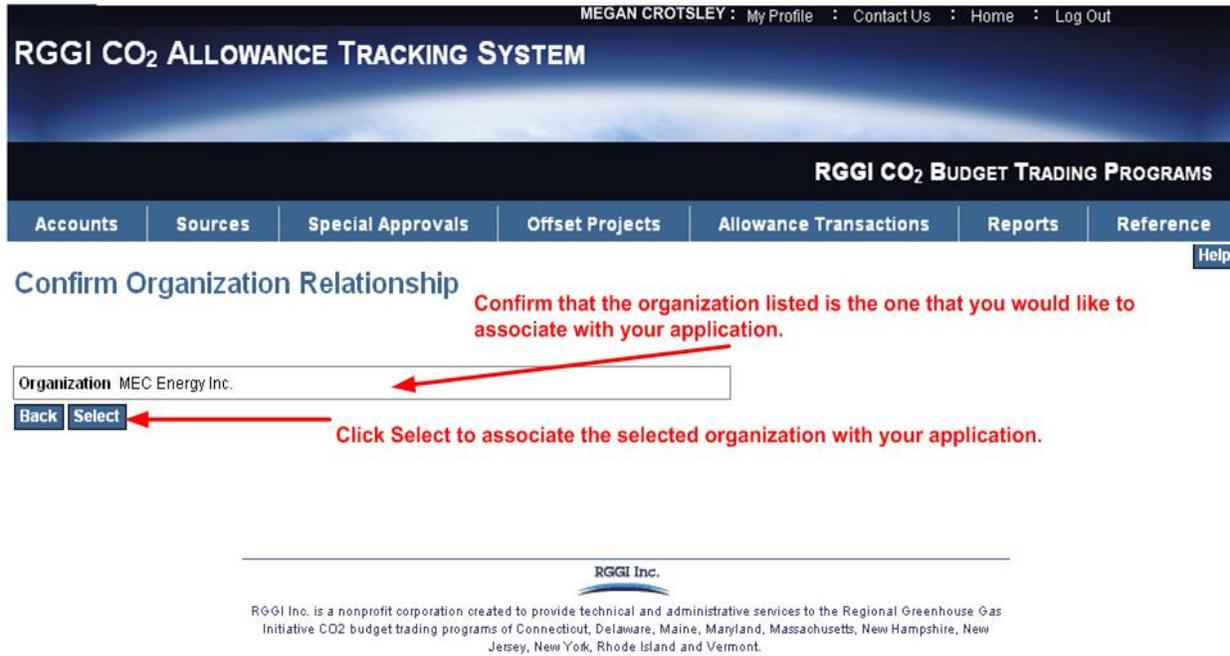
The form is titled "Add New Organization". It contains the following fields and options:

- Name ***: Text input field containing "MER Organization". A red arrow points to this field with the text "Enter the name of the organization and select an Organization Type."
- Organization Type**: Drop-down menu with "Company" selected. A list of options is shown: Academic, Charitable Trust, Commercial/Industrial, Company (highlighted), State, Incorporated Society, Individual, Non-profit, Partnership, and Other.
- Physical Address**: A section containing several optional fields:
 - Address**: Text input field.
 - City**: Text input field.
 - Country**: Drop-down menu.
 - State/Province**: Drop-down menu.
 - Postal Code**: Text input field.
 - Address Type**: Drop-down menu.A red arrow points to the "Address" field with the text "Enter an address for the organization (optional)."

At the bottom left of the form are two buttons: "Back" and "Save". A red arrow points to the "Save" button with the text "Click Save when complete to add the organization to the system."

- On the Add Organization Page, enter the name of the organization in the relevant field and select the Organization Type from the drop-down menu. You may also optionally add the address for the organization.
- Once you have selected or added an organization for your application, you will review and confirm the organization on the Confirm Organization Relationship page. Review the organization listed on the page and click the **Confirm** button to associate the organization with your application.

Figure 9-14
Confirm Organization Relationship Page



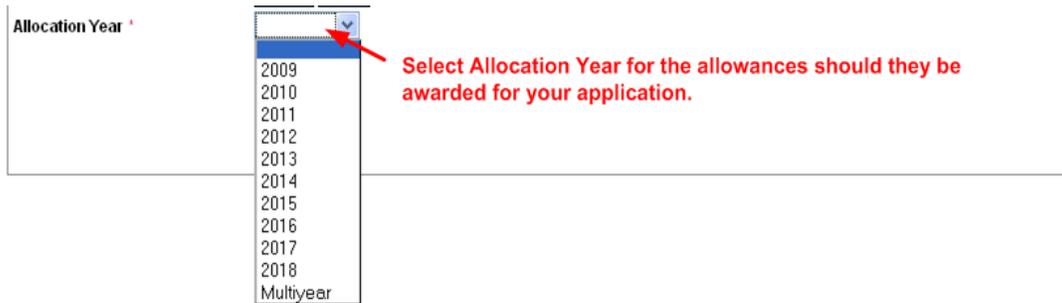
- On the Create Application page, you may delete the selected organization and select another by clicking the **Clear** button adjacent to the Select Organization field.

Figure 9-15
Create New Application – Clear Organization



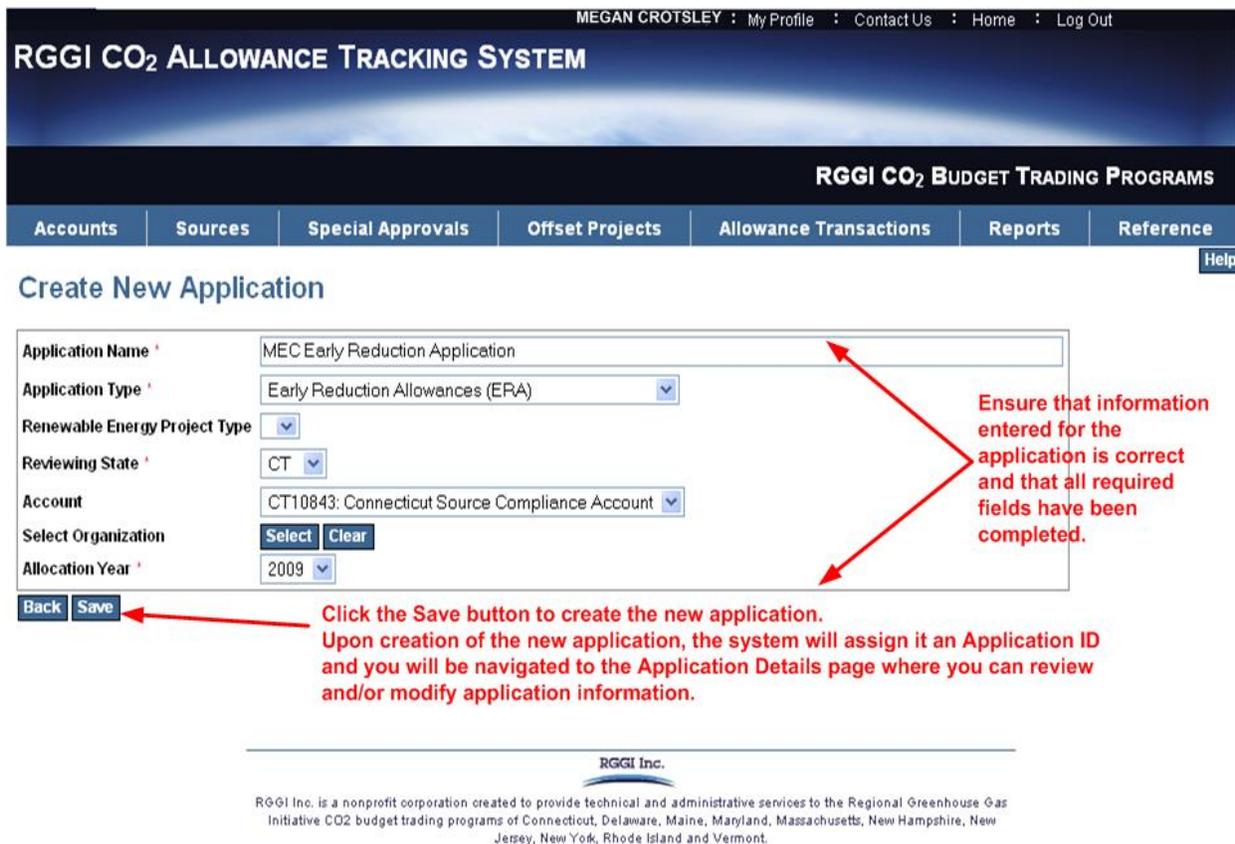
- F. Select an Allocation Year.** Select the allocation year for the allowances should they be awarded for your application.

Figure 9-16
Create Application – Select Allocation Year



G. Click Save to Create a New Application.

Figure 9-17
Create New Application – Completed Page



H. View the Application page. Upon clicking the **Save** button, you will be navigated to the Application Details page. When the new offset project is created, the system will assign it an Application ID.

Figure 9-18
Application Details Page

MEGAN CROTSLEY : My Profile : Contact Us : Home : Log Out

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts | Sources | Special Approvals | Offset Projects | Allowance Transactions | Reports | Reference

Print Help

Application Detail

Project data saved.

Application ID: CT-ERA-1160 **← System-generated Application ID**

Application Name: MEC Early Reduction Application

Application Type: Early Reduction Allowances (ERA)

Reviewing State: CT

Allocation Year: 2009

Allowance Type: Early Reduction

Application Submission Date:

Back Save

← Use the tabs to review and/or modify details for the application.

Application Actions | **Application Documents** | Registered Account | Contacts | Application Transactions

Application Documents

Document Name	Document Type	Status	Date Added
No documents are associated with the current application.			

← Click the Add button to add an Application document or other additional documentation for your application.

Add

9.3 View Application Contacts

- 1. View the Application Contacts tab.** From the Application Details page, click on the Contacts tab in the middle of the page. Under the Contacts tab, a grid listing contacts that have been associated with the application will display.

Figure 9-19
Application Details Page, Contacts Tab

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts | Sources | Special Approvals | Offset Projects | Allowance Transactions | Reports | Reference

Print Help

Application Detail

Application ID CT-ERA-1160
Application Name MEC Early Reduction Application
Application Type Early Reduction Allowances (ERA)
Reviewing State CT
Allocation Year 2009
Allowance Type Early Reduction
Application Submission Date 03/03/2009

Back Save

Application Actions | Application Documents | Registered Account | **Contacts** | Application Transactions

Contacts

Name	Contact Type	Begin Date
Crotslev, Megan	Project Contact	03/03/2009
Allan, Zachary	Project Contact	03/03/2009

Show History

- 2. Show Historical or Current Contact Relationships.** To view historical contact relationships, navigate to the Contacts tab on the Application Details page.

Figure 9-20
Application Details Page, Contacts Tab

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

[Accounts](#) | [Sources](#) | [Special Approvals](#) | [Offset Projects](#) | [Allowance Transactions](#) | [Reports](#) | [Reference](#)

[Print](#) [Help](#)

Application Detail

Application ID	CT-ERA-1160
Application Name	MEC Early Reduction Application
Application Type	Early Reduction Allowances (ERA)
Reviewing State	CT
Allocation Year	2009
Allowance Type	Early Reduction
Application Submission Date	03/03/2009

[Back](#) [Save](#)

[Application Actions](#) | [Application Documents](#) | [Registered Account](#) | [Contacts](#) | [Application Transactions](#)

Contacts

Name	Contact Type	Begin Date
Crotsley, Megan	Project Contact	03/03/2009
Allan, Zachary	Project Contact	03/03/2009

[Show History](#) ← **Click the Show History button to view previous contact relationships.**

- Click the **Show History** button. The grid under the tab will reload to display all historical contact relationships along with the relationship begin and end dates.

**Figure 9-21
Contacts Tab, Show History**

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

Print Help

Application Detail

Application ID: CT-ERA-1160
 Application Name: MEC Early Reduction Application
 Application Type: Early Reduction Allowances (ERA)
 Reviewing State: CT
 Allocation Year: 2009
 Allowance Type: Early Reduction
 Application Submission Date: 03/03/2009

Back Save

Application Actions Application Documents Registered Account **Contacts** Application Transactions

Contacts

Name	Contact Type	Begin Date	End Date
Crotsley, Megan	Project Contact	03/03/2009	
Allan, Zachary	Project Contact	03/03/2009	
Singletary, Cara	Project Contact	03/03/2009	03/03/2009

Historical contacts display in the grid. The End Date column on the grid displays.

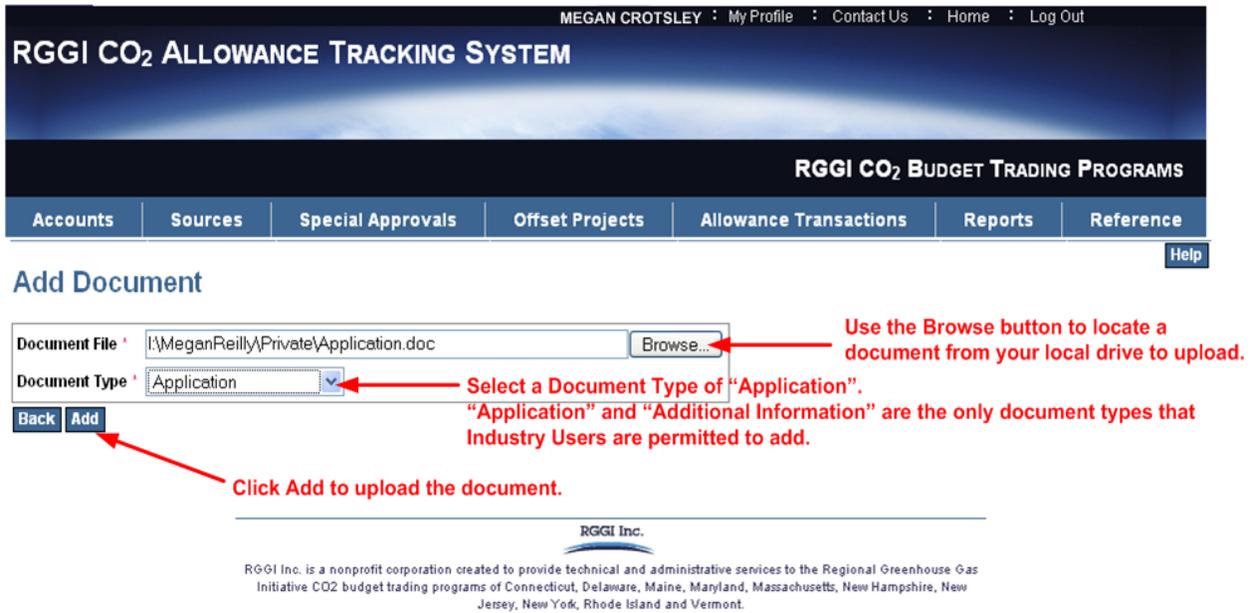
Show Current Responsibilities Click Show Current Responsibilities to hide the End Date column and only display active contact relationships.

