RGGI COATS User's Guide for Version 2.9

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

February 2020

Table of Contents

Page

1.0 Overview ... 1
1.1 Key RGGI COATS Concepts and Definitions ... 1
1.2 General Tips and Data Entry Conventions ... 2
2.0 Registering to be a RGGI COATS User ... 4
2.1 Steps to Complete Registration for Pre-Registered, Invited Users ... 4
2.2 Steps to Request a RGGI COATS User Login ... 6
3.0 Steps to Login to RGGI COATS ... 8
3.1 Steps to Enter Username and Password ... 8
3.2 Steps to Certify for General Accounts Represented, Compliance Accounts Represented, and Accounts Represented as an Electronic Submission Agent ... 9
4.0 Steps to Update Personal Information, including Adding Agents ... 10
5.0 Steps to Create a General Account ... 17
6.0 Steps to View and Maintain Account Details ... 22
6.1 Steps to View and Maintain General Account Details ... 23
6.2 Steps to View and Maintain Compliance Account Details ... 27
6.3 Steps to View Account Balance Report ... 31
7.0 Steps to View and Maintain Source Details ... 33
8.0 Allowance Transactions ... 39
8.1 Reviewing Completed Transactions ... 39
8.2 Steps to Complete an Allowance Transfer ... 41
9.0 Special Approvals ... 63
9.1 Special Approvals Homepage ... 63
9.2 Steps to Create a Special Approvals Application ... 66
9.3 View Application Contacts ... 75
9.4 Adding a Special Approvals Application and/or Other Additional Application Documentation (if applicable) ... 78
9.5 View Application Status and Related Application Transactions ... 82
10.0 Emissions ... 88
10.1 Emissions Homepage ... 88
11.0 Compliance ... 93
11.1 Compliance Homepage ... 94
11.2a Process True-Up (Draft Interim Compliance Assessment) ... 95
11.2b Process True-Up (Draft Compliance Assessment) ... 97
12.0 Offset Projects ... 108
12.1 Offset Projects Homepage ... 108
12.2 Project Sponsors Homepage ... 110
12.3 Steps to Create an Offset Project ... 112
12.4 Adding Project Milestones and Project Milestone Documents (Consistency Application and Monitoring and Verification Report) ... 121
12.5 Offset Project Status and Related Project Transactions ... 131

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 CO_2 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 (CO_2), 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 CO_2 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 CO_2 Budget Trading Programs. RGGI COATS users are subject to relevant requirements of the CO_2 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 CO_2 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 CO_2 allowances (and/or CO_2 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 CO_2 budget source and each CO_2 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 CO_2 budget units at the source to represent and legally bind each owner and operator in matters pertaining to the CO_2 Budget Trading Program or, for a general account, the natural person who is authorized to transfer or otherwise dispose of CO_2 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 CO_2 Allowance Tracking System account that is not a compliance account, set-aside, retirement, or surrender (compliance deduction) account.

A **CO_2 Budget Source** is a source that includes one or more CO_2 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 **CO_2 Budget Unit at the Source** is a unit that is subject to the CO_2 Budget Trading Program requirements. A unit is a fossil fuel-fired stationary boiler, combustion turbine, or combined cycle system.

A **CO_2 Cost Containment Reserve (CCR) Allowance** is a CO_2 allowance that is offered for sale at an auction by a state for the purpose of containing the cost of CO_2 Allowances. CO_2 CCR allowances offered for sale at an auction are separate from and additional to CO_2 allowances allocated from the state CO_2 Budget Trading Program base and adjusted budgets.

A **CO_2 Offset Allowance** is a CO_2 allowance awarded to the project sponsor of a CO_2 emissions offset project and is subject to relevant compliance deduction limitations.

A **Compliance Account** is a CO_2 Allowance Tracking System account established for a CO_2 budget source, in which are held CO_2 allowances available for use by the source for a control period and each interim control period for the purpose of meeting the source's CO_2 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 CO_2 offset allowances, provided it meets all applicable state regulatory requirements.

Special Approvals is the module by which special applications and the award of CO_2 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 (*).

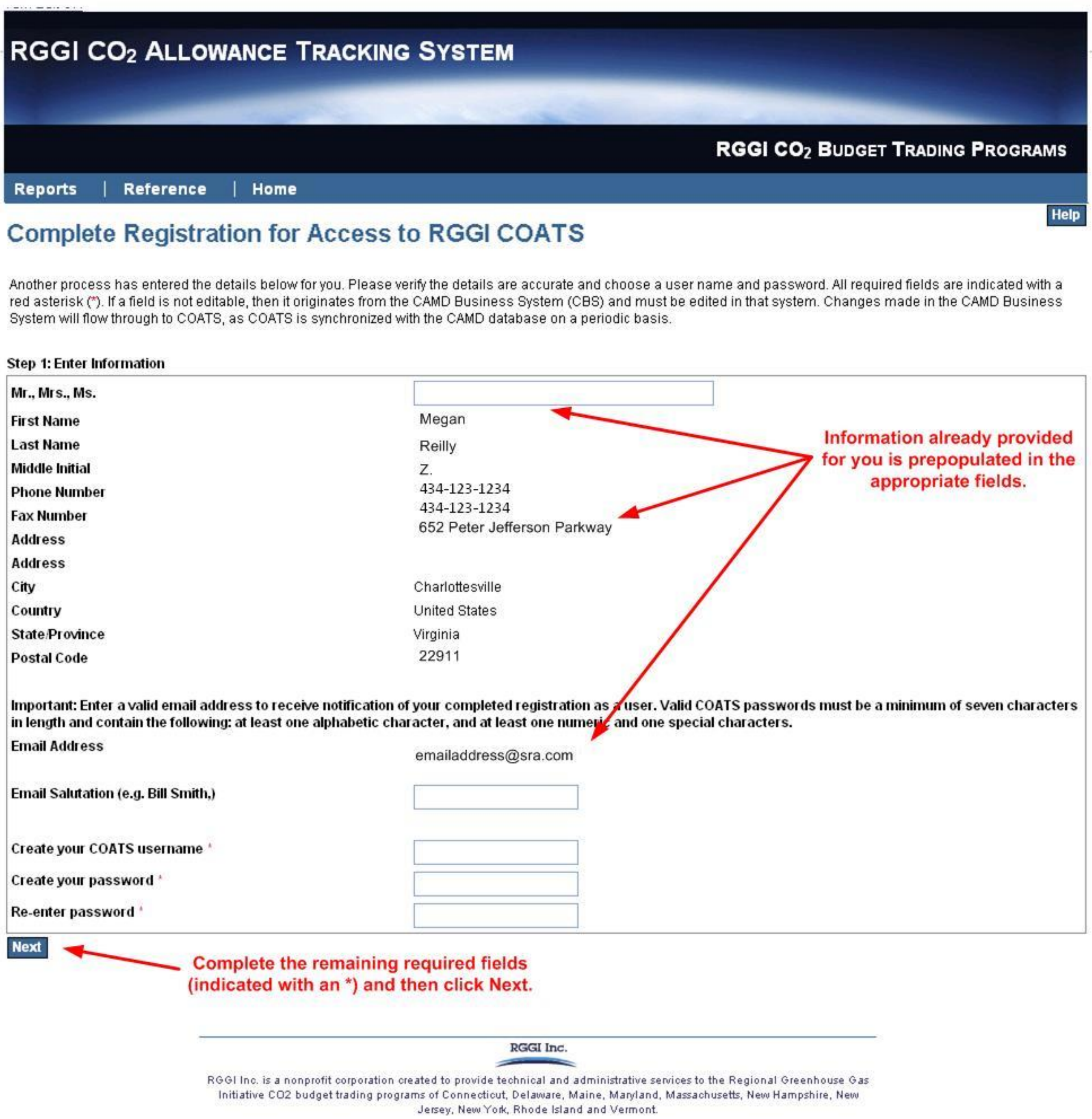
2.0 Registering to be a RGGI COATS User

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



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

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

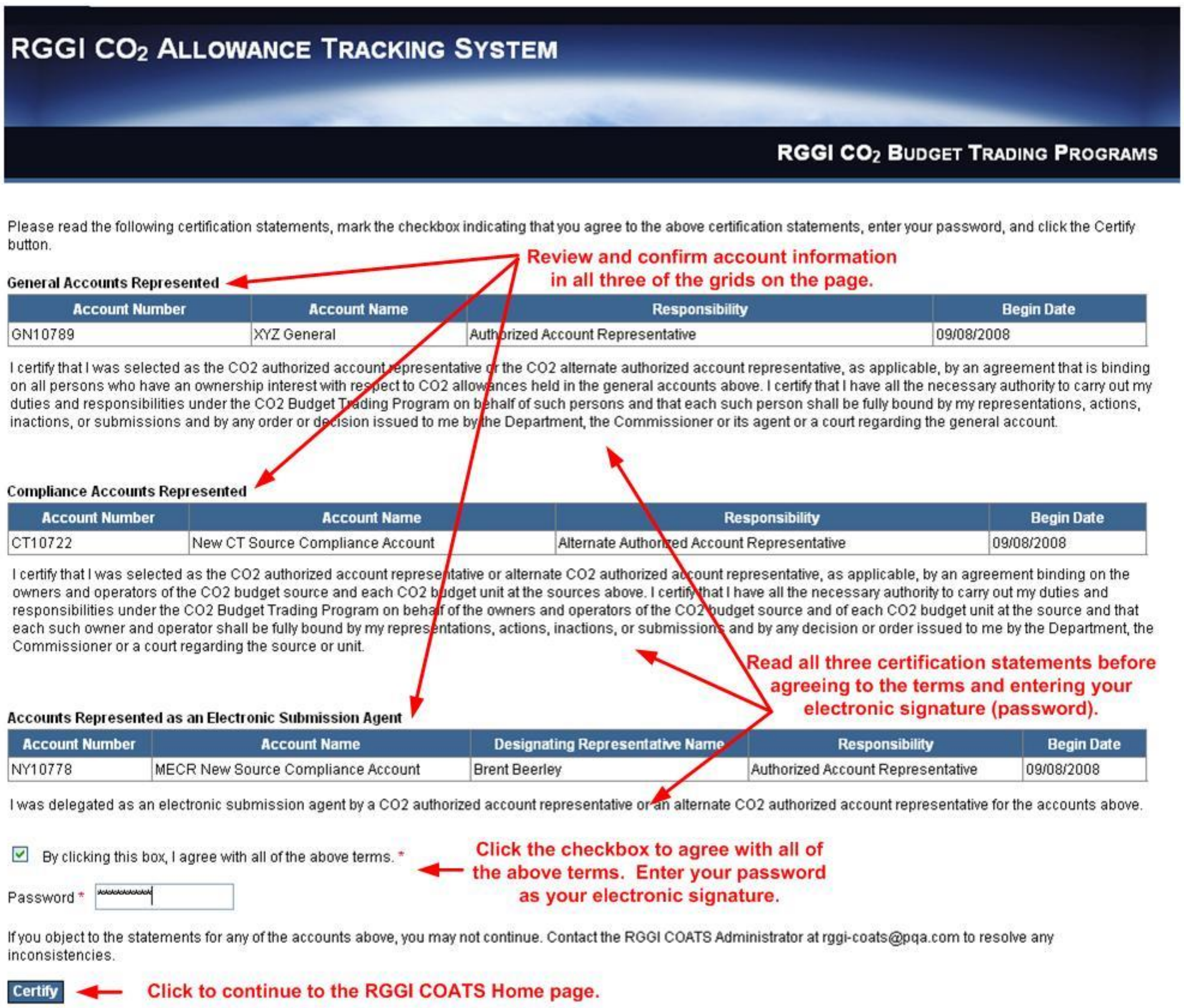
3.2 Steps to Certify for General Accounts Represented, Compliance Accounts Represented, and Accounts Represented as an Electronic Submission Agent

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



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 CO_2 Allowance Tracking System banner. This will bring you to My Web Profile page.

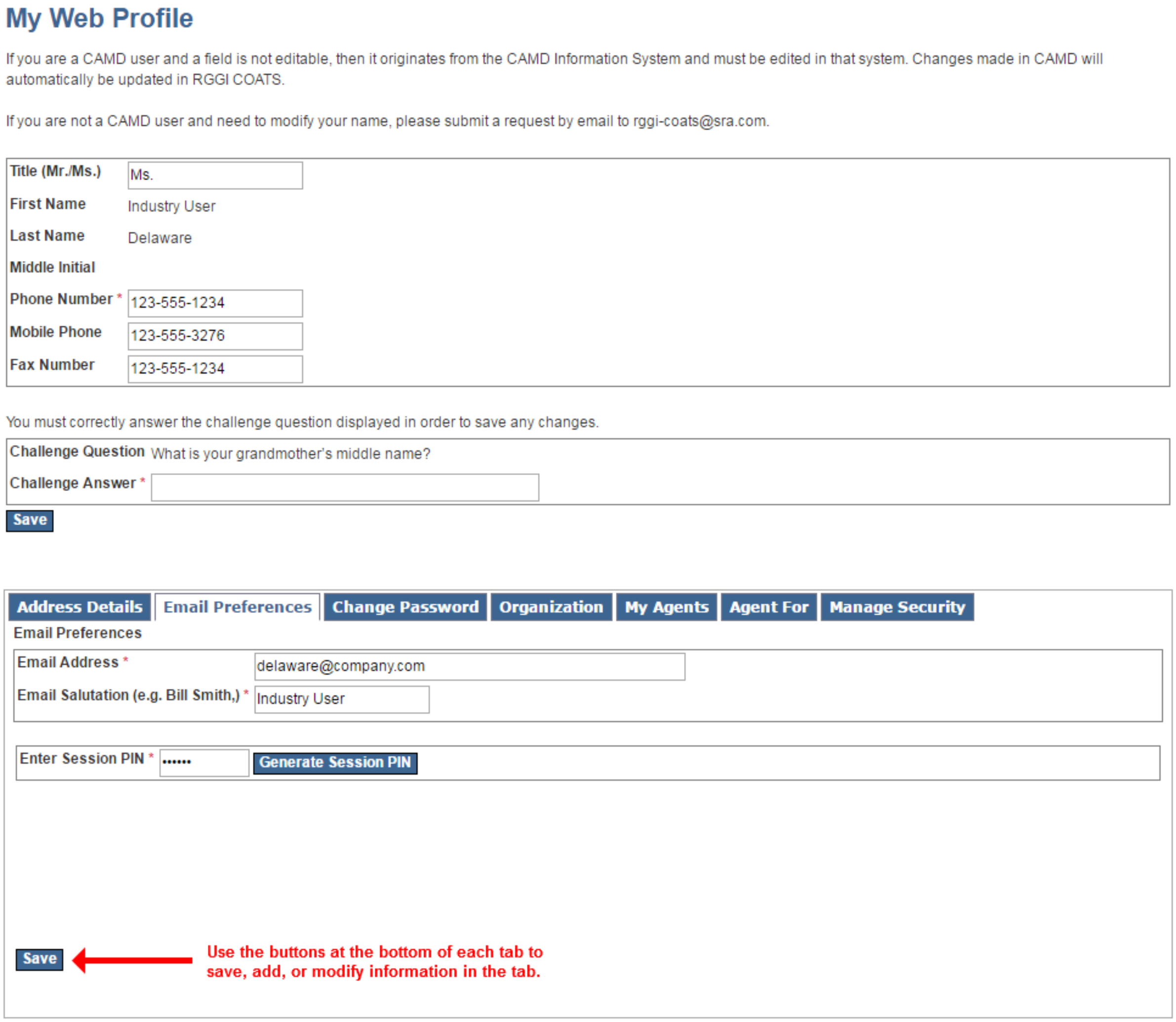
Figure 4-1
My Profile Link

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

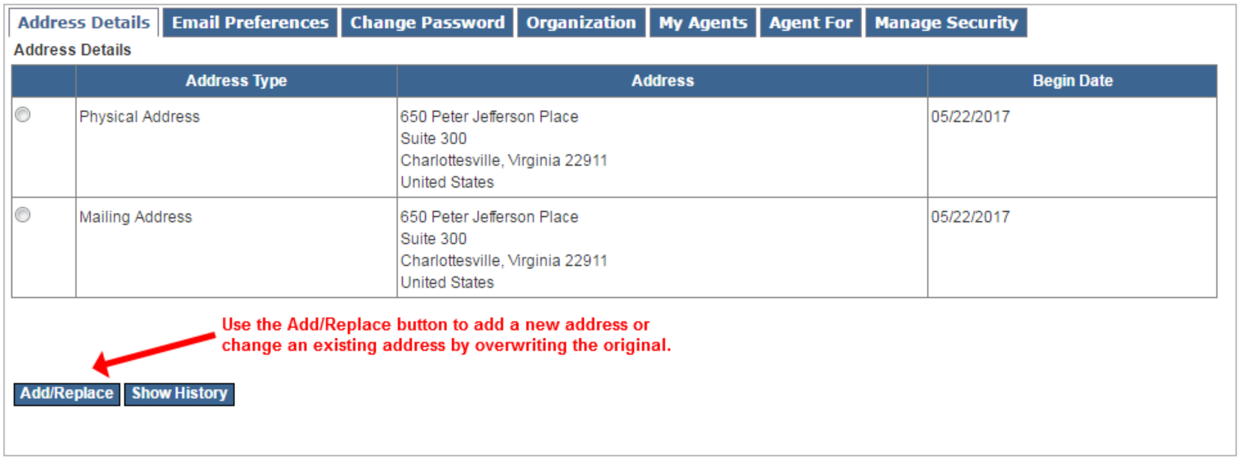


3. **Manage Email Preferences (Email Preferences Tab).** To change your email address or the email salutation, click on the Email Preferences tab. Enter a new email address or salutation, generate a session PIN, retrieve it from your email, and enter the session PIN. Click the **Save** button.

   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



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.

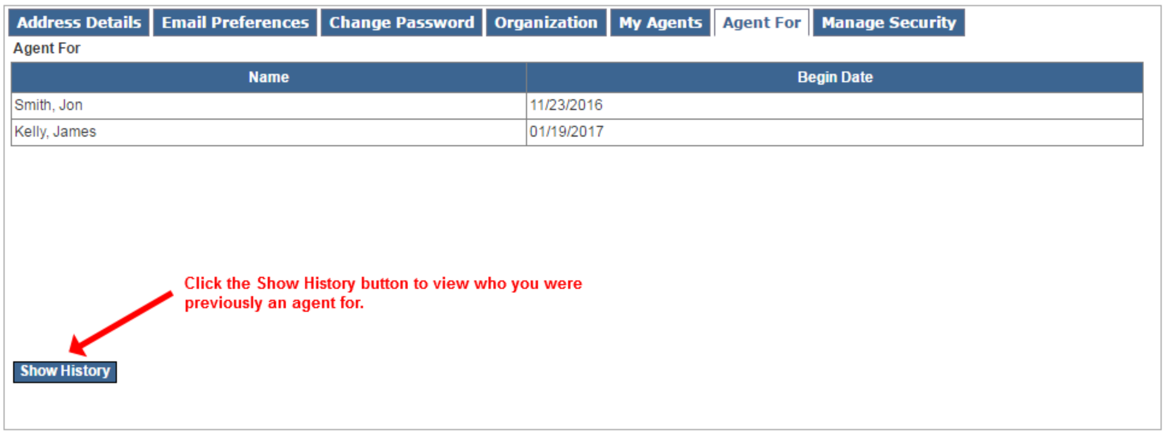
B. End Agent Relationship. To end the agent relationship, fill the radio button next to the person's name. Click the **End Relationship** button and select a date from the calendar.

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.

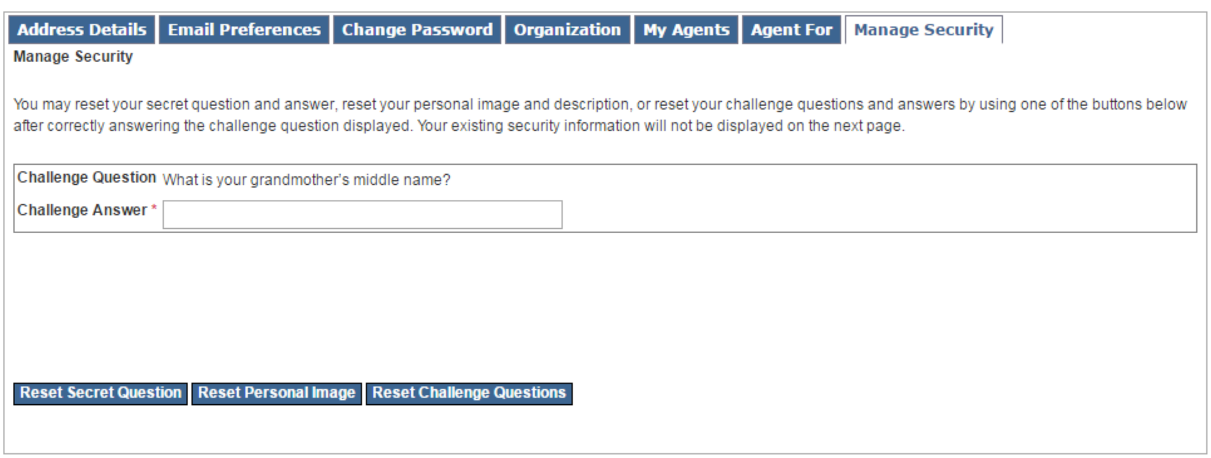
- **Confirm Organization Relationship.** On the Confirm Organization Relationship page, click the **Confirm** button.

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.

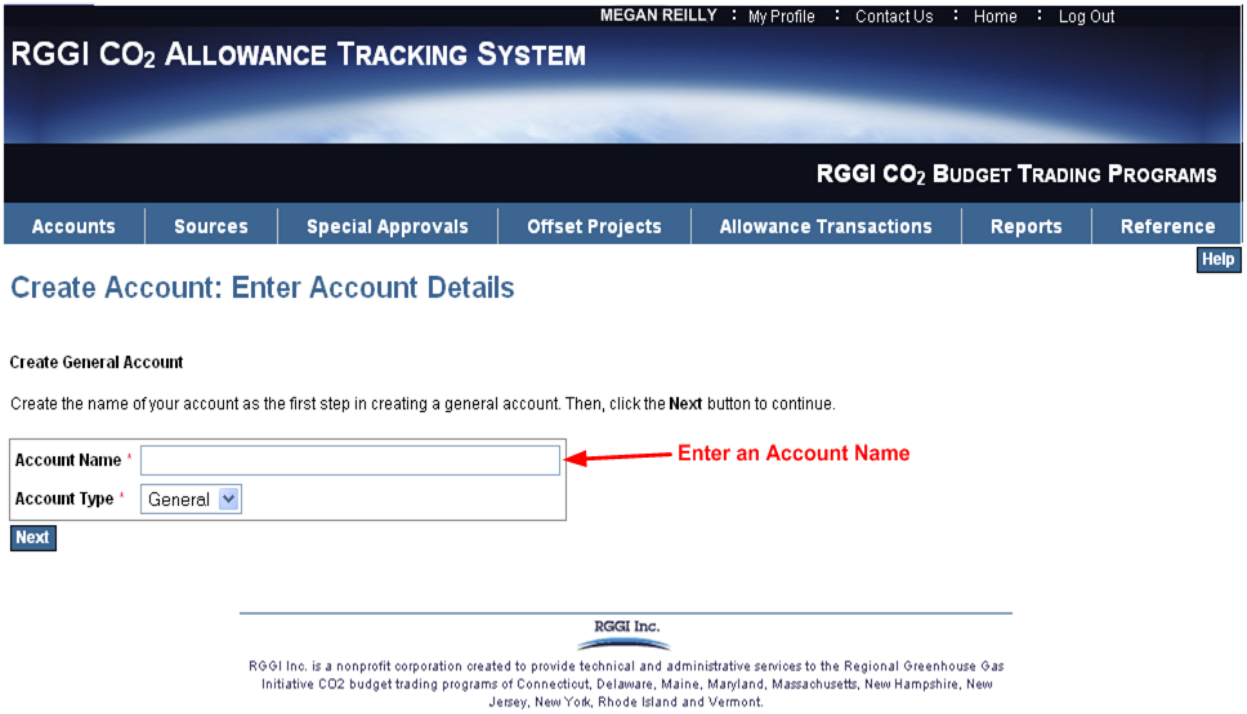
- **Update Challenge Questions.** When prompted, provide the challenge question information requested and click the **Save** button.

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.

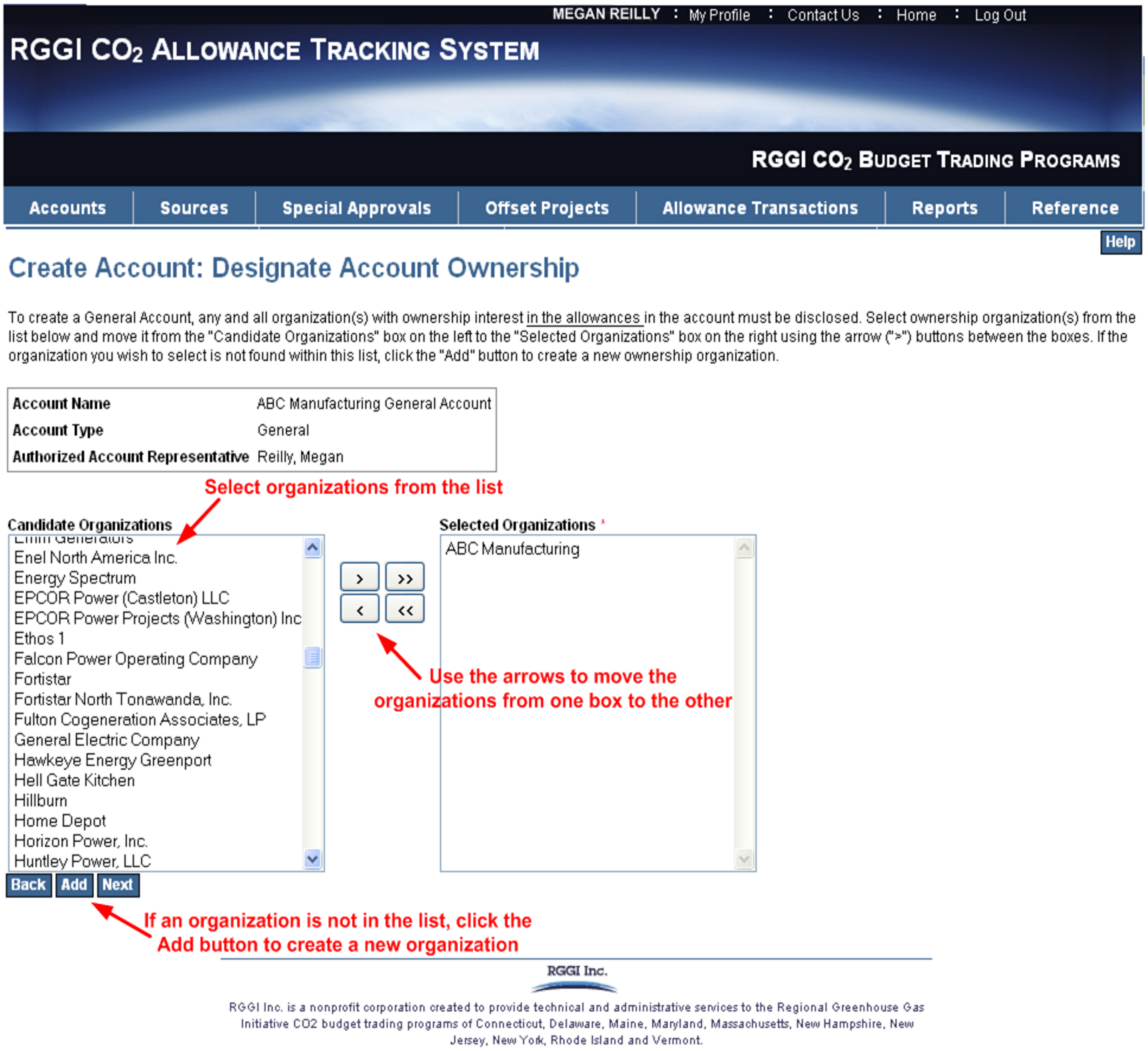
2. **Assign Account Name and Account Type.** On the Create Account: Enter Account Details page, enter an Account Name, and verify that General is selected in the Account Type drop-down list. Click the **Next** button.

Figure 5-1
Create Account: Enter Account Details



3. **Designate Account Ownership.** You must select or add organizations that hold ownership interest in the CO_2 allowances held in the general account.

Figure 5-2
Create Account: Designate Account Ownership



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.

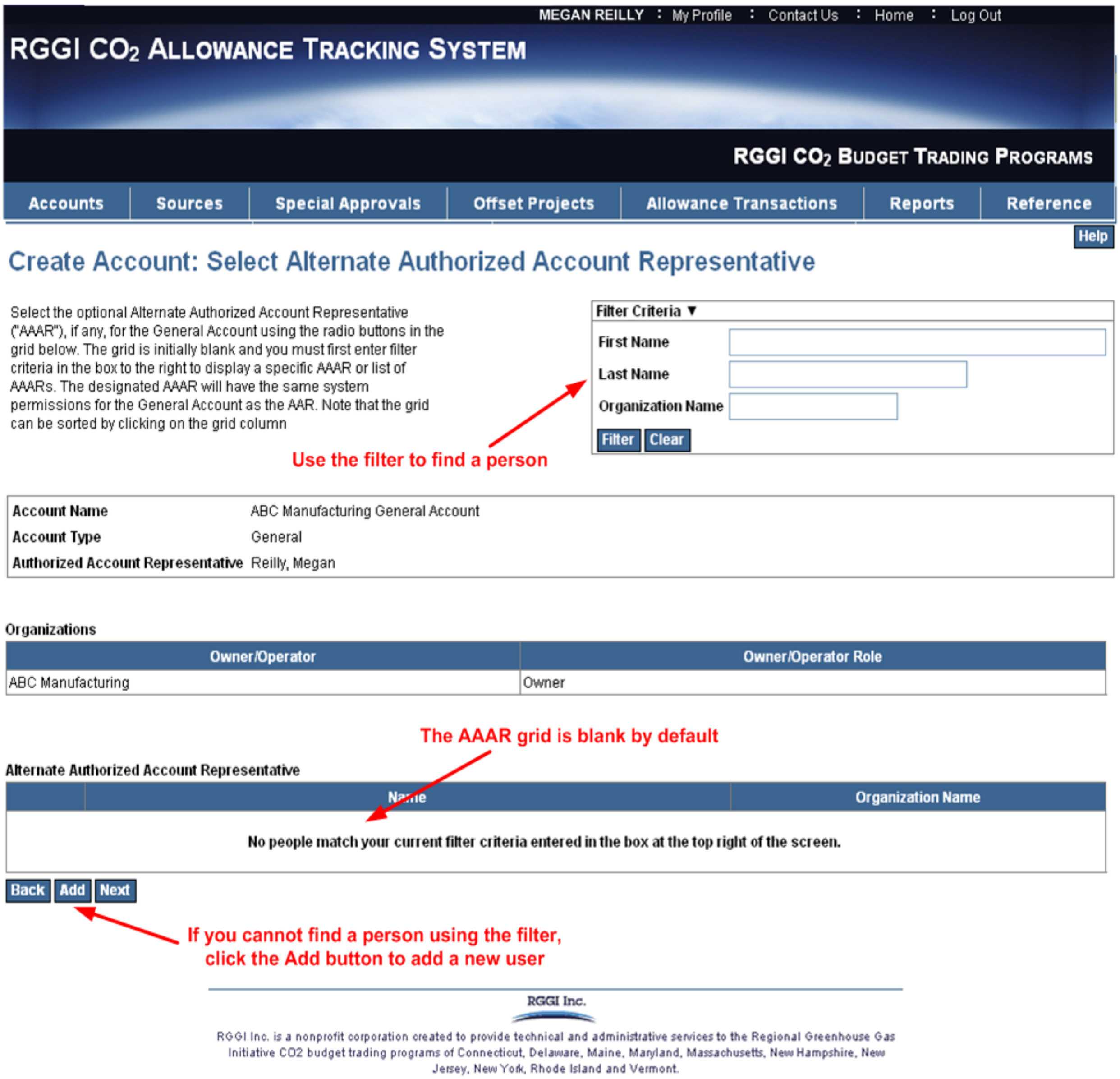
   Use the ">" and "<" buttons to move the organization(s) between the Candidate Organizations and Selected Organizations boxes.