9.4 Adding a Special Approvals Application and/or Other Additional Application Documentation (if applicable)

An industry user will only be able to add an Application document or Additional Information document for their application. State staff users will be able to add an Application or Additional Information document on behalf of an applicant, and they will be able to add an Approval or Denial document after they have issued a determination for the application.

- 1. Add an Application Document.** From the Application Details page, click the Application Documents tab, the second tab in the middle of the page. Then click **Add** button under the Application Documents grid. See Figure 9-18 above. The Add Document page will load.

Figure 9-22
Add Application Document Page



- A. Use the **Browse** button to locate a document from your local drive to upload.
- B. Select a Document Type of Application from the drop-down menu field. Application and Additional Information are the only Application Document Types that Industry Users are permitted to add.
- C. Click the **Add** button to add and upload the document to the application.
- D. Upon clicking the **Add** button, you will be navigated back to the Application Details page. The newly added application document will display in the Application Documents grid.

Figure 9-23
Application Details Page with Application Document (Application)

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

Print Help

Application Detail

Application ID: CT-ERA-1160
Application Name: MEC Early Reduction Application
Application Type: Early Reduction Allowances (ERA)
Reviewing State: CT
Allocation Year: 2009
Allowance Type: Early Reduction
Application Submission Date: [Empty]

Back Save

The newly added Application document will display in the grid.
Click the hyperlinked Document Name to download and view the document.

Application Actions Application Documents Registered Account Contacts Application Transactions

Application Documents

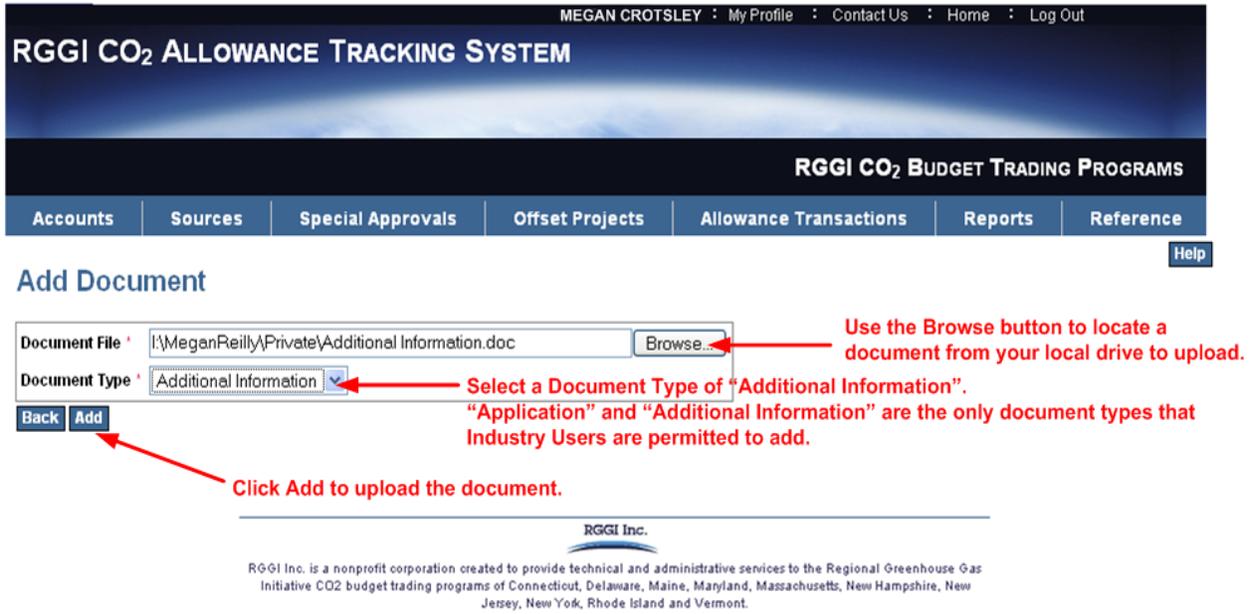
	Document Name	Document Type	Status	Date Added
<input type="radio"/>	Application.doc	Application	Pending	03/03/2009

Add ← Click Add to upload another document (e.g. Additional Information) to the application.

- 2. Add an Additional Information Document.** From the Application Details page, click the Application Documents tab, the second tab in the middle of the page. Then click **Add** button under the Application Documents grid. See Figure 9-23 above. The Add Document page will load.

Note: Attaching an Additional Information document will not be required. However, state staff may request additional application documentation via offline communication. Selecting a Document Type of Additional Information in RGGI COATS will facilitate the transmittal of this documentation to the state staff user who is reviewing your application.

Figure 9-24
Add Additional Information Document Page



- A. Use the **Browse** button to locate a document from your local drive to upload.
- B. Select a Document Type of Additional Information from the drop-down menu field. Application and Additional Information are the only Application Document Types that Industry Users are permitted to add.
- C. Click the **Add** button to add and upload the document to the application.
- D. Upon clicking the **Add** button, you will be navigated back to the Application Details page. The newly added application document will display in the Application Documents grid.

Figure 9-25
Application Details Page with Application Document (Additional Information)

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

Print Help

Application Detail

Application ID: CT-ERA-1160
 Application Name: MEC Early Reduction Application
 Application Type: Early Reduction Allowances (ERA)
 Reviewing State: CT
 Allocation Year: 2009
 Allowance Type: Early Reduction
 Application Submission Date:

Back Save

Application Actions Application Documents Registered Account Contacts Application Transactions

Application Documents

	Document Name	Document Type	Status	Date Added
<input type="radio"/>	Additional Information.doc	Additional Information	Pending	03/03/2009
<input type="radio"/>	Application.doc	Application	Pending	03/03/2009

Add

The newly added Additional Information document will display in the grid. Click the hyperlinked Document Name to download and view the document.

Click Add to upload another document, if necessary, to the application.

9.5 View Application Status and Related Application Transactions

State staff users will interact with the Special Approvals module in RGGI COATS to review your application and to issue a determination for the application (Approval or Denial). Industry users should review the Application Actions and Application Transactions to determine the status of their application, whether allowances have been approved for the application, and whether allowances have been transferred to their account. *The specific application action types and transactions will vary by reviewing state process and application type.*

1. **View Application Action.** To view the actions taken for your application, refer to the Application Details page, Application Actions tab.
 - A. Click on the Application Actions tab on the Application Details page to view the application actions for your application.

- B. State staff users will interact with the Special Approvals module in RGGI COATS to update application action information for your application. Some communication outside of RGGI COATS may occur between the applicant and state staff if revisions need to be made to any application documentation (Application) or if any supplemental information is required (Additional Information).
 - State staff users will mark the applicant's application as submitted by adding the Action Type of Submitted.

Figure 9-26
Application Details Page, Application Actions Grid (Application Submitted)

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts | Sources | **Special Approvals** | Offset Projects | Allowance Transactions | Reports | Reference

Print | Help

Application Detail

Application ID	CT-ERA-1160
Application Name	MEC Early Reduction Application
Application Type	Early Reduction Allowances (ERA)
Reviewing State	CT
Allocation Year	2009
Allowance Type	Early Reduction
Application Submission Date	03/03/2009

Back Save

The state staff user adds the application submission date, which locks down the Application Details page from editing by the Applicant.

Application Actions	Application Documents	Registered Account	Contacts	Application Transactions
---------------------	-----------------------	--------------------	----------	--------------------------

Application Actions

	Action Date	Action Type	Quantity of Allowances	Allowance Type
<input type="radio"/>	03/02/2009	Submitted		

The grid displays Application Actions that have been added by the reviewing state staff user.

- State staff users will issue a determination for the application by adding the Action Type of Approved or Denied, along with a Quantity of Allowances.

Figure 9-27
Application Details Page, Application Actions Grid (Application Approved)

The screenshot displays the RGGI CO₂ Allowance Tracking System interface. At the top, it shows the user's name 'MEGAN CROTSLEY' and navigation links for 'My Profile', 'Contact Us', 'Home', and 'Log Out'. The main header reads 'RGGI CO₂ ALLOWANCE TRACKING SYSTEM' and 'RGGI CO₂ BUDGET TRADING PROGRAMS'. A navigation menu includes 'Accounts', 'Sources', 'Special Approvals', 'Offset Projects', 'Allowance Transactions', 'Reports', and 'Reference'. There are 'Print' and 'Help' buttons on the right.

The 'Application Detail' section shows the following information:

- Application ID:** CT-ERA-1160
- Application Name:** MEC Early Reduction Application
- Application Type:** Early Reduction Allowances (ERA)
- Reviewing State:** CT
- Allocation Year:** 2009
- Allowance Type:** Early Reduction
- Application Submission Date:** 03/03/2009

Below this information are 'Back' and 'Save' buttons. A red annotation states: "Actions are added once the appropriate transaction (Origination, Allocation, Retirement, State Allocation) has been completed by state staff."

The 'Application Actions' grid is shown below, with tabs for 'Application Documents', 'Registered Account', 'Contacts', and 'Application Transactions'. The grid has the following columns: 'Action Date', 'Action Type', 'Quantity of Allowances', and 'Allowance Type'. The data rows are:

Action Date	Action Type	Quantity of Allowances	Allowance Type
03/03/2009	Allocation Instruction	160	Early Reduction
03/03/2009	Origination Instruction	160	Early Reduction
03/03/2009	Approved	160	Early Reduction
03/02/2009	Submitted		

Red arrows point from the 'Origination Instruction' and 'Approved' rows to the red annotation above. A yellow box highlights the first two rows. A red annotation below the grid states: "The grid displays Application Actions that have been added by the reviewing state staff user."

- State staff users will interact with the Allowance Transactions module in RGGI COATS to originate and allocate allowances associated with an application. After they have completed allowance transactions related to an application, the Action Types of Allowances Originated and Allowances Allocated will automatically display in the Application Actions Grid.

Figure 9-28
Application Details Page, Application Actions Grid (Application Transaction Actions)

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

Print Help

Application Detail

Application ID CT-ERA-1160
 Application Name MEC Early Reduction Application
 Application Type Early Reduction Allowances (ERA)
 Reviewing State CT
 Allocation Year 2009
 Allowance Type Early Reduction
 Application Submission Date 03/03/2009

Actions are added once the appropriate transaction (Origination, Allocation, Retirement, State Allocation) has been completed by state staff.

Back Save

Application Actions Application Documents Registered Account Contacts Application Transactions

	Action Date	Action Type	Quantity of Allowances	Allowance Type
<input type="radio"/>	03/03/2009	Allocation Instruction	160	Early Reduction
<input type="radio"/>	03/03/2009	Origination Instruction	160	Early Reduction
<input type="radio"/>	03/03/2009	Approved	160	Early Reduction
<input type="radio"/>	03/02/2009	Submitted		

2. View Application Document Status. To view the status of your application documents, refer to the Application Details page, Application Documents tab.

A. Click on the Application Documents tab on the Application Details page to view the status of your application.

B. State staff users will interact with the Special Approvals module in RGGI COATS to update application document status for your application. Some communication outside of RGGI COATS may occur between the applicant and state staff if revisions need to be made to any application documentation (Application) or if any supplemental information is required (Additional Information).

- State staff users will review application documentation (Application and/or Additional Information) and issue a determination on its completeness by changing the Application Document Status to Complete or Incomplete.

Figure 9-29
Application Details Page, Application Documents Grid

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

Print Help

Application Detail

Application ID: CT-ERA-1160
Application Name: MEC Early Reduction Application
Application Type: Early Reduction Allowances (ERA)
Reviewing State: CT
Allocation Year: 2009
Allowance Type: Early Reduction
Application Submission Date: 03/03/2009

Review the Application Document Status entered by the state staff user. Offline communication may occur between the applicant and the state staff user to resolve any issues with Application Documentation.

Back Save

Application Actions Application Documents Registered Account Contacts Application Transactions

	Document Name	Document Type	Status	Date Added
<input type="radio"/>	Additional Information.doc	Additional Information	Complete	03/03/2009
<input type="radio"/>	Application.doc	Application	Complete	03/03/2009

Click the hyperlinked Document Name to download and view the document.

Click the Add button to add another Application Document.

- 3. **View Application Transactions.** To view the allowance transactions associated with your application, refer to the Application Details Page, Application Transactions tab.

Note: Transactions will only appear in the Application Transactions grid after a state staff user has completed the transaction in RGGI COATS. If the allocation of allowances to an applicant's RGGI COATS account has been approved, but not yet completed, it will not display in this grid.

Figure 9-30
Application Details Page, Application Transactions Grid

MEGAN CROTSLEY : My Profile : Contact Us : Home : Log Out

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference

Print Help

Application Detail

Application ID: CT-ERA-1160
Application Name: MEC Early Reduction Application
Application Type: Early Reduction Allowances (ERA)
Reviewing State: CT
Allocation Year: 2009
Allowance Type: Early Reduction
Application Submission Date: 03/03/2009

The Application Transactions tab displays all allowance transactions for the selected application.

Back Save

Application Actions Application Documents Registered Account Contacts **Application Transactions**

Application Transactions

Transaction ID	Transaction Type	Acquiring Account	Status Date	Allowances Transferred
rggi1913	Allocation	CT10843: Connecticut Source Compliance Account	03/03/2009	160

Click the Transaction ID to view the transaction confirmation page.

Displays a running total of allowances transferred for the selected application.

Total Allowances Transferred: 160

- A. Click on the Application Transactions tab to view transactions related to your application. State staff users will interact with the Allowance Transactions module in RGGI COATS to award allowances to your account for your application, if your application is approved.
- B. Click the hyperlinked Transaction ID to view the confirmation page for the transaction.

**Figure 9-31
Transaction Confirmation Page**

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

[Accounts](#) | [Sources](#) | [Special Approvals](#) | [Offset Projects](#) | [Allowance Transactions](#) | [Reports](#) | [Reference](#)

[Print](#) [Help](#)

Allowance Transaction Confirmation

Review transaction details below.

Transaction ID	rggi1913
Transaction Date	03/03/2009
Recorded Date	03/03/2009
Transaction Type	Allocation
Project ID	CT-ERA-1160: MEC Early Reduction Application

[Back](#)

<p>Transferring Account</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Account Number</td> <td>CT0100</td> </tr> <tr> <td>Account Name</td> <td>Connecticut Origination Account</td> </tr> <tr> <td>State</td> <td>CT</td> </tr> </table>	Account Number	CT0100	Account Name	Connecticut Origination Account	State	CT	<p>Acquiring Account</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Account Number</td> <td>CT10843</td> </tr> <tr> <td>Account Name</td> <td>Connecticut Source Compliance Account</td> </tr> <tr> <td>State</td> <td>CT</td> </tr> <tr> <td>Authorized Account Representative</td> <td>AAR, Connecticut</td> </tr> </table>	Account Number	CT10843	Account Name	Connecticut Source Compliance Account	State	CT	Authorized Account Representative	AAR, Connecticut
Account Number	CT0100														
Account Name	Connecticut Origination Account														
State	CT														
Account Number	CT10843														
Account Name	Connecticut Source Compliance Account														
State	CT														
Authorized Account Representative	AAR, Connecticut														

Allowances Transferred

Allocation Year	Type	Originating State	Serial Range	Quantity
2009	Early Reduction	CT	505195284-505195443	160

Total Allowances Transferred: 160

Transaction Status History

Date	Transaction Status
03/03/2009	Complete

10.0 Emissions

10.1 Emissions Homepage

1. Click on the **Emissions** link in the menu navigation bar below the RGGI CO₂ Allowance Tracking System banner. This will bring you to the Emissions page, which displays all sources (units) which you have been associated as an Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or Electronic Submission Agent (Agent).

Figure 10-1
Emissions Menu



- 2. View the Emissions Homepage: Quarterly View.** The Emissions Homepage defaults to the Quarterly view where it displays CO₂ emissions data for the RGGI affected sources and units by quarter for which you are affiliated. Use the filter to locate a specific source, or scroll through the list. Click on the hyperlinked Quarter column to access the Emissions Record Details page, which lists the details of the emission report (see **5. View the Emissions Record Detail Page** below).

Note: You are affiliated with a source by being the Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or electronic submission agent (Agent) for the source.

**Figure 10-2
Emissions Homepage: Quarterly View**

Emissions - Quarterly View

Use this page and the views below the grid to verify CO₂ emissions data for the affected RGGI sources and units for which you serve as an AAR, AAAR or agent. Clicking on the hyperlinked quarter in the Quarter column (see: Quarterly view) navigates one to the Emissions Record Detail page, which displays the data associated with the unit for the selected quarter, as well as any Quarterly Emissions Record documents related to Eligible CO₂ Emissions Exemption. The column: Eligible CO₂ Emissions Exemption (Tons)(State Value) contains the deduction to be applied, if any.

Use the filter criteria to find a specific source or unit.

Click on the Quarter link to navigate to the Emissions Record Detail Page.

Year	Qtr	State	ORIS Code	Source Name	State Identifier	Unit ID	Control Period	Op Hours	Heat Input (mmBtu)	CO ₂ Mass (Tons)	Eligible Biomass (Tons) (EPA Value)	Eligible Biomass (Tons) (State Value)	Eligible CHP Thermal Output (Tons) (State Value)	Comment	User Id
2015	1	VT	3734	DEMO 1		A	01/01/2015 - 12/31/2017	18.80	2,333	188.800					Datasynch, Camd
2015	2	VT	3734	DEMO 1		A	01/01/2015 - 12/31/2017	4.60	445	35.900					Datasynch, Camd
2015	3	VT	3734	DEMO 1		A	01/01/2015 - 12/31/2017	2.00	351	28.400					Datasynch, Camd

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Show Replaced Data

Show Control Period Data

Show Annual Data

Show Quarterly Data

Export Data

Click the Export Data button to download the grid as a .csv file to your local drive.

3. **View the Emissions Homepage: Annual View.** The Emissions Homepage Annual view displays CO₂ emissions data for the RGGI affected sources and units by year for which you are affiliated. Use the filter to locate a specific source, or scroll through the list.

**Figure 10-3
Emissions Homepage: Annual View**

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Emissions Compliance Allowance Transactions Public Reports

Reference

Emissions - Annual View

Use this page and the views below the grid to verify CO₂ emissions data for the affected RGGI sources and units for which you serve as an AAR, AAAR or agent. Clicking on the hyperlinked quarter in the Quarter column (see: Quarterly view) navigates one to the Emissions Record Detail page, which displays the data associated with the unit for the selected quarter, as well as any Quarterly Emissions Record documents related to Eligible CO₂ Emissions Exemption. The column: Eligible CO₂ Emissions Exemption (Tons)(State Value) contains the deduction to be applied, if any.

Use the filter criteria to find a specific source or unit. [Help](#)

Filter Criteria

Control Period to

Year to

State

Source Name

ORIS Code

State Identifier

Unit

Year	State	ORIS Code	Source Name	State Identifier	Unit ID	Control Period	Op Hours	Heat Input (mmBtu)	CO ₂ Mass (Tons)	Eligible Biomass (Tons) (EPA Value)	Eligible Biomass (Tons) (State Value)	Eligible CHP Thermal Output (Tons) (State Value)
2015	VT	3734	DEMO 1		A	01/01/2015 - 12/31/2017	27.40	3,480	282			
2016	VT	3734	DEMO 1		A	01/01/2015 - 12/31/2017	52.00	11,820	959		17	
2017	VT	3734	DEMO 1		A	01/01/2015 - 12/31/2017	8.10	1,934	156			
2015	VT	3734	DEMO 1		B	01/01/2015 -	7.50	1,115	90			

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Show Control Period Data

Annual page view Show Annual Data Show Quarterly Data

Click the Export Data button to download the grid as a .csv file to your local drive.

- View the Emissions Homepage: Control Period View.** The Emissions Homepage Control Period view displays CO₂ emissions data for the RGGI affected sources and units by control period for which you are affiliated. Use the filter to locate a specific source, or scroll through the list.

**Figure 10-4
Emissions Homepage: Control Period View**

Emissions - Control Period View

Use this page and the views below the grid to verify CO₂ emissions data for the affected RGGI sources and units for which you serve as an AAR, AAAR or agent. Clicking on the hyperlinked quarter in the Quarter column (see: Quarterly view) navigates one to the Emissions Record Detail page, which displays the data associated with the unit for the selected quarter, as well as any Quarterly Emissions Record documents related to Eligible Biomass and Eligible CHP Thermal Output. The columns Eligible Biomass (Tons) (State Value) and Eligible CHP Thermal Output (Tons) (State Value) contain the deductions to be applied, if any.

Use the filter criteria to find a specific source or unit.

Help

Filter Criteria ▾

Control Period

State

Source Name

ORIS Code

State Identifier

Unit

Filter Clear

State	ORIS Code	Source Name	State Identifier	Unit ID	Control Period	Op Hours	Heat Input (mmBtu)	CO ₂ Mass (Tons)	Eligible Biomass (Tons) (EPA Value)	Eligible Biomass (Tons) (State Value)	Eligible CHP Thermal Output (Tons) (State Value)
VT	3734	DEMO 1	2630100084	CTG7A	01/01/2018 - 12/31/2020	3,046.75	4,174,052	256,853			
VT	3734	DEMO 1	2630100084	CTG7B	01/01/2018 - 12/31/2020	2,674.74	3,666,507	225,680			
VT	3754	DEMO 2	1472200926	001	01/01/2018 - 12/31/2020	2,294.96	2,245,619	138,645			
VT	3754	DEMO 2	2630401377	VB01	01/01/2018 -	116.59	44,404	2,639			

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Show Replaced Data

Show Control Period Data

Show Annual Data

Show Quarterly Data

Export Data

Control Period page view

Click the Export Data button to download the grid as a .csv file to your local drive.

- View the Emissions Record Detail Page.** Accessed from the Emissions Homepage: Quarterly view, the Emissions Record Detail Page displays a detail block with CO₂ emissions data for a source during a specific quarter. The page also displays any Quarterly Emissions Record documents related to Eligible Biomass and Eligible CHP Thermal Output.

**Figure 10-5
Emissions Record Detail Page**

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts | Sources | Special Approvals | Offset Projects | **Emissions** | Compliance | Allowance Transactions | Public Reports

Reference Help

Emissions Record Detail Page (Quarterly)

Year	2015
Quarter	4
ORIS Code	3754
Source Name	DEMO 2
Unit ID	CT2
State Identifier	
Control Period	01/01/2015 - 12/31/2017
CO ₂ Mass (Tons)	1,397.50
Operating Hours	2.00
Heat Input (mmBtu)	351
Eligible Biomass (Tons) (EPA Value)	115
Eligible Biomass (Tons) (State Value)	234
Eligible CHP Thermal Output (Tons) (State Value)	
Compliance Processing Status	Final
EPA Data Flag	Preliminary
Comment	Test comment.

Back This navigates the user back to the Quarterly view of the Emissions homepage.

Quarterly Emissions Record Documents

Document Name	Document Type	Status	Date Added
Document_1.pdf	Eligible Biomass Document	Complete	12/04/2017

This grid displays any Quarterly Emissions Record documents related to Eligible Biomass or Eligible CHP Thermal Output.

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11.0 Compliance

The compliance module serves three purposes for the Industry user: 1) to conduct a draft compliance assessment for the current control period given the number of allowances surrendered and held in a compliance account at the present time, 2) to certify compliance for three-year control period compliance (for AARs and AAARs only), and 3) to view the results of compliance assessment following the CO₂ allowance transfer deadline following the relevant control period. For three-year control period compliance, immediately after the allowance transfer deadline, the Compliance Status will be changed from "Open" to "Frozen" for each state's control period. This will freeze the ability of the industry user to transfer or acquire allowances in compliance accounts with allocation years in the control period and previous control periods. (General accounts may continue to transfer and acquire allowances regardless of allocation year). Following the CO₂ allowance transfer deadline, any eligible allowances in the compliance account which have not been surrendered by the AAR, AAAR, or Agent of the CO₂

budget source will be surrendered by the RGGI COATS system administrator and the status of the compliance determination will be changed to "Final." For three-year control period compliance, a source with any units for which a compliance certification has not been completed and submitted cannot be finalized. When the compliance determination is finalized, RGGI COATS will automatically send an email to the AAR summarizing the results.

11.1 Compliance Homepage

1. **Click the Compliance Menu.** Click on the **Compliance** menu link in the top navigation bar. This will bring you to the Compliance Home page.

Figure 11-1
Compliance Menu



2. **View the Compliance Homepage.** The Compliance Homepage displays the state(s) (in which you have a compliance account) by control period currently available for true-up processing, as indicated by the "Open" Status in the grid. You may process true-up for your source(s) in "Draft" mode between January 31 and 11:59 PM ET on the March 1 following the relevant control period. For three-year control period compliance, note that true-up will only be run in "Final" mode when approved by states after April 1 (or the next business day) following the relevant control period. For interim control period compliance, true-up will be run in "Final" mode following that interim control period's allowance transfer deadline. Use the filter to locate a specific state, or scroll through the grid. Once you have located the appropriate state, select it in the grid, and then click the Process True-Up button. This will navigate you to the Select Sources for True-Up Processing page.

Note: You are associated with a state by being the Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or electronic submission agent (Agent) for a compliance account in that state.

**Figure 11-2
Compliance Homepage**

The control periods by state available below are those with which you have a compliance account. In order to Process True-Up (perform a draft compliance assessment), select a control period in the grid via radio button and click the Process True-Up button.

Filter Criteria

State:

Control Period:

Control Period Type:

Table:

	State	Control Period Type	Control Period	Status	Compliance Begin Date	Compliance End Date
<input type="radio"/>	NY	3 Year Control Period	01/01/2009 - 12/31/2011	Final	01/01/2009	12/31/2011
<input type="radio"/>	NY	3 Year Control Period	01/01/2012 - 12/31/2014	Final	01/01/2012	12/31/2014
<input type="radio"/>	NY	3 Year Control Period	01/01/2015 - 12/31/2017	Final	01/01/2015	12/31/2017
<input type="radio"/>	NY	Interim Control Period	2015 (Interim)	Final	01/01/2015	12/31/2015
<input type="radio"/>	NY	Interim Control Period	2016 (Interim)	Final	01/01/2016	12/31/2016
<input checked="" type="radio"/>	NY	Interim Control Period	2018 (Interim)	Open	01/01/2018	12/31/2018

1 - 6 of 6

Annotations:

- Use the filter criteria to find a specific Control Period for a State.
- Select a Control Period for a State from the grid via radio button.
- The Status indicates whether the Control Period for the State is available for true-up processing.
- Click the Process True-Up button once you have selected a Control Period for a State and are ready to proceed to the Select Sources for True-Up Processing page.

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11.2a Process True-Up (Draft Interim Compliance Assessment)

1a. Select Sources for True-Up Processing. After you click on the Process True-Up button on the Compliance homepage, you will be navigated to the Select Sources for True-Up Processing page. This page displays the sources for which you are affiliated as an AAR, AAAR, or Agent. The Select Sources for True-Up Processing page displays the results of the last draft (or final) true-up processing performed.

Note: The column “Account Holdings” represents the sum of AAR Surrendered Allowances and Default Deductions required to meet the CO₂ Interim Compliance Obligation. It does not sum total account holdings.

To select the source or sources to process true-up based on current data, click the check boxes next to each source in the grid, or check the "Select All" box. Next, click the Process True-Up button to navigate to the Compliance Processing page.

The Processing Log link above the grid will take the user to the Compliance Log page.

**Figure 11-3a
Select Sources for True-Up Processing**

[Help](#)

Select Sources for True-Up Processing for VT 2018 (Interim)

Use the filter criteria to find a specific source.

To select the source(s) for true-up processing, click the box next to each source in the grid, or check the "Select All" box. Next, click the "Process True-Up" button, which will lead to the "Compliance Processing" page.

Draft true-up may be run multiple times. The Last Update column in the grid displays the date true-up was last processed for the source.

After processing draft true-up, click on the ORIS Code hyperlink to navigate to the source's Compliance Account Detail page.

The Processing Log hyperlink leads to the Compliance Log page.

[Processing Log](#)

Select the source for Process True-Up via the check box.

Filter Criteria ▾

Source Name

ORIS Code

State Identifier

Authorized Account Representative

Processing Status

[Filter](#) [Clear](#)

	ORIS Code	Source Name	State Identifier	Authorized Account Representative	CO ₂ Interim Compliance Obligation	Account Holdings	Last Update	Processing Status
<input checked="" type="checkbox"/>	3734	DEMO 1		AAR, Vermont	240	49	08/23/2018	CO2 Interim Compliance Obligation > Allowances

[Back](#) [Process True-Up](#) [Export Data](#)

Click the Process True-Up button once you have selected a source and are ready to proceed to the Compliance Processing page.