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

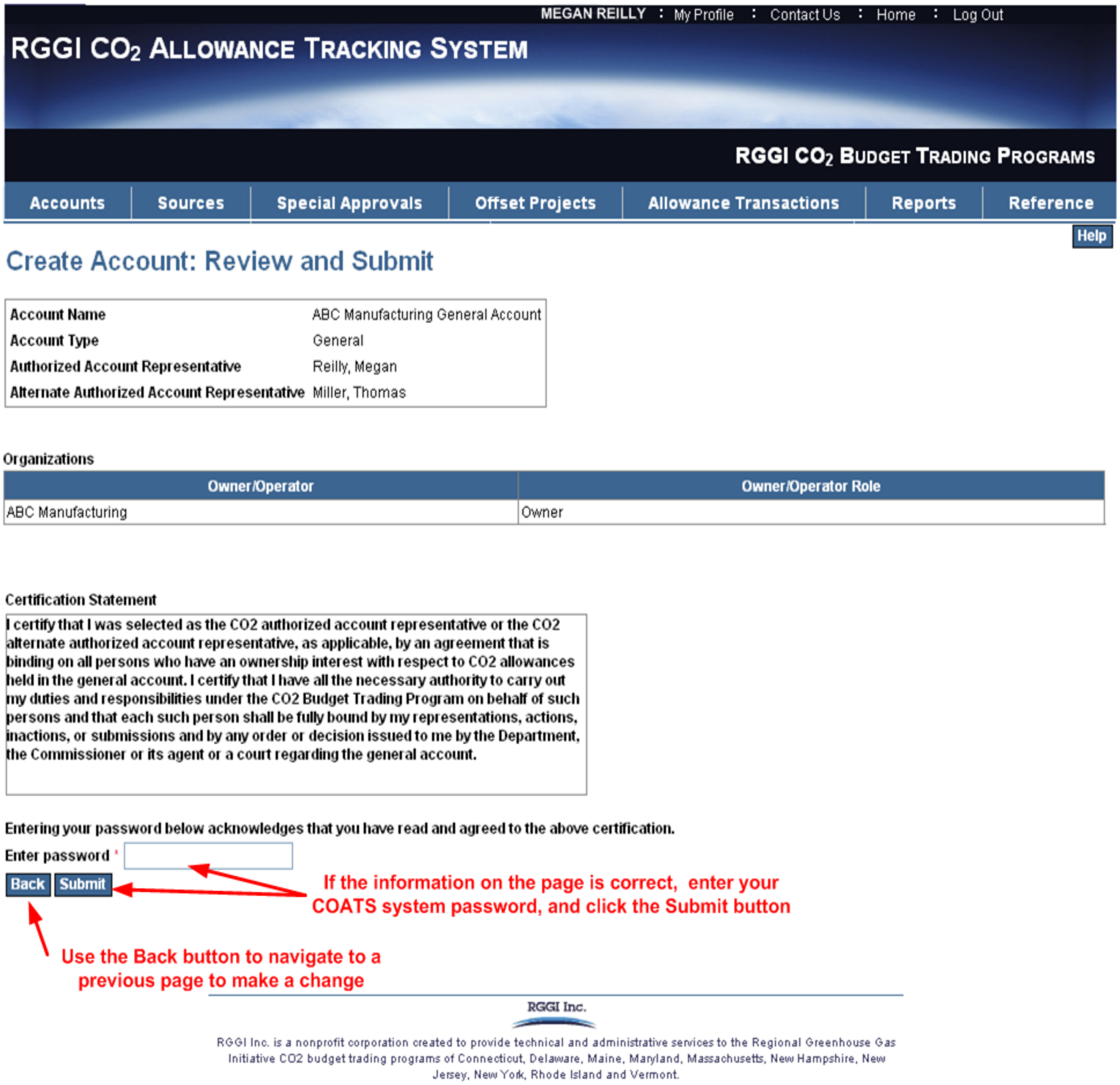


A. **Select an Existing RGGI COATS User.** To designate an existing user as an AAAR for this account, use the filter at the top right corner of the page to search for the person. Enter the user's Last Name, First Name, and/or Organization and click the **Filter** button. Existing users matching your 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



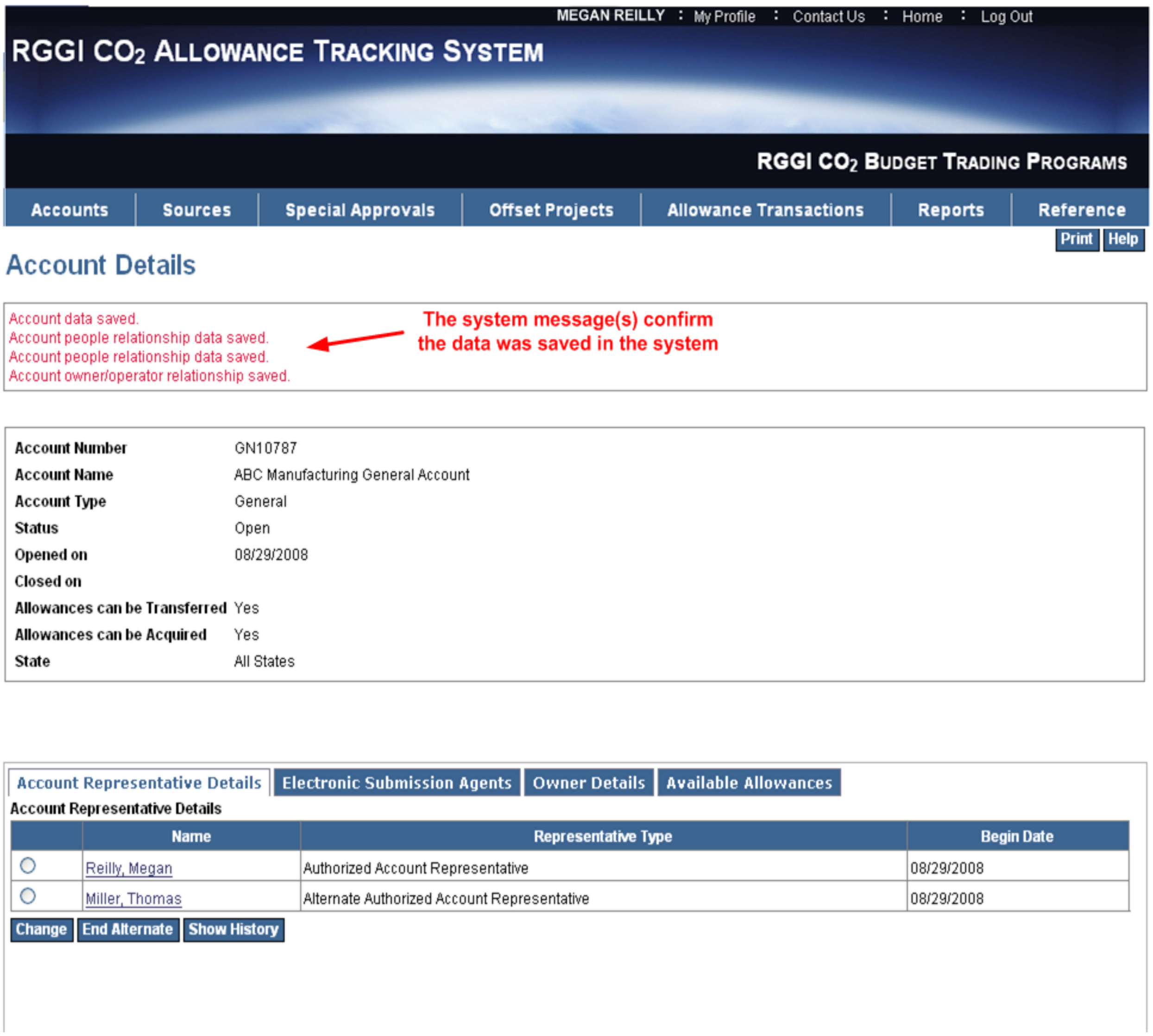
6.0 Steps to View and Maintain Account Details

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

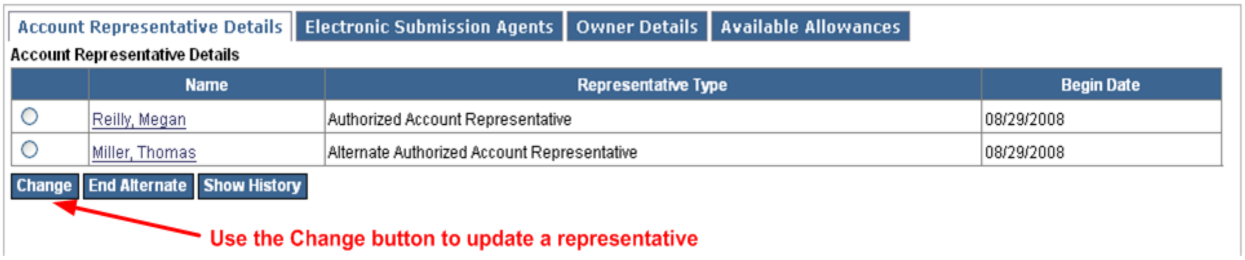
Figure 6-1
General Account Details Page



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



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.

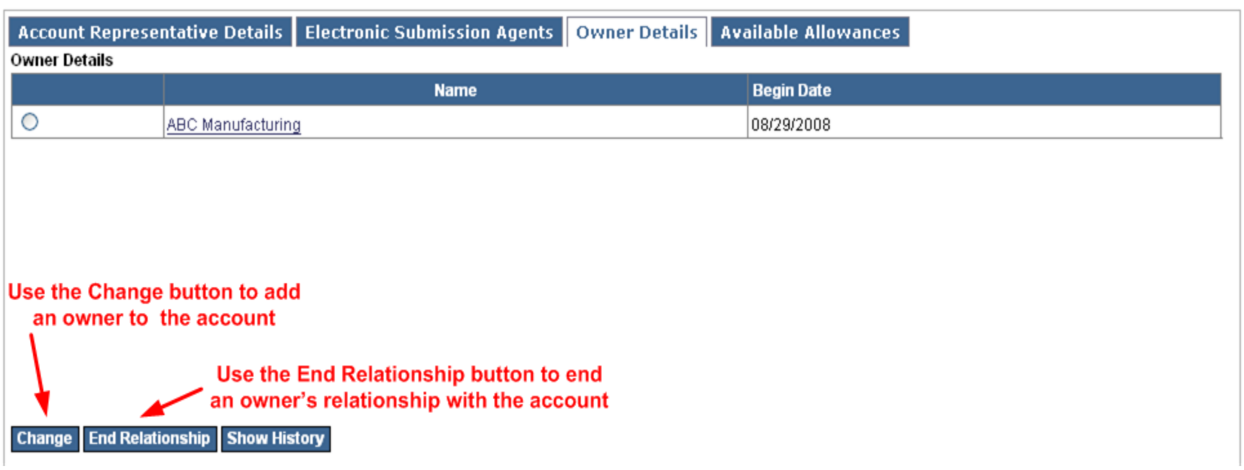
D. View Representative Details. To view or change representative information, click on the Name link in the Account Representative Details grid. This will take you to the Person Details page where you can view representative details including contact information and affiliated organizations.

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

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



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.

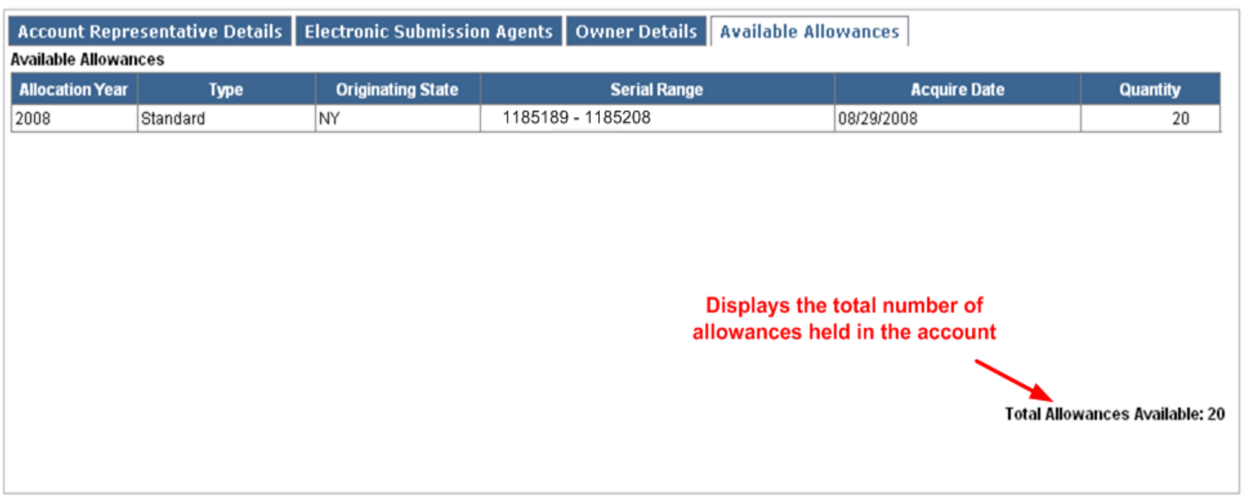
B. **End Owner Relationship.** To end an owner relationship with the account, fill the radio button next to the organization's name. Click the **End Relationship** button.

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.

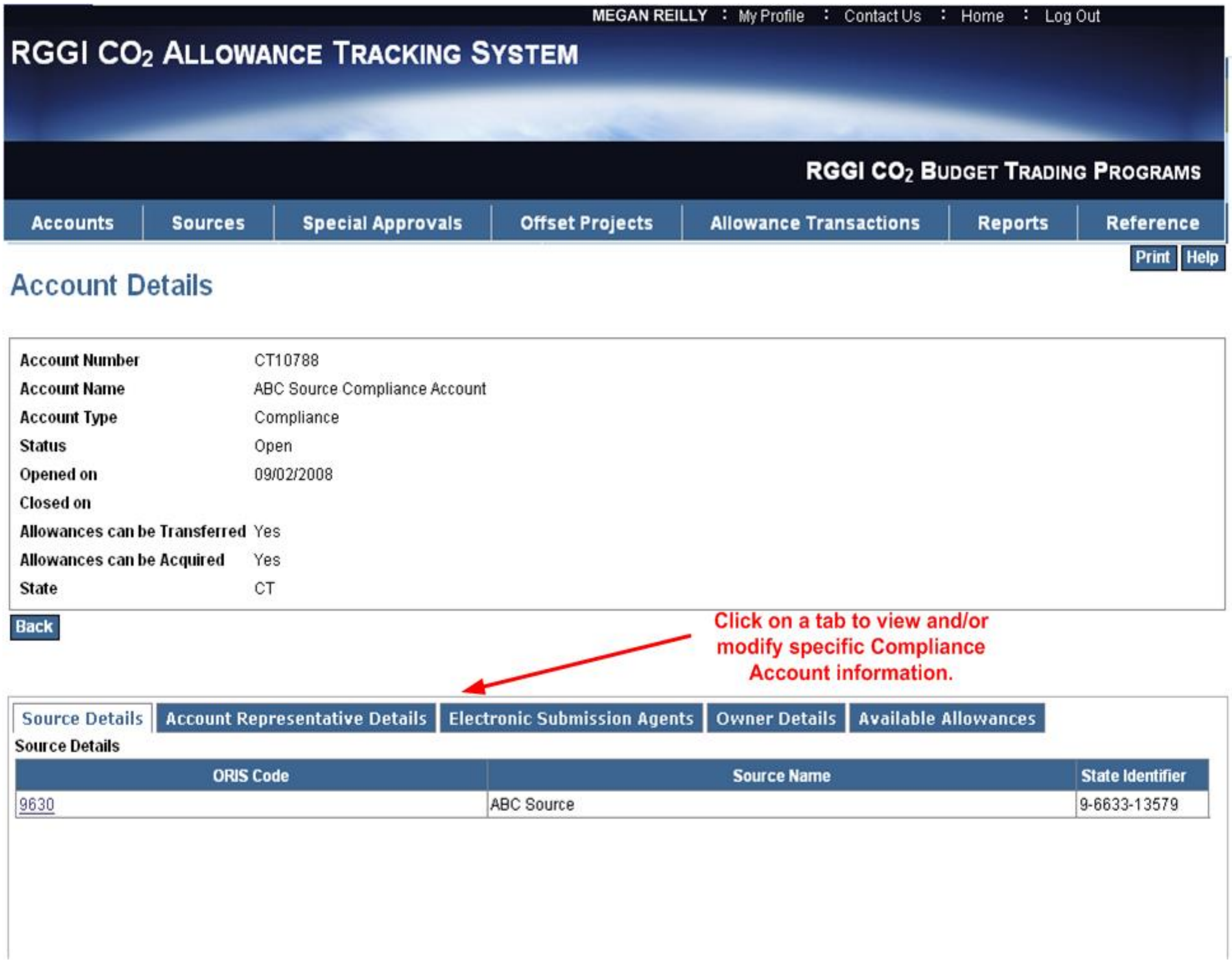
Figure 6-5
Available Allowances Tab



Allocation Year	Type	Originating State	Serial Range	Acquire Date	Quantity
2008	Standard	NY	1185189 - 1185208	08/29/2008	20

6.2 Steps to View and Maintain Compliance Account Details

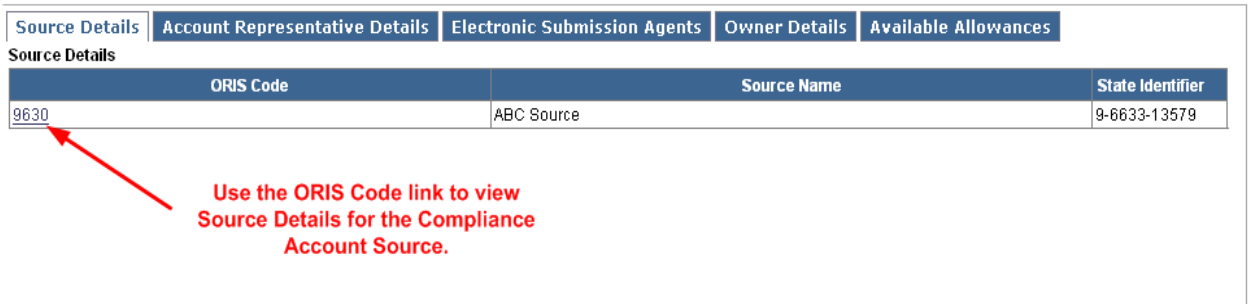
Figure 6-6
Account Details Page



1. **View Account Details.** Review the information in the top block to confirm that the Account Name is correct.

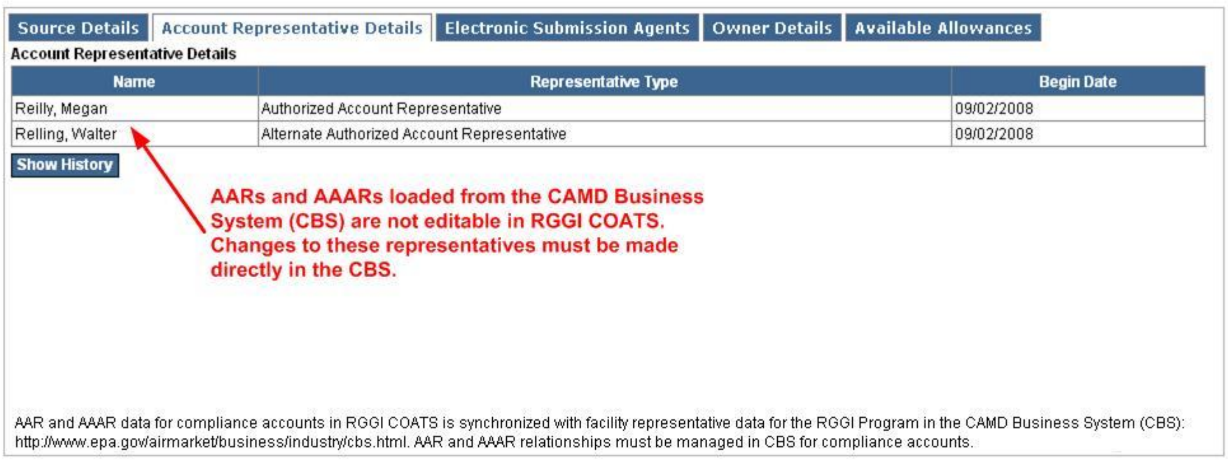
2. **View Source Details (Source Details Tab).** To view source information for the compliance account, click on the Source Details tab. Click on the ORIS Code link to view and/or manage Source Detail information, see Section 7.0.

Figure 6-7
Source Details Tab



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



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.

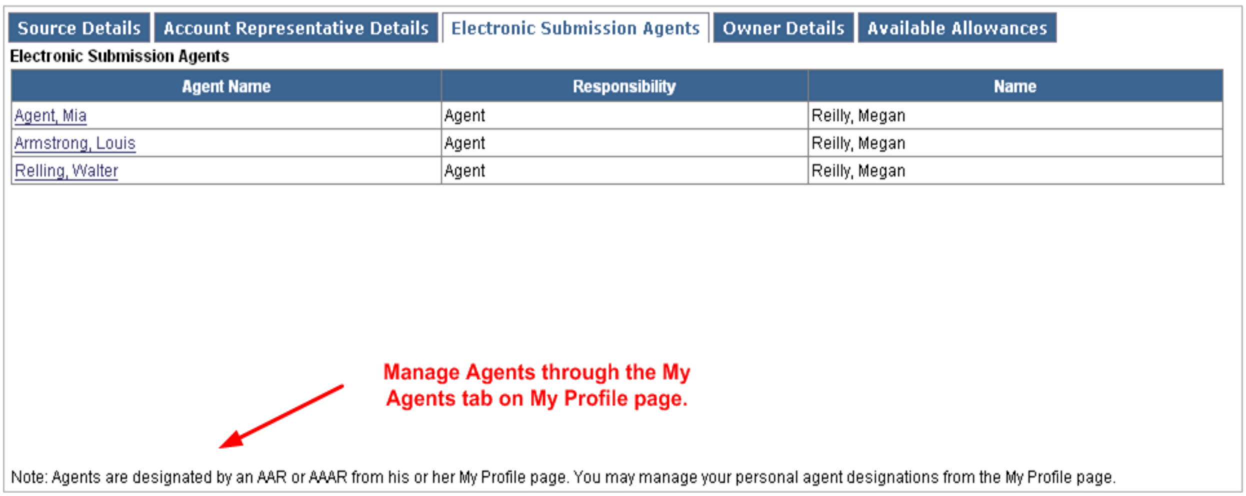
B. **End AAAR Relationship.** Ending the AAR or AAAR relationship with the source and compliance account will need to be managed directly in the CAMD Business System (CBS) (see https://www.epa.gov/airmarkets for more information about the

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.

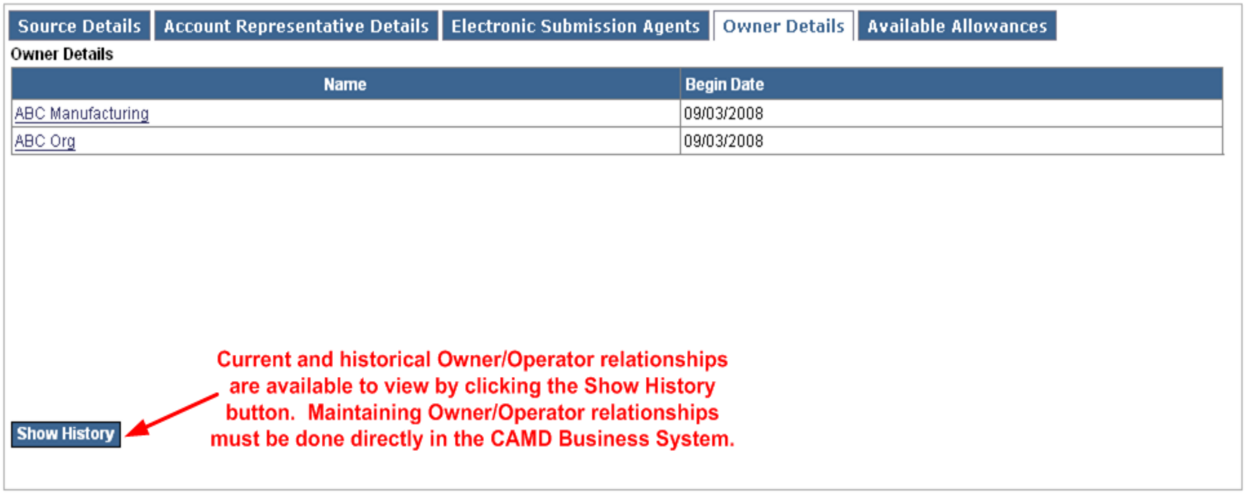
4. **View Electronic Submission Agents (Electronic Submission Agents Tab).** To view agents designated by the AAR or AAAR, click on the Electronic Submission Agents tab. The grid lists all agents. To modify agent relationships, see Section 4.0, Step 6.

Figure 6-9
Electronic Submission Agents Tab



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

Figure 6-10
Owner Details Tab



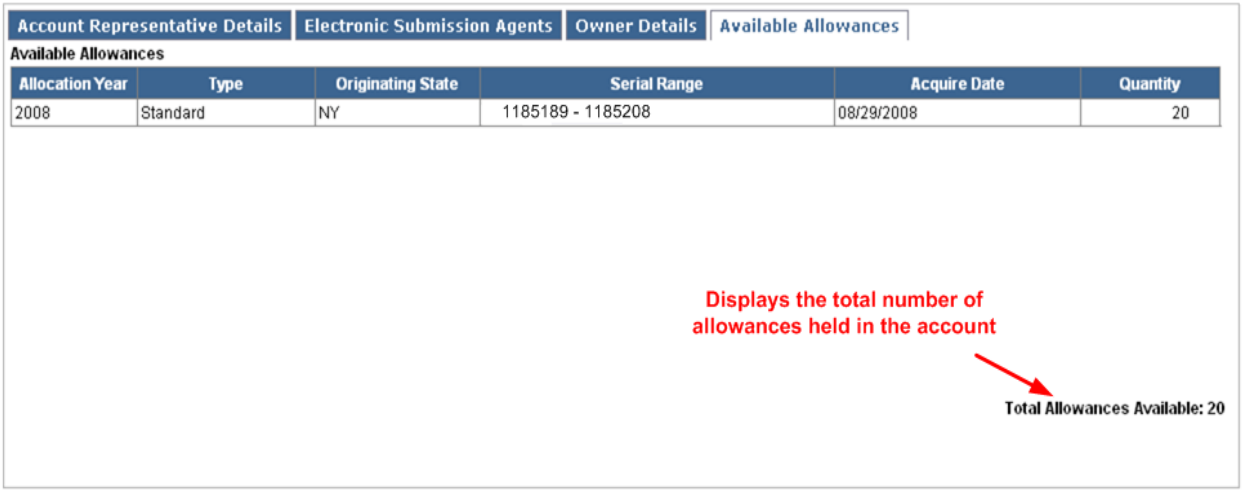
A. **Change Owner or Operator.** Owners, Operators, and Owner/Operators for RGGI COATS Compliance Accounts will be loaded and maintained from the CAMD Business System (CBS). Owner/Operator relationships will not be editable in RGGI COATS, and will need to be managed directly in the CAMD Business System (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

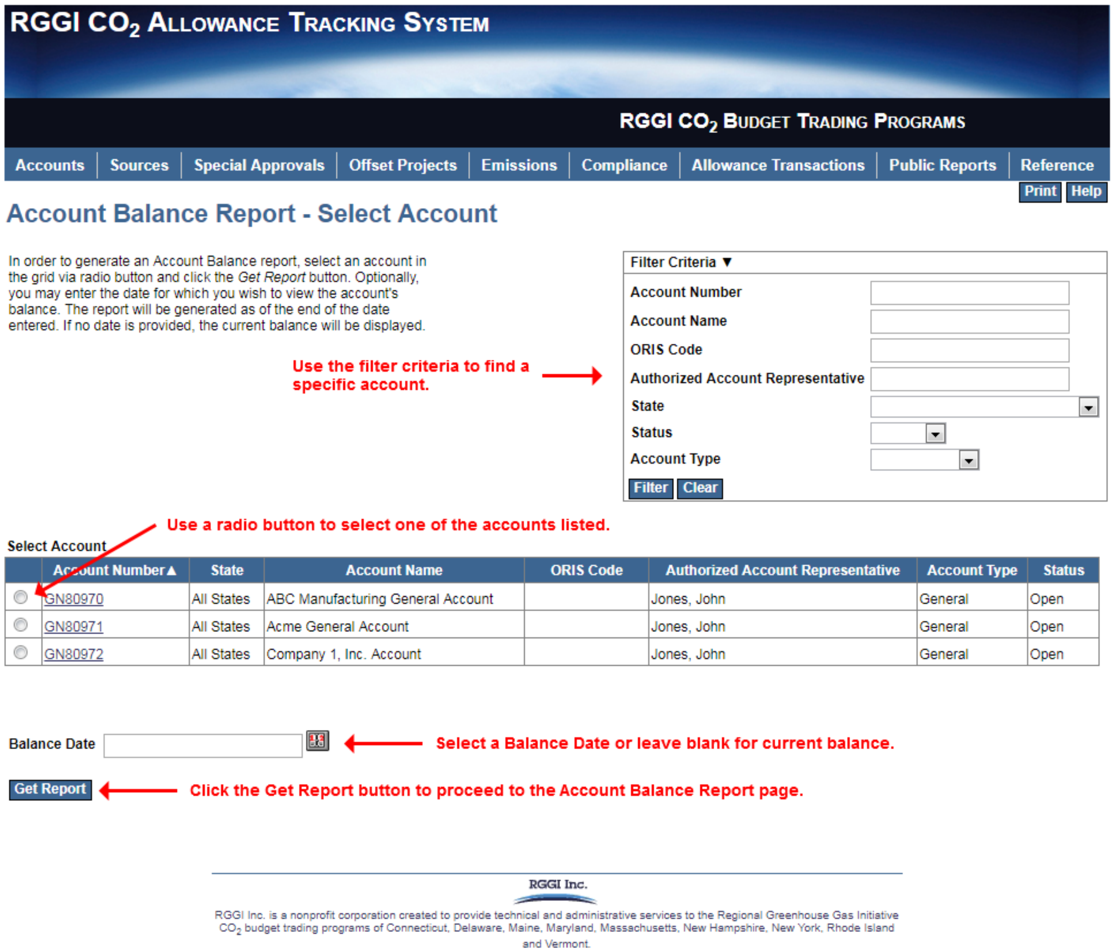


6.3 Steps to View Account Balance Report

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.

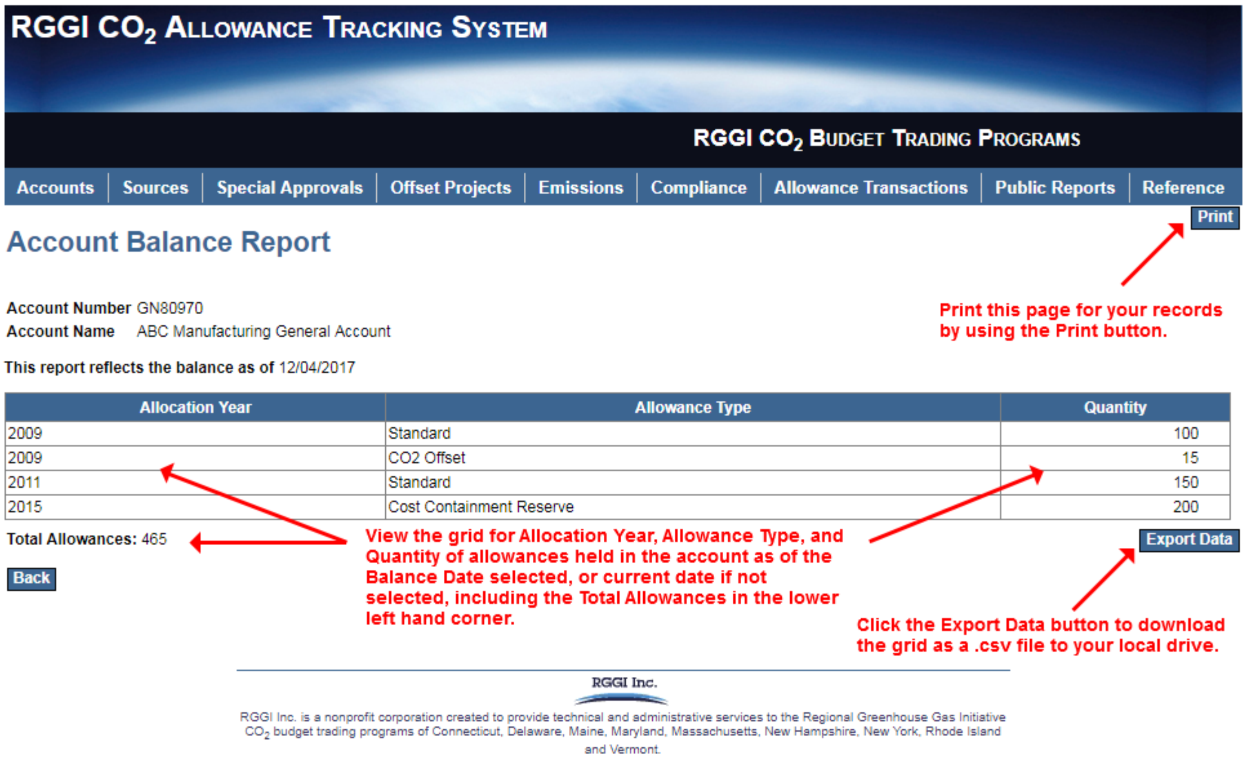
2. This will bring you to the **Account Balance Report - Select Account** page, which displays all accounts for which you have been associated as an Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or Electronic Submission Agent (Agent). Use the filters to locate a specific account, or scroll through the list to select an account.