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2a. Compliance Processing. After clicking on the Process True-Up button, you will be navigated to the Compliance Processing page. The Compliance Processing page displays the results of the current draft true-up processing based on previously surrendered allowances and allowances held in the compliance account at the time of processing. The processing box at the top of the page displays the unit by unit processing statuses for the source(s) selected, including any warning messages. The columns specific to the Compliance Processing page are defined below:

Total CO₂ Emissions -- total CO₂ emissions from the regulated source reported to date in tons.

Biomass Emissions Deducted -- tons of emissions approved by the relevant state attributed to the combustion of eligible biomass for all units at the source.

Eligible CHP Thermal Output Emissions Deducted -- tons of emissions approved by the relevant state attributed to the emissions from useful CHP thermal output for all units at the source.

CO₂ Interim Compliance Obligation – 50% of Emissions less Biomass Emissions and Eligible CHP Thermal Output Emissions Deducted.

AAR Surrendered Allowances -- Eligible CO₂ allowances optionally transferred by the source representative from the source's compliance account to the surrender account between January 31 and March 1 following the relevant interim control period.

Default Deductions -- Eligible CO₂ allowances that will be automatically deducted from the source's compliance account when the final interim compliance assessment is

conducted after the allowance transfer deadline in order to meet the interim compliance obligation.

Total Allowances Deducted -- the sum of AAR Surrendered Allowances and Default Deductions.

Status – displays "In Queue" while processing, and "Complete" once processing draft true-up is complete.

Results -- displays "CO₂ Interim Compliance Obligation = Allowances" if the draft true-up was successful, i.e., CO₂ Interim Compliance Obligation is equal to Total Allowances Deducted. If not, it will display " CO₂ Interim Compliance Obligation > Allowances," meaning CO₂ Interim Compliance Obligation is greater than Total Allowances Deducted.

Below the grid is one button: "Return to Grid". The "Return to Grid" button takes the user back to the Select Sources for True-Up Processing page.

**Figure 11-4a
Compliance Processing Page**

Compliance Processing

Processing Complete.

The processing box displays the unit by unit processing statuses for the source(s) selected, including any warning messages.

DEMO 1 Compliance Account: Account is out of compliance. It does not have sufficient allowances for the quantity of emissions reported.
DEMO 1 Compliance Account: Warning: Emissions have not been reported for every period of the compliance period for which a unit was operational.

Account Name	Account Number	ORIS Code	Unit ID(s)	Total CO ₂ Emissions	Biomass Emissions Deducted	CHP Thermal Output Emissions Deducted	CO ₂ Interim Compliance Obligation	AAR Surrendered Allowances	Default Deductions	Total Allowances Deducted	Status	Result
DEMO 1 Compliance Account	VT10236	3734	A, B	959	17	0	471	126	49	175	Complete	CO2 Interim Compliance Obligation > Allowances

[Return to Grid](#)

11.2b Process True-Up (Draft Compliance Assessment)

1b. Select Sources for True-Up Processing. After you click on the Process True-Up button on the Compliance homepage, you will be navigated to the Select Sources for True-Up Processing page. This page displays the sources for which you are affiliated as an AAR, AAAR, or Agent. The Select Sources for True-Up Processing page displays the results of *the last* draft (or final) true-up processing performed.

Note: The column “Account Holdings” represents the sum of AAR Surrendered Allowances and Default Deductions required to meet the CO₂ Compliance Obligation. It does not sum total account holdings.

To select the source or sources to process true-up based on current data, click the check boxes next to each source in the grid, or check the "Select All" box. Next, click the Process True-Up button to navigate to the Compliance Processing page.

The Processing Log link above the grid will take the user to the Compliance Log page.

**Figure 11-3b
Select Sources for True-Up Processing**

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts | Sources | Special Approvals | Offset Projects | People | Emissions | Allowance Transactions | Programs | Compliance | Public Reports | Reference

[Help](#)

Select Sources for True-Up Processing for NY 01/01/2015 - 12/31/2017

Use the filter criteria to find a specific source.

To select the source(s) for true-up processing, click the box next to each source in the grid, or check the "Select All" box. Next, click the "Process True-Up" button, which will lead to the "Compliance Processing" page.

In order to certify compliance, the AAR or AAAR must select a single source to process draft true-up. Electronic Submission Agents may not certify compliance.

Draft true-up may be run multiple times. The Last Update column in the grid displays the date true-up was last processed for the source.

After processing draft true-up, click on the ORIS Code hyperlink to navigate to the source's Compliance Account Detail page.

The Processing Log hyperlink leads to the Compliance Log page.

[Processing Log](#)

Filter Criteria ▼

Source Name

ORIS Code

State Identifier

Authorized Account Representative

Processing Status

Certified?

Select the source for Process True-Up via the check box.

Select All

ORIS Code	Source Name	State Identifier	Authorized Account Representative	CO ₂ Compliance Obligation	Account Holdings	Last Update	Processing Status	Certified?	Paragraph 3 Document	Paragraph (4)(ii) Document
<input checked="" type="checkbox"/> 9999	ACME Energy LLC		AAR, New York	995,903	995,903	05/16/2012	Source-Submitted - Emissions = Allowances	Yes	Paragraph3.doc	Paragraph4.doc

Click the Process True-Up button once you have selected a source and are ready to proceed to the Compliance Processing page.


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2b. Compliance Processing. After clicking on the Process True-Up button, you will be navigated to the Compliance Processing page. The Compliance Processing page displays the results of the current draft true-up processing based on previously surrendered allowances and allowances held in the compliance account at the time of processing. The processing box at the top of the page displays the unit by unit processing statuses for the source(s) selected, including any warning messages. The columns specific to the Compliance Processing page are defined below:

Total CO₂ Emissions -- total CO₂ emissions from the regulated source reported to date in tons.

Biomass Emissions Deducted -- tons of emissions approved by the relevant state attributed to the combustion of eligible biomass for all units at the source.

Eligible CHP Thermal Output Emissions Deducted -- tons of emissions approved by the relevant state attributed to the emissions from useful CHP thermal output for all units at the source.

CO₂ Compliance Obligation -- Total Emissions less Biomass Emissions and Eligible CHP Thermal Output Emissions Deducted.

Previously Surrendered for CO₂ Interim Compliance -- CO₂ allowances already provided to meet CO₂ Interim Compliance Obligations.

AAR Surrendered Allowances -- Eligible CO₂ allowances optionally transferred by the source representative from the source's compliance account to the surrender account between January 31 and March 1 following the relevant control period.

Default Deductions -- Eligible CO₂ allowances that will be automatically deducted from the source's compliance account when the final compliance assessment is conducted after the allowance transfer deadline in order to meet the compliance obligation.

Total Allowances Deducted -- the sum of AAR Surrendered Allowances and Default Deductions.

Status – displays "In Queue" while processing, and "Complete" once processing draft true-up is complete.

Results -- displays "Source-Submitted – Emissions = Allowances" if the draft true-up was successful, i.e., CO₂ Compliance Obligation is equal to Total Allowances Deducted. If not, it will display "Source-Submitted – Emissions > Allowances," meaning CO₂ Compliance Obligation is greater than Total Allowances Deducted.

Below the grid are two buttons: "Return to Grid" and "Certify Compliance." The "Return to Grid" button takes the user back to the Select Sources for True-Up Processing page. The "Certify Compliance" button will only be available to the AAR and AAAR of the CO₂ budget source if true-up is processed for a single source. The button takes the user to the Compliance Certification Report page.

**Figure 11-4b
Compliance Processing Page**

The processing box displays the unit by unit processing statuses for the source(s) selected, including any warning messages.

Processing Complete.

ACME Energy Compliance Account: Success
 ACME Energy Compliance Account: Warning: Emissions have not been reported for every period of the compliance period for which a unit was operational.
 ACME Energy Compliance Account: Warning: Compliance cannot be finalized for this unit until a compliance certification has been submitted.

Account Name	Account Number	ORIS Code	Unit ID(s)	Total CO ₂ Emissions	Biomass Emissions Deducted	CHP Thermal Output Emissions Deducted	CO ₂ Compliance Obligation	Previously Surrendered for CO ₂ Interim Compliance	AAR Surrendered Allowances	Default Deductions	Total Allowances Deducted	Status	Result
ACME Energy Compliance Account	NY10920	9999	ACME2, OS-1, OS-2, test	21,727	231	0	21,496	150	525	20,821	21,496	Complete	Source-Submitted - Emissions = Allowances

Return to Grid **Certify Compliance**

Click this button to navigate to the Compliance Certification Report page.

The Result column will display "Source-Submitted - Emissions = Allowances" if the draft true-up was successful. If not, it will display one of the following messages: "Source-Submitted - Emissions > Allowances", "Did Not Operate", or "Account Closed - Not Processed".

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3. Compliance Certification Report Page (AARs and AAARs Only). CO₂ budget sources are required to submit a Compliance Certification Report certifying that they are in compliance with their state’s CO₂ Budget Trading Program between January 31 and 11:59 PM ET on the March 1 following the relevant three-year control period. As an Industry User, you must submit one report covering every CO₂ budget source for which you are the AAR or the AAAR. Electronic submission agents cannot certify compliance electronically in RGGI COATS.

Compliance certification may include an electronic certification (submitted by the AAR or AAAR through RGGI COATS) and/or paper certification process as required by each state:

- For CO₂ budget sources located in Maine, Massachusetts, New Hampshire, or New York: Compliance must be certified electronically, and any relevant attachments must be uploaded into RGGI COATS. A paper copy is not required.
- For CO₂ budget sources located in Delaware or Vermont: Compliance must be certified electronically in RGGI COATS, and a paper copy of the electronic Compliance Certification Report must also be printed from RGGI COATS, signed and sent with any attachments to the relevant state agency. All materials must be

received by the relevant state by the March 1 following the relevant control period.

- For CO₂ budget sources located in Connecticut or Maryland: CO₂ budget sources must print, sign and send a paper copy of the electronic Compliance Certification Report from RGGI COATS and any attachments to the relevant state agency. Paper materials must be received by the relevant state by the March 1 following the relevant control period. Electronic certification may also be submitted but is not required.
- For CO₂ budget sources located in Rhode Island: Compliance may be certified electronically, and any relevant attachments must be uploaded into RGGI COATS. A paper copy is not required if certification is completed electronically. If compliance is not certified electronically, then a paper copy of the report must be submitted to the Department.

To access the Compliance Certification Report, AARs and AAARs can click the Certify Compliance button on the Compliance Processing page to navigate to the Compliance Certification Report page. This page includes each unit that is subject to a CO₂ budget emissions limitation in a control period.

For the Control Period and Source, a list of all CO₂ budget units for which you are the AAR or the AAAR and that are subject to any requirements under the CO₂ Budget Trading Programs will be displayed in the grid.

For electronic certification (based on the relevant state's requirements above), please follow the steps below:

- Review the information on the screen and verify it is accurate.
- Read item numbers one through four.
- If applicable, check the box in item three to enable the Browse button. Prepare and upload the indicated statement.
- If applicable, check the box in item four to enable the Browse button. Prepare and upload the indicated statement. Proceed to the certification section below. Read the Certification statement, type your RGGI COATS password and click the "Submit" button.

For paper certification (based on the relevant state's requirements above), please follow the steps below:

- Review the information on the screen and verify it is accurate.
- Read item numbers one through four.
- If applicable, check the box in item three to enable the Browse button. Prepare and print the indicated statement as an attachment.
- If applicable, check the box in item four to enable the Browse button. Prepare and upload the indicated statement. Prepare and print the indicated statement as an attachment.
- Read the Certification statement.
- Click the "Print" button and print out the Compliance Certification Report.
- Sign and date the Compliance Certification Report.

- Mail the Compliance Certification Report and any relevant attachments to the state contact person listed in the report.

Figure 11-5
Compliance Certification Report Page – Scroll 1 of 2

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Emissions Compliance Allowance Transactions Public Reports Reference

Click for a printer friendly version.  

CO₂ Budget Trading Program Compliance Certification Report

Please note that the data displayed on this page is based on data at the time the report was run, and may not represent the most current or accurate compliance account data in RGGI COATS. AAR surrendered allowances reflect any CO₂ allowances that have been surrendered by the AAR. Pending default deductions reflect the CO₂ allowances that will be automatically deducted upon final true-up.

Control Period 01/01/2015 - 12/31/2017

This grid will display a summary of the compliance account details.

Compliance Account Details

Account Name	Account Number	ORIS Code	Unit ID(s)	Total CO ₂ Emissions	Biomass Emissions Deducted	CHP Thermal Output Emissions Deducted	CO ₂ Compliance Obligation	Previously Surrendered for CO ₂ Interim Compliance	AAR Surrendered Allowances	Default Deductions	Total Allowances Deducted
ACME Energy Compliance Account	NY10920	9999	ACME2, OS-1, OS-2, test	21,727	231	0	21,496	150	525	20,821	21,496

Allowance Deduction Details

Previously Surrendered for CO₂ Interim Compliance

Allowance Type	Allocation Year	Serial Range	Allowance(s)
Standard	2009	354906929 - 354907078	150

Total Allowances Surrendered for Interim Compliance: 150

AAR Surrendered Allowances

Allowance Type	Allocation Year	Serial Range	Allowance(s)
Standard	2009	511149232 - 511149756	525

Total AAR Surrendered Allowances: 525

Pending Default Deductions

Allowance Type	Allocation Year	Serial Range	Allowance(s)
Standard	2009	354907079 - 354927899	20821

Total Pending Default Deductions: 20821

Total Allowances Deducted: 21496

The CO₂ authorized account representative certifies, based on reasonable inquiry of those persons with primary responsibility for operating the CO₂ budget source and the CO₂ budget units at the source in compliance with the CO₂ Budget Trading Program¹, that the CO₂ budget source and each CO₂ budget unit at the source for which the compliance certification is submitted was operated during the calendar years covered by the report in compliance with the requirements of the CO₂ Budget Trading Program, including:

- (1) The CO₂ budget source was operated in compliance with the CO₂ requirements of the CO₂ Budget Trading Program in the state where the CO₂ budget source is located²⁻³;
- (2) The monitoring plan applicable to each CO₂ budget unit at the CO₂ budget source has been maintained to reflect the actual operation and monitoring of the CO₂ budget unit, and contains all information necessary to attribute CO₂ emissions to the CO₂ budget unit in accordance with the monitoring, recordkeeping, and reporting provisions of the CO₂ Budget Trading Program in the state where the CO₂ budget unit is located;
- (3) All the CO₂ emissions from the CO₂ budget units at the CO₂ budget source were monitored or accounted for through the missing data procedures and reported in the quarterly monitoring reports, including information as to whether conditional data were reported in the quarterly reports in accordance with the monitoring, recordkeeping, and reporting provisions of the CO₂ Budget Trading Program in the state where the CO₂ budget source is located. If conditional data were reported, a statement is attached indicating that the owner or operator has resolved the status of all conditional data and all necessary quarterly report resubmissions have been made⁴; and

A statement is attached

No file chosen

The Browser function is enabled if the checkbox is selected to indicate that a statement will be attached.