Figure 6-12
Account Balance Report - Select Account Page



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



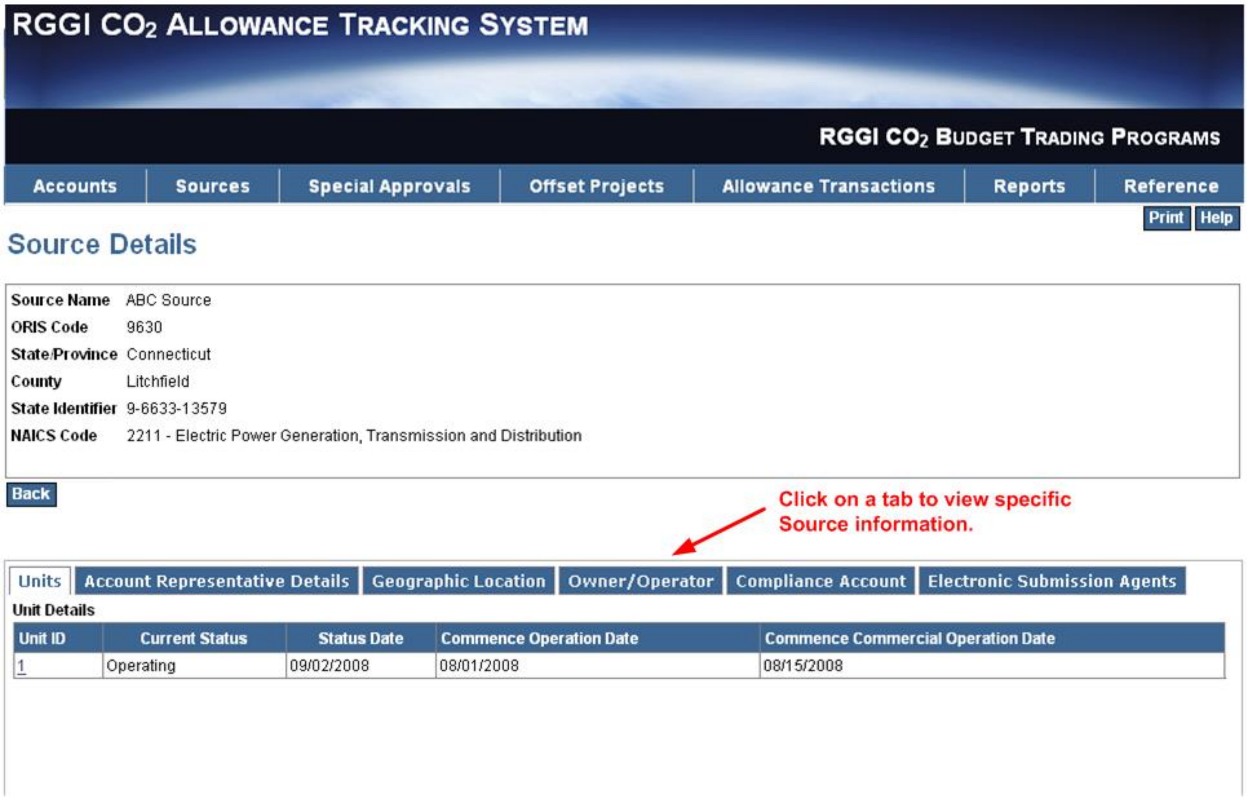
7.0 Steps to View and Maintain Source Details

1. **Go to the Sources Page.** Click on the **Sources** link in the menu navigation bar below the RGGI CO_2 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

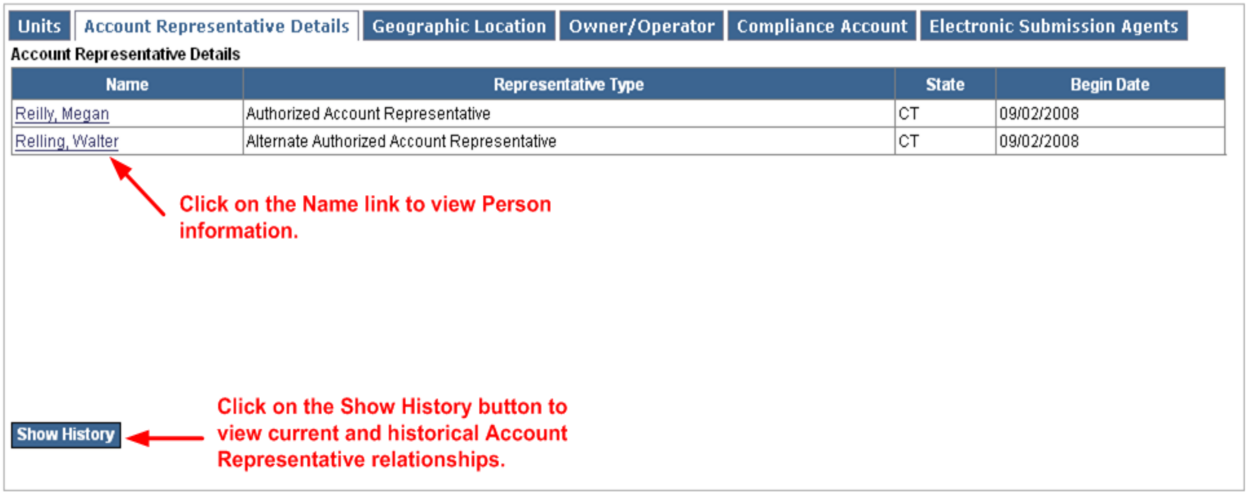


3. **View Source Details.** Review the information in the top block to confirm that the Source Name, ORIS Code, State, County, and NAICS Code are correct. Source Name, ORIS Code, State, County, and NAICS Code will be loaded and maintained from the CAMD Business System. These fields will not be editable 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



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.

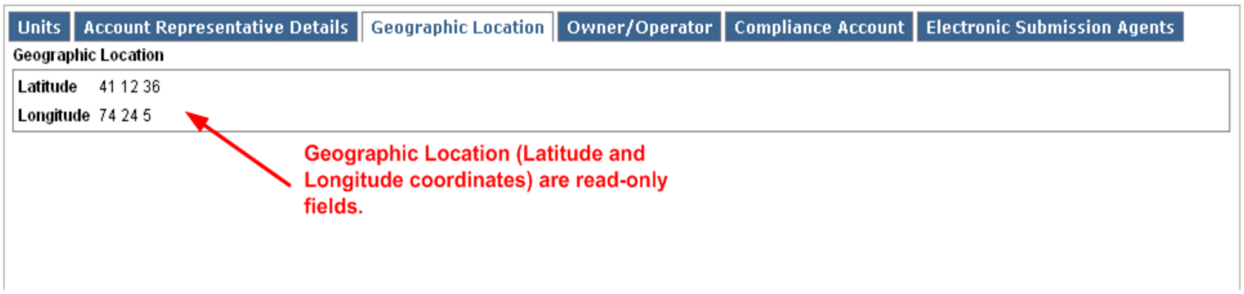
B. **Show Representative History.** To view a list of all current and past account representatives, click on the **Show History** button. All current and past account representatives will be displayed in the grid with an End Date.

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

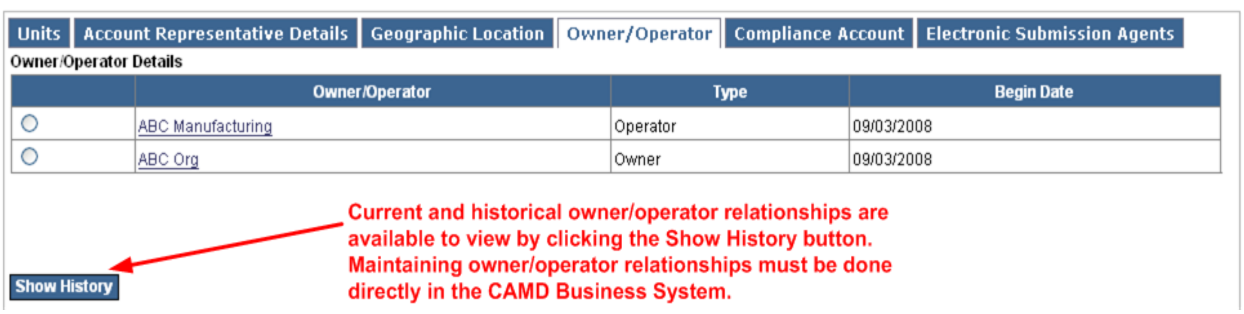
the CAMD Business System). Any changes made in CBS will flow through to RGGI COATS on a periodic basis. Data from CBS will supersede data in RGGI COATS.

Figure 7-4
Source Geographic Location Tab



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

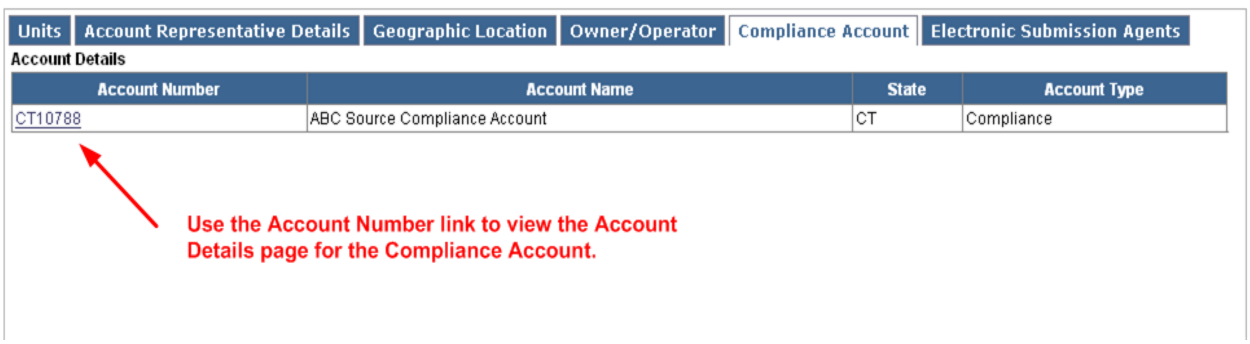


A. **Show Owner/Operator History.** To view a list of all current and past Owner/Operator organizations, click on the **Show History** button. All current and past owner/operator organizations will be displayed in the grid with an End Date.

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



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.

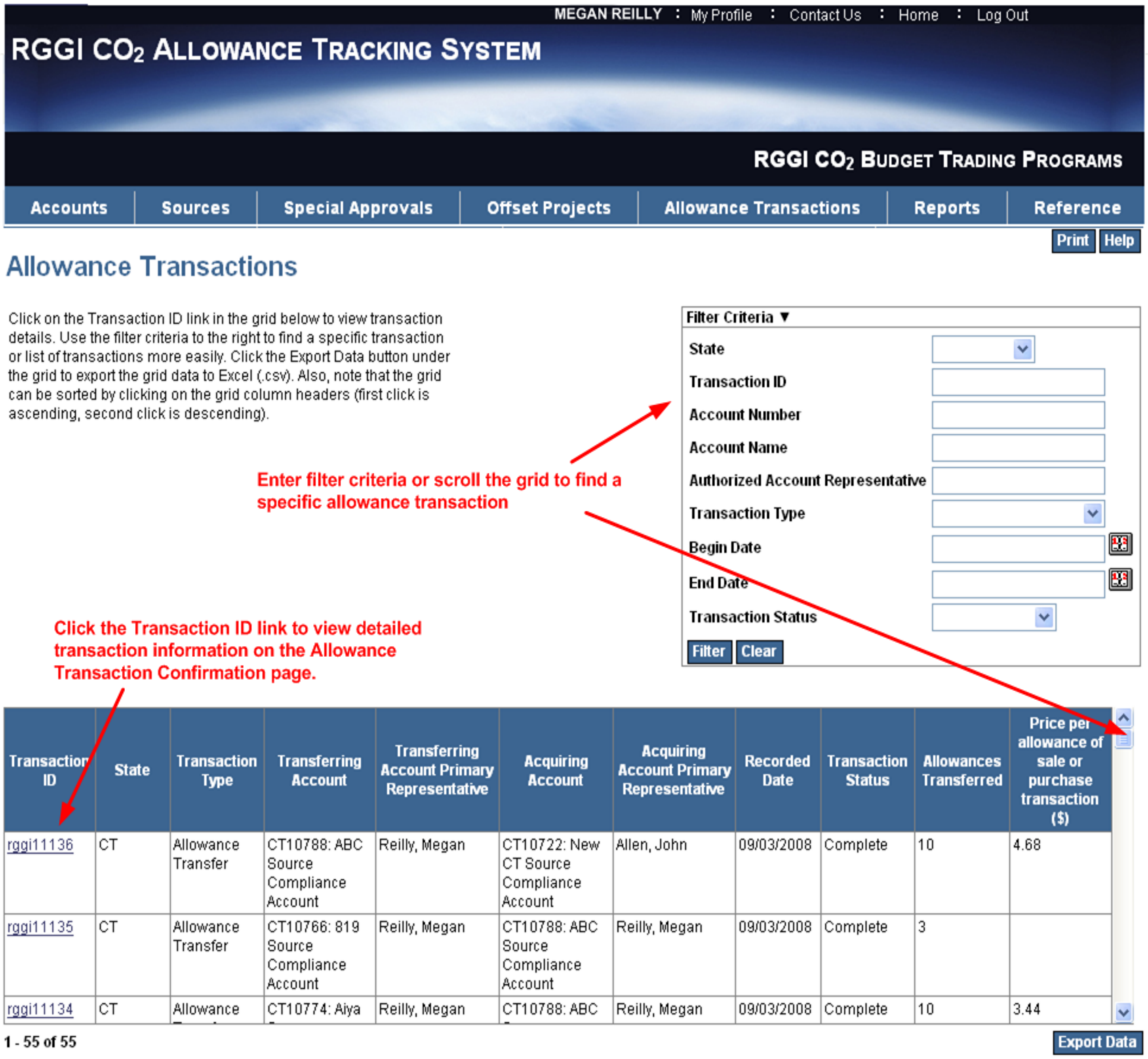
Figure 7-7
Source Electronic Submission Agents Tab

8.0 Allowance Transactions

8.1 Reviewing Completed Transactions

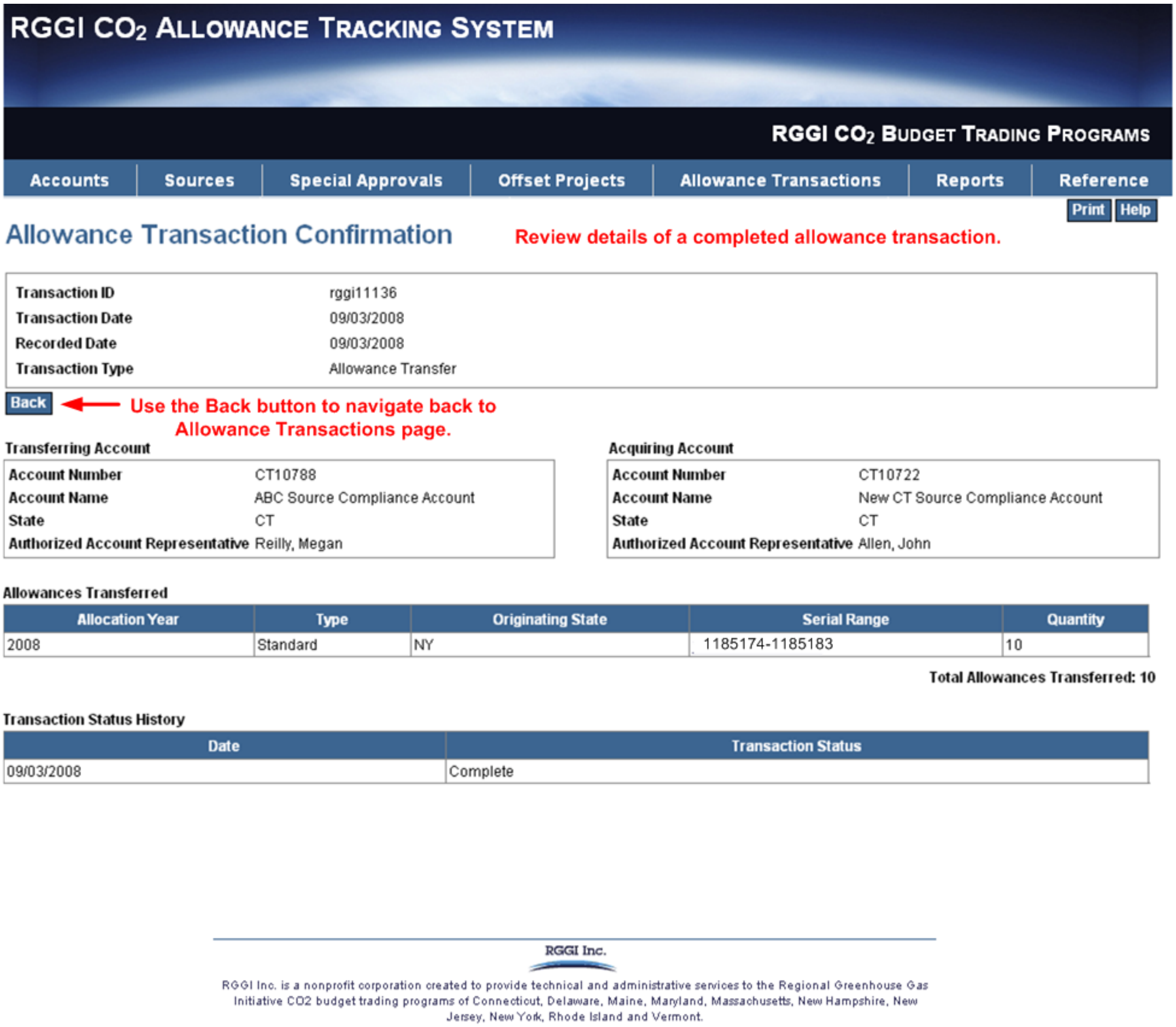
1. **View the Allowance Transactions Page.** Click on the **Allowance Transactions** menu link in the top navigation bar. This will bring you to the Allowance Transactions page, which displays all transactions for accounts which you have been associated as an Authorized Account Representative (AAR), 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



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



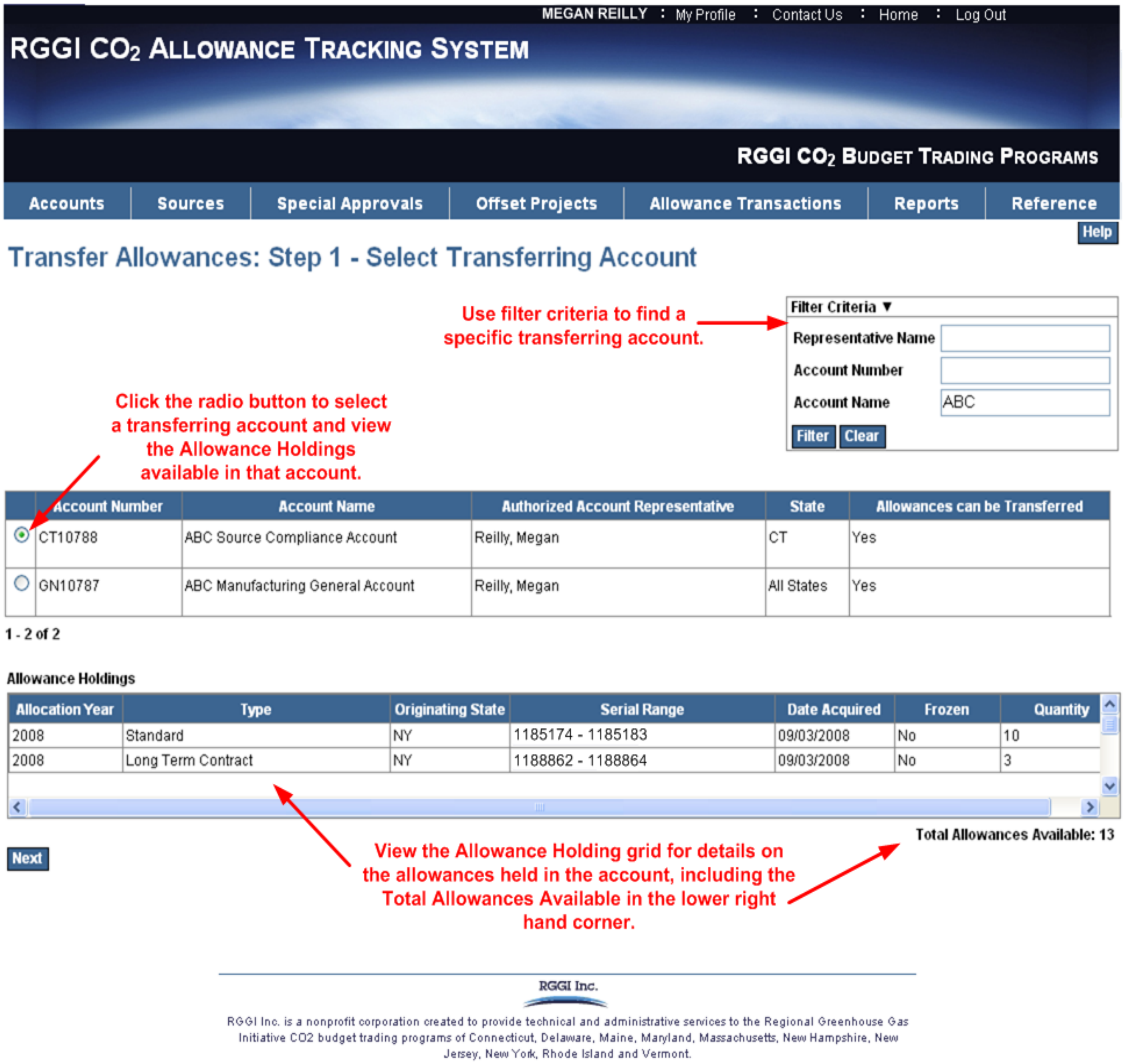
8.2 Steps to Complete an Allowance Transfer

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

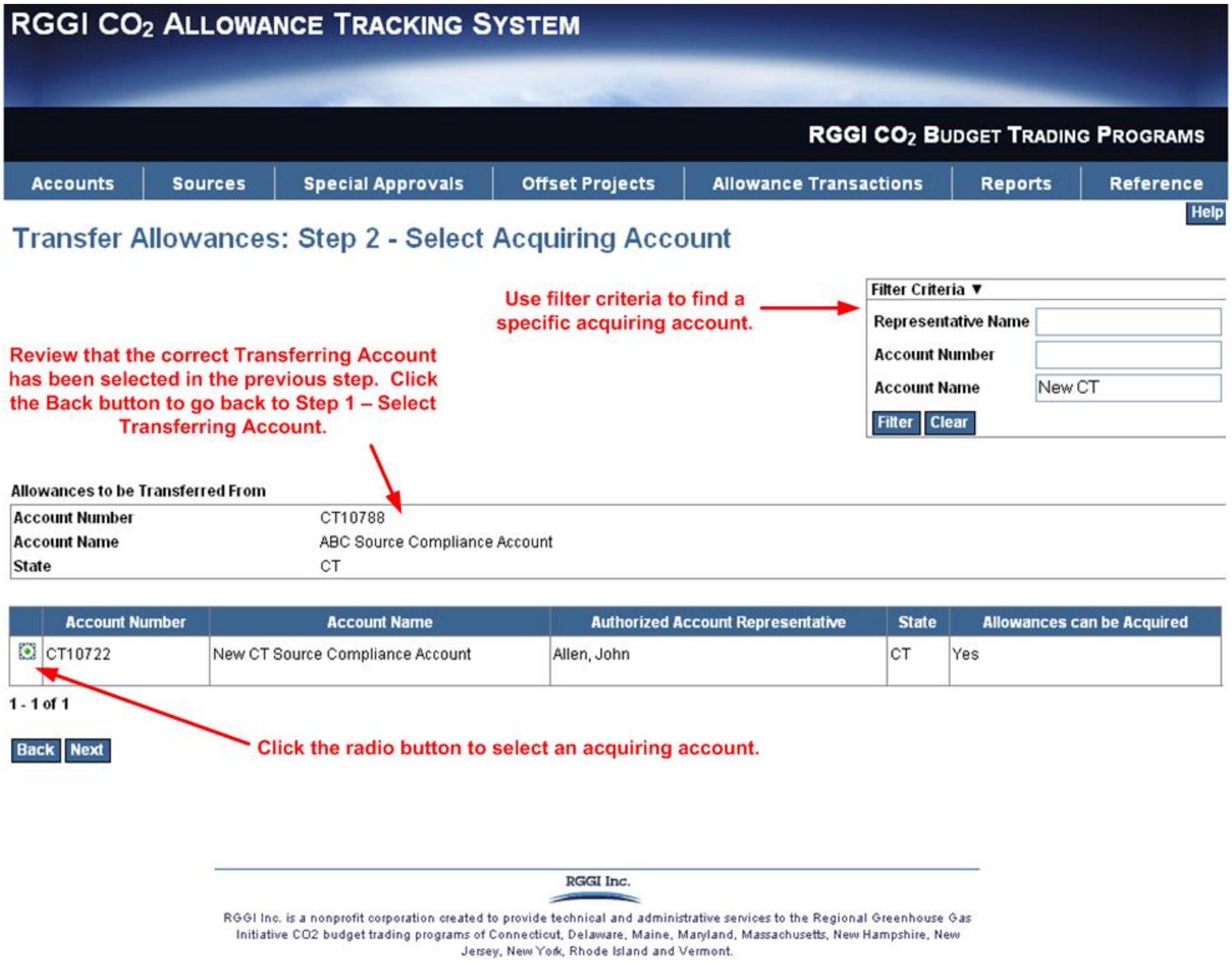
2. **Step 1 -- Select the Transferring Account.** Use the filter to locate a specific account, or scroll through the list. Only accounts to which the user has a relationship as an AAR, AAAR or electronic submission agent are available for selection. Select the Account from which CO_2 allowances will 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



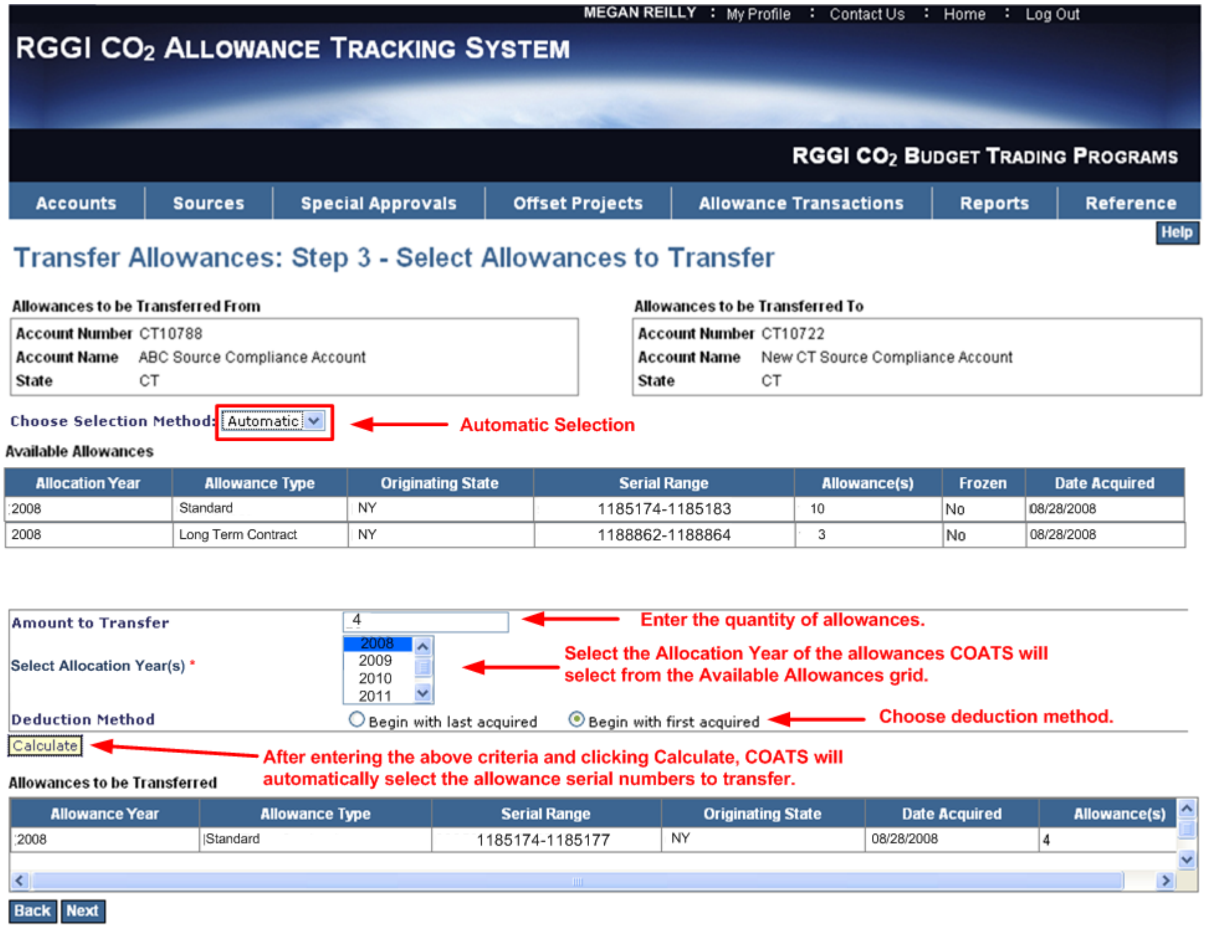
3. **Step 2 -- Select the Acquiring Account.** Use the filter to locate a specific account, or scroll through the list. Select the Account which will receive the transferred CO_2 allowances using the radio button in the grid. Then click the **Next** button.

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



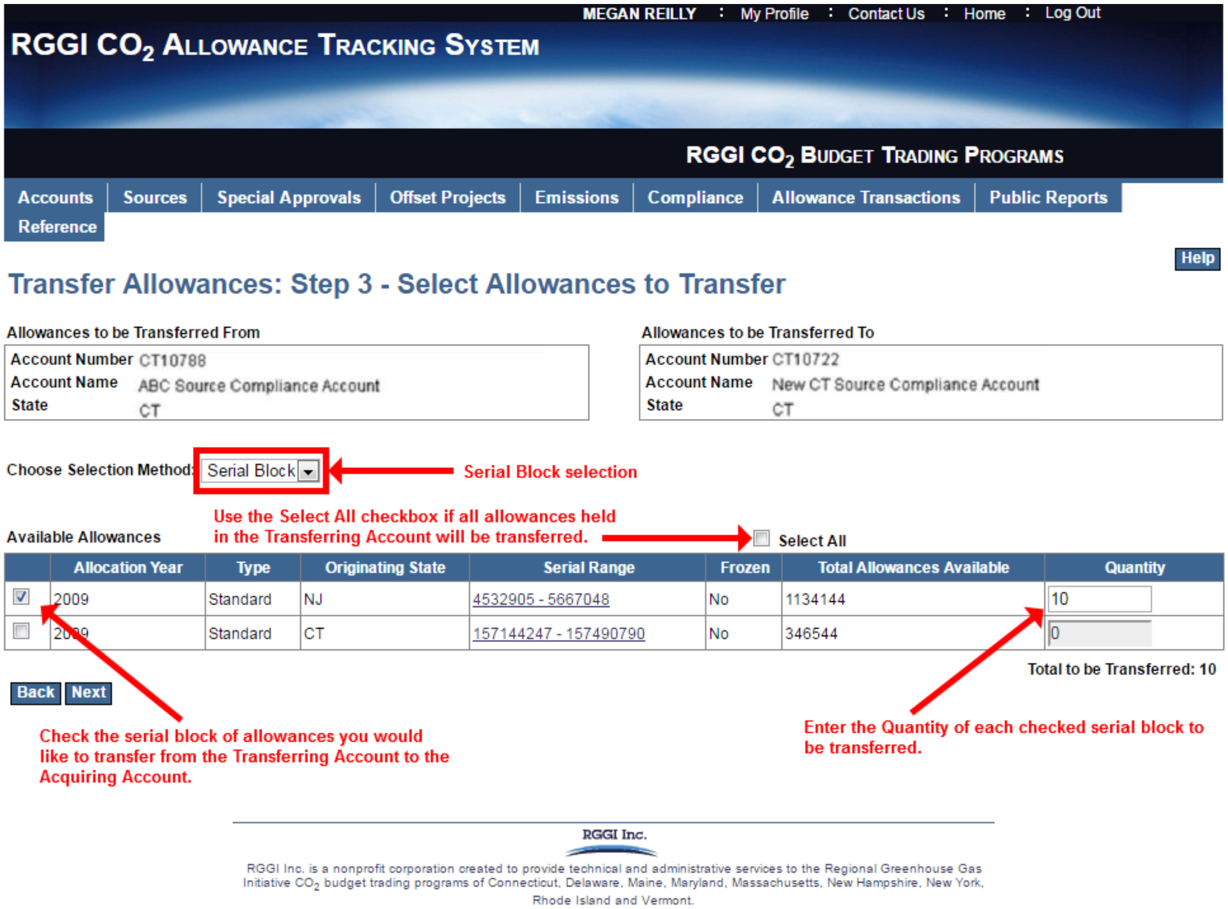
4a. Step 3a -- Select Allowances to Transfer: Automatic Selection Method. Before proceeding with selecting which allowances to transfer, you must choose a selection method. Choosing Automatic will load a grid below the Available Allowances grid. In this bottom-most grid, enter in the Amount to Transfer, 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



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 CO_2 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

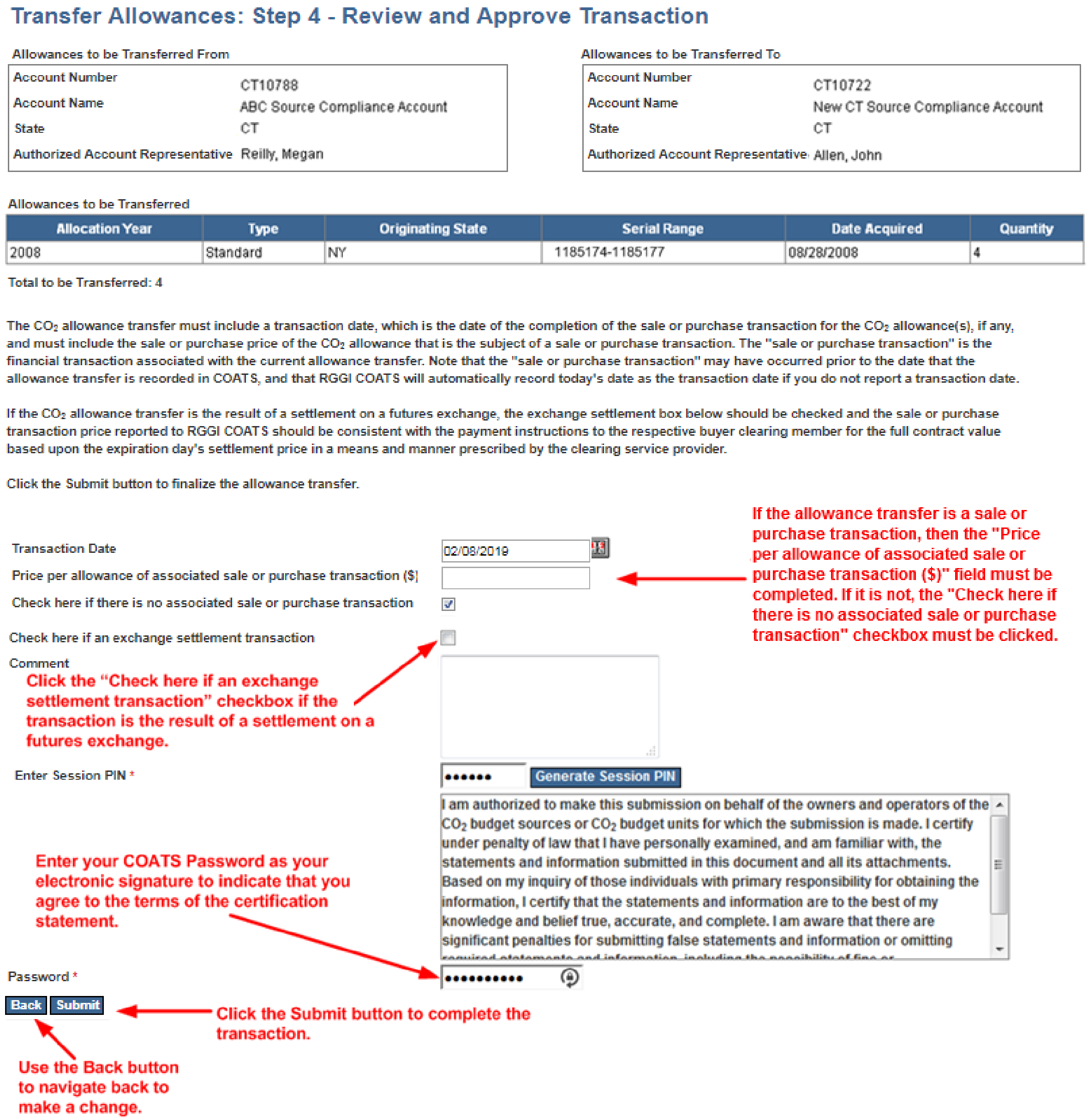


A. **Select the Serial Allowance Block.** Use the checkboxes in the **Available Allowances** grid to select which allowance blocks from the Transferring Account will be transferred to the Acquiring Account. If all allowances held in the Transferring Account will be transferred, click the **Select All**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



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 CO_2 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 CO_2 allowances, as might occur if allowances were transferred between two accounts owned by the same organization.