- (4) The facts that form the basis for certification of each monitor at each CO₂ budget unit at the CO₂ budget source under the monitoring, recordkeeping, and reporting provisions of the CO₂ Budget Trading Program in the state where the CO₂ budget source is located, or for using an excepted monitoring method or alternative monitoring method approved under the monitoring, recordkeeping, and reporting provisions of the CO₂ Budget Trading Program in the state where the CO₂ budget source is located, if any:

(i) have not changed; or

- (ii) if a change is required to be reported under paragraph (4), the nature of the change, the reason for the change, when the change occurred, and how the unit's compliance status was determined subsequent to the change, is specified in the attached, including what method was used to determine emissions when a change mandated the need for monitor recertification.

Change documentation is attached.

No file chosen

The Browser function is enabled if the checkbox is selected to indicate that a statement will be attached.

Figure 11-6 Compliance Certification Report Page – Scroll 2 of 2

¹ For Maryland, the language "based on reasonable inquiry of those persons with primary responsibility for operating the source and the CO₂ budget units at the source in compliance with the CO₂ Budget Trading Program," was not included in COMAR 26.09.02.05A(3).

² For New Jersey, the language above ("the CO₂ requirements of the CO₂ Budget Trading Program in the state where the source is located") should read "the CO₂ requirements of N.J.A.C. 7:27C-1.4"

³ For Rhode Island, the language above ("the CO₂ requirements of the Budget Trading Program in the state where the source is located") should read "the CO₂ requirements of RI APC Regulation No. 46, subsection 46.3.1"

⁴ For Maryland, this reads "Whether all CO₂ emissions from each unit at the source were monitored or accounted for through the missing data procedures and reported in the quarterly monitoring reports, including whether all conditional data was reported in the quarterly reports or if conditional data were reported, whether the status of all conditional data has been resolved and all necessary quarterly report resubmissions have been made. (COMAR 26.09.02.05A(3)(c))"

I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the CO₂ allowances held in the compliance account. I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.⁵

Paper requirement descriptions and state addresses are provided below.

⁵ For Maryland, the language above (I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the CO₂ allowances held in the compliance account) should read "I am authorized to make the submission on behalf of the owners or operators of the CO₂ budget sources or CO₂ budget units for which the submission is made. (COMAR 26.09.01.04G)"

Note: Paper Requirements for CO₂ Budget Units Located in CT, DE, MD, RI, and VT

For CO₂ budget units located in Delaware and Vermont:

Please verify the information on this page is accurate, enter your password, and click the Submit button to certify compliance electronically. After certifying compliance electronically, you will need to print the Compliance Certification Report, sign it, and mail it with and any attachments to your relevant state agency. Electronic certification must be complete and all paper materials must be received by your relevant state agency (addresses below) no later than March 2, 2015.

Delaware:
DNREC - DAQ
Attn: Babatunde Asere/RGGI
655 South Bay Road Suite 5N
Dover, DE 19901

Vermont:
Vermont Department of Environmental Conservation
Air Quality and Climate Division
Attn: Brian Woods
One National Life Drive - Davis 2
Montpelier, VT 05620-3802

For CO₂ budget units located in Connecticut and Maryland:

Please verify the information on this page is accurate. You will then need to print, sign, and mail this Compliance Certification Report with any attachments to your relevant state agency. You may either print this report before or after clicking the Submit button below as electronic certification may be submitted, but is not required. All paper compliance certification materials must be received by your relevant state agency (addresses below) no later than March 2, 2015.

Connecticut:
Supervisor, Compliance Analysis and Coordination Group
Engineering and Enforcement Division
Bureau of Air Management
Department of Energy & Environmental Protection
79 Elm Street, 5th Floor
Hartford, CT 06106-5127

Maryland:
Maryland Department of the Environment
Attn: Ariane Kouamou-Nouba
Air and Radiation Management Administration
Air Quality Compliance Program
1800 Washington Boulevard
Baltimore, MD 21230

For CO₂ budget units located in Rhode Island:

Compliance may be certified electronically, and any relevant attachments must be uploaded into RGGI COATS. A paper copy is not required if certification is completed electronically. If compliance is not certified electronically, then a paper copy of the report must be submitted to the Department.

Rhode Island:
RI Department of Environmental Management
Office of Air Resources
Attn: Frank Stevenson
235 Promenade Street
Providence, RI 02908-5767

For CO₂ budget units located in all other states: Please verify the information on this page is accurate, enter your password, and click the Submit button to certify compliance electronically. There is no requirement to submit a signed paper Compliance Certification Report.

Password *

Enter your COATS password.

Comment

Signature	
Date	

If required to print and sign, please use the print button at the top of the page and then sign and date within the provided signature block.

Click the Submit button.

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- 4. Read-only Compliance Certification Report.** If electronic certification is submitted (after uploading any necessary documents, entering your password, and clicking the Submit button), you will be navigated to a read-only version of the Compliance Certification Report. It will display all of the information you submitted, as well as the date which you certified the compliance report, in read-only form. A Print button is available in the top right-hand corner of the page. This page will be accessible from the Select Sources for True-Up Processing page by clicking the "Yes" hyperlink in the "Certified?" column (see above).

**Figure 11-7
Read-only Compliance Certification Report (Truncated)**

For CO₂ budget units located in Delaware and Vermont:

Please verify the information on this page is accurate, enter your password, and click the Submit button to certify compliance electronically. After certifying compliance electronically, you will need to print the Compliance Certification Report, sign it, and mail it with and any attachments to your relevant state agency. Electronic certification must be complete and all paper materials must be received by your relevant state agency (addresses below) no later than March 1, 2012.

Delaware:
DNREC - DAQ
Attn: Babatunde Asere/RGGI
655 South Bay Road Suite 5N
Dover, DE 19901

Vermont:
Vermont Air Pollution Control Division
Attn: Doug Elliott
103 South Main Street, Bldg. 3 South
Waterbury, VT 05671-0402

For CO₂ budget units located in Connecticut and Maryland:

Please verify the information on this page is accurate. You will then need to print, sign, and mail this Compliance Certification Report with any attachments to your relevant state agency. You may either print this report before or after clicking the Submit button below as electronic certification may be submitted, but is not required. All paper compliance certification materials must be received by your relevant state agency (addresses below) no later than March 1, 2012.

Connecticut:
CT DEP
Attn: Mike LaFleur, CO₂ Budget Trading
Program
79 Elm Street
Hartford, CT 06106-5127

Maryland:
Maryland Department of the Environment
Attn: Scott Zacharko
Air Quality Planning Program
Climate Change Division
1800 Washington Boulevard
Baltimore, MD 21230

For CO₂ budget units located in all other states: Please verify the information on this page is accurate, enter your password, and click the Submit button to certify compliance electronically. There is no requirement to submit a signed paper Compliance Certification Report.

Date Certified 02/21/2012 ← **Displays date certified and certified by**

Certified by Bedard, John

Comment

Signature	
Date	

[Back](#)



- 5. Source Compliance Account Detail Page.** Clicking on the Back button on the read-only Compliance Certification Report page will navigate you back to the Select Sources for True-Up Processing page. Now that draft process true-up has been performed, the ORIS code in the grid (corresponding to the source that just underwent true-up processing) is a hyperlink. Clicking on the ORIS code hyperlink navigates the user to the source's Compliance Account Detail page. The Compliance Account Detail page displays the Compliance account details and related transactions or pending transfers as of the last true-up.

The Transaction ID column will be populated when a Compliance Deduction transaction has been completed. If there is no Transaction ID, then the transaction is a "Pending Transfer." Pending Transfers are those that the system generates in "Draft" true-up if eligible allowances are available in the compliance account. When true-up is finalized, pending transactions will be performed in RGGI COATS and transaction IDs will be assigned.

Once true up processing has been finalized, Industry users can print this page to document program compliance by clicking the "Print" button.

Figure 11-8
Source Compliance Account Detail Page

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects People Emissions Allowance Transactions Programs Compliance Public Reports Reference

Compliance Account Detail [Print](#) [Help](#)

This block displays the details of the account that underwent draft true-up processing.

Compliance Period	01/01/2009 - 12/31/2011
ORIS Code	9999
Source Name	ACME Energy LLC
Account Number	NY10920
Account Name	ACME Energy Compliance Account
Compliance Status	Source-Submitted - Emissions = Allowances
Last Update	01/20/2012 03:18 PM
CO₂ Compliance Obligation	1,760,678
Total Allowances Deducted	1,760,678

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Related Transactions or Pending Transfers (as of Last Update -- see Help at top right of screen)

Transaction ID	Account Deducted From	Allowance Type	Allocation Year	Serial Range	Allowance(s)
rggi3154	NY10920: ACME Energy Compliance Account	Standard	2009	354656316 - 354906527	250212
rggi3154	NY10920: ACME Energy Compliance Account	Standard	2009	354906528 - 354906928	401
	NY10920: ACME Energy Compliance Account	Standard	2009	354906929 - 356416993	1510065

This grid displays the compliance transactions that result from draft true-up processing.

Each Serial Block displays separately. If transaction contained multiple Serial Blocks, then Transaction ID displays multiple times.

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6. Compliance Log. Clicking the Back button on the Compliance Account Detail page will navigate you back to the Select Sources for True-Up Processing page. At the top of that page under the menu bar is a hyperlink: Processing Log. Clicking on the link will navigate you to the Compliance Log page. The Compliance Log page displays the results of the all interim and final compliance true up processing for all affected sources. This report can be used to identify any units that have not reported all or any emissions records for a given control period.

**Figure 11-9
Compliance Log Page**

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

[Accounts](#) | [Sources](#) | [Special Approvals](#) | [Offset Projects](#) | [People](#) | [Emissions](#) | [Allowance Transactions](#) | [Programs](#) | [Compliance](#) | [Public Reports](#)

[Reference](#)

[Print](#) [Help](#)

Compliance Log

This report displays the results of all interim and final compliance true-up processing for all affected sources

State CT
Compliance Period 01/01/2009 - 12/31/2011
Report Date 01/13/2012

Account Number	Account Name	Account Compliance Status	Total Emissions	Number of Allowances
CT10054	Devon Compliance Account	Source-Submitted - Emissions = Allowances	25361.000000	25361
Processing History				
		Date	Message Reported	
		01/21/2011	Warning: Compliance cannot be finalized for this unit until a compliance certification has been submitted.	
		01/21/2011	Warning: Emissions have not been reported for every period of the compliance period for which a unit was operational.	
		01/21/2011	Success	
		01/24/2011	Warning: Compliance cannot be finalized for this unit until a compliance certification has been submitted.	
		01/24/2011	Warning: Emissions have not been reported for every period of the compliance period for which a unit was operational.	
		01/24/2011	Success	
		01/24/2011	Warning: Compliance cannot be finalized for this unit until a compliance certification has been submitted.	
		05/13/2011	Success	
		10/12/2011	Warning: Compliance cannot be finalized for this unit until a compliance certification has been submitted.	
		10/12/2011	Warning: Emissions have not been reported for every period of the compliance period for which a unit was operational.	
		10/12/2011	Success	

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12.0 Offset Projects

12.1 Offset Projects Homepage

1. **Click the Offset Projects Menu.** Click on the **Offset Projects** menu link in the top navigation bar. This will bring you to the Offset Projects Home page.

Figure 12-1
Offset Projects Menu



2. **View the Offset Projects Homepage.** The Offset Projects Homepage displays offset projects that you are associated with. Use the filter to locate a specific offset project, or scroll through the list. Click on the Project ID to access the Project Detail page, which lists the detailed information for the offset project.

Note: You are associated with an offset project by being the Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or electronic submission agent (Agent) for the registered account for the offset project.

**Figure 12-2
Offset Projects Homepage**

MEGAN REILLY : My Profile : Contact Us : Home : Log Out

RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals **Offset Projects** Allowance Transactions Reports Reference

Download as PDF Print Help

Offset Projects

Use the filter criteria to find a specific project.

Click on the Project ID link in the grid below to view project details. Use the filter criteria to the right to find a specific project or list of projects more easily. Click the Export Data button under the grid to export the grid data to Excel (.csv).

Also, note that the grid can be sorted by clicking on the grid column headers (first click is ascending, second click is descending).

Filter Criteria

Project ID

Project Name

Project Type

Reviewing State

Begin Date

End Date

Filter Clear

Project ID ▲	Project Name	Project Type	Reviewing State	Submission Date	Consistency Application Status	Awarded Offset Allowances
NJ-AMM-1055	Hunterdon AMM Offset Project	Avoided methane emissions from agricultural manure management	NJ	02/24/2009	Complete	1250

1 - 1 of 1

Export Data

Click on the Project ID link to navigate to the Project Details page.

Click the Export Data button to download the grid as a .csv file to your local drive.

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- View a Project Detail Page.** The Project Detail page provides the user the ability to review and/or modify the details of an existing offset project. Click on the Project ID link to view the Project Detail page.

**Figure 12-3
Project Detail Page**

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

[Accounts](#) | [Sources](#) | [Special Approvals](#) | [Offset Projects](#) | [Allowance Transactions](#) | [Reports](#) | [Reference](#)

[Print](#) [Help](#)

Project Detail

Project ID	NJ-AMM-1055
Project Name	Hunterdon AMM Offset Project
Project Type	Avoided methane emissions from agricultural manure management
Emissions Credit Type	
Reviewing State	NJ
Allowance Type	CO2 Offset
Project Commencement Date	02/24/2009
Project Location	Amwell Farm, Hunterdon County, NJ
Project Description	
Consistency Application Submission Date	02/24/2009

[Back](#) [Save](#) [Delete Project](#)

View and/or modify the details for an offset project in the top detail block or under a specific tab.

 If the Consistency Application has been submitted and deemed "Complete" or "Consistent" by the State Staff, the Project Details page will be locked down (seen here) and some previously editable fields will become read-only.

[Project Milestones](#) | [Registered Account](#) | [Project Sponsor Organization](#) | [Contact Person](#) | [Project Transactions](#) | [Retired Emissions Credits](#)

Project Milestones

	Milestone Type	Milestone Status	Current Status Date	Complete Date	Comment	Quantity	Report Document
<input type="radio"/>	Consistency Application	Complete	02/24/2009	02/24/2009			Consistency Application.doc
<input type="radio"/>	Consistency Determination	Consistent	05/26/2009				
<input type="radio"/>	M & V Report	Complete	05/27/2009	05/27/2009			M & V Report.doc
<input type="radio"/>	M & V Determination	Approved	07/15/2009			1250	

[Add](#)

12.2 Project Sponsors Homepage

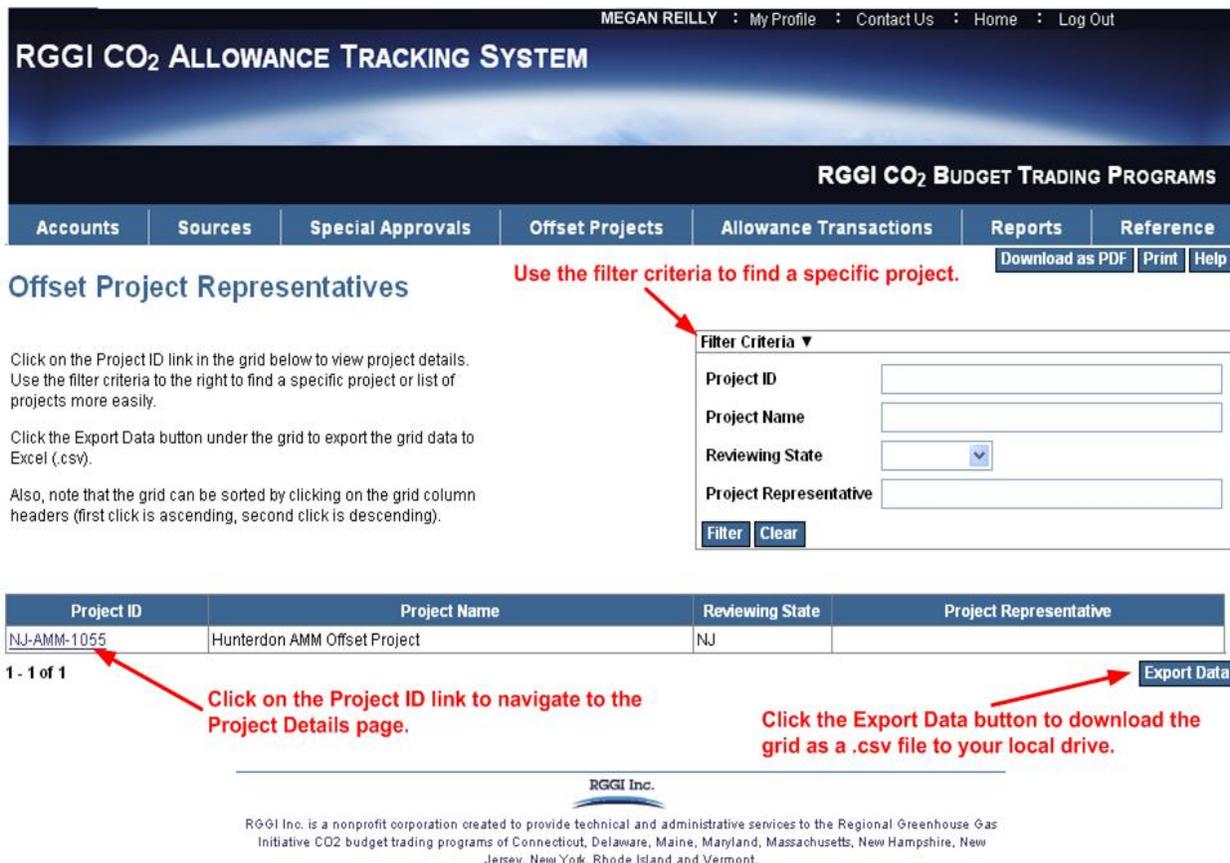
- 1. Click on the Project Sponsors Sub-Menu.** After you log in to the system, move your mouse pointer over the **Offset Projects** menu link in the top navigation bar. This will display the **Project Sponsors** sub-menu link. Click on the **Project Sponsors** link.

Figure 12-4
Project Sponsors Sub-Menu



- 2. **View the Project Sponsors Homepage.** The Project Sponsors Homepage displays offset projects with project sponsors with which you are associated. Use the filter to locate a specific offset project, or scroll through the list. Click on the Project ID to access the Project Details page, which contains detailed information for the offset project.

Figure 12-5
Project Sponsors Homepage



3. **View a Project Detail Page.** The Project Detail page provides the user the ability to review the details of an existing offset project. Click on the Project ID link to view the Project Details page. Navigating to the Project Details page from the Project Sponsors Homepage will display a version of Figure 12-3.

12.3 Steps to Create an Offset Project

1. **Click on the Create Project Sub-Menu.** After you log in to the system, move your mouse pointer over the **Offset Projects** menu link in the top navigation bar. This will display the **Create Project** sub-menu link. Click on the **Create Project** link.

Figure 12-6
Create Project Sub-Menu



2. **Complete the Create New Offset Project Page to add an Offset Project to RGGI COATS.** After clicking on the Create Project sub-menu, you will be navigated to the Create New Offset Project Page.

Figure 12-7
Create New Offset Project Page

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference Help

Create New Offset Project

Project Name *

Project Type *

Emissions Credit Type

Reviewing State *

Account *

Select Sponsor Organization

Project Commencement Date *

Project Location

Project Description

Click Save when complete. Upon clicking Save, the offset project will be created, and you will be navigated to the Project Detail page for the newly created project.

Complete all fields for the offset project. All fields are required.

- A. Enter a unique Project Name.** Type the name of your offset project into the Project Name field. This field is required, as it is indicated by a red asterisk (*), and you will not be allowed to save your new offset project if this field has not been completed.

Figure 12-8
Create New Offset Project – Project Name

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

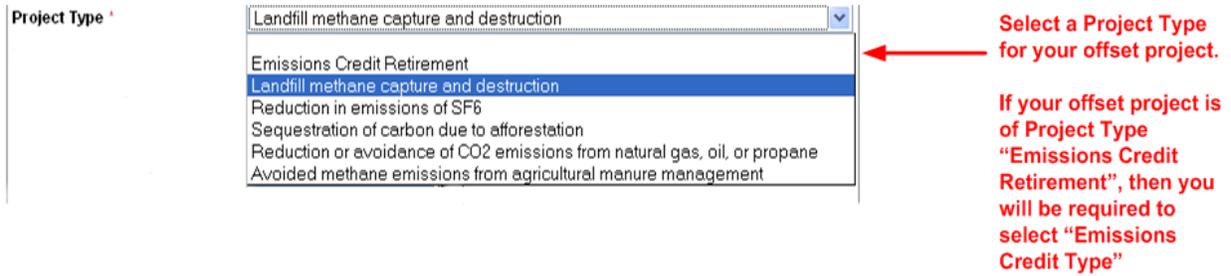
Accounts Sources Special Approvals Offset Projects Allowance Transactions Reports Reference Help

Create New Offset Project

Project Name * **Enter a unique name for your offset project.**

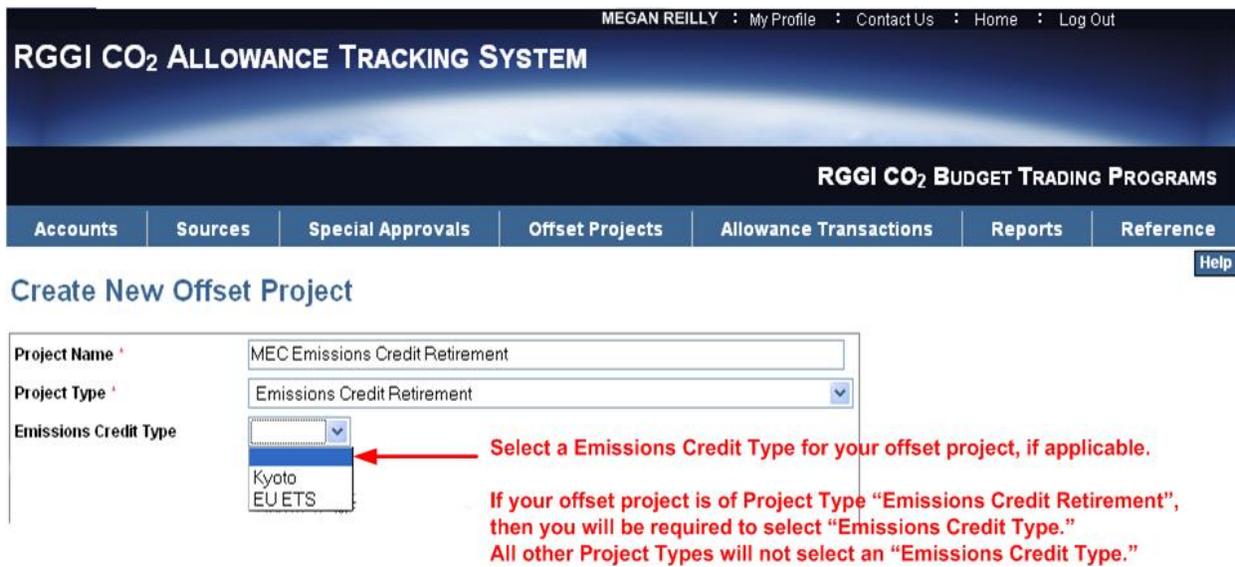
B. Select a Project Type. Select the type of offset project from the drop-down menu.

Figure 12-9
Create New Offset Project – Project Type



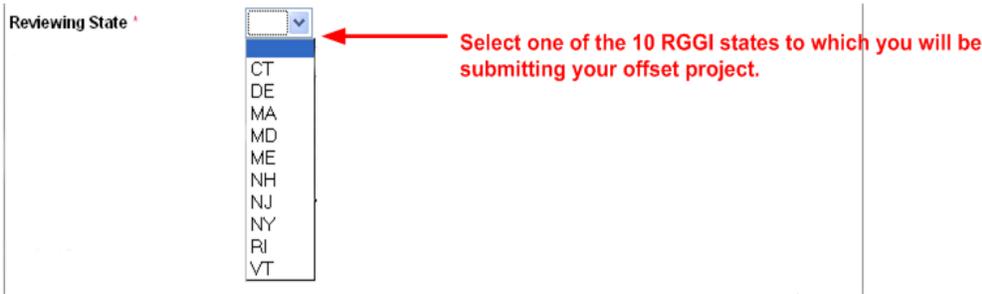
- **If Applicable, select an Emissions Credit Type.** If you have selected a Project Type of "Emissions Credit Retirement," then you will be required to select an Emissions Credit Type from the drop-down menu.

Figure 12-10
Create New Offset Project – Emissions Credit Type (if applicable)



C. Select a Reviewing State. Select the state to which the project sponsor must submit the Consistency Application and Monitoring and Verification Reports (M & V Reports) for the offset project.

Figure 12-11
Create New Offset Project – Reviewing State



D. Select an Account. Select the RGGI COATS general account that will be identified in the Consistency Application for the offset project. This is the RGGI COATS account into which any awarded CO₂ offset allowances will be transferred. Note: Only general accounts for which you act as an Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or electronic submission agent (Agent) will display in the Account drop-down menu.

Figure 12-12
Create New Offset Project – Account



E. Select a Project Sponsor Organization. Select the project sponsor organization for the offset project. Click the **Select** button. You will be navigated to the Select Organization page.

Figure 12-13
Create New Offset Project – Select Project Sponsor Organization



- On the Select Organization page, use the radio button to select an organization that already exists in RGGI COATS. Then click the **Select** button.

Figure 12-14
Select Organization Page



Select Organization

Use the filter criteria to ease your search for a specific organization.

Use the filter criteria to the right to find a specific organization or list of organizations more easily. Once you have located an organization in the grid, fill the radio button to select it. Click the **Select** button.

If the organization you would like to select is not listed in the grid, click the **Add** button below the grid.

A small form titled "Filter Criteria" with a dropdown arrow. Below it is a text input field labeled "Organization". At the bottom are two buttons: "Filter" and "Clear". A red arrow points from the text above to the "Organization" field.

Select a Project Sponsor Organization using the radio button.

A table titled "Sponsor Organization" with a grid of rows. Each row has a radio button on the left and the organization name on the right. The first row is "ABB Alstom Power", the second is "Adam Diamant", the third is "Adirondack Council Inc.", the fourth is "AEE 2, LLC", the fifth is "Aeolus Fund II Master Fund, Ltd.", and the sixth is "AER NY-GEN, LLC". A red arrow points from the text above to the radio button for "ABB Alstom Power".

< 1 - 100 of 527 >

Back Add Select

Click the **Select** button to select a Project Sponsor Organization from the grid.

If the organization you would like to associate with your offset project is not contained in the grid, you may add it by clicking the **Add** button.

- If you cannot find the organization that you would like to associate with your offset project in the grid on the Select Organization page, then you may add it to RGGI COATS. Click the **Add** button below the grid. You will be navigated to the Add New Organization page.

Figure 12-15
Add New Organization Page

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RGGI CO₂ BUDGET TRADING PROGRAMS

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Help

Add New Organization

Enter the organization and the address details below. Fields marked by * are required.

Name * MER Organization

Organization Type Company

Academic
Charitable Trust
Commercial/Industrial
Company
Incorporated Society
Individual
Non-profit
Partnership
Other

Physical Address

Address State

Address Incorporated Society

City Individual

City Non-profit

City Partnership

City Other

Country

State/Province

Postal Code

Address Type

Back Save

Enter the name of the Project Sponsor Organization and select an Organization Type.

Enter an address for the Project Sponsor Organization.

Click Save when complete to add the Project Sponsor Organization to the system.

- On the Add New Organization Page, enter the name of the project sponsor organization in the relevant field and select the Organization Type from the drop-down menu. Enter the address for the project sponsor organization.
- Once you have selected or added a project sponsor organization, you will review and confirm the organization on the Confirm Organization Relationship page. Review the organization listed on the page and click the **Confirm** button to associate the organization with your offset project.

Figure 12-16
Confirm Organization Relationship Page



- On the Create Project page, you may delete the selected project sponsor organization and select another by clicking the **Clear** button adjacent to the Select Sponsor Organization field.