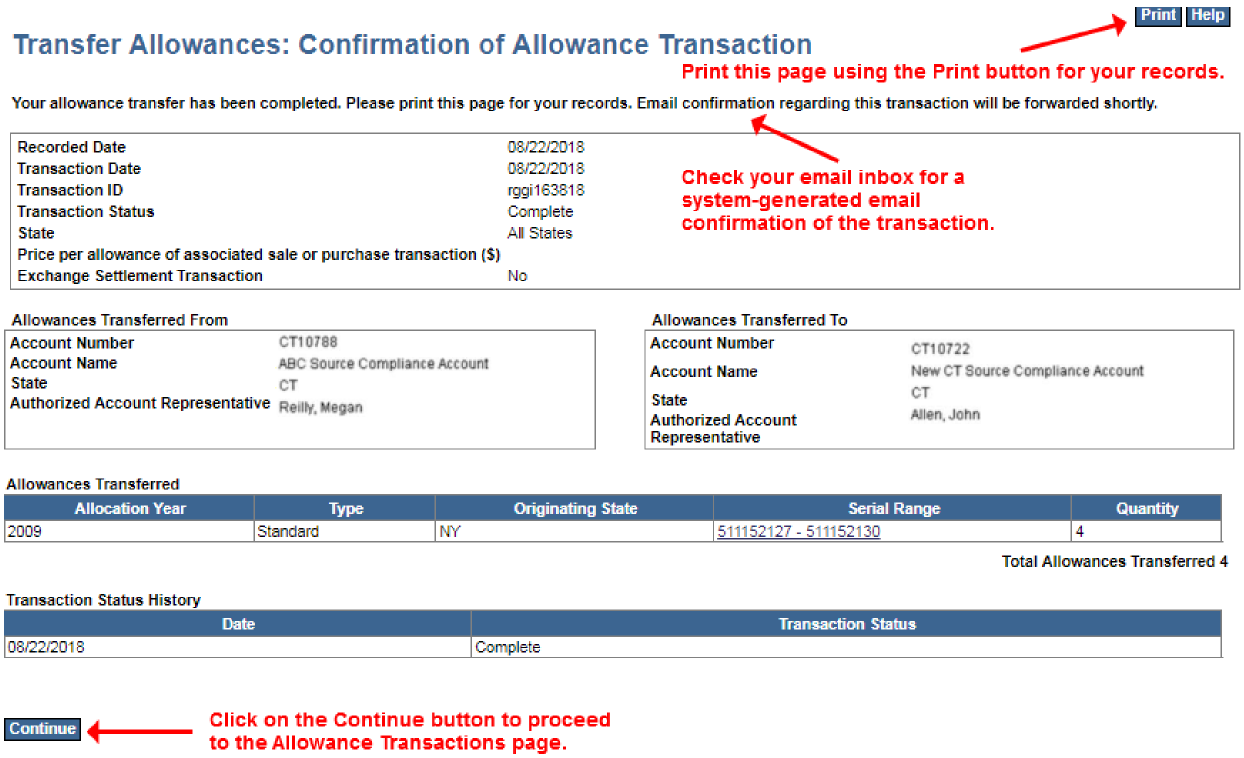
D. **Click "Check here if an exchange settlement transaction" check box.** This checkbox should only be clicked if the transaction is the result of a settlement on a futures exchange.

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

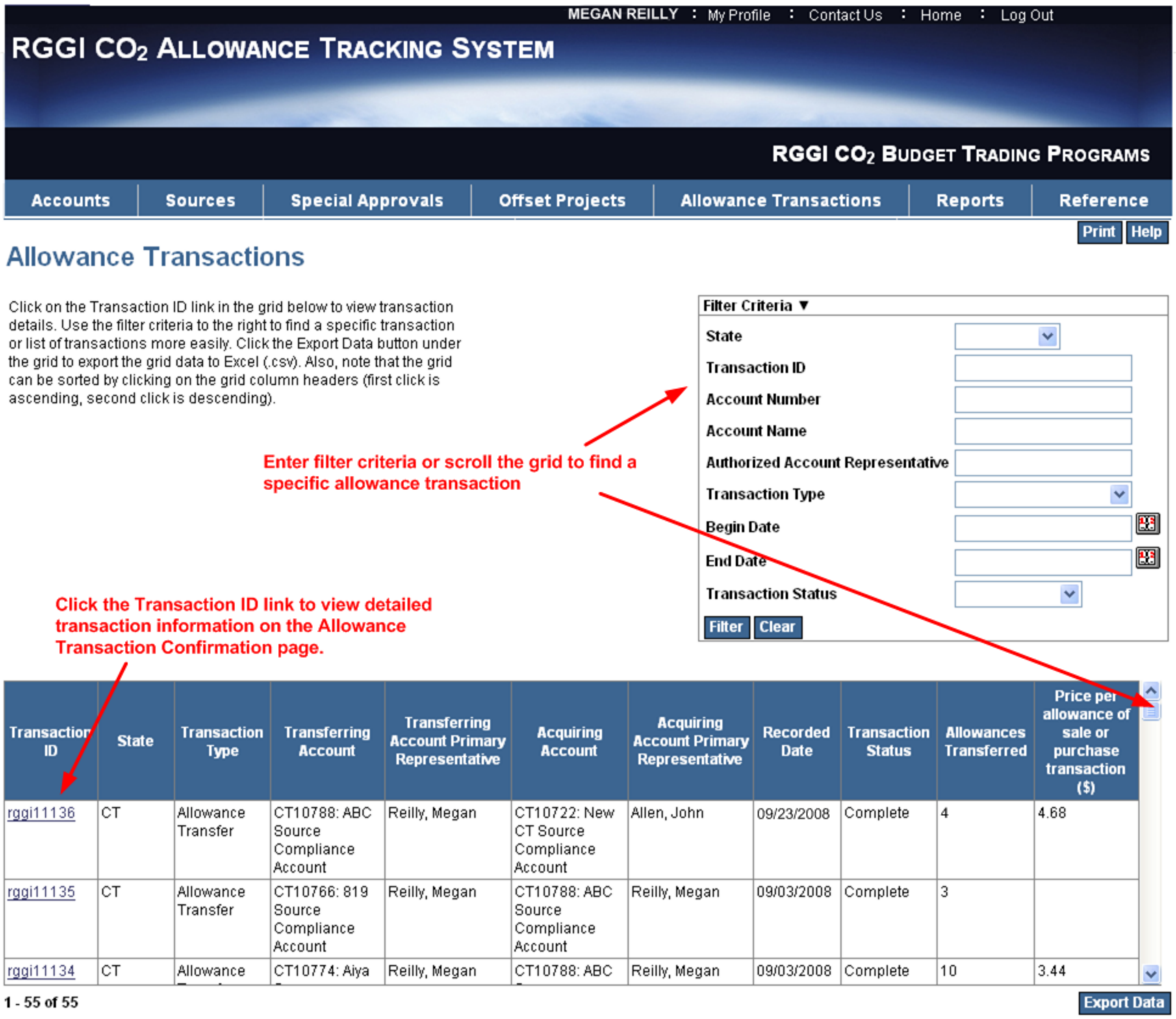
Date	Transaction Status
08/22/2018	Complete

Continue

Click on the Continue button to proceed to the Allowance Transactions page.

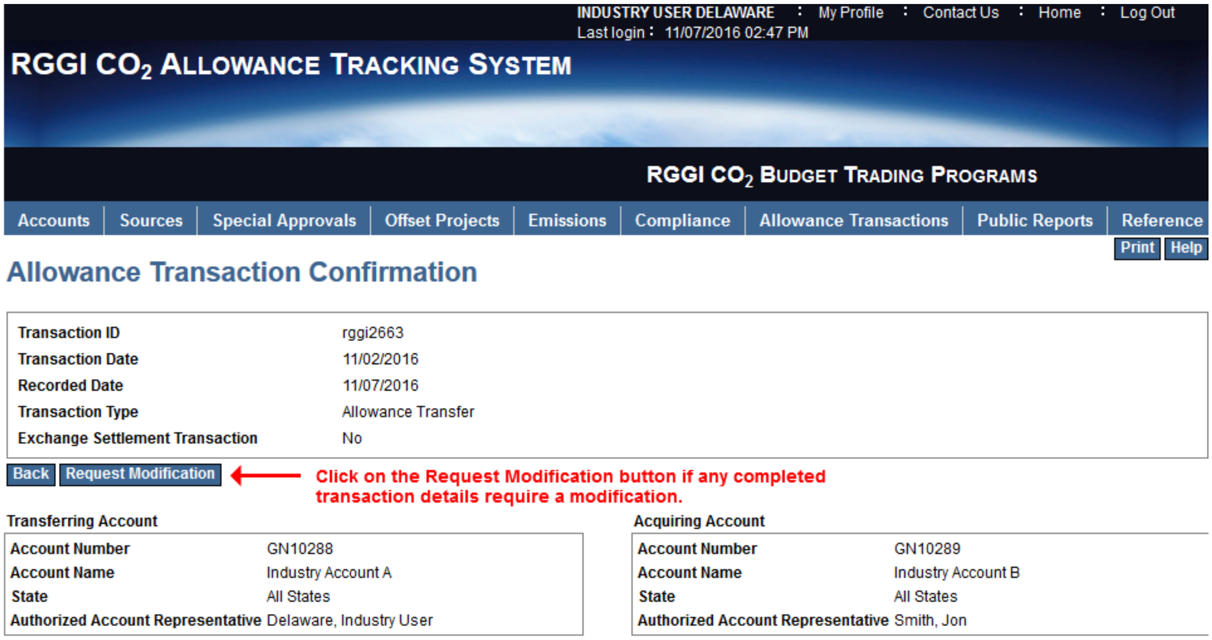
7. **View the Allowance Transactions Page.** View the grid of Allowance Transactions. Click on the Transaction ID link to view the details of the transaction on the Allowance Transaction Confirmation Page. You can navigate directly to this page by clicking on the **Allowance Transaction** menu (see Section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

Figure 8-10
Allowance Transactions Page



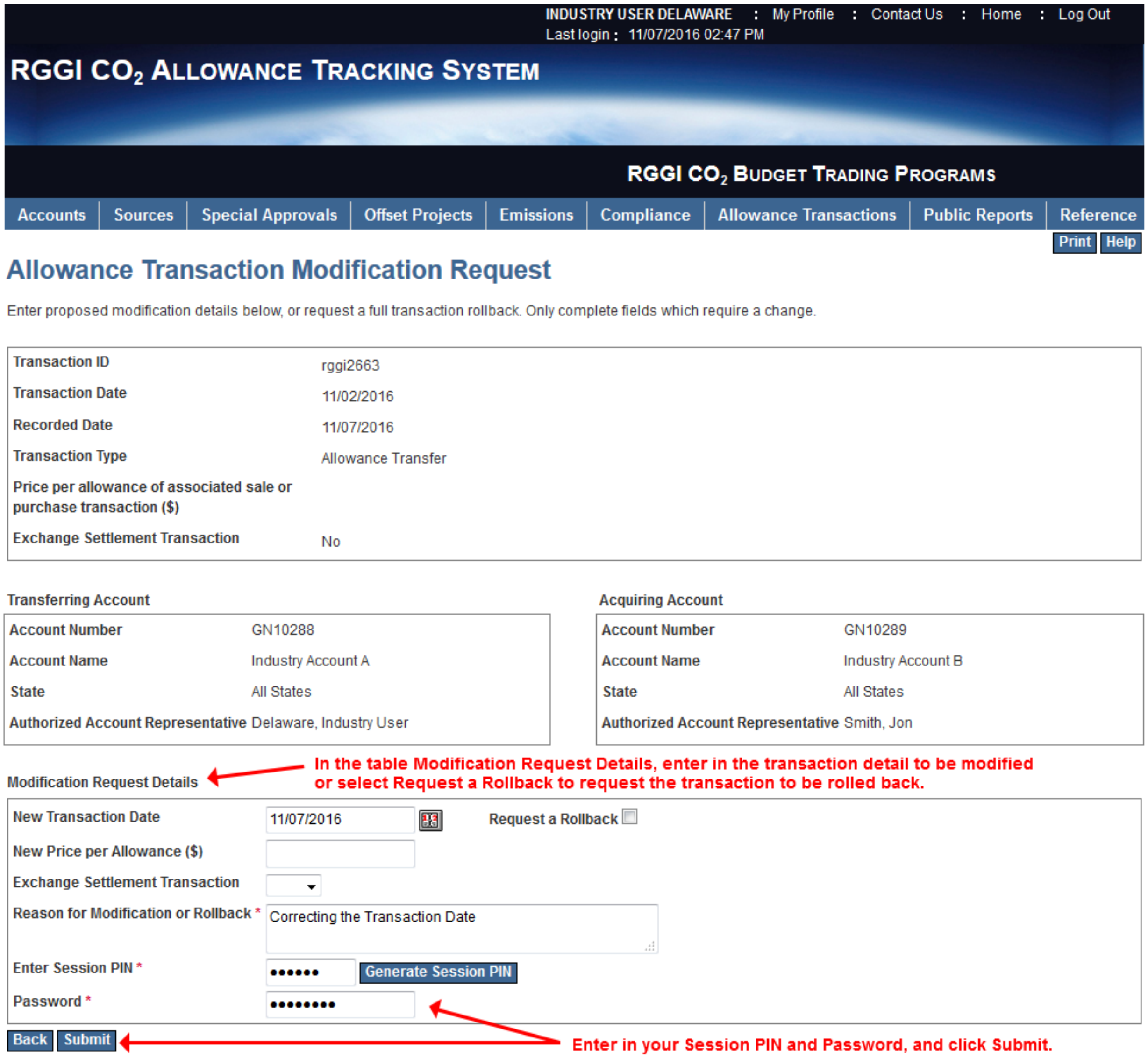
8. **Allowance Transaction Modification Request.** If any completed transaction details require a modification (e.g., transaction price, transaction date, exchange settlement transaction, roll back), click on the **Request Modification** button.

Figure 8-11
Allowance Transaction Confirmation Page



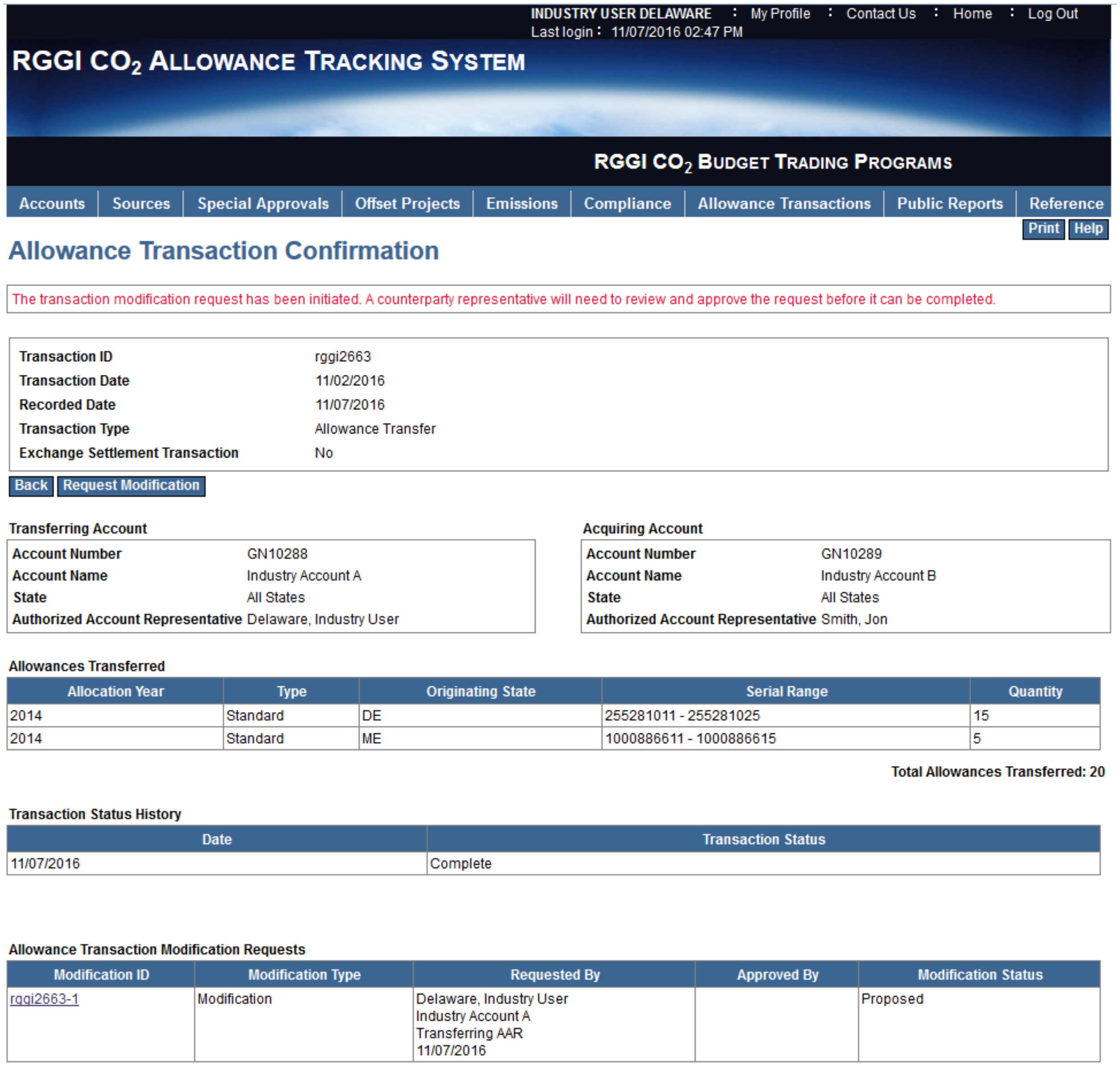
A. In the table **Modification Request Details**, enter in the transaction detail to be modified or select Request a Rollback to request the transaction to be rolled back. Enter in your **Session PIN** and **Password,** and click **Submit**.

Figure 8-12
Allowance Transaction Modification Request



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



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

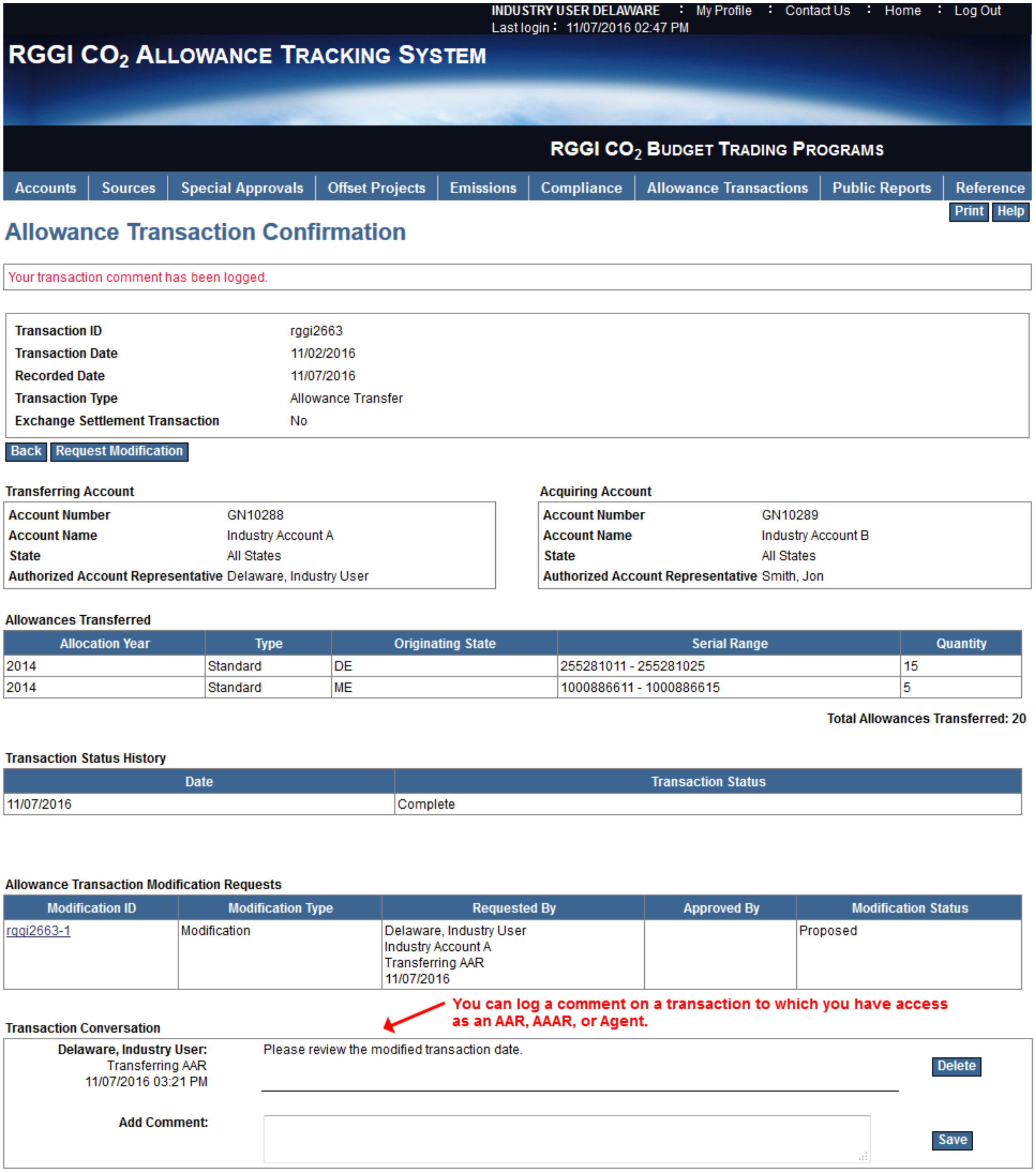
Date	Transaction Status
11/07/2016	Complete

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



8.3 Steps to Completing a Compliance Deduction

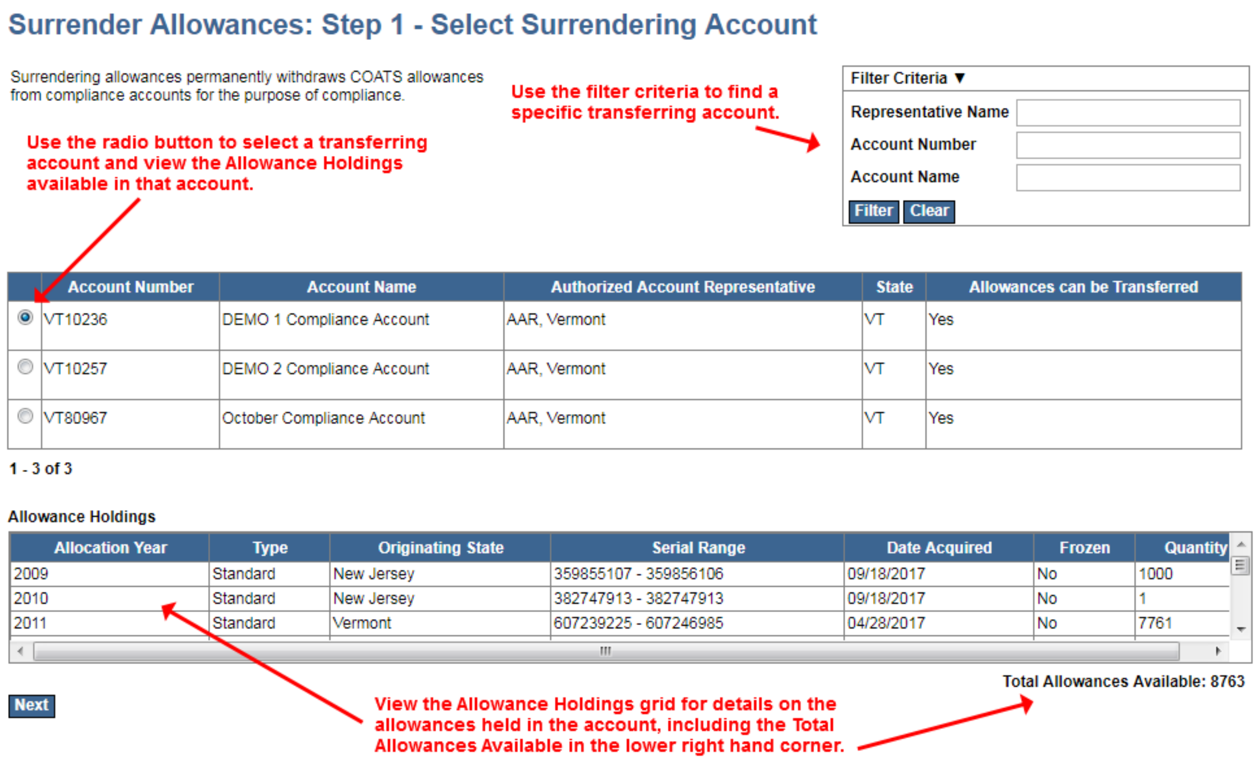
The **Compliance Deduction transaction** will be available from January 31 until the allowance transfer deadline on 11:59 PM Eastern Time on March 1 following the relevant control period for AARs, AAARs, or electronic submission agents to surrender allowances from compliance accounts. For more information 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

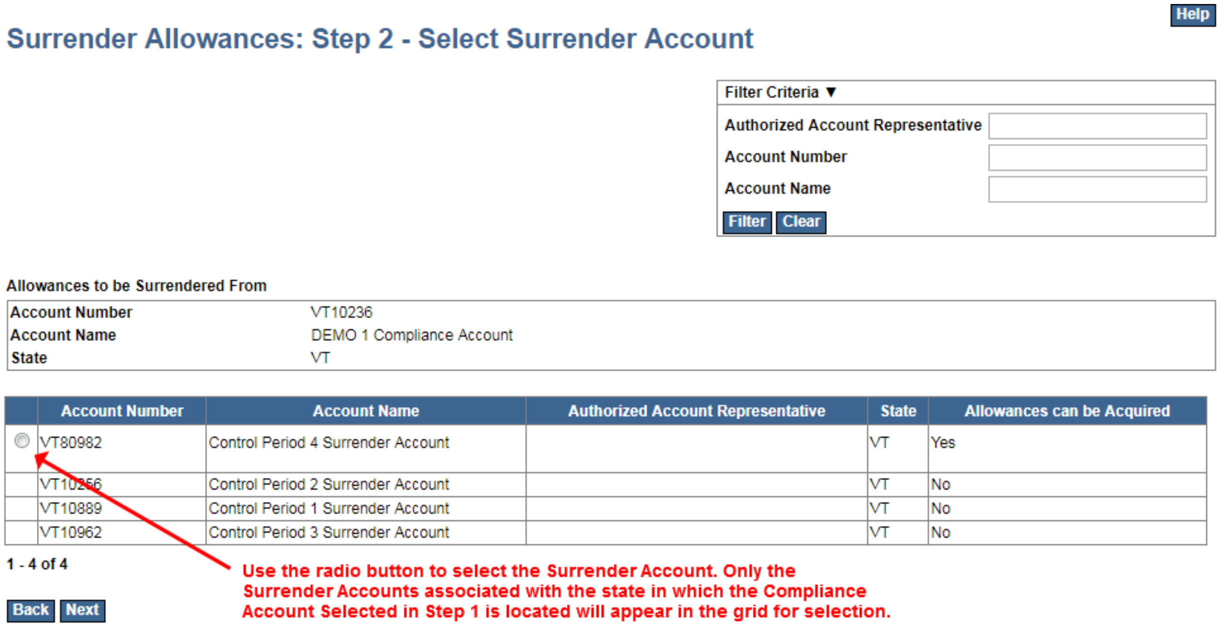
2. **Step 1 -- Select the Transferring Account.** Use the filter to locate a specific compliance account, or scroll through the list. Only compliance accounts to which the user has a relationship as an AAR, AAAR or electronic submission agent are available for selection. Select the Account from which CO_2 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



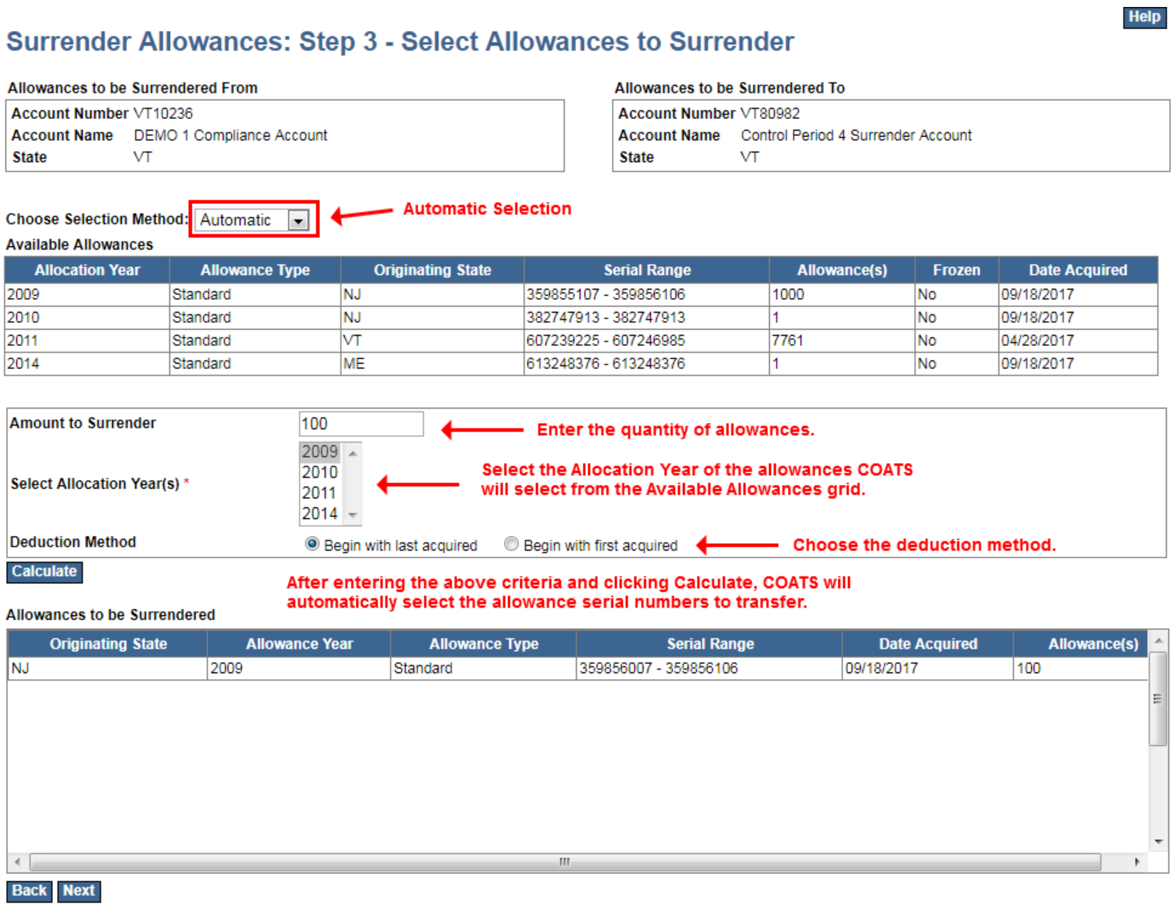
3. **Step 2 -- Select Surrender Account.** Use the filter to locate a specific surrender account, although only the Surrender Account for the same state as the Compliance Account selected in Step 1 will display. Select the Surrender Account which will receive the transferred CO_2 allowances using the radio button in the grid. Then click the **Next** button.

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



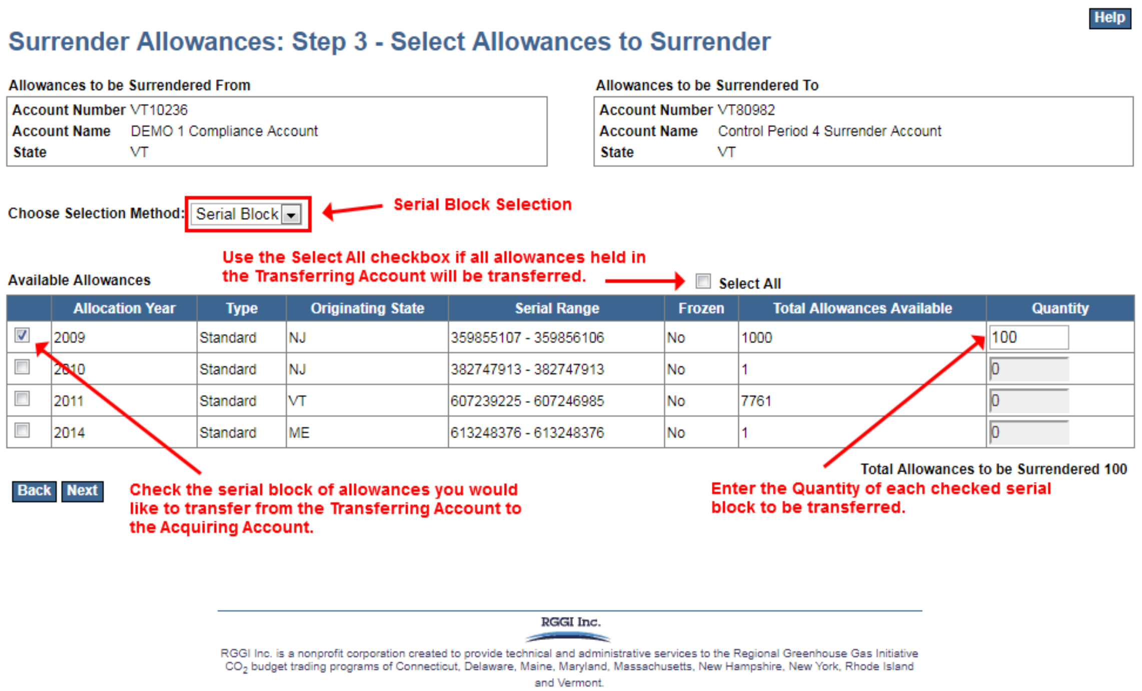
4. **Step 3a -- Select Allowances to Surrender – Automatic Selection Method.** Before proceeding with selecting which allowances to transfer, you must choose a selection method. Choosing Automatic will load a grid below the Available Allowances grid. Then in this bottom-most grid, enter in the Amount 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



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



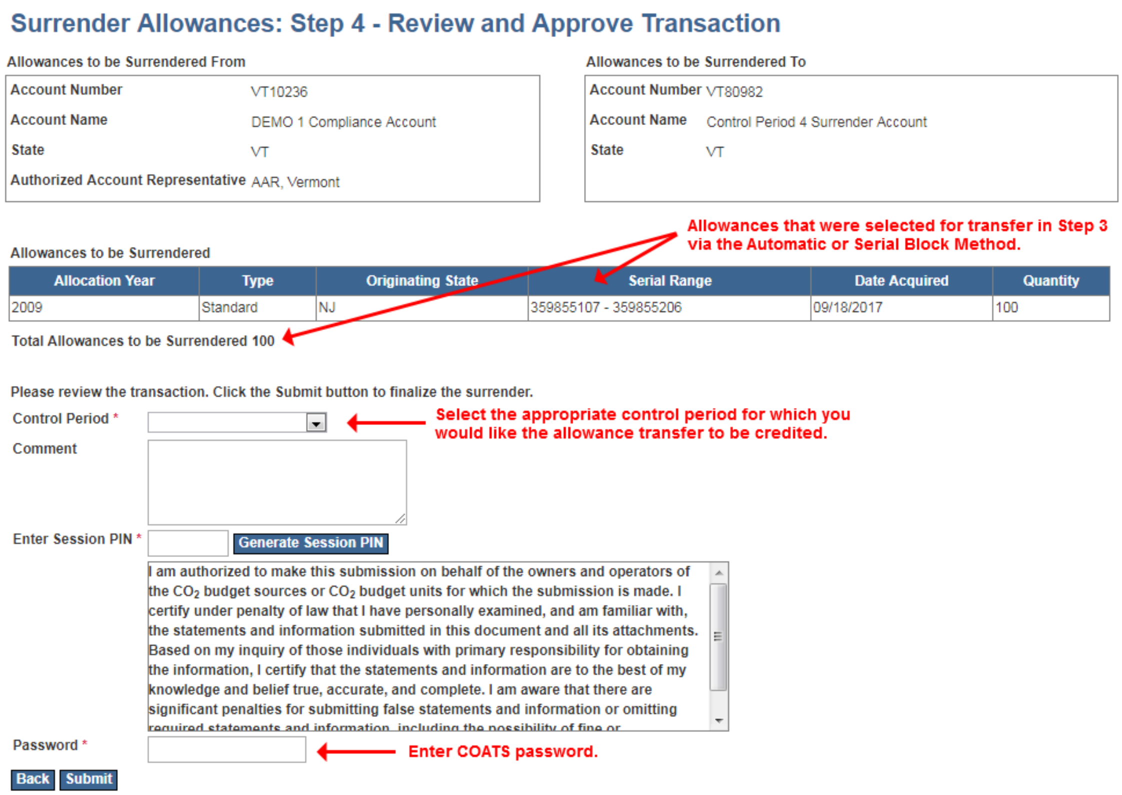
A. **Select the Serial Allowance Block.** Use the checkboxes in the **Available Allowances** grid to select which allowance blocks from the Transferring Account will be transferred to the Acquiring Account. If all allowances held in the Transferring Account will be transferred, click the **Select All**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



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.

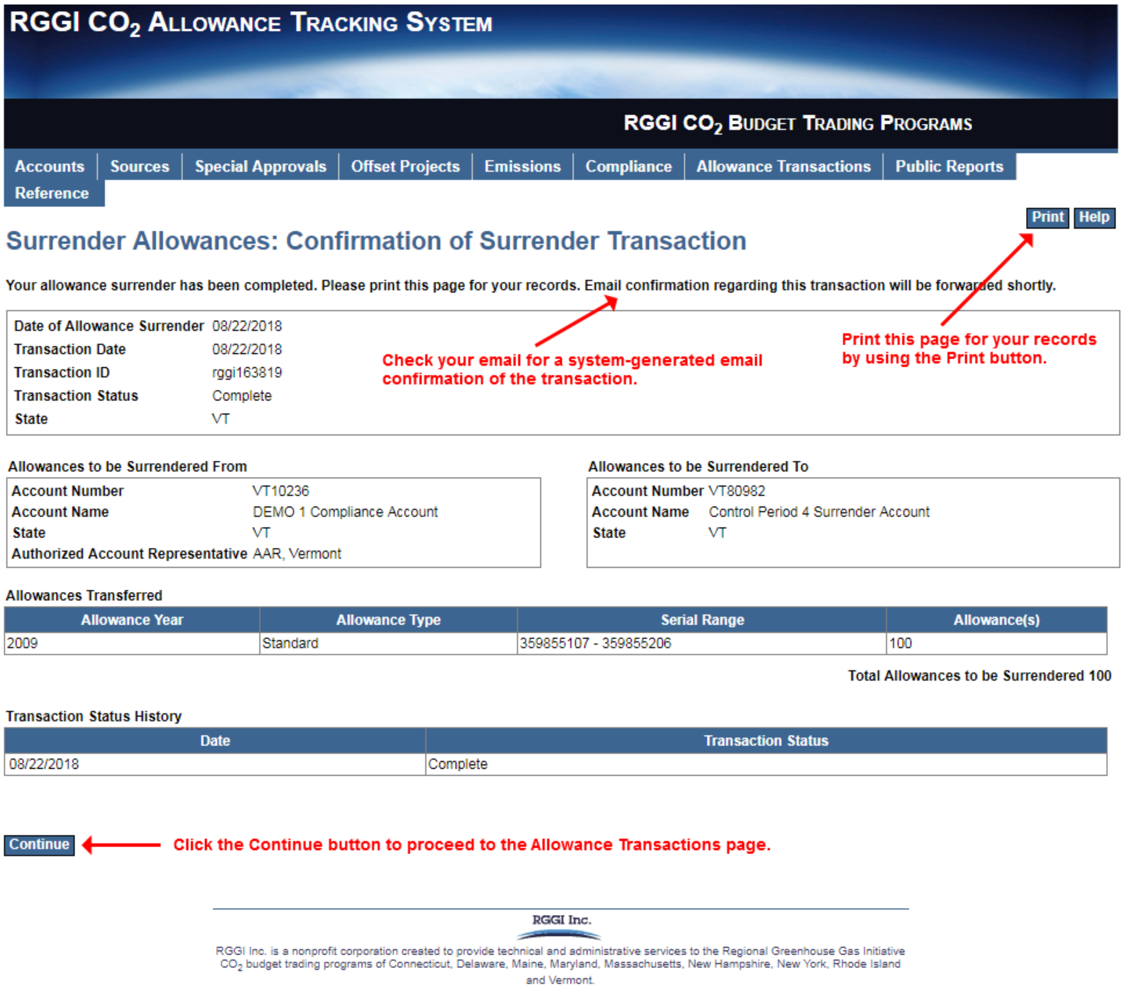
B. **Select Control Period.** Select the appropriate control period for which you would like the allowance transfer to be credited. Control periods will be limited to the control periods associated with the Surrender Account selected on Step 2. In most cases, while up to 3 control period may display,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



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 Home page.

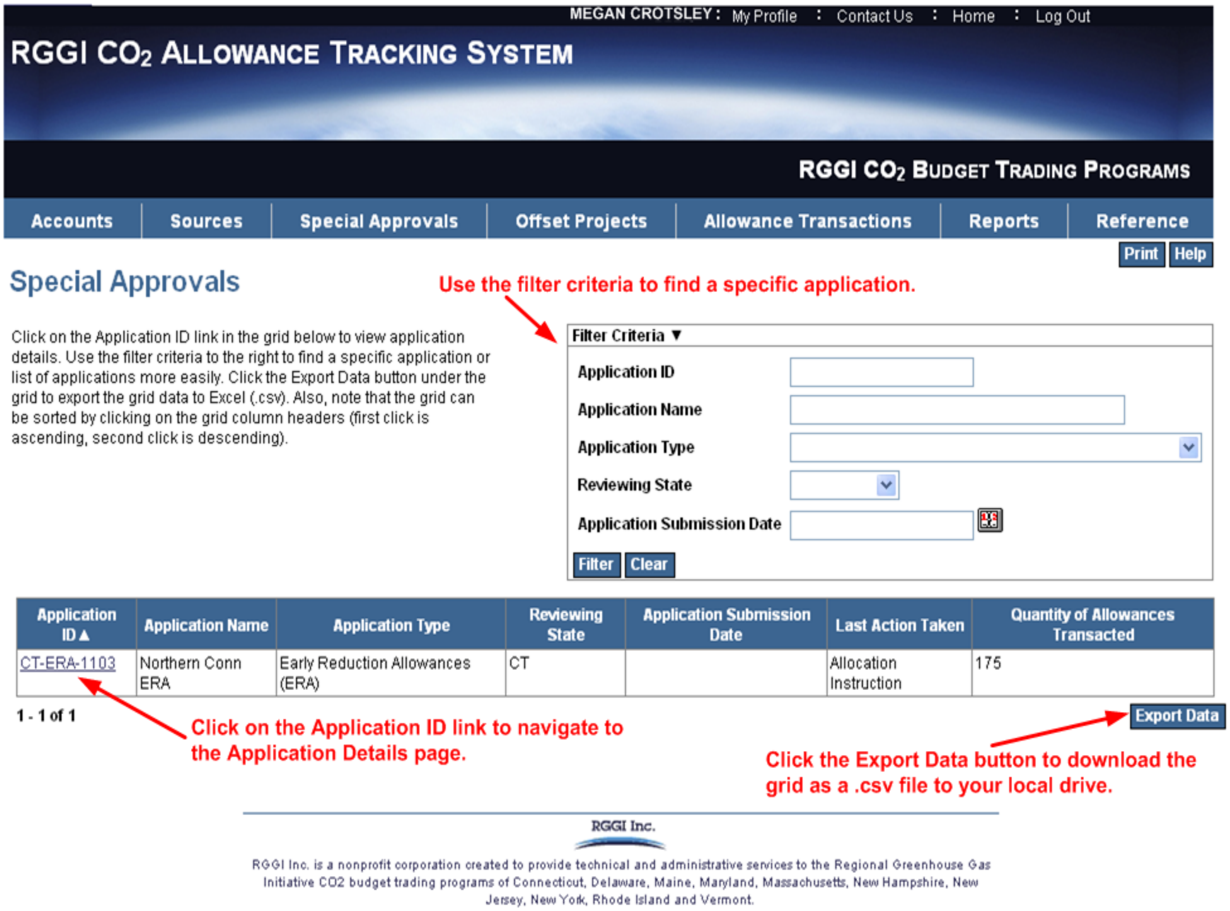
Figure 9-1
Special Approvals Menu

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.

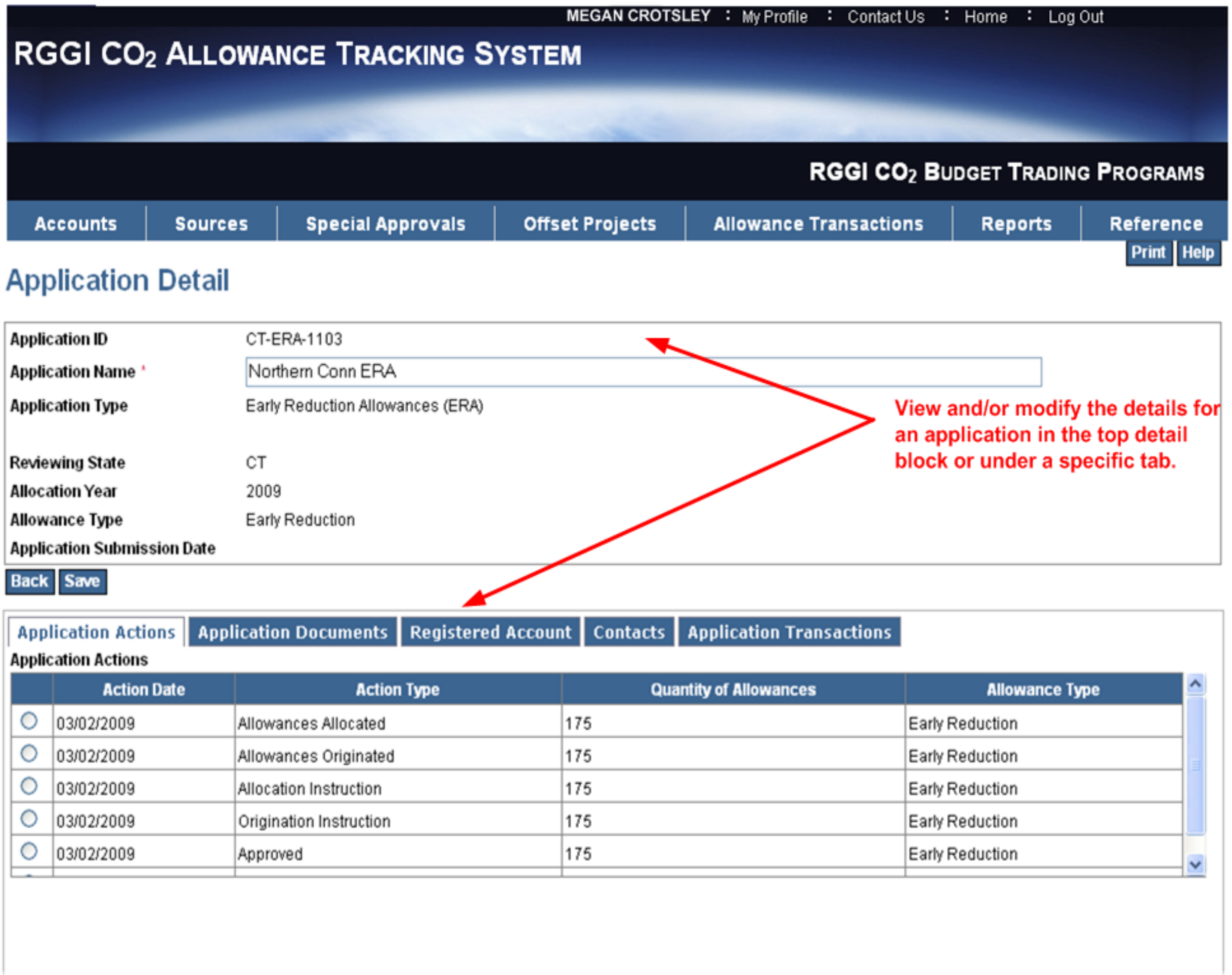
In the case of Voluntary Renewable Energy (VRE) applications or Limited Industrial Exemption (LIE) applications, you are associated with an application by being the user who created it in RGGI COATS or by being added as a Contact to the application on the Application Details page.

Figure 9-2
Special Approvals Homepage



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



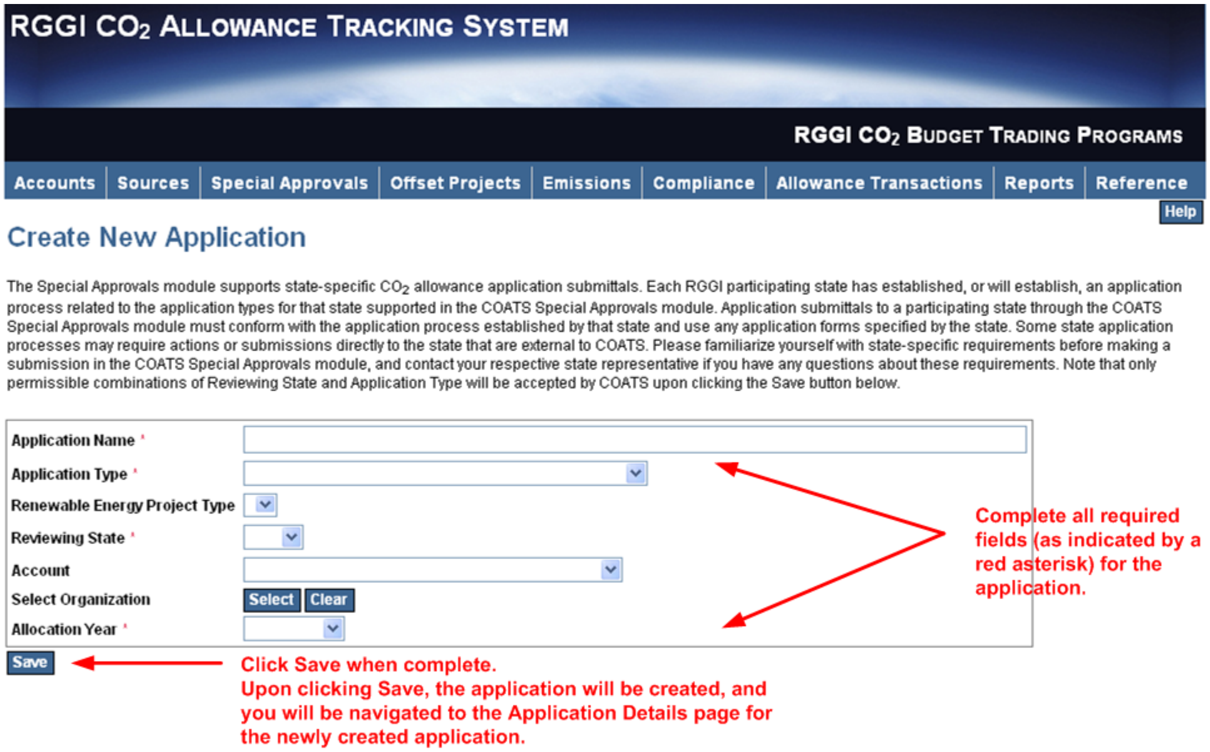
9.2 Steps to Create a Special Approvals Application

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

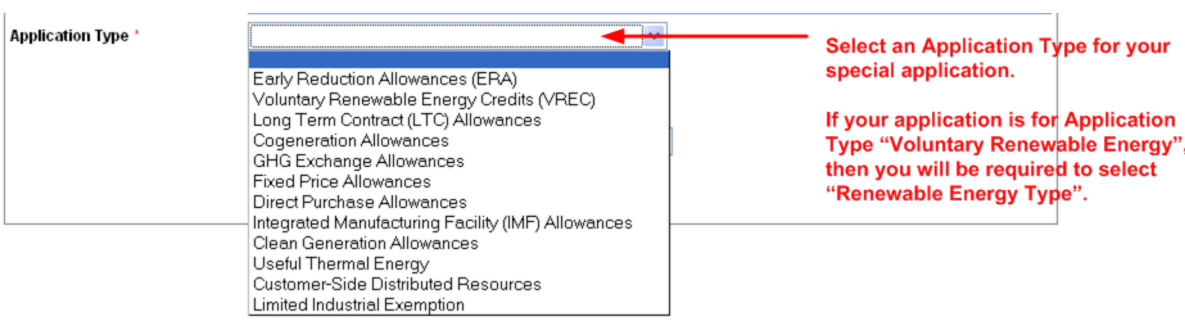


A. **Enter a Unique Application Name.** Type the name for your application into the Application Name field. This field is required, as it is indicated by a red asterisk (*), and you will not be allowed to save your new application if this field has not been completed.

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

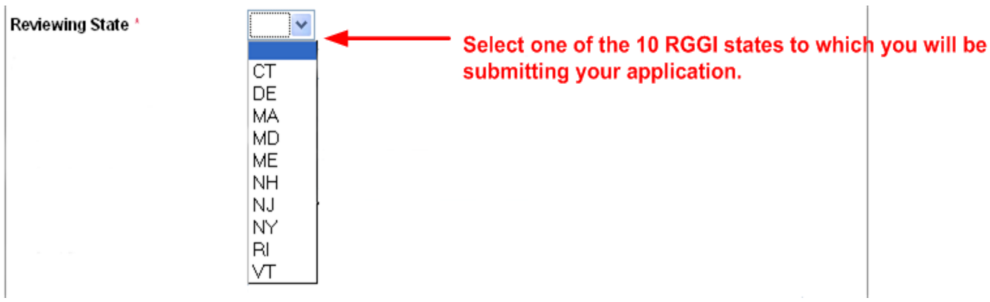


- **If Applicable, Select a Renewable Energy Project Type.** If you have selected an Application Type of "Voluntary Renewable Energy Credits (VREC)," then you will be required to select a Renewable Energy Type from the drop-down menu.

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



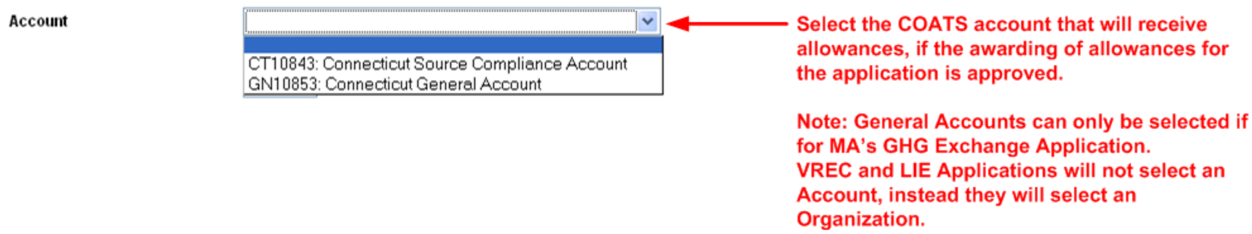
D. Select an Account. Select the RGGI COATS account that will receive allowances, if the awarding of allowances for the application is approved.

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.

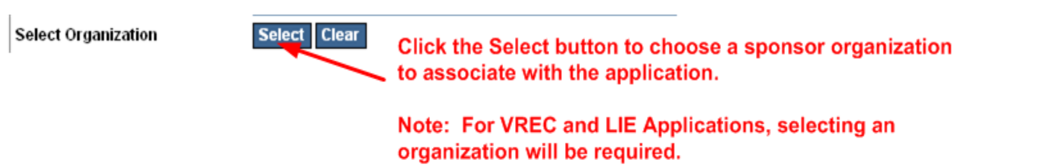
Figure 9-10
Create New Application – Select Account



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

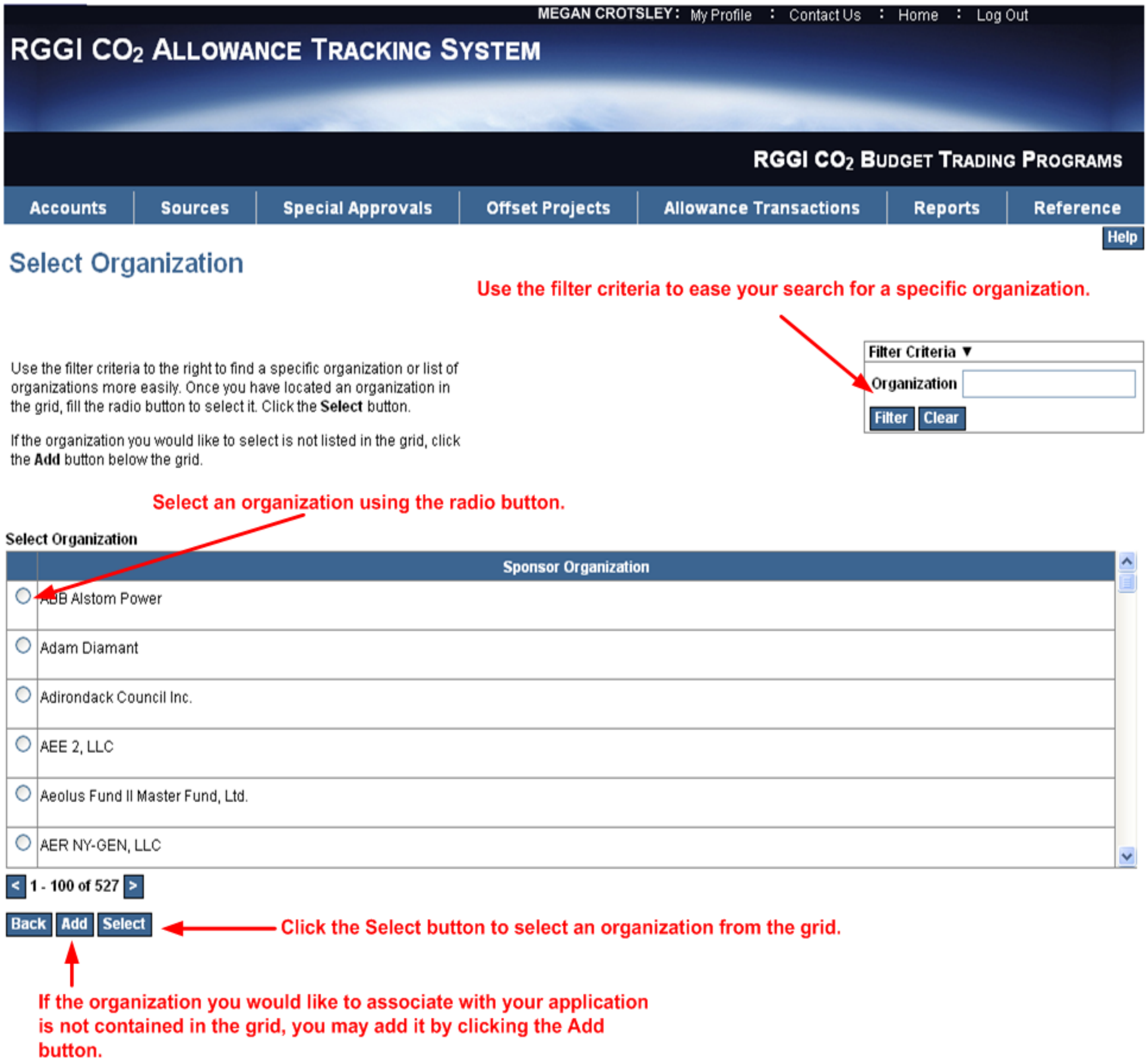
Note: Only Voluntary Renewable Energy Credit (VREC) and Limited Industrial Exemption (LIE) Applications will require the selection of an organization.

Figure 9-11
Create New Application – Select an Organization



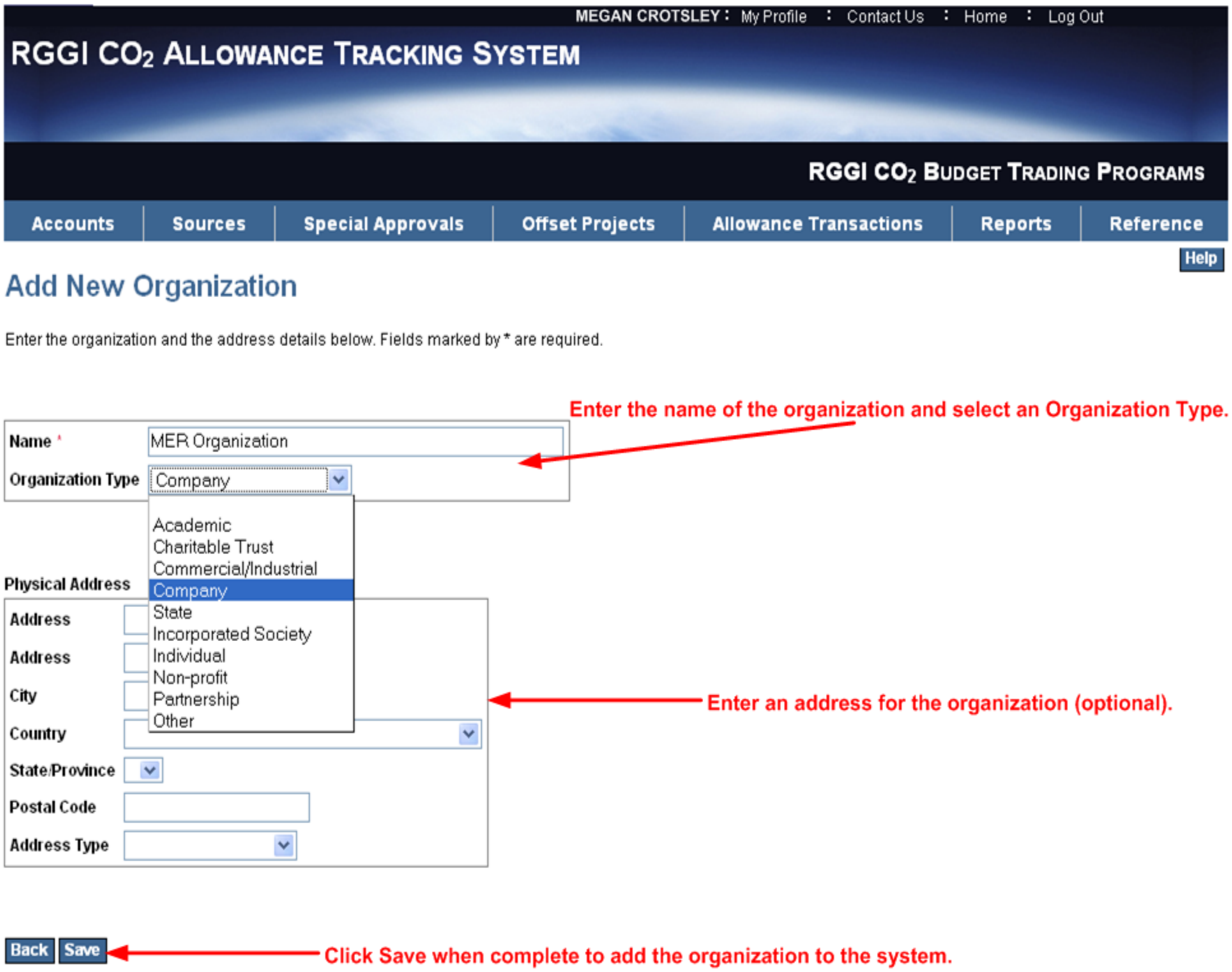
- On the Select Organization page, use the radio button to select an organization that already exists in RGGI COATS. Then click the **Select** button.

Figure 9-12
Select Organization Page



- 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.

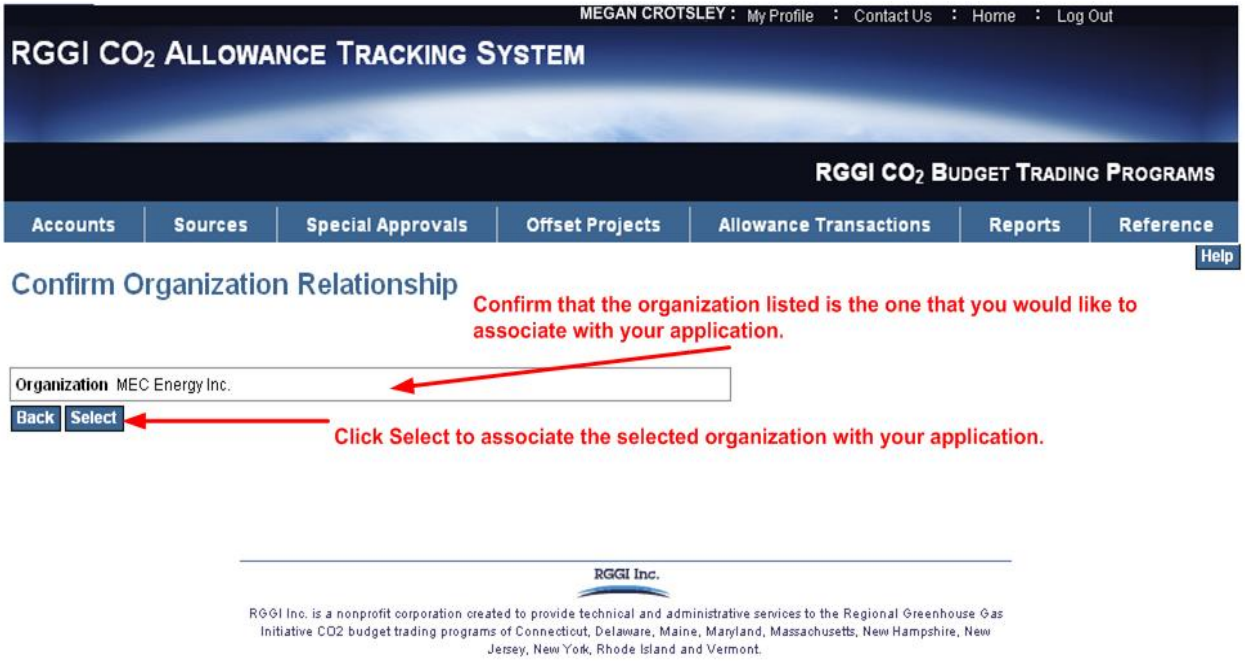
Figure 9-13
Add Organization Page



- 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

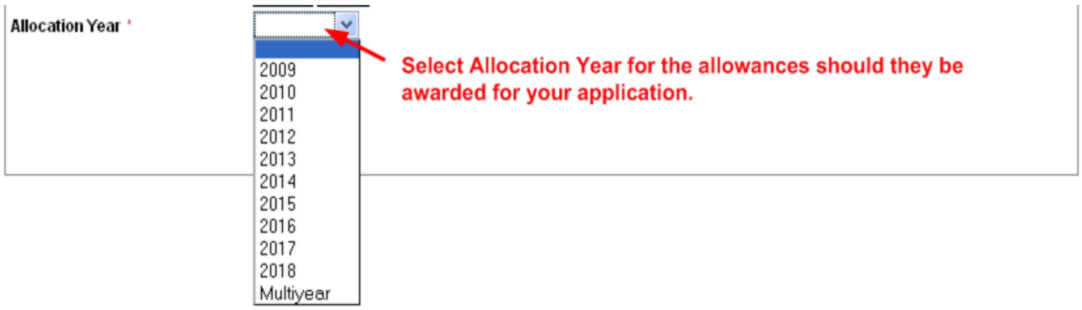


- On the Create Application page, you may delete the selected organization and select another by clicking the **Clear** button adjacent to the Select Organization field.