Figure 12-17
Create New Offset Project – Clear Project Sponsor Organization



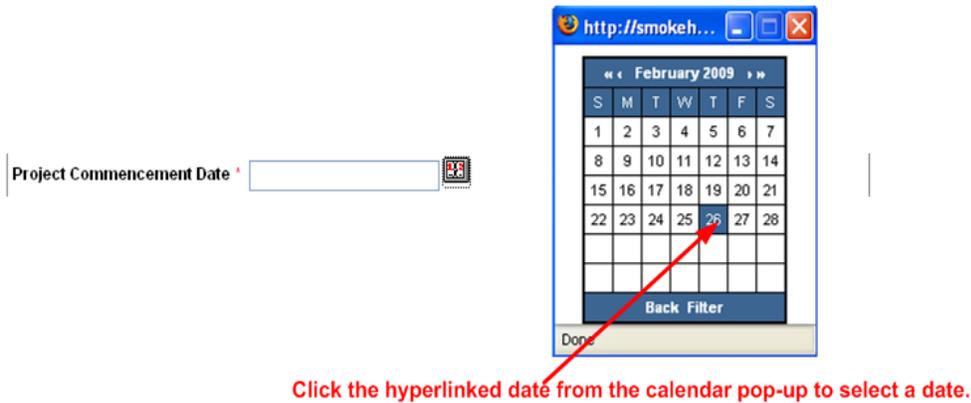
- F. Enter a Project Commencement Date.** Select the date on which the offset project commenced or will commence by clicking the calendar icon to the right of the Project Commencement Date field. See the applicable state regulations for the definition of project commencement.

Figure 12-18
Create New Offset Project – Project Commencement Date



- A calendar pop-up will display. Select the commencement date by clicking on the hyperlinked date in the calendar pop-up.

Figure 12-19
Create New Offset Project – Project Commencement Date Calendar Pop-Up



G. Enter a Project Location and Project Description.

- Enter information for the location of the offset project. If the offset project consists of actions at multiple locations, enter the primary location in the Project Location box and list all project locations as part of the Project Description. For Emissions Credit Retirements, enter the two letter country code corresponding to the Originating Party/Ori­ginating Registry code in the Kyoto serial number identifier of the retired emissions credits; if multiple retired emission credit blocks are concerned with different Originating Registry codes enter additional Originating Registry codes as part of the Project Description.
- Enter a project description.

Figure 12-20
Create New Offset Project – Project Location and Project Description



H. Click Save to Create a New Offset Project.

Figure 12-21
Create New Offset Project – Completed Page

The screenshot displays the 'Create New Offset Project' form in the RGGI CO₂ Allowance Tracking System. The form includes the following fields and values:

- Project Name:** MEC Landfill Offset Project
- Project Type:** Landfill methane capture and destruction
- Emissions Credit Type:** (Dropdown menu)
- Reviewing State:** NY
- Account:** GN10797: MEC General Account
- Select Sponsor Organization:** MEC Energy Inc. (with 'Select' and 'Clear' buttons)
- Project Commencement Date:** 02/26/2009
- Project Location:** Municipality of Anyville
- Project Description:** Project to capture and destroy methane gas from the landfill located in the municipality of Anyville

Red annotations on the screenshot provide the following instructions:

- An arrow points to the 'Save' button with the text: "Click the Save button to create the new offset project. Upon creation of the new offset project, the system will assign it a Project ID and you will be navigated to the Project Details page where you can review and/or modify select project information."
- Two arrows point to the form fields with the text: "Ensure that information entered for the offset project is correct and that all fields have been completed."

At the bottom of the page, the RGGI Inc. logo and a disclaimer are visible:

RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO₂ budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island and Vermont.

Note: Once Industry users click Save to create a new offset project, they cannot edit the following Offset Project Detail fields: Project ID, Project Type, Emissions Credit Type, Reviewing State, Allowance Type, Consistency Application Submission Date, Registered Account grid, or the Project Sponsor Organization grid. Industry users can initially edit the Project Name, Project Commencement Date, Project Location, Project Description fields and Retired Emissions Credits grid (for Emission Credit Retirements only), but these fields will later become locked down after the Consistency Application Milestone Status is deemed Complete.

I. View the Project Detail Page. Upon clicking the **Save** button, you will be navigated to the Project Detail page. When the new offset project is created, the system will assign it a Project ID.

**Figure 12-22
Project Details Page**

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

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Print Help

Project Detail

Project data saved.
Project Enterprise relationship added.

Project ID NY-LCD-1079 **System-generated Project ID**

Project Name * MEC Landfill Offset Project

Project Type Landfill methane capture and destruction

Emissions Credit Type [v]

Reviewing State NY

Allowance Type CO2 Offset

Project Commencement Date * 02/26/2009

Project Location Municipality of Anyville

Project Description Project to capture and destroy methane gas from the landfill located in the municipality of Anyville

Consistency Application Submission Date N/A

Save Delete Project

Project Milestones Registered Account Project Sponsor Organization Contact Person Project Transactions Retired Emissions Credits

Milestone Type	Milestone Status	Current Status Date	Complete Date	Comment	Quantity	Report Document
Currently there are 0 project milestones associated with this offset project. Please click the Add button to add the Project Consistency Application.						

Add **Click the Add button to add a Consistency Application or M & V Report milestone and relevant documentation.**

12.4 Adding Project Milestones and Project Milestone Documents (Consistency Application and Monitoring and Verification Report)

A project sponsor will only be able to add a Consistency Application milestone and Monitoring and Verification Report (M & V Report) milestone(s) to his or her offset project. Only one Consistency Application milestone may be associated with an offset project. Multiple

M & V Report milestones may be associated with an offset project to accommodate the annual submission of M & V Reports.

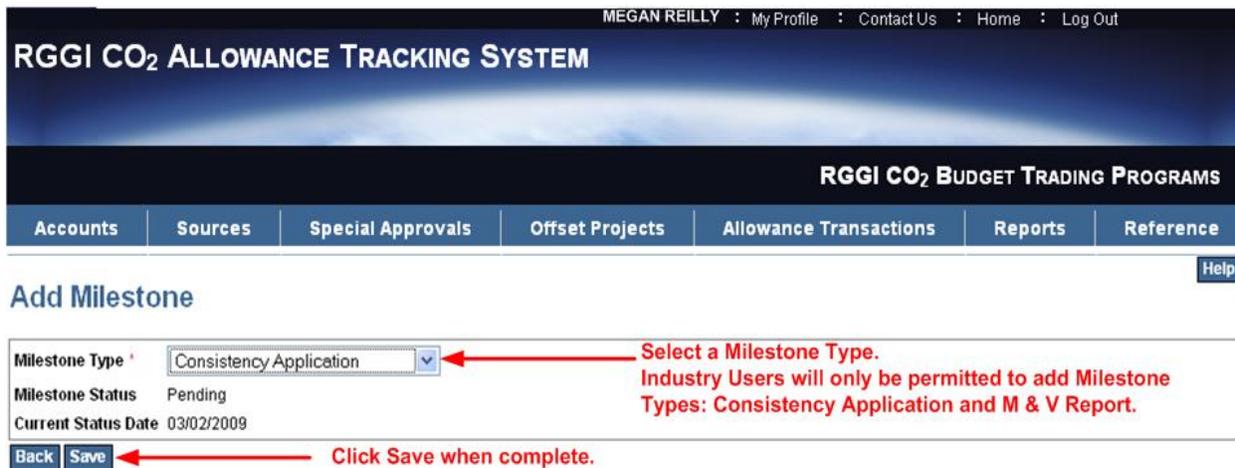
Note: Adding an M & V Report for an offset project will be completed annually for each year of the offset project (except for U.S. Forest type projects for which M & V reports could be submitted not less than every six years, and that the first M & V report for reforestation projects must be submitted within twelve years of project commencement).

An industry user will have the opportunity to add a relevant document attachment or multiple document attachments to each type of milestone (Consistency Application and M & V Report). State staff from the reviewing state will review the Consistency Application (see below) for completeness and will deem it Incomplete or Complete. Complete Consistency Applications will be reviewed by state staff from the reviewing state for consistency with state regulations. State staff will issue a Consistency Determination of either Consistent or Inconsistent.

Note: Only official state Consistency Applications and M & V Reports issued by the reviewing state should be uploaded to RGGI COATS. Official state applications can be accessed through <https://www.rggi.org/allowance-tracking/offsets>.

- 1. Add Consistency Application Project Milestone.** Click the Project Milestones tab on the Project Detail page. Then click the Add button at the bottom of the Project Milestones grid tab (See Figure 12-22). You will be navigated to the Add Milestone page.

Figure 12-23
Add Milestone Page (Consistency Application)




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- A. Select a Milestone Type of Consistency Application from the drop-down menu. Although all Milestone Types will display, project sponsors will only be permitted to select Consistency Application and M & V Report.
 - The Milestone Status will default to Pending for an industry user and will not be editable by an industry user. The state staff user for your offset project's reviewing state will advance the Milestone Status.
- B. Upon clicking the **Save** button, the new milestone will be created. You will be navigated to the Consistency Application Milestone Detail page.

Figure 12-24
Consistency Application Milestone Details Page

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RGGI CO₂ ALLOWANCE TRACKING SYSTEM

RGGI CO₂ BUDGET TRADING PROGRAMS

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Print Help

Milestone Detail

Milestone Type	Consistency Application
Milestone Status	Pending
Current Status Date	03/02/2009
Consistency Application Submission Date	
Complete Date	

Back

Milestone Report Documents

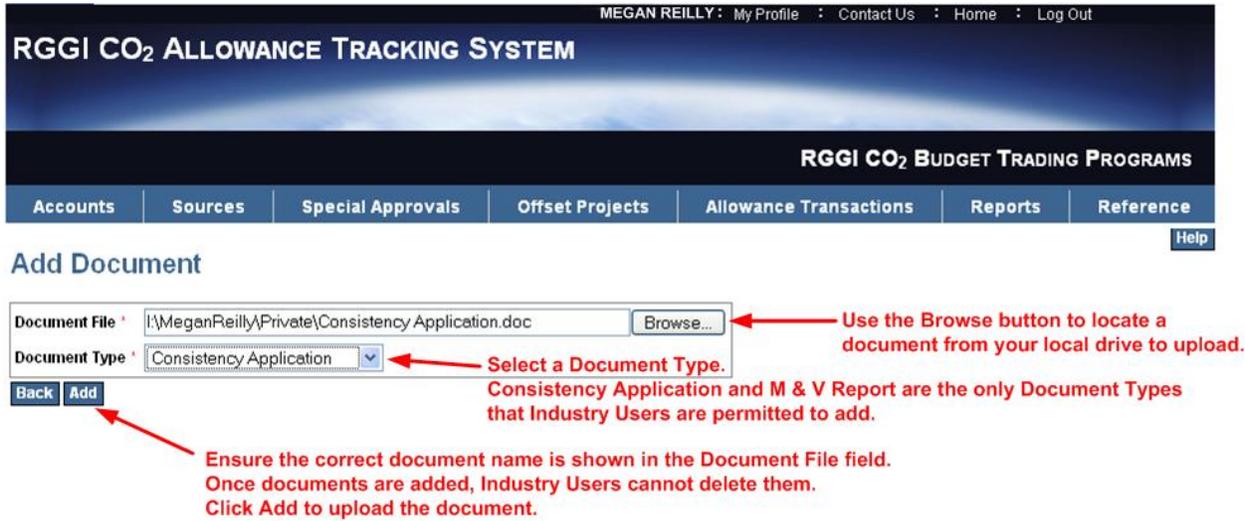
Document Name	Document Description	Document Type	Status	Date Added
No documents are associated with this milestone.				

Add ← Click the Add button to upload a milestone document.


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2. **Add a Consistency Application Milestone Document.** From the Consistency Application Milestone Details page, click the **Add** button under the Milestone Report Documents grid. You will be navigated to the Add Document page.

Figure 12-25
Add Consistency Application Document Page



- A. Use the **Browse** button to locate a document from your local drive to upload.

Note: Only official state Consistency Applications issued by the reviewing state should be uploaded to RGGI COATS. Official state applications can be accessed through <https://www.rggi.org/allowance-tracking/offsets>.

- B. Select a Document Type of Consistency Application from the drop-down menu field. Consistency Application and M & V Report are the only Milestone Document Types that Industry Users are permitted to add.
- C. Click the **Add** button to add and upload the document for the Project Milestone. Ensure the correct document is uploaded. Once documents are added, Industry Users cannot delete them.
- D. Upon clicking the **Add** button, you will be navigated back to the Consistency Application Milestone Detail page. The newly added Consistency Application document will display in the Milestone Report Documents grid.

Figure 12-26
Consistency Application Milestone Details Page with Milestone Report Document

The screenshot displays the RGGI CO₂ Allowance Tracking System interface. At the top, it shows the user's name 'MEGAN REILLY' and navigation links for 'My Profile', 'Contact Us', 'Home', and 'Log Out'. The main header reads 'RGGI CO₂ ALLOWANCE TRACKING SYSTEM' and 'RGGI CO₂ BUDGET TRADING PROGRAMS'. A navigation menu includes 'Accounts', 'Sources', 'Special Approvals', 'Offset Projects', 'Allowance Transactions', 'Reports', and 'Reference', with 'Print' and 'Help' buttons on the right.

The 'Milestone Detail' section shows the following information:

Milestone Type	Consistency Application
Milestone Status	Pending
Current Status Date	03/02/2009
Consistency Application Submission Date	
Complete Date	

A 'Back' button is located below the details.

The 'Milestone Report Documents' section contains a table with the following data:

	Document Name	Document Description	Document Type	Status	Date Added
<input type="radio"/>	Consistency Application.doc		Consistency Application	Pending	03/02/2009

An 'Add' button is located below the table. A red arrow points from the 'Consistency Application.doc' link to a red text box that reads: 'The newly added Milestone Document will display in the grid. Click the hyperlinked Document Name to download and view the document.'


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- Return to the Project Detail Page.** Click **Back** to return to the Project Detail Page. On the Project Detail page, under the Project Milestones tab, the grid will display the newly added Project Milestone. Click the **Add** button to add another Project Milestone. Click the hyperlinked Milestone Type to view details and/or upload additional documents for the selected Project Milestone.

Figure 12-27
Project Details Page, Project Milestones Grid (Consistency Application)

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Project Detail

Project ID: NY-LCD-1079

Project Name: MEC Landfill Offset Project

Project Type: Landfill methane capture and destruction

Emissions Credit Type: [v]

Reviewing State: NY

Allowance Type: CO2 Offset

Project Commencement Date: 02/26/2009

Project Location: Municipality of Anyville

Project Description: Project to capture and destroy methane gas from the landfill located in the municipality of Anyville

Consistency Application Submission Date: N/A

Back Save Delete Project

Project Milestones Registered Account Project Sponsor Organization Project Transactions

Project Milestones

	Milestone Type	Milestone Status	Current Status Date	Complete Date	Comment	Quantity	Report Document
<input type="radio"/>	Consistency Application	Pending	03/02/2009				

Add ← Click the Add button to add another Project Milestone.

Click the hyperlinked Milestone Type to view and/or modify Milestone Details.