Figure 9-15
Create New Application – Clear Organization

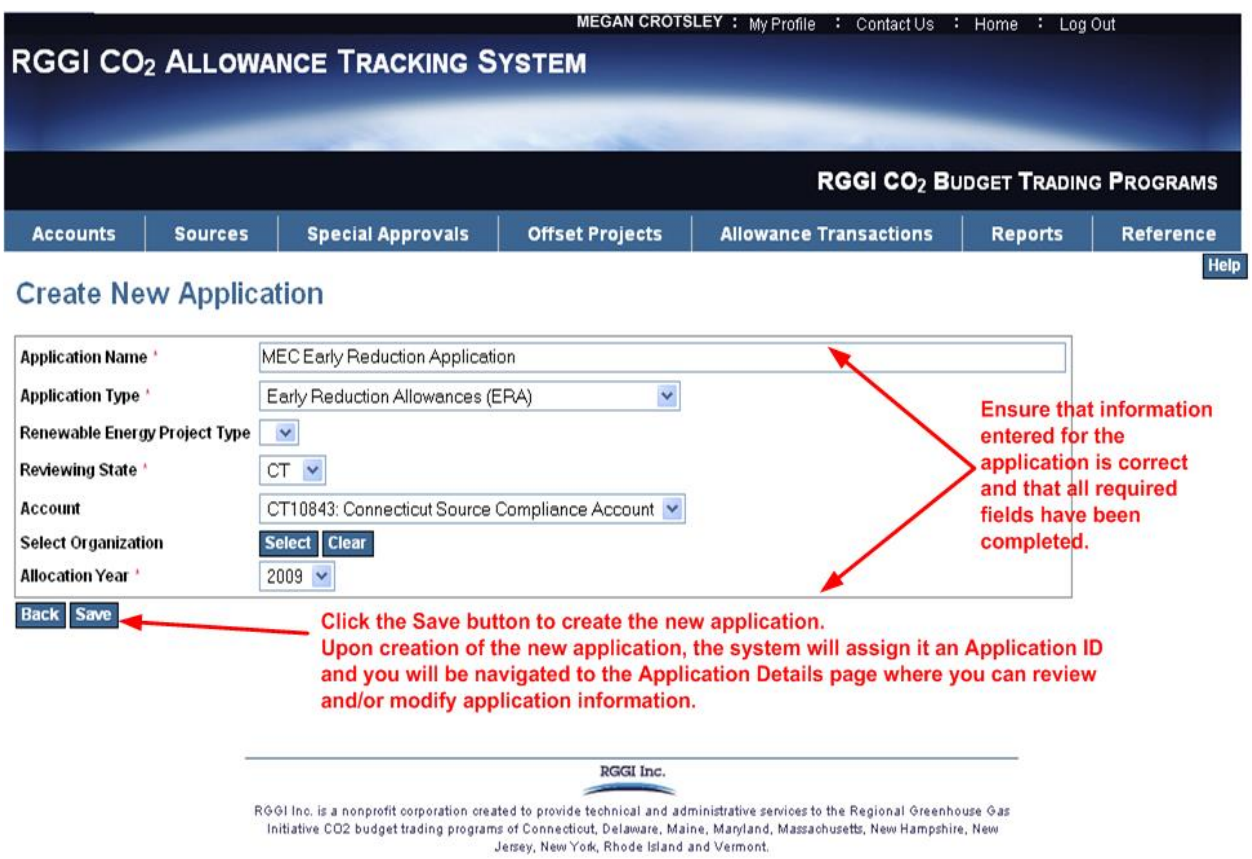
F. **Select an Allocation Year.** Select the allocation year for the allowances should they be awarded for your application.

Figure 9-16
Create Application – Select Allocation Year



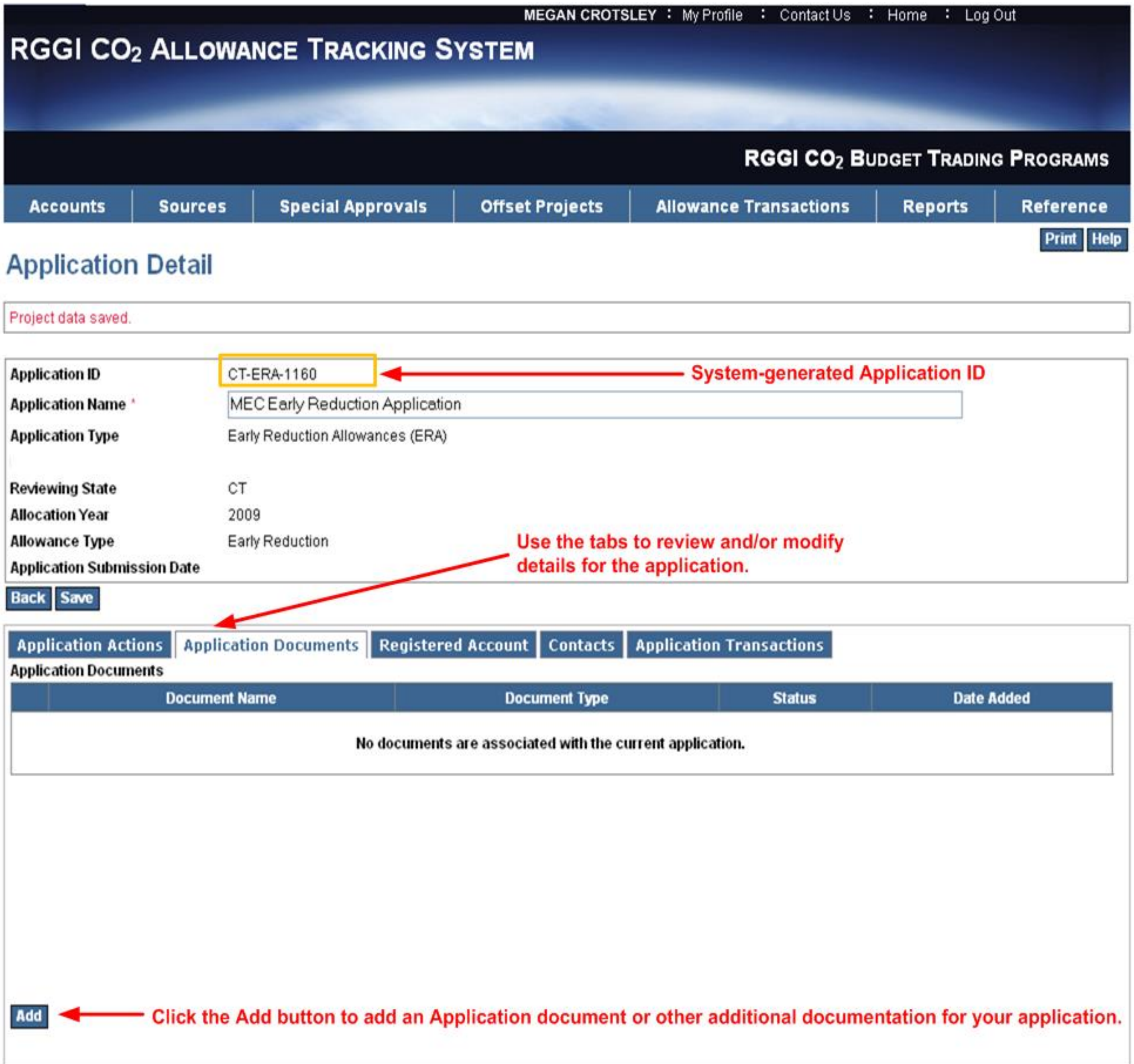
G. Click Save to Create a New Application.

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.

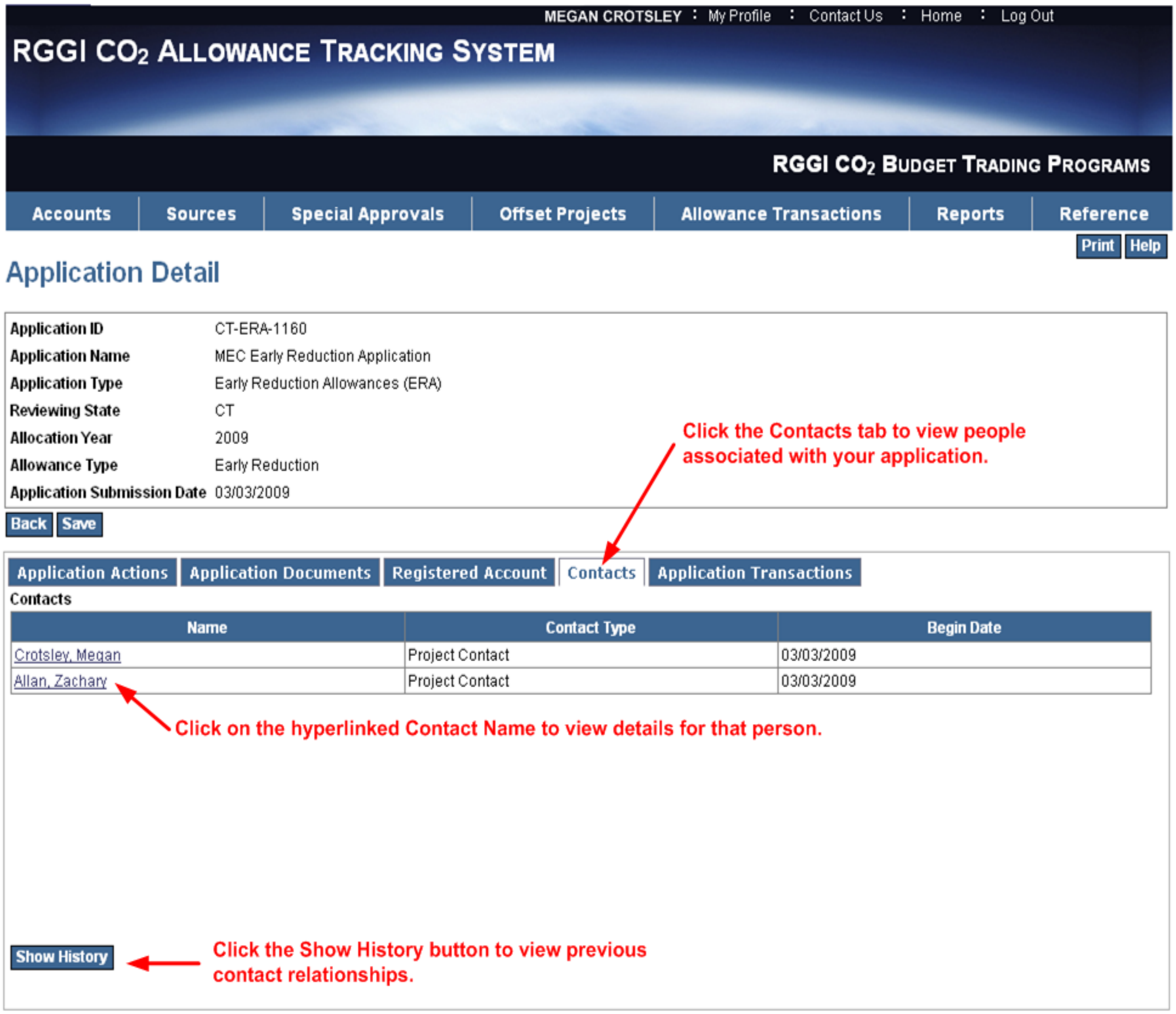
Figure 9-18
Application Details Page



9.3 View Application Contacts

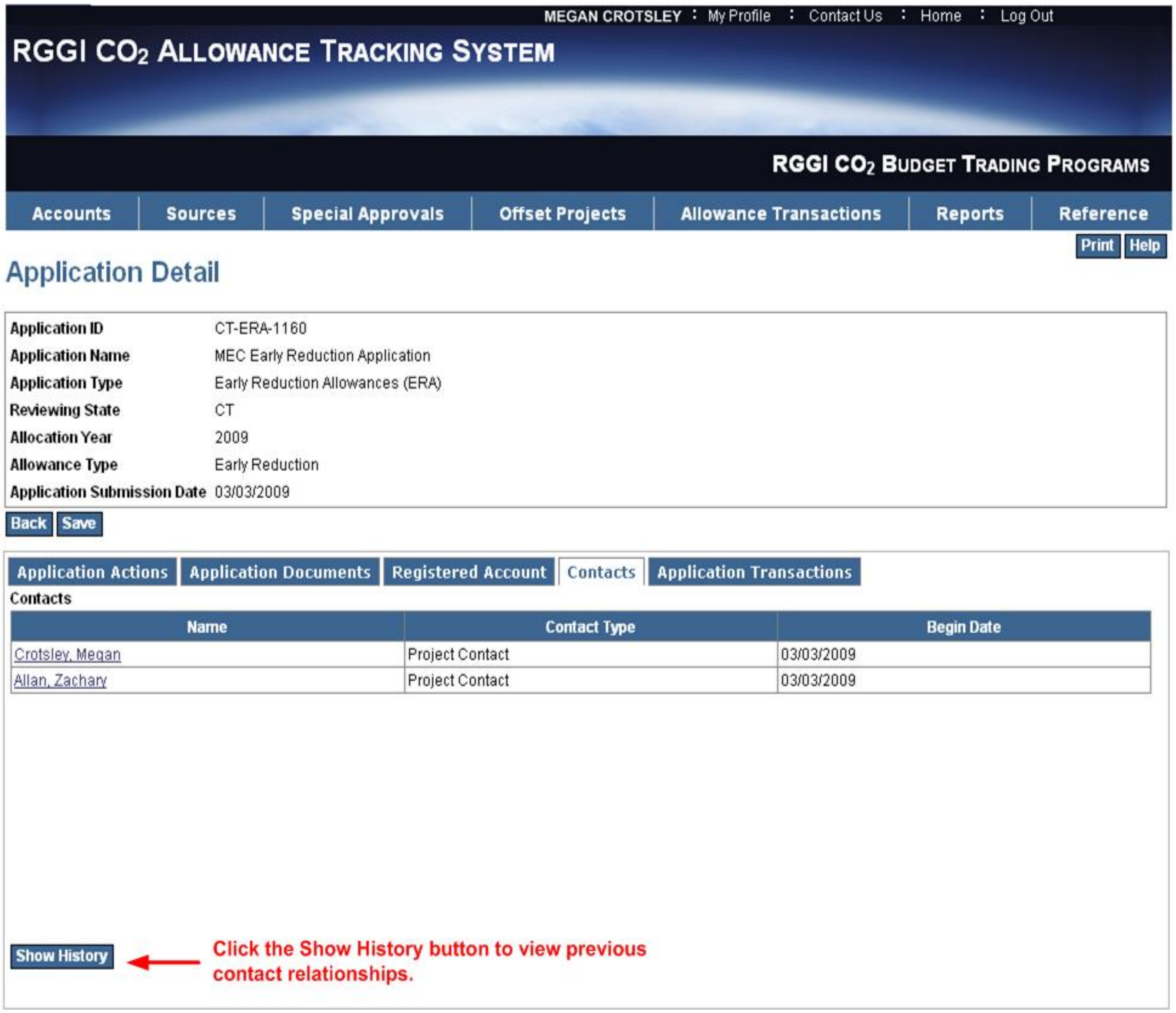
1. **View the Application Contacts tab.** From the Application Details page, click on the Contacts tab in the middle of the page. Under the Contacts tab, a grid listing contacts that have been associated with the application will display.

Figure 9-19
Application Details Page, Contacts Tab



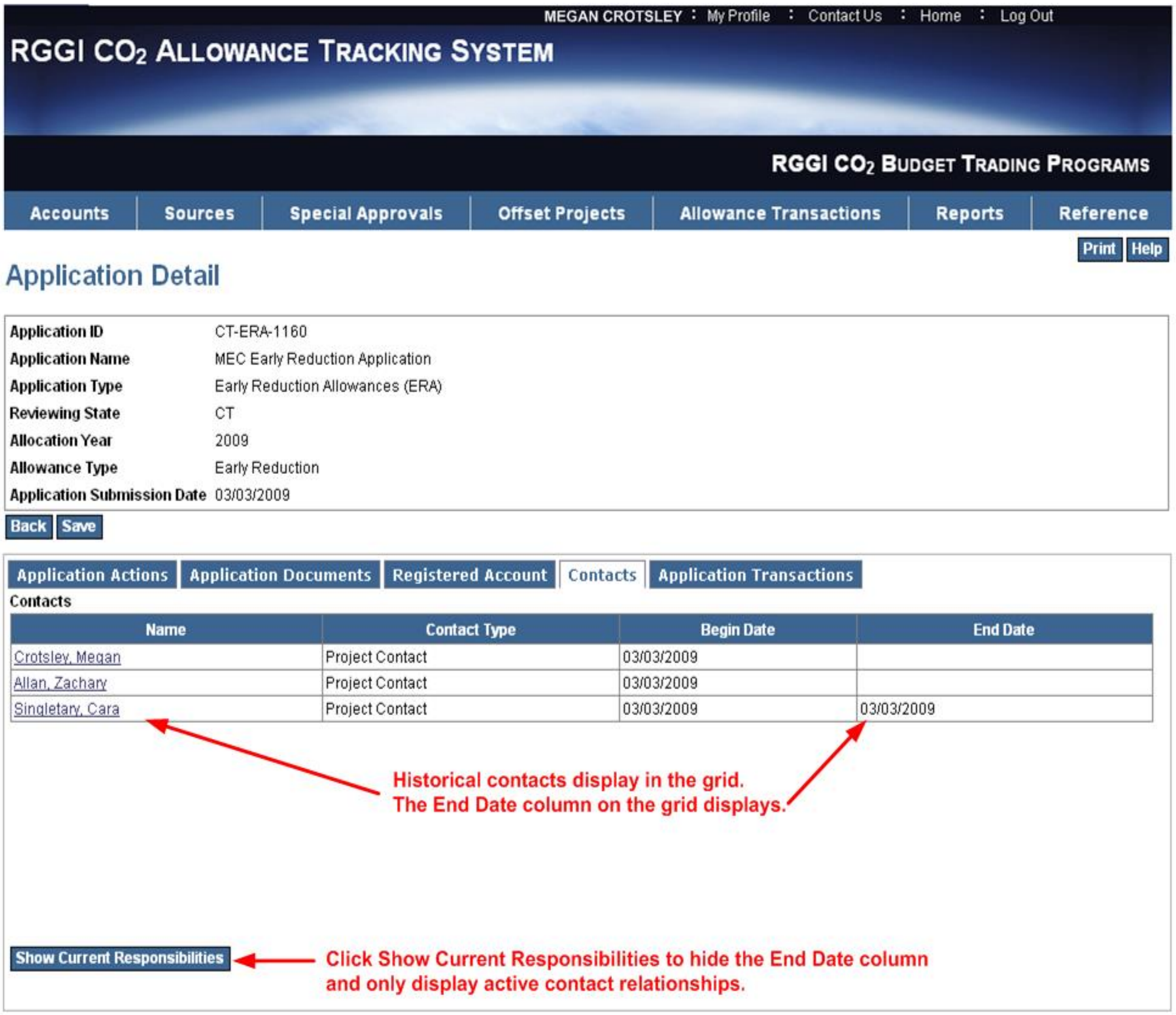
2. **Show Historical or Current Contact Relationships.** To view historical contact relationships, navigate to the Contacts tab on the Application Details page.

Figure 9-20
Application Details Page, Contacts Tab



- 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

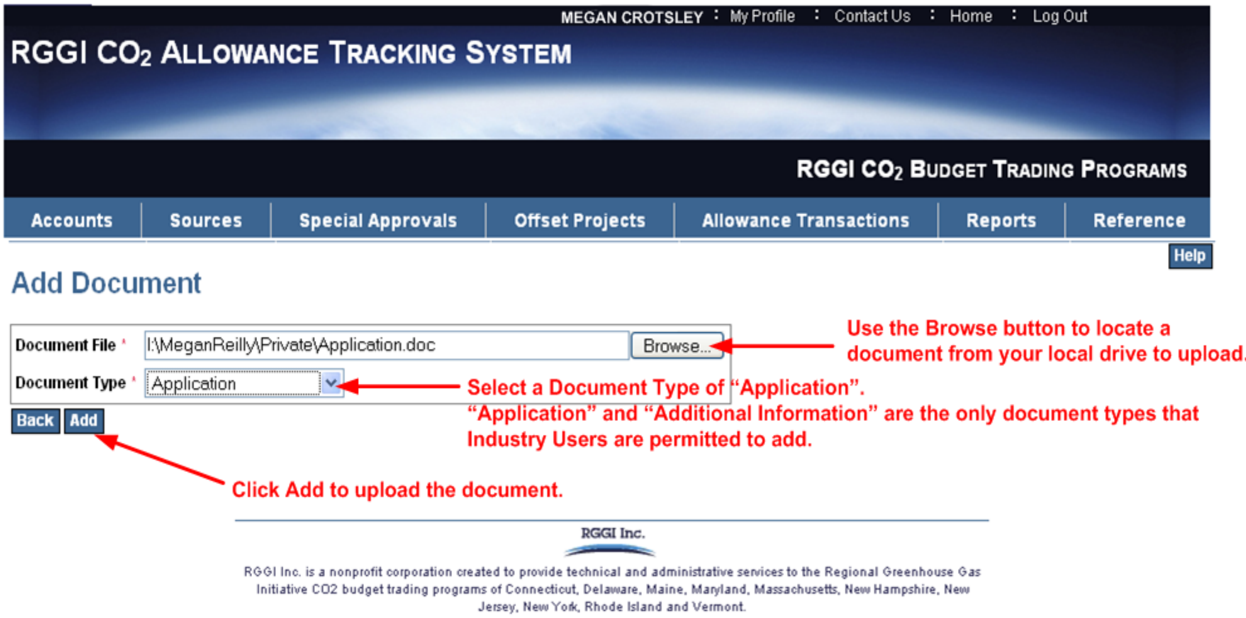


9.4 Adding a Special Approvals Application and/or Other Additional Application Documentation (if applicable)

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



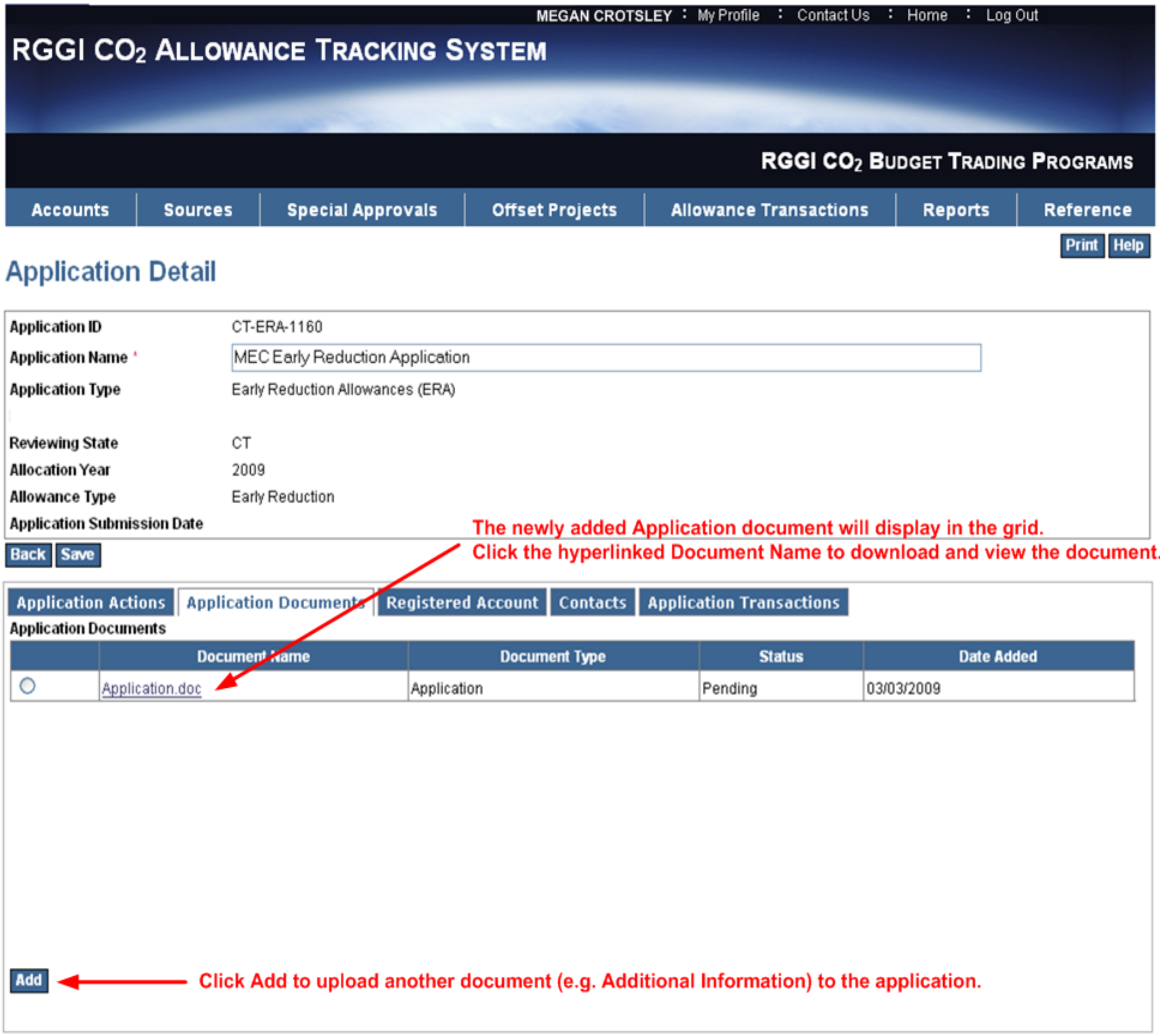
A. Use the **Browse** button to locate a document from your local drive to upload.

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.

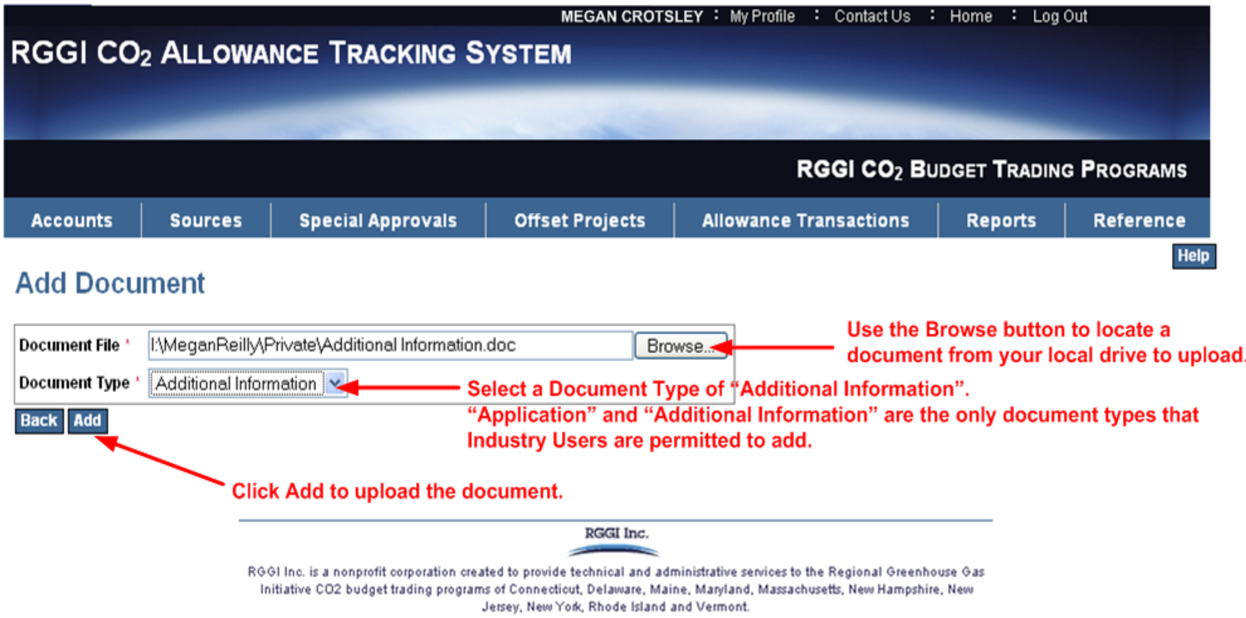
Figure 9-23
Application Details Page with Application Document (Application)



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



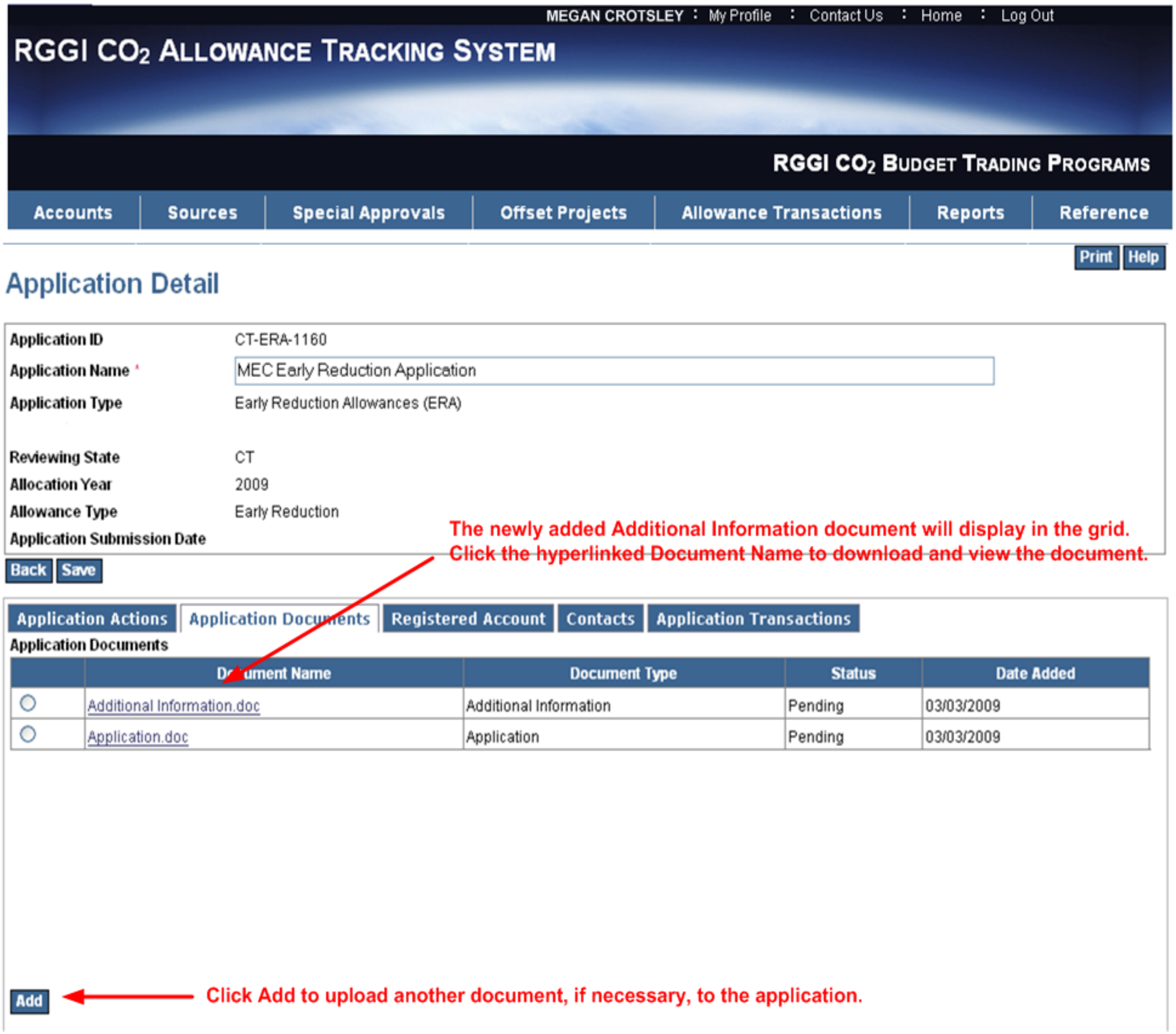
A. Use the **Browse** button to locate a document from your local drive to upload.

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)



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.***

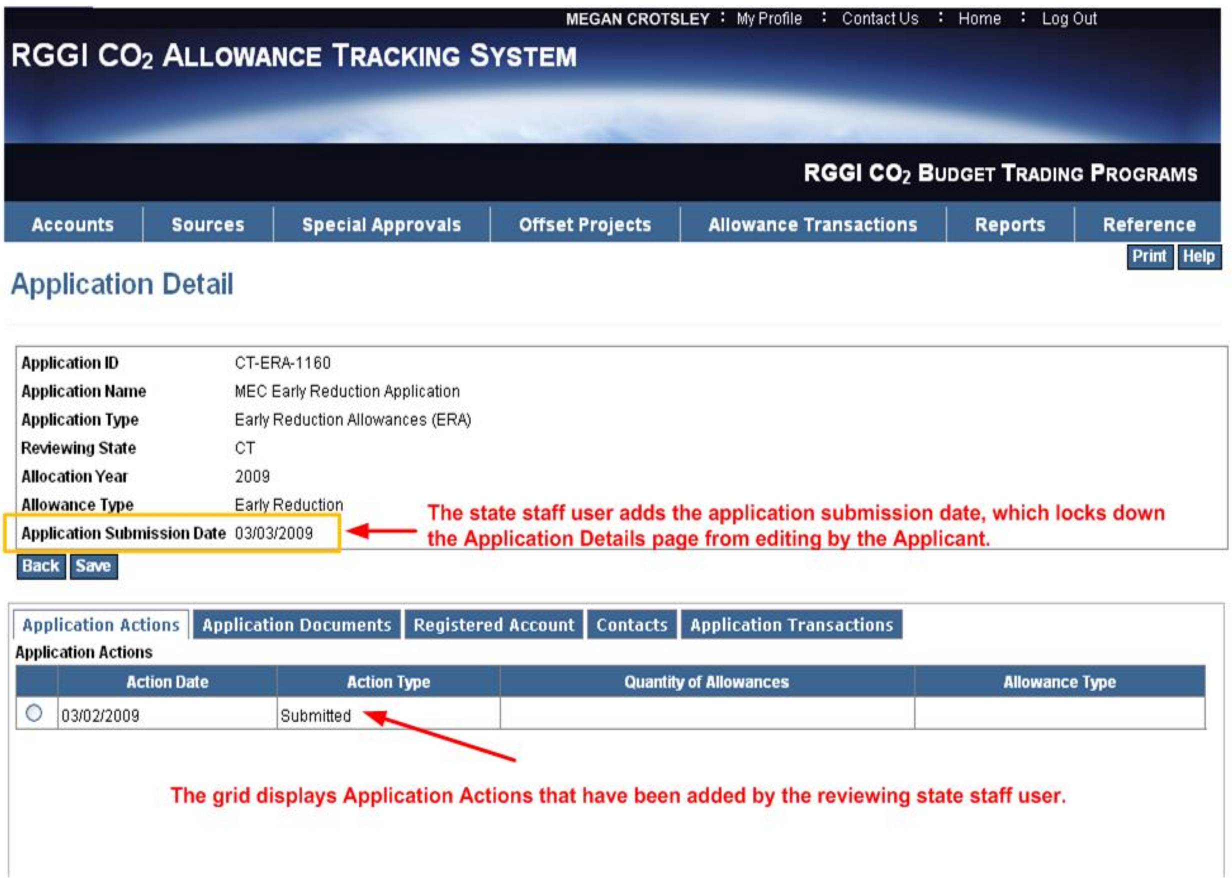
1. **View Application Action.** To view the actions taken for your application, refer to the Application Details page, Application Actions tab.

   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).

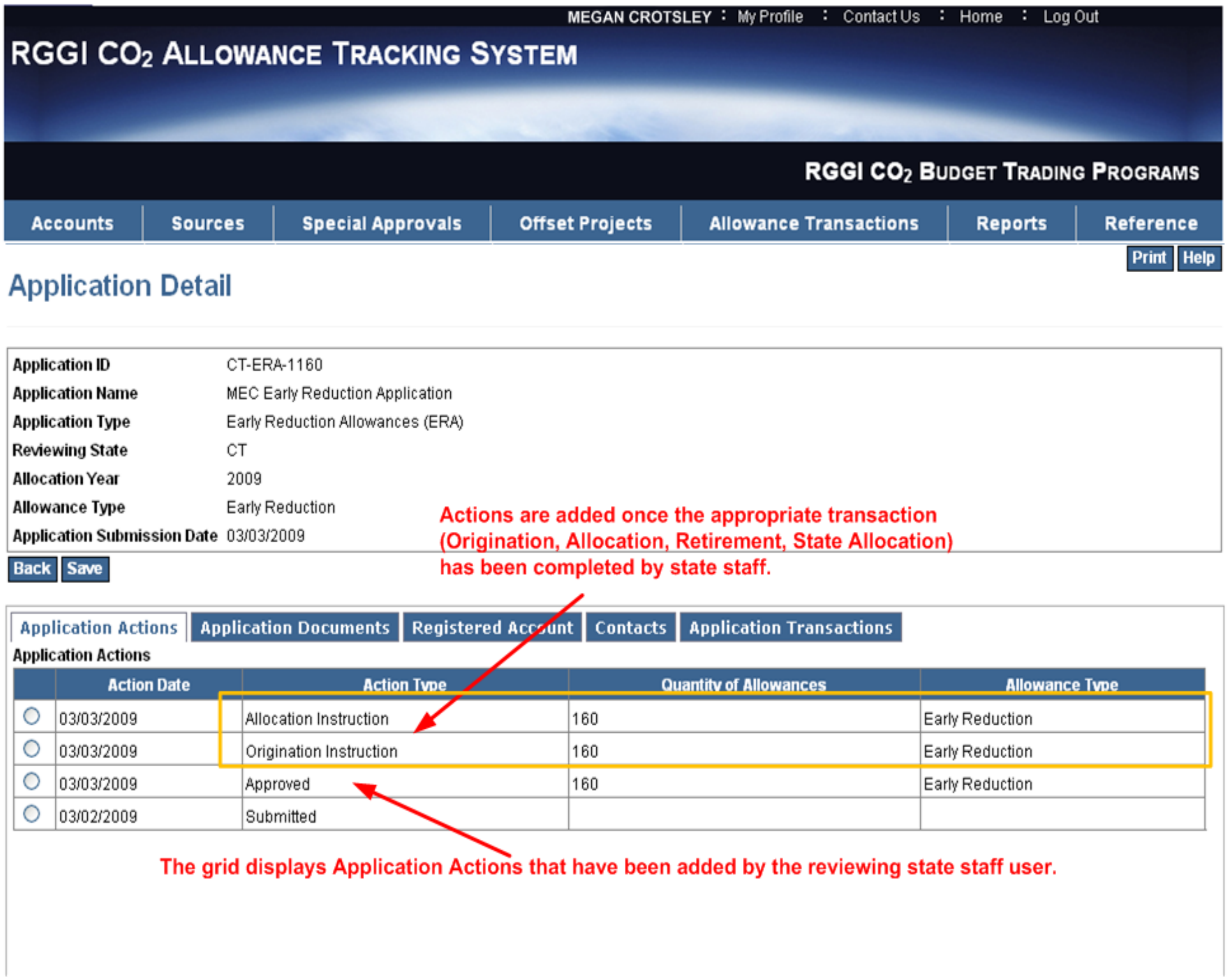
- State staff users will mark the applicant's application as submitted by adding the Action Type of Submitted.

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



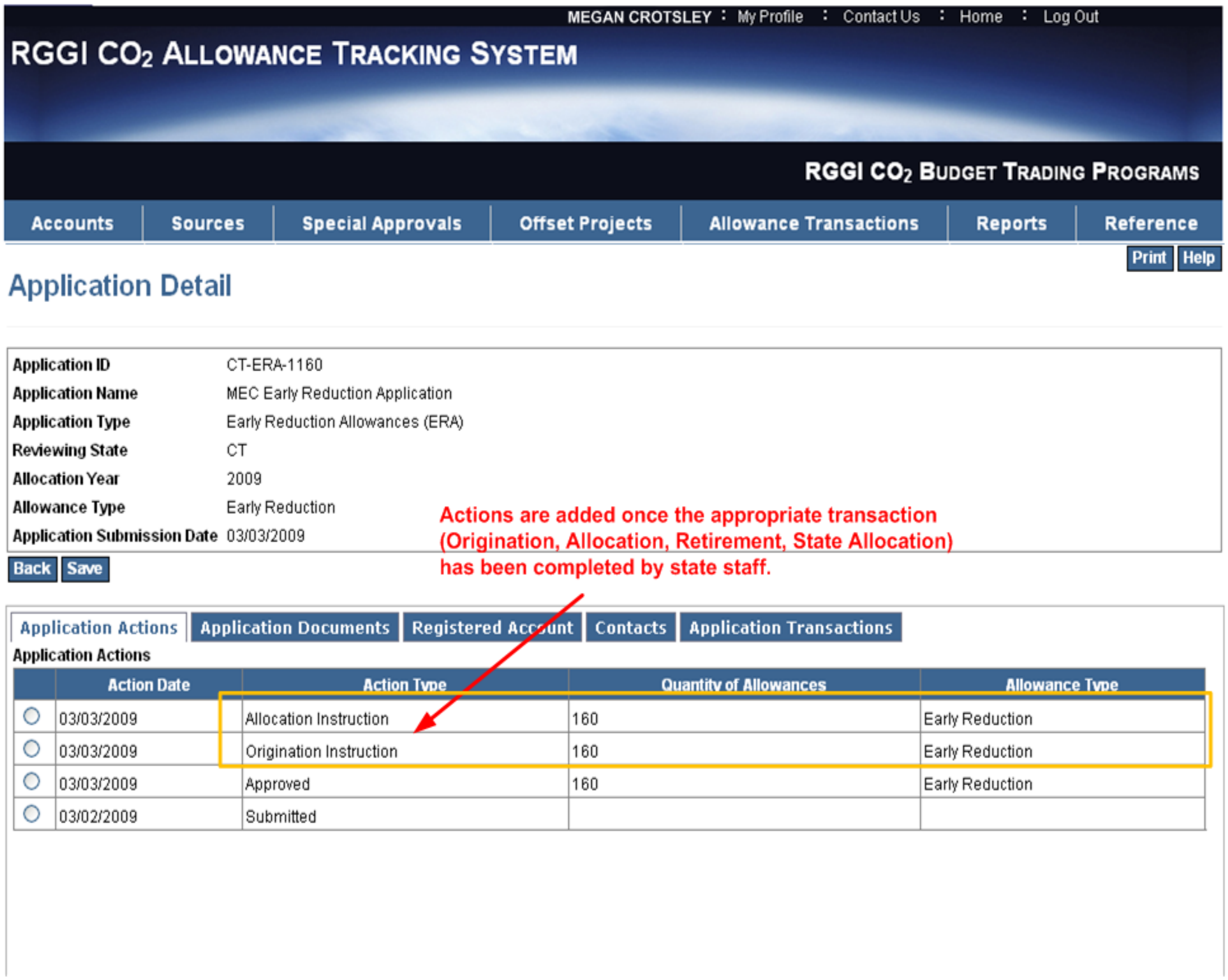
- State staff users will issue a determination for the application by adding the Action Type of Approved or Denied, along with a Quantity of Allowances.

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



- 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)



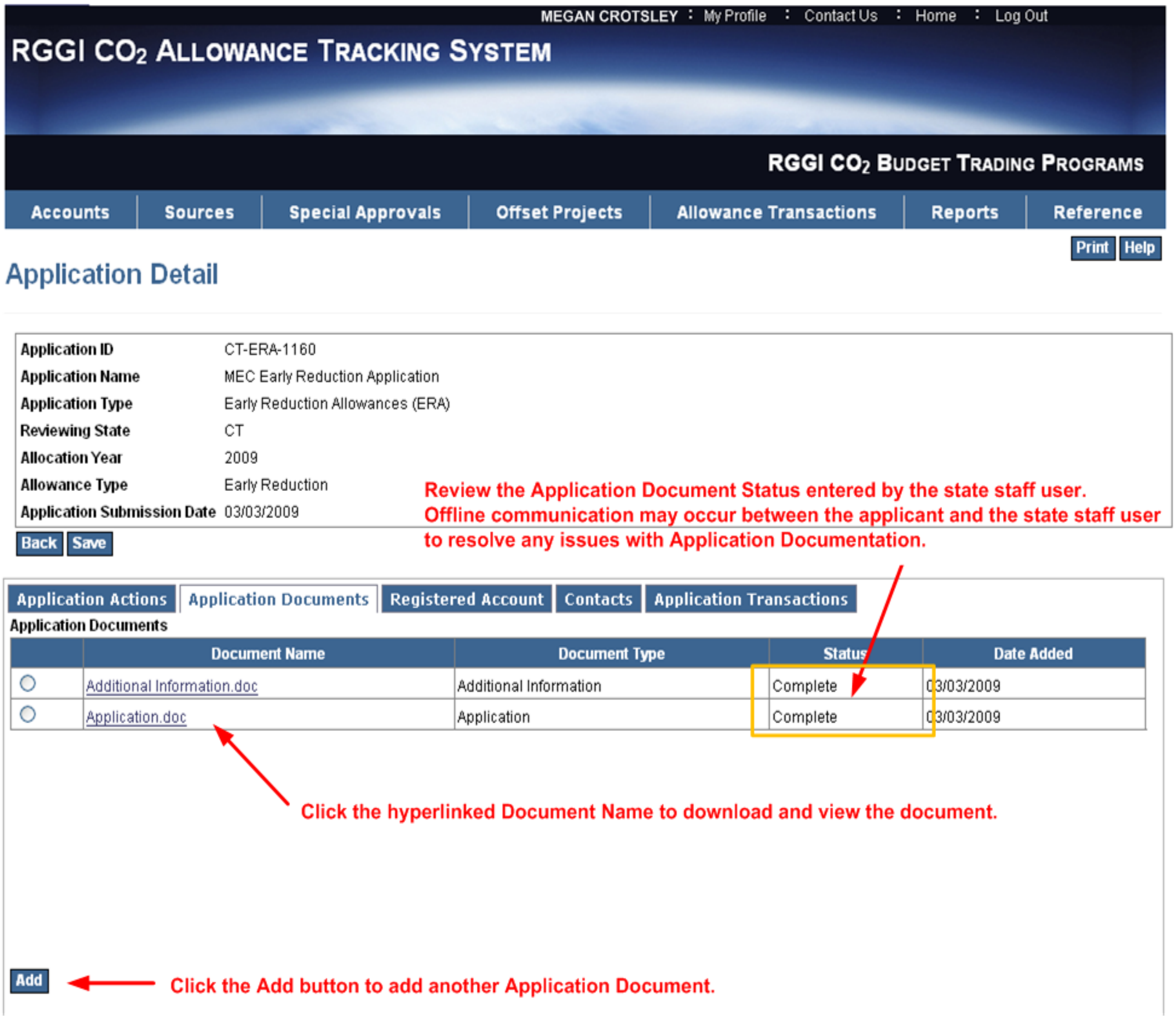
2. **View Application Document Status.** To view the status of your application documents, refer to the Application Details page, Application Documents tab.

   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.

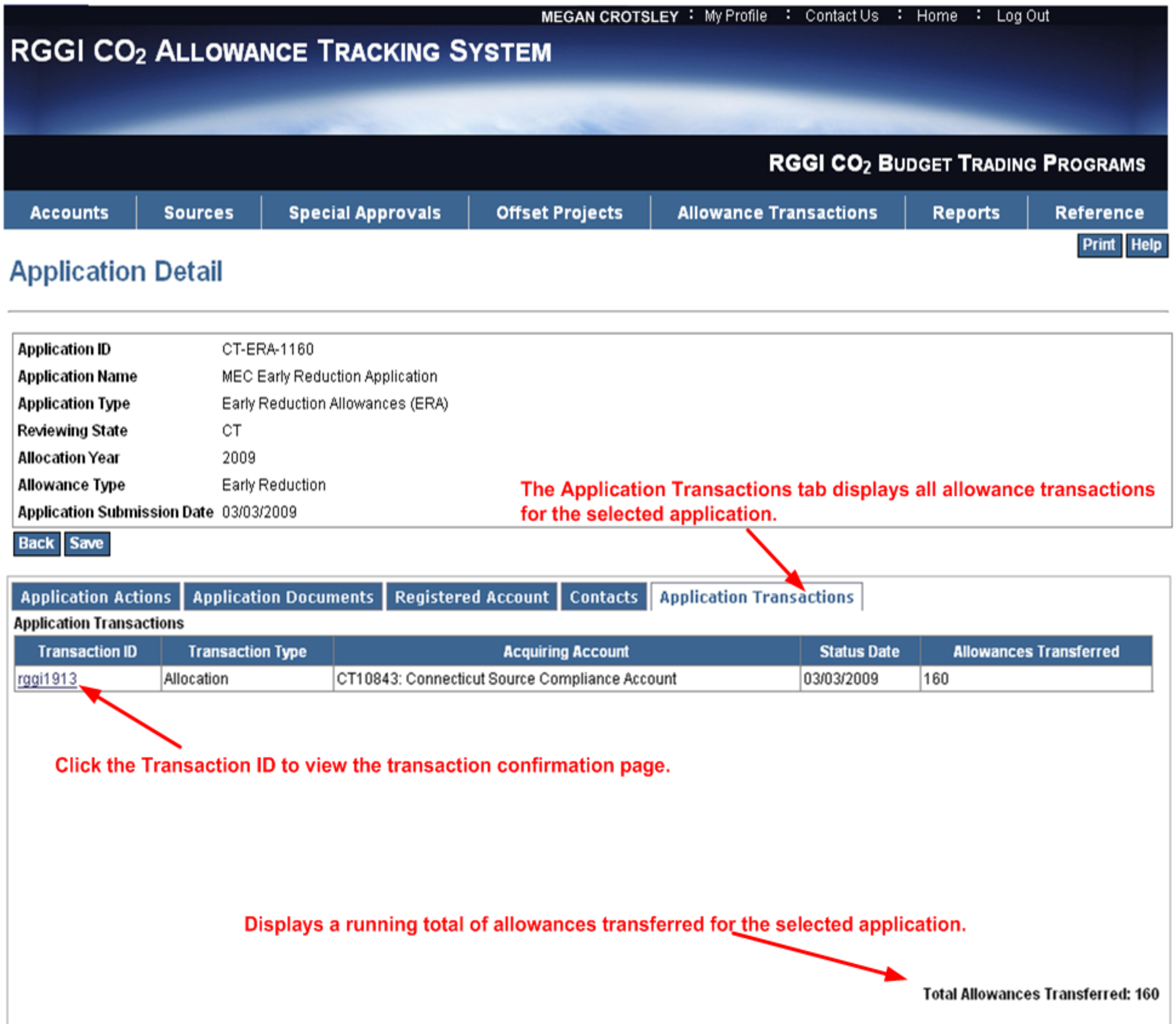
Figure 9-29
Application Details Page, Application Documents Grid



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.

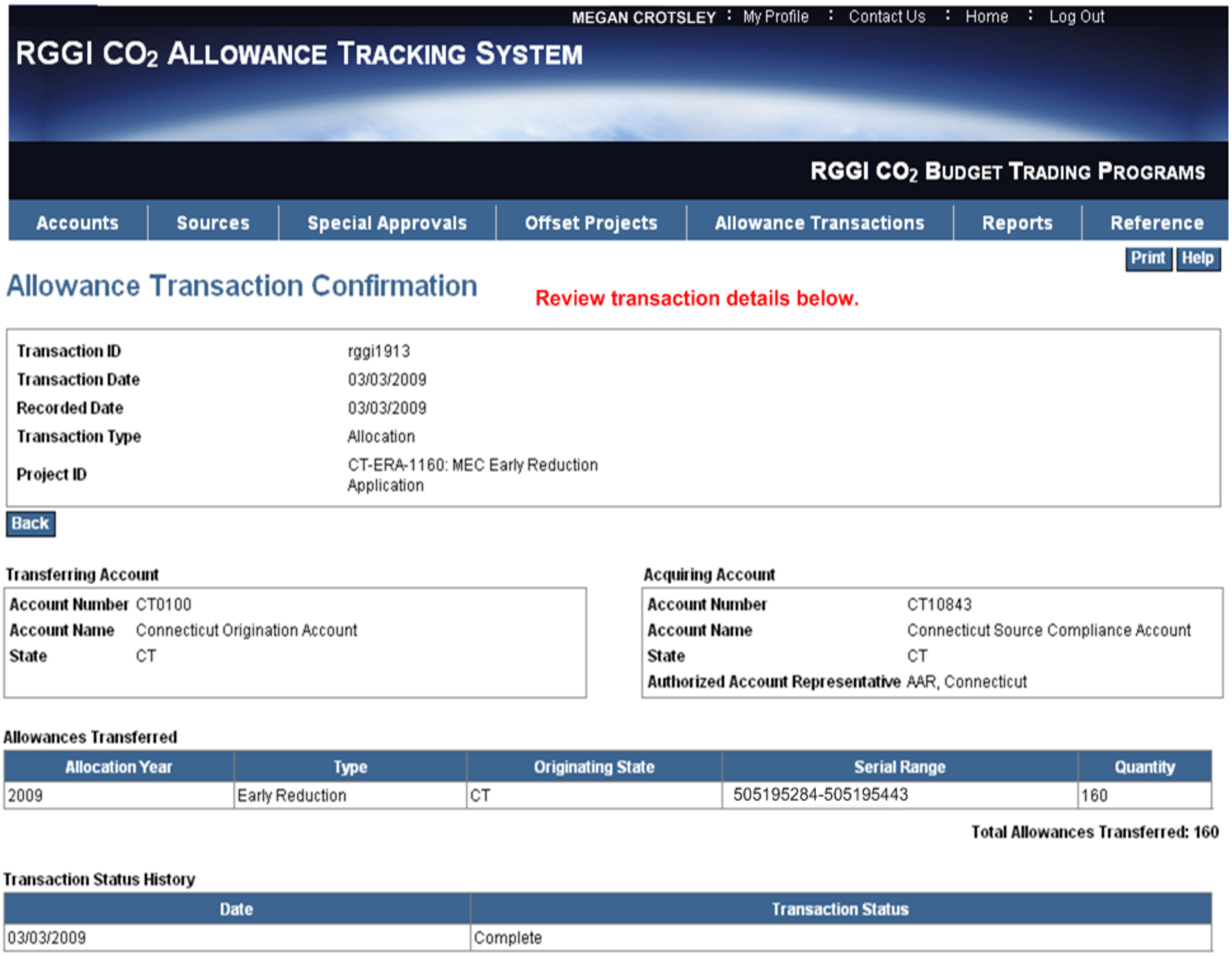
Figure 9-30
Application Details Page, Application Transactions Grid



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



10.0 Emissions

10.1 Emissions Homepage

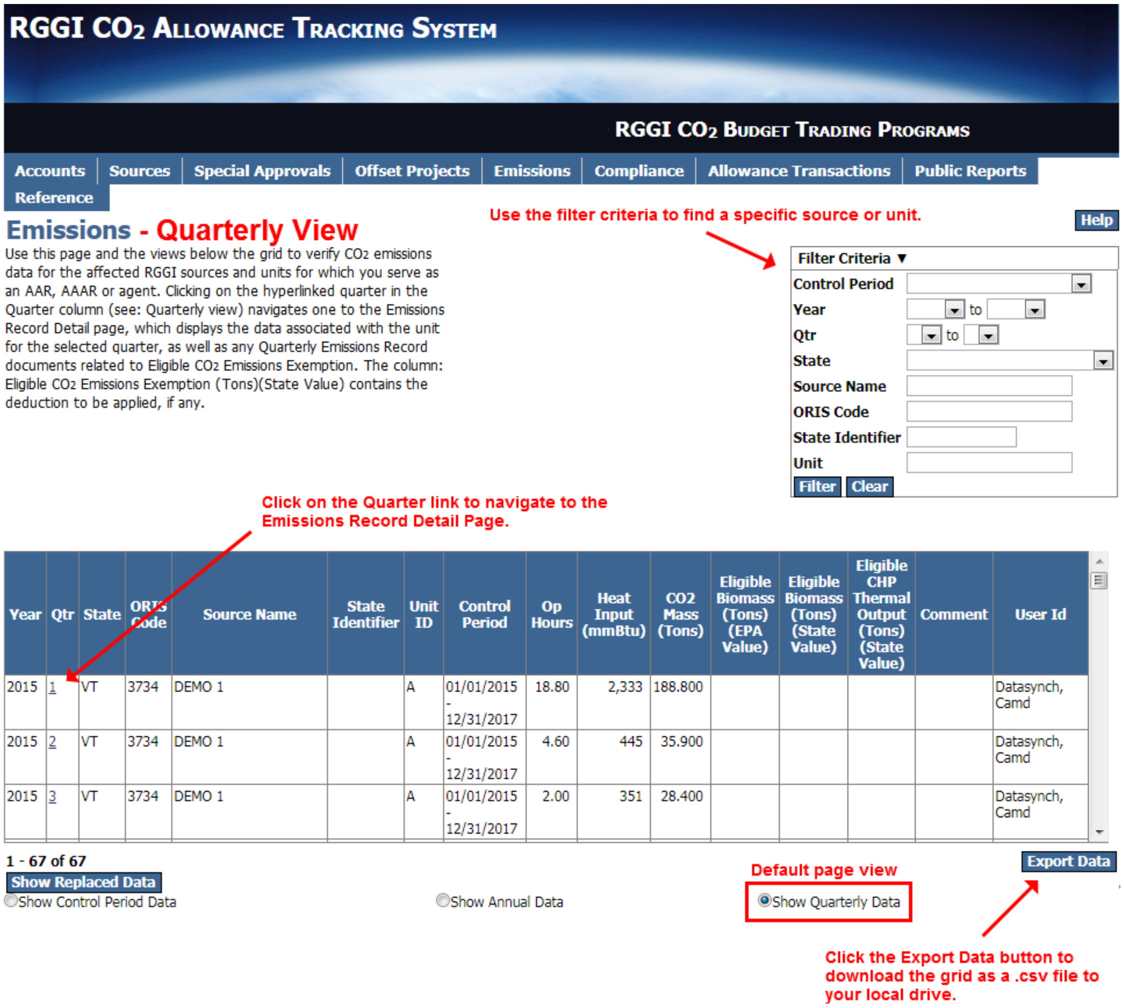
1. Click on the **Emissions** link in the menu navigation bar below the RGGI CO_2 Allowance Tracking System banner. This will bring you to the Emissions page, which displays all sources (units) which you have been associated as an Authorized Account Representative (AAR), Alternate Authorized Account 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 CO_2 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).

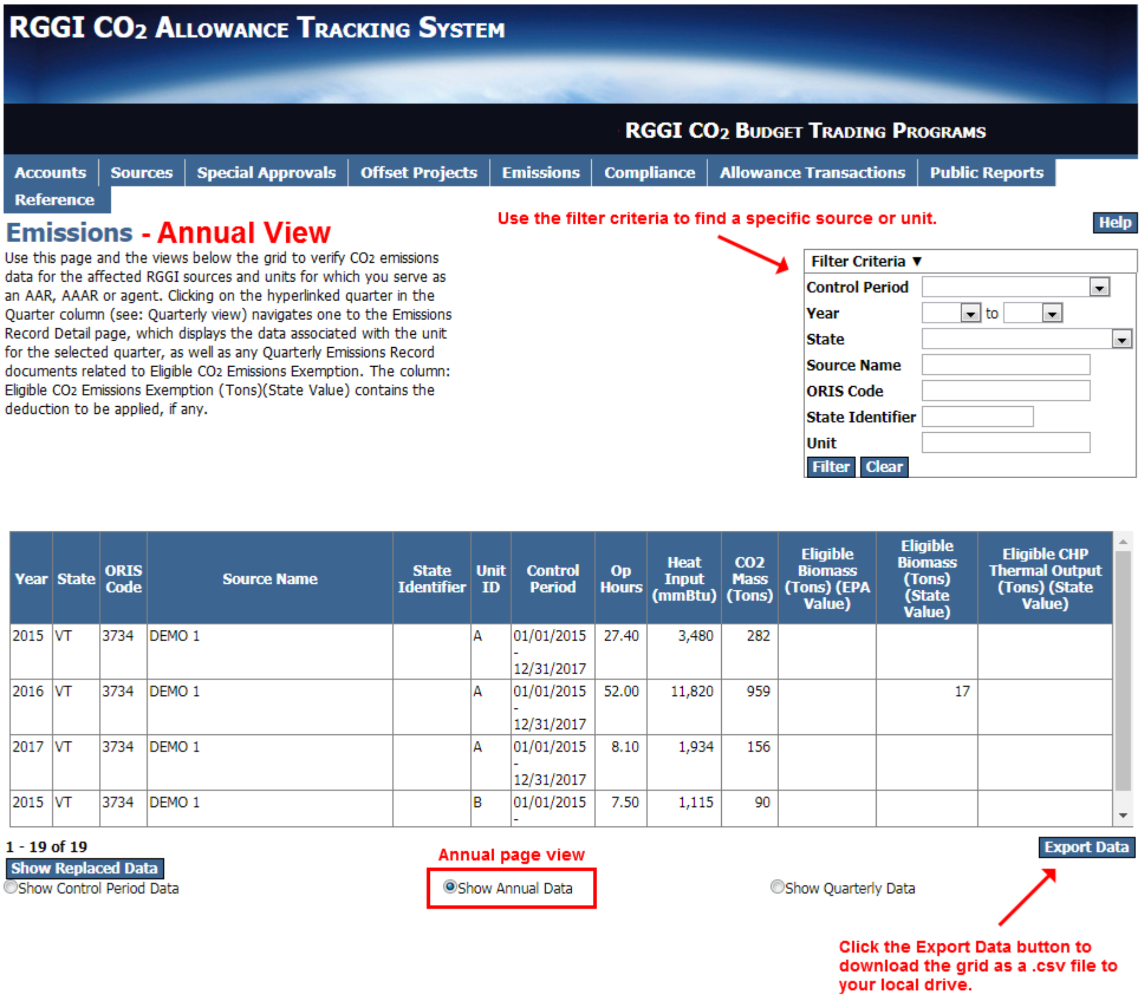
   Note: You are affiliated with a source by being the Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or electronic submission agent (Agent) for the source.

Figure 10-2
Emissions Homepage: Quarterly View



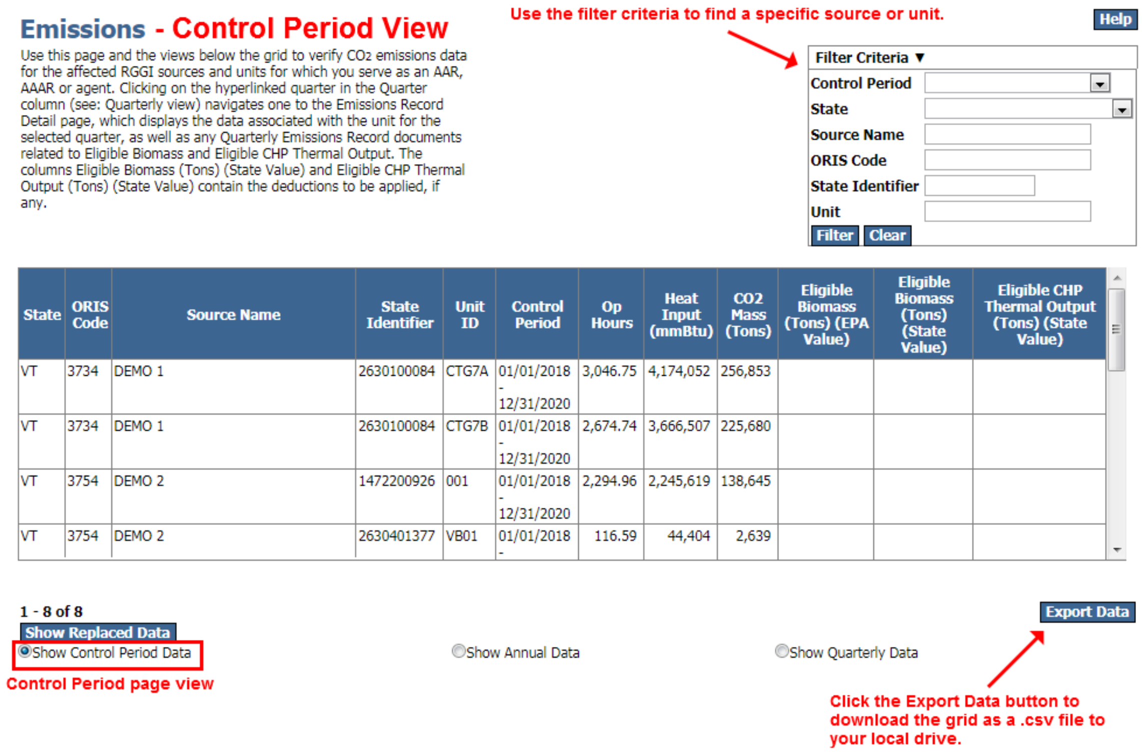
3. **View the Emissions Homepage: Annual View.** The Emissions Homepage Annual view displays CO_2 emissions data for the RGGI affected sources and units by year for which you are affiliated. Use the filter to locate a specific source, or scroll through the list.