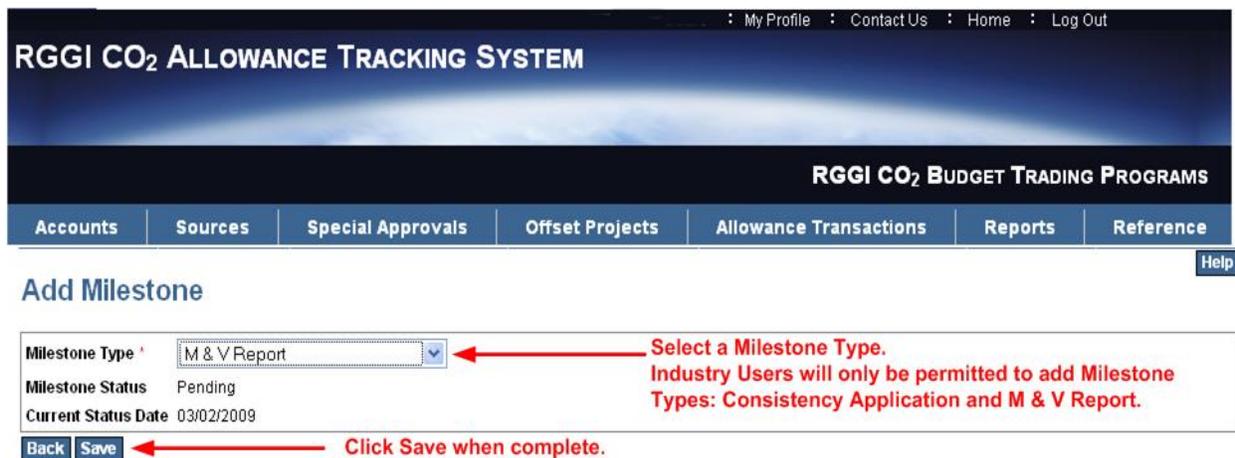
- 4. Add M & V Report Project Milestone.** Click the Project Milestones tab on the Project Details page. Then click the Add button at the bottom of the Project Milestones grid tab (See Figure 12-22). You will be navigated to the Add Milestone page.

Note: An M & V Report milestone may only be added for an offset project that has received a Consistency Determination of Consistent from the reviewing state. M & V Reports are submitted annually for each year during the offset project's allocation period (except for U.S. Forest type projects for which M & V reports could be submitted not less

than every six years, and that the first M & V report for reforestation projects must be submitted within twelve years of project commencement).

Note: Only official state Monitoring and Verification Report submittal forms issued by the reviewing state should be uploaded to RGGI COATS. Official state submittal materials can be accessed through <https://www.rggi.org/allowance-tracking/offsets>.

**Figure 12-28
Add Milestone Page (M & V Report)**



- A. Select a Milestone Type of M & V Report from the drop-down menu. Although all Milestone Types will display, industry users will only be permitted to select Consistency Application and M & V Report.
- B. The Milestone Status will default to Pending for an industry user and will not be editable by an industry user. The state staff user for your offset project's reviewing state will advance the Milestone Status.
- C. Upon clicking the **Save** button, the new milestone will be created. You will be navigated to the M & V Report Milestone Details page.

Figure 12-29
M & V Report Milestone Details Page

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Milestone Detail

Milestone Added.

Milestone Type	M & V Report
Milestone Status	Pending
Current Status Date	03/02/2009

Back

Milestone Report Documents

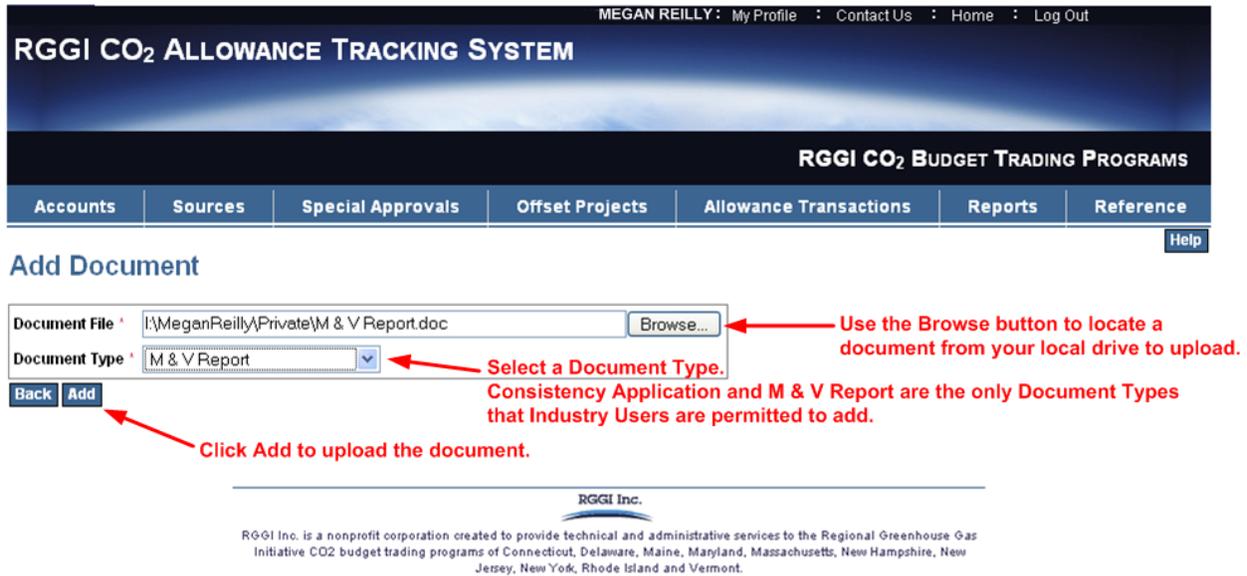
Document Name	Document Description	Document Type	Status	Date Added
No documents are associated with this milestone.				

Add ← Click the Add button to upload a milestone document.


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- 5. Add an M & V Report Milestone Document.** From the M & V Report Milestone Details page, click the **Add** button under the Milestone Report Documents grid. You will be navigated to the Add Document page.

Figure 12-30
Add M & V Report Document Page



- A. Use the **Browse** button to locate a document from your local drive to upload.
- B. Select a Document Type of M & V Report from the drop-down menu field. Consistency Application and M & V Report are the only Milestone Document Types that Industry Users are permitted to add.
- C. Click the **Add** button to add and upload the document for the project milestone.

Note: Only official state Monitoring and Verification Report submittal forms issued by the reviewing state should be uploaded to RGGI COATS. Official state submittal materials can be accessed through <https://www.rggi.org/allowance-tracking/offsets>.

- D. Upon clicking the **Add** button, you will be navigated back to the M & V Report Details page. The newly added M & V Report document will display in the Milestone Documents grid.

Figure 12-31
M & V Report Milestone Details Page with Milestone Documents

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Milestone Detail

Milestone Type M & V Report
 Milestone Status Pending
 Current Status Date 03/02/2009

Back

The newly added Milestone Document will display in the grid.
 Click the hyperlinked Document Name to download and view the document.

Milestone Report Documents

	Document Name	Document Description	Document Type	Status	Date Added
<input type="radio"/>	M & V Report.doc		M & V Report	Pending	03/02/2009

Add


 RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO2 budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island and Vermont.

- Return to the Project Detail Page.** Click **Back** to return to the Project Detail Page. On the Project Detail page, under the Project Milestones tab, the grid will display the newly added Project Milestone. Click the **Add** button to add another Project Milestone. Click the hyperlinked Milestone Type to view details and/or upload additional documents for the selected Project Milestone.

Figure 12-32
Project Detail Page, Project Milestones Grid (M & V Report)

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Project Detail

Project ID NY-LCD-1079
Project Name MEC Landfill Offset Project
Project Type Landfill methane capture and destruction
Emissions Credit Type
Reviewing State NY
Allowance Type CO2 Offset
Project Commencement Date 02/26/2009
Project Location Municipality of Anyville
Project Description Project to capture and destroy methane gas from the landfill located in the municipality of Anyville
Consistency Application Submission Date 02/24/2009

[Back](#) [Save](#) [Delete Project](#)

Project Milestones
Registered Account
Project Sponsor Organization
Project Transactions

Project Milestones

	Milestone Type	Milestone Status	Current Status Date	Complete Date	Comment	Quantity	Report Document
<input type="radio"/>	Consistency Application	Complete	02/24/2009	02/24/2009			Consistency Application.doc
<input type="radio"/>	Consistency Determination	Consistent	05/26/2009				
<input type="radio"/>	M & V Report	Pending	05/27/2009				

Click the hyperlinked Milestone Type to view and/or modify Milestone Details.

[Add](#)

Click the Add button to add another Project Milestone.

12.5 Offset Project Status and Related Project Transactions

- 1. View Project Milestone Status.** To view the status of your offset project, refer to the Project Details page, Project Milestones tab.

Figure 12-34
Project Details Page, Project Milestones grid

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Project Detail

Project ID: NY-LCD-1079
 Project Name: MEC Landfill Offset Project
 Project Type: Landfill methane capture and destruction
 Emissions Credit Type:
 Reviewing State: NY
 Allowance Type: CO2 Offset
 Project Commencement Date: 02/26/2009
 Project Location: Municipality of Anyville
 Project Description: Project to capture and destroy methane gas from the landfill located in the municipality of Anyville
 Consistency Application Submission Date: 2/24/2009

Back Save Delete Project

Project Milestones Registered Account Project Sponsor Organization Project Transactions

	Milestone Type	Milestone Status	Current Status Date	Complete Date	Comment	Quantity	Report Document
<input type="radio"/>	Consistency Application	Complete	2/24/2009	2/24/2009			Consistency Application.doc
<input type="radio"/>	Consistency Determination	Consistent	5/26/2009				Consistency Determination.doc
<input type="radio"/>	M & V Report	Complete	5/27/2009	5/27/2009			M & V Report.doc
<input type="radio"/>	M & V Determination	Approved	7/15/2009			350	M & V Determination.pdf

Add

Once the State Staff have deemed the Consistency Application Complete, the Project Detail page fields will no longer be editable.

Refer to the Milestones and Milestone Statuses added by State Staff Users.

If State Staff have issued a determination document, you may download and view it by clicking the hyperlinked document name.

- A. Click on the Project Milestones tab to view the status of your offset project.
- B. State staff users will interact with the Offset Projects module in RGGI COATS to update status information for your offset project. Some communication outside of RGGI COATS may occur between the project sponsor and state staff if revisions need to be made to any offset project documentation (Consistency Application or M & V Reports).
 - State staff from the reviewing state will determine the completeness of the project sponsor's Consistency Application. After state review, a state staff user will change the Consistency Application Milestone Status to Incomplete or Complete. Once the Consistency Application is deemed Complete, the Project Detail page fields will no longer be editable and the Consistency Application Report will be publicly available in RGGI COATS.

- After review of a complete Consistency Application by state staff in the reviewing state, state staff will issue a Consistency Determination with a status of Consistent or Inconsistent. A state staff user will change the Consistency Application Milestone Status to Consistent or Inconsistent.
- State staff from the reviewing state will determine the completeness of the project sponsor's periodic M & V Report. After state review, a state staff user will change the M & V Report Milestone status to Incomplete or Complete. Once the M & V Report is deemed Complete, it will be publicly available in RGGI COATS.
- After review of a complete M & V Report by state staff in the reviewing state, state staff will issue an M & V Determination for each M & V Report submission with a status of either Approved or Denied and will identify the quantity of any awarded CO₂ allowances. A state staff user will change the M & V Report Milestone Status to Approved or Denied. For an approved M & V Report, a state staff user will enter the number of awarded CO₂ offset allowances.

2. View Project Transactions. To view any allowance transactions associated with your offset project, refer to the Project Detail Page, Project Transactions tab.

Note: Transactions will only appear in the Project Transactions grid after a state staff user has completed the transaction in RGGI COATS. If the award of CO₂ offset allowances to a project sponsor's general account has been approved, but the allowance transfer has not yet been completed, it will not display in this grid.

Figure 12-35
Project Details Page, Project Transactions Grid

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Project Detail

Project ID NY-LCD-1079
Project Name MEC Landfill Offset Project
Project Type Landfill methane capture and destruction
Emissions Credit Type
Reviewing State NY
Allowance Type CO₂ Offset
Project Commencement Date 02/26/2009
Project Location Municipality of Anyville
Project Description Project to capture and destroy methane gas from the landfill located in the municipality of Anyville
Consistency Application Submission Date 03/02/2009

Back Save Delete Project

Project Milestones Registered Account Project Sponsor Organization **Project Transactions**

Project Transactions

Transaction ID	Transaction Type	Acquiring Account	Status Date	Allowances Transferred
rgg1911	Allocation	GN10797: MEC General Account	7/15/2009	350

Total Allowances Transferred: 350

The Project Transactions tab displays all allowance transactions for the selected offset project.

Click on the Transaction ID to view the transaction confirmation page.

Displays a running total of allowances transferred for the selected offset project.

- A. Click on the Project Transactions tab to view transactions related to your offset project. If an M & V Report is approved by the reviewing state, a state staff user from the reviewing state will interact with the Allowance Transactions module in RGGI COATS to award CO₂ offset allowances related to your offset project to your general account.
- B. Click the hyperlinked Transaction ID to view the confirmation page for the transaction.

**Figure 12-36
Transaction Confirmation Page**

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Allowance Transaction Confirmation

Review transaction details below.

Transaction ID	rggi1911
Transaction Date	7/15/2009
Recorded Date	7/15/2009
Transaction Type	Allocation
Project ID	NY-LCD-1079: MEC Landfill Offset Project

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<p>Transferring Account</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Account Number</td> <td>NY0107</td> </tr> <tr> <td>Account Name</td> <td>New York Origination Account</td> </tr> <tr> <td>State</td> <td>NY</td> </tr> </table>	Account Number	NY0107	Account Name	New York Origination Account	State	NY	<p>Acquiring Account</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Account Number</td> <td>GN10797</td> </tr> <tr> <td>Account Name</td> <td>MEC General Account</td> </tr> <tr> <td>State</td> <td>All States</td> </tr> <tr> <td>Authorized Account Representative</td> <td>Crotsley, Megan</td> </tr> </table>	Account Number	GN10797	Account Name	MEC General Account	State	All States	Authorized Account Representative	Crotsley, Megan
Account Number	NY0107														
Account Name	New York Origination Account														
State	NY														
Account Number	GN10797														
Account Name	MEC General Account														
State	All States														
Authorized Account Representative	Crotsley, Megan														

Allowances Transferred

Allocation Year	Type	Originating State	Serial Range	Quantity
2009	CO2 Offset	NY	505194934-505195283	350

Total Allowances Transferred: 350

Transaction Status History

Date	Transaction Status
7/15/2009	Complete