Figure 10-3
Emissions Homepage: Annual View



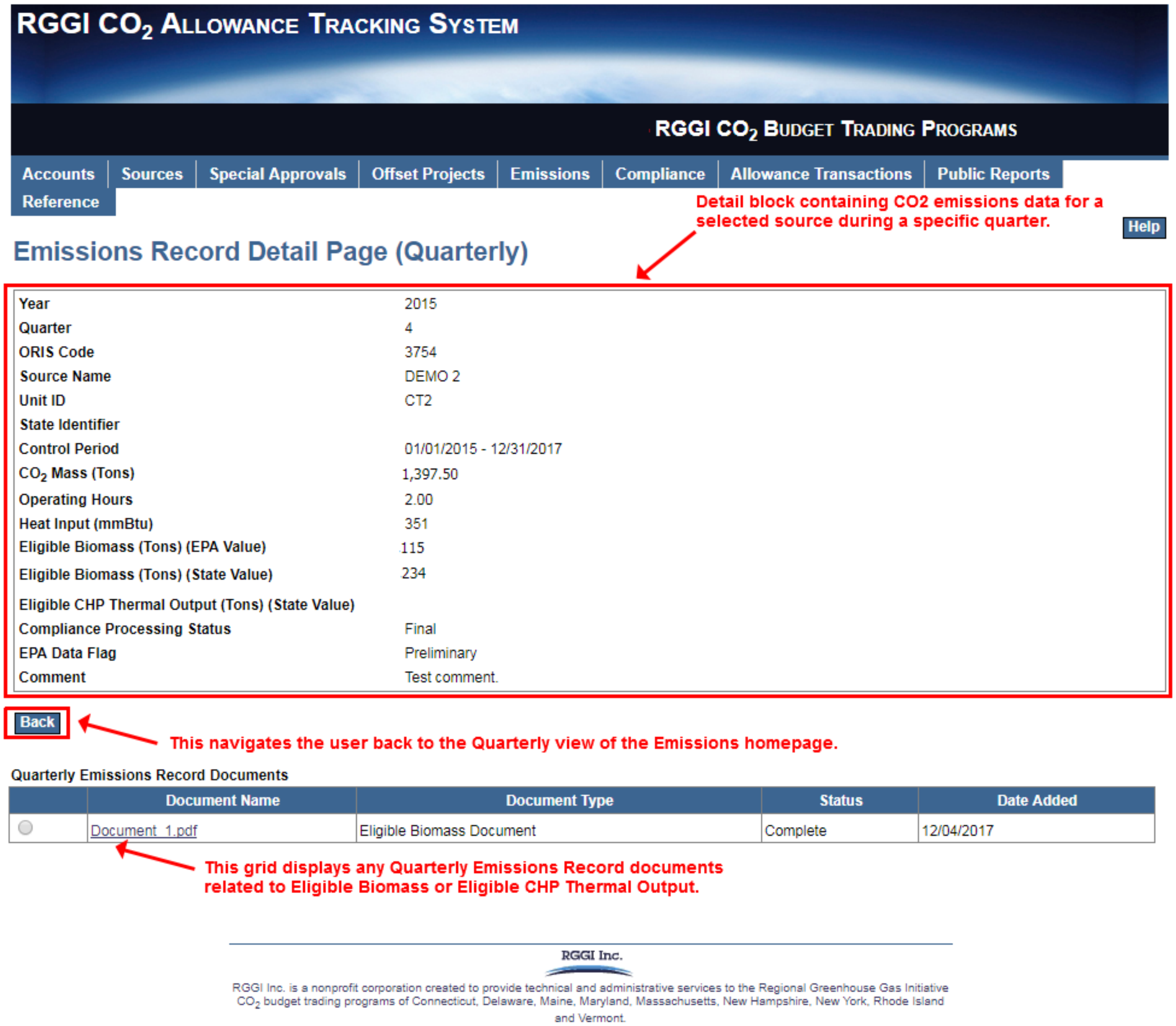
4. **View the Emissions Homepage: Control Period View.** The Emissions Homepage Control Period view displays CO_2 emissions data for the RGGI affected sources and units by control period for which you are affiliated. Use the filter to locate a specific source, or scroll through the list.

Figure 10-4
Emissions Homepage: Control Period View



5. **View the Emissions Record Detail Page**. Accessed from the Emissions Homepage: Quarterly view, the Emissions Record Detail Page displays a detail block with CO_2 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



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 CO_2 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 CO_2 allowance transfer deadline, any eligible allowances in the compliance account which have not been surrendered by the AAR, AAAR, or Agent of the CO_2

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

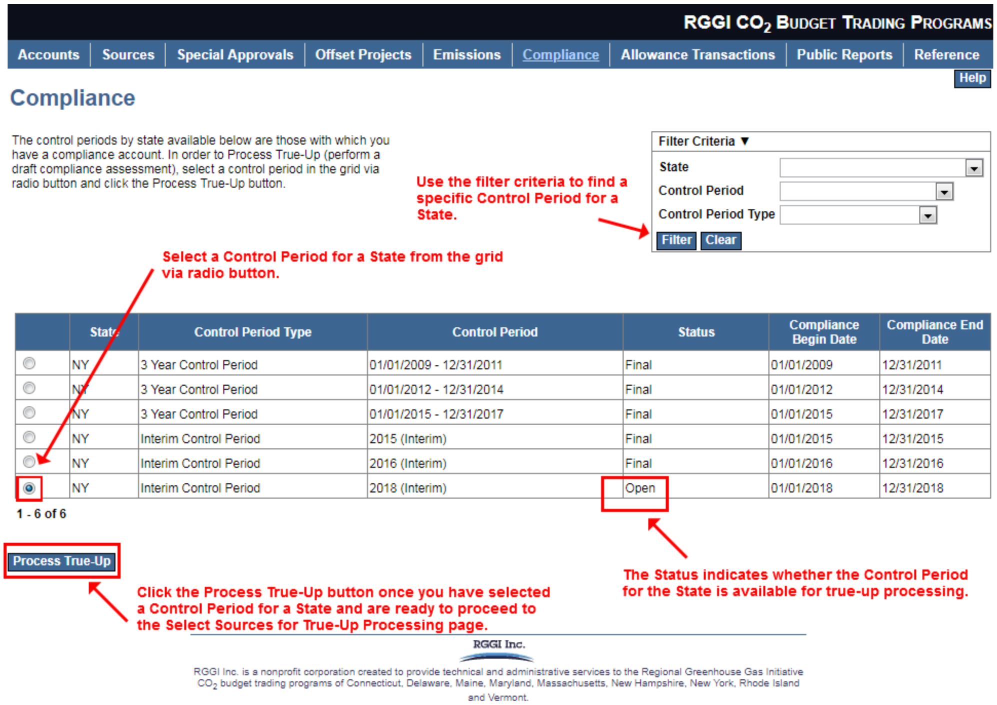
1. **Click the Compliance Menu.** Click on the **Compliance** menu link in the top navigation bar. This will bring you to the Compliance Home page.

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



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

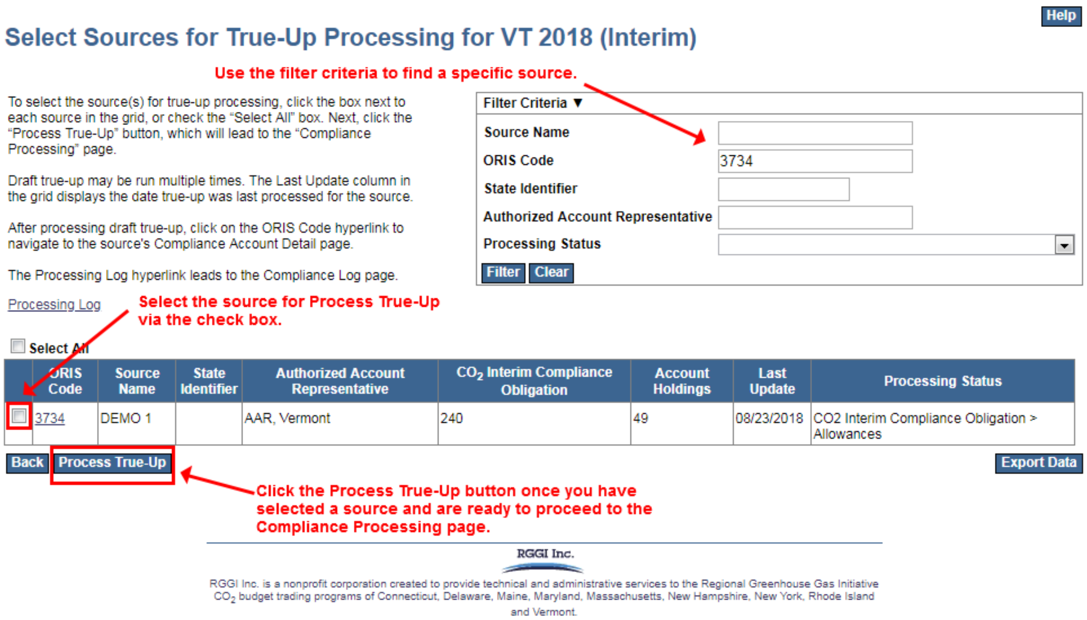
1a. Select Sources for True-Up Processing. After you click on the Process True-Up button on the Compliance homepage, you will be navigated to the Select Sources for True-Up Processing page. This page displays the sources for which you are affiliated as an AAR, AAAR, or Agent. The Select Sources for True-Up 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 CO_2 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



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 CO_2 Emissions -- total CO_2 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.

CO_2 Interim Compliance Obligation – 50% of Emissions less Biomass Emissions and Eligible CHP Thermal Output Emissions Deducted.

AAR Surrendered Allowances -- Eligible CO_2 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 CO_2 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.

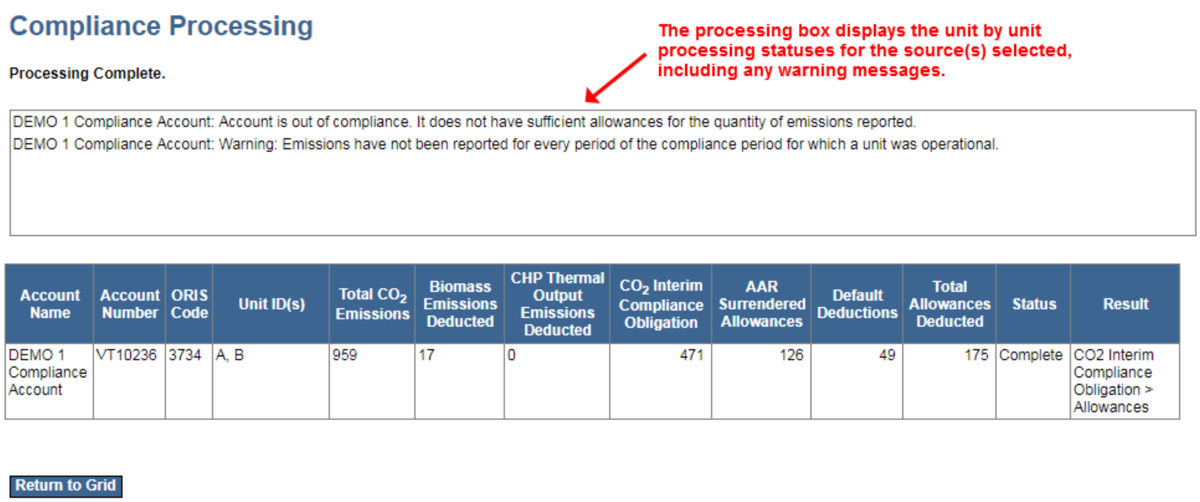
Total Allowances Deducted -- the sum of AAR Surrendered Allowances and Default Deductions.

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

Results -- displays "CO_2 Interim Compliance Obligation = Allowances" if the draft true-up was successful, i.e., CO_2 Interim Compliance Obligation is equal to Total Allowances Deducted. If not, it will display " CO_2 Interim Compliance Obligation > Allowances," meaning CO_2 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.

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)

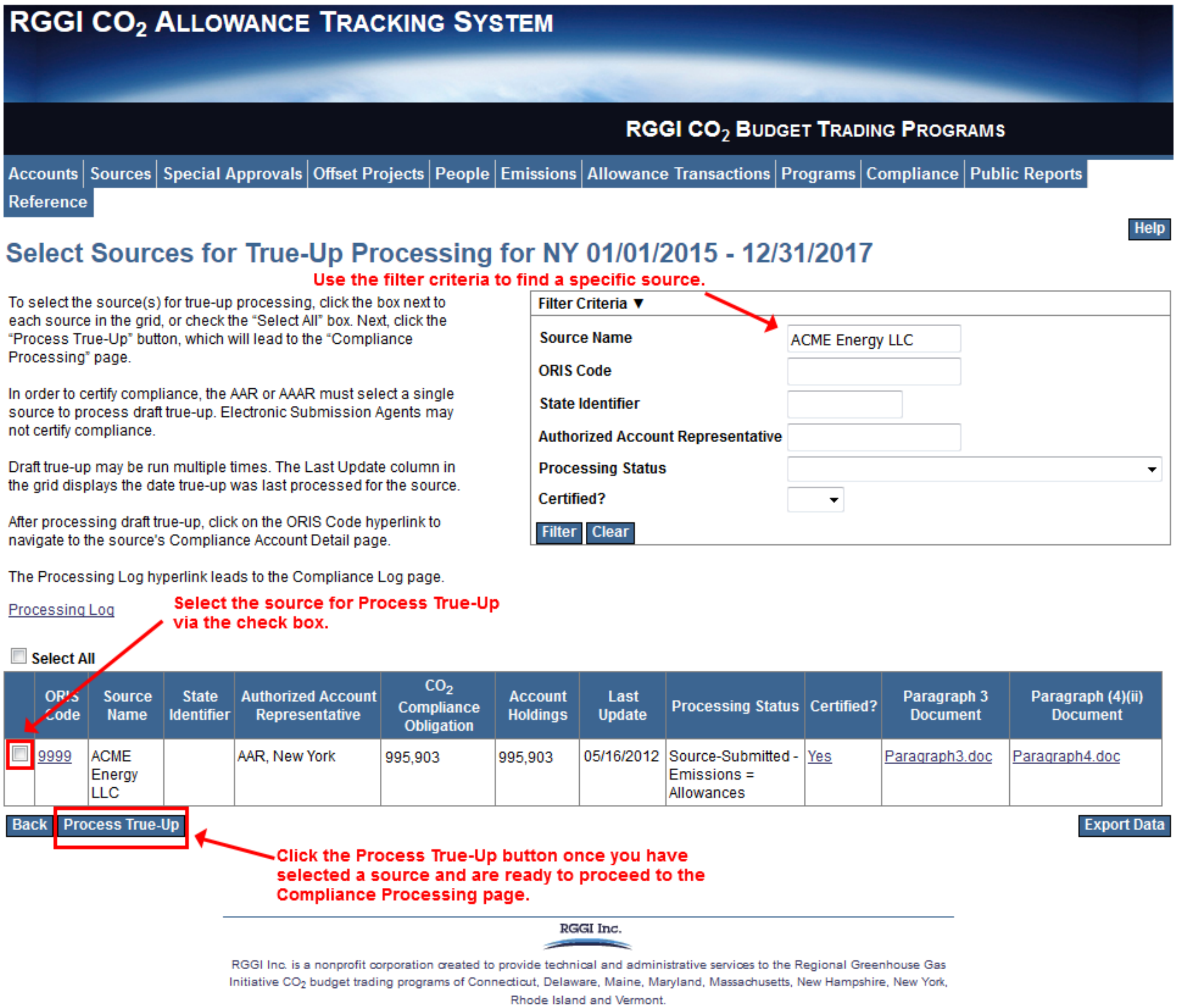
1b. Select Sources for True-Up Processing. After you click on the Process True-Up button on the Compliance homepage, you will be navigated to the Select Sources for True-Up Processing page. This page displays the sources for which you are affiliated as an AAR, AAAR, or Agent. The Select Sources for True-Up 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 CO_2 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



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 CO_2 Emissions -- total CO_2 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.

CO_2 Compliance Obligation -- Total Emissions less Biomass Emissions and Eligible CHP Thermal Output Emissions Deducted.

Previously Surrendered for CO_2 Interim Compliance -- CO_2 allowances already provided to meet CO_2 Interim Compliance Obligations.

AAR Surrendered Allowances -- Eligible CO_2 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 CO_2 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.

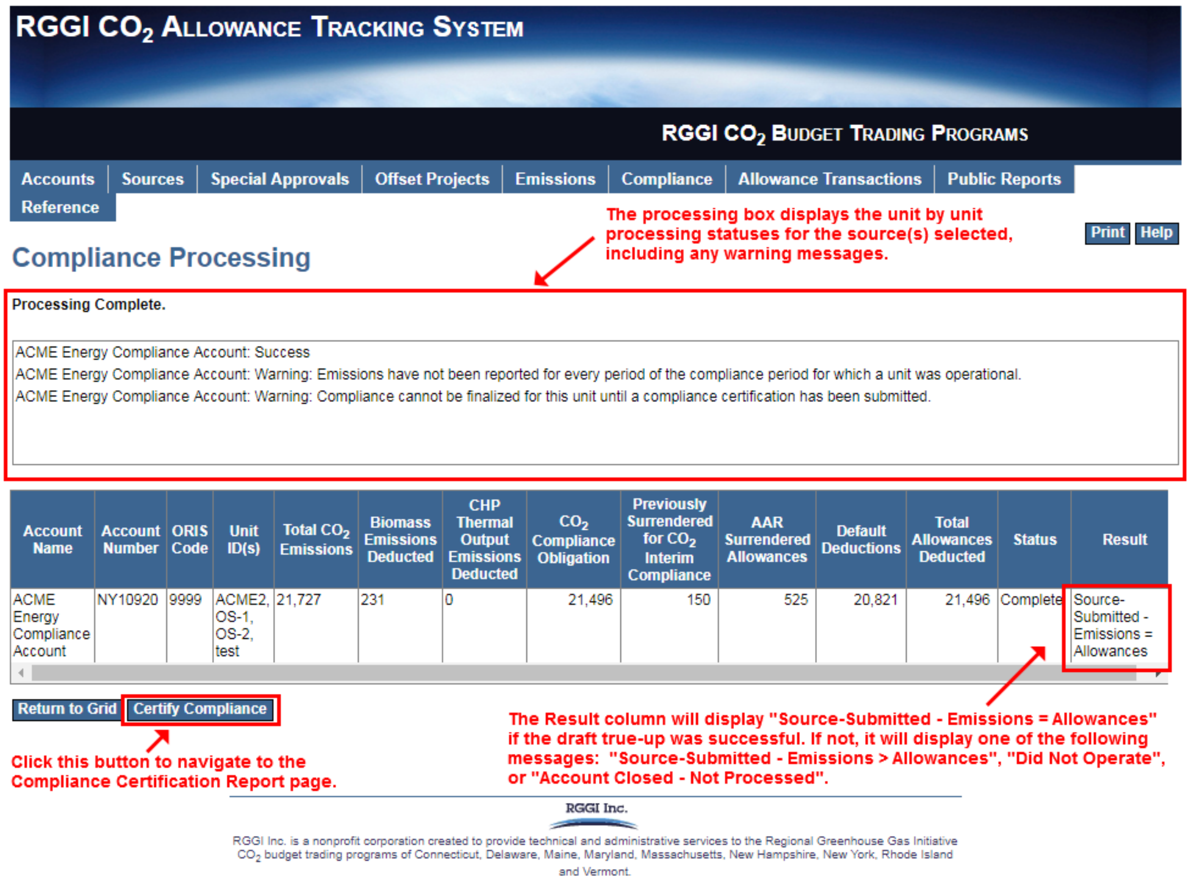
Total Allowances Deducted -- the sum of AAR Surrendered Allowances and Default Deductions.

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., CO_2 Compliance Obligation is equal to Total Allowances Deducted. If not, it will display "Source-Submitted – Emissions > Allowances," meaning CO_2 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 CO_2 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



3. Compliance Certification Report Page (AARs and AAARs Only). CO_2 budget sources are required to submit a Compliance Certification Report certifying that they are in compliance with their state's CO_2 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 CO_2 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 CO_2 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 CO_2 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 CO_2 budget sources located in Connecticut or Maryland: CO_2 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 CO_2 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 CO_2 budget emissions limitation in a control period.

For the Control Period and Source, a list of all CO_2 budget units for which you are the AAR or the AAAR and that are subject to any requirements under the CO_2 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:

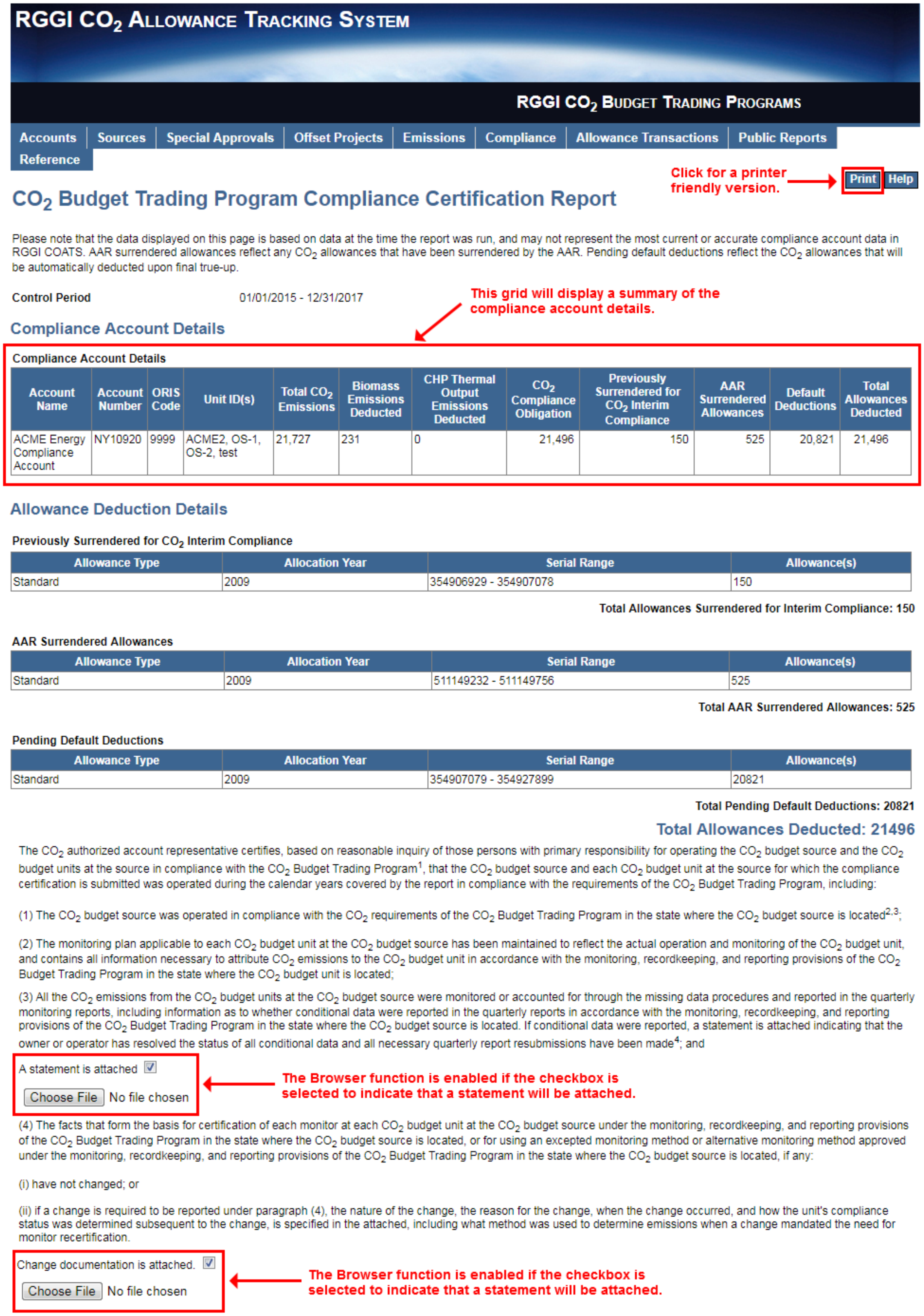
- Review the information on the screen and verify it is accurate.
- Read item numbers one through four.
- If applicable, check the box in item three to enable the Browse button. Prepare and upload the indicated statement.
- If applicable, check the box in item four to enable the Browse button. Prepare 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 CO_2 ALLOWANCE TRACKING SYSTEM

RGGI CO_2 BUDGET TRADING PROGRAMS

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

Click for a printer friendly version.

Print Help

CO_2 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 CO_2 allowances that have been surrendered by the AAR. Pending default deductions reflect the CO_2 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

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 CO_2 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 CO_2 authorized account representative certifies, based on reasonable inquiry of those persons with primary responsibility for operating the CO_2 budget source and the CO_2 budget units at the source in compliance with the CO_2 Budget Trading Program[1], that the CO_2 budget source and each CO_2 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 CO_2 Budget Trading Program, including:

(1) The CO_2 budget source was operated in compliance with the CO_2 requirements of the CO_2 Budget Trading Program in the state where the CO_2 budget source is located[2,3];

(2) The monitoring plan applicable to each CO_2 budget unit at the CO_2 budget source has been maintained to reflect the actual operation and monitoring of the CO_2 budget unit, and contains all information necessary to attribute CO_2 emissions to the CO_2 budget unit in accordance with the monitoring, recordkeeping, and reporting provisions of the CO_2 Budget Trading Program in the state where the CO_2 budget unit is located;

(3) All the CO_2 emissions from the CO_2 budget units at the CO_2 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 CO_2 Budget Trading Program in the state where the CO_2 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 made[4]; and

A statement is attached ☑

Choose File 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 CO_2 budget unit at the CO_2 budget source under the monitoring, recordkeeping, and reporting provisions of the CO_2 Budget Trading Program in the state where the CO_2 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 CO_2 Budget Trading Program in the state where the CO_2 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. ☑

Choose File 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 CO_2 budget units at the source in compliance with the CO_2 Budget Trading Program," was not included in COMAR 26.09.02.05A(3).
[2] For New Jersey, the language above ("the CO_2 requirements of the CO_2 Budget Trading Program in the state where the source is located") should read "the CO_2 requirements of N.J.A.C. 7:27C-1.4"
[3] For Rhode Island, the language above ("the CO_2 requirements of the Budget Trading Program in the state where the source is located") should read "the CO_2 requirements of RI APC Regulation No. 46, subsection 46.3.1"
[4] For Maryland, this reads "Whether all CO_2 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 CO_2 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 CO_2 allowances held in the compliance account) should read "I am authorized to make the submission on behalf of the owners or operators of the CO_2 budget sources or CO_2 budget units for which the submission is made. (COMAR 26.09.01.04G)"

Note: Paper Requirements for CO_2 Budget Units Located in CT, DE, MD, RI, and VT

For CO_2 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 cerify 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 CO_2 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 CO_2 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 CO_2 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.

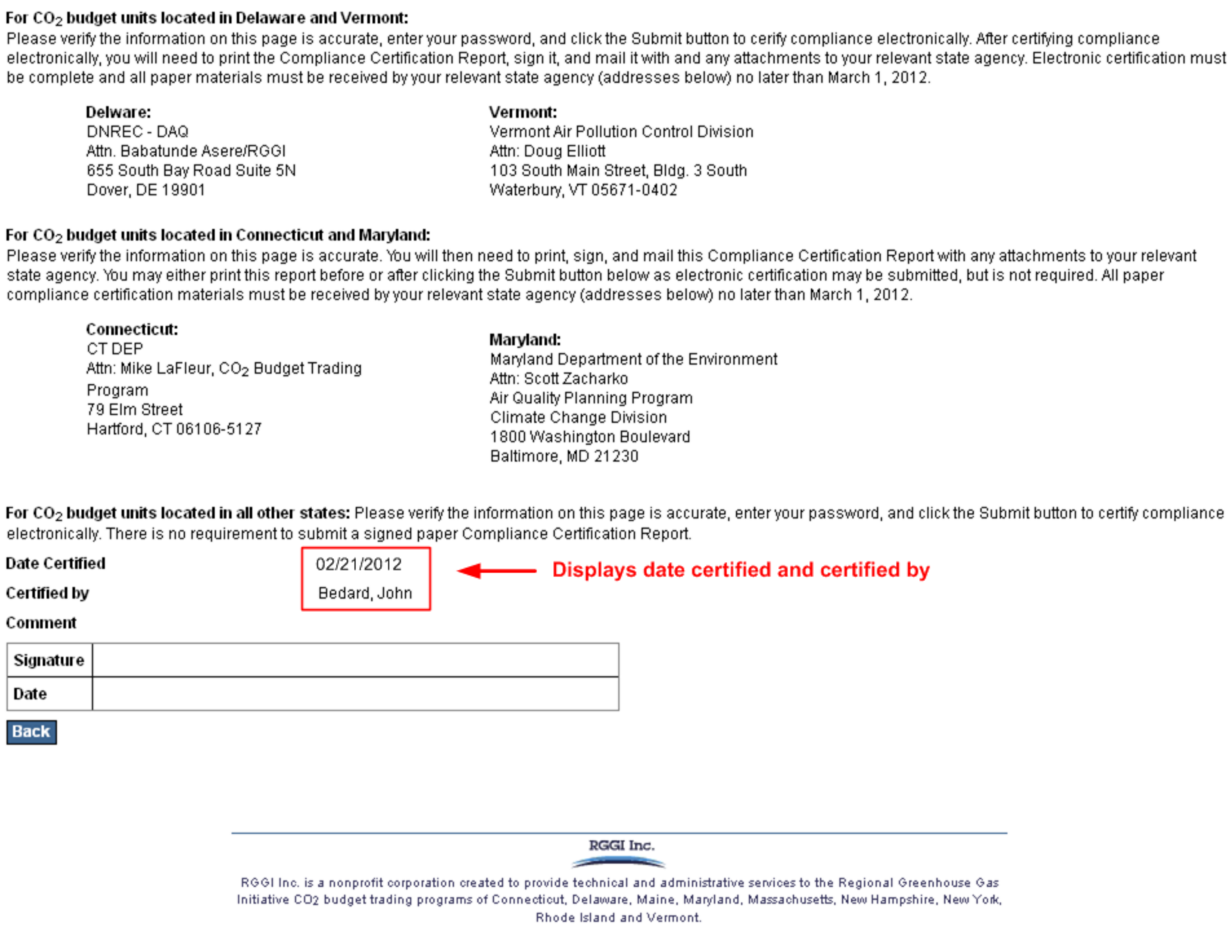
Back **Submit** — **Click the Submit button.**

RGGI Inc.

RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO_2 budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New York, Rhode Island and Vermont.

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 CO_2 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 cerify 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.

Delware:
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 CO_2 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, CO_2 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 CO_2 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
Certified by Bedard, John
Comment

Signature	
Date	

Back

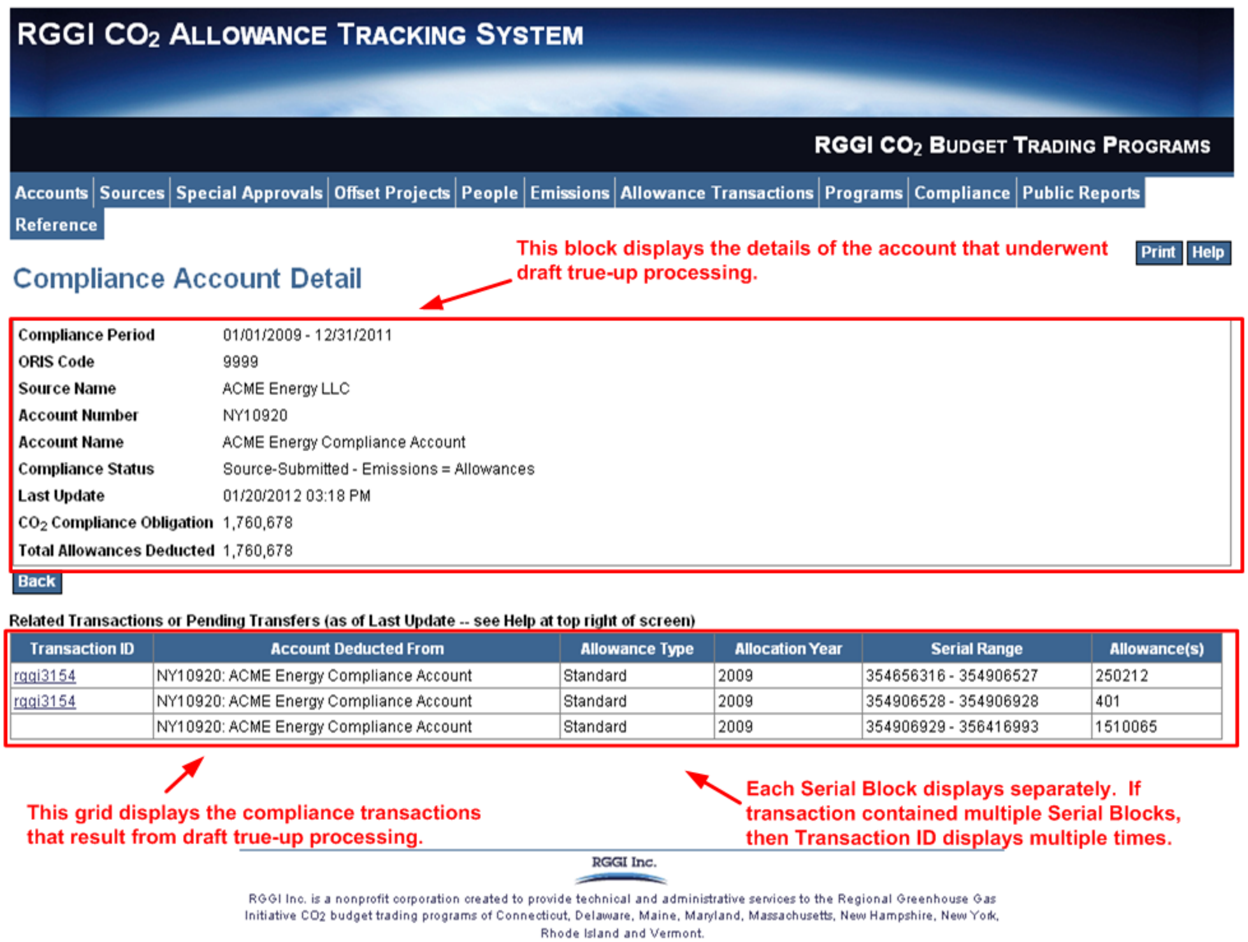
RGGI Inc.
RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO2 budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New York, Rhode Island and Vermont.

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



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

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 CO_2 ALLOWANCE TRACKING SYSTEM

RGGI CO_2 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 itnerim 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

Back

RGGI Inc.

RGGI Inc. is a nonprofit corporation created to provide technical and administrative services to the Regional Greenhouse Gas Initiative CO_2 budget trading programs of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island and Vermont.

12.0 Offset Projects

12.1 Offset Projects Homepage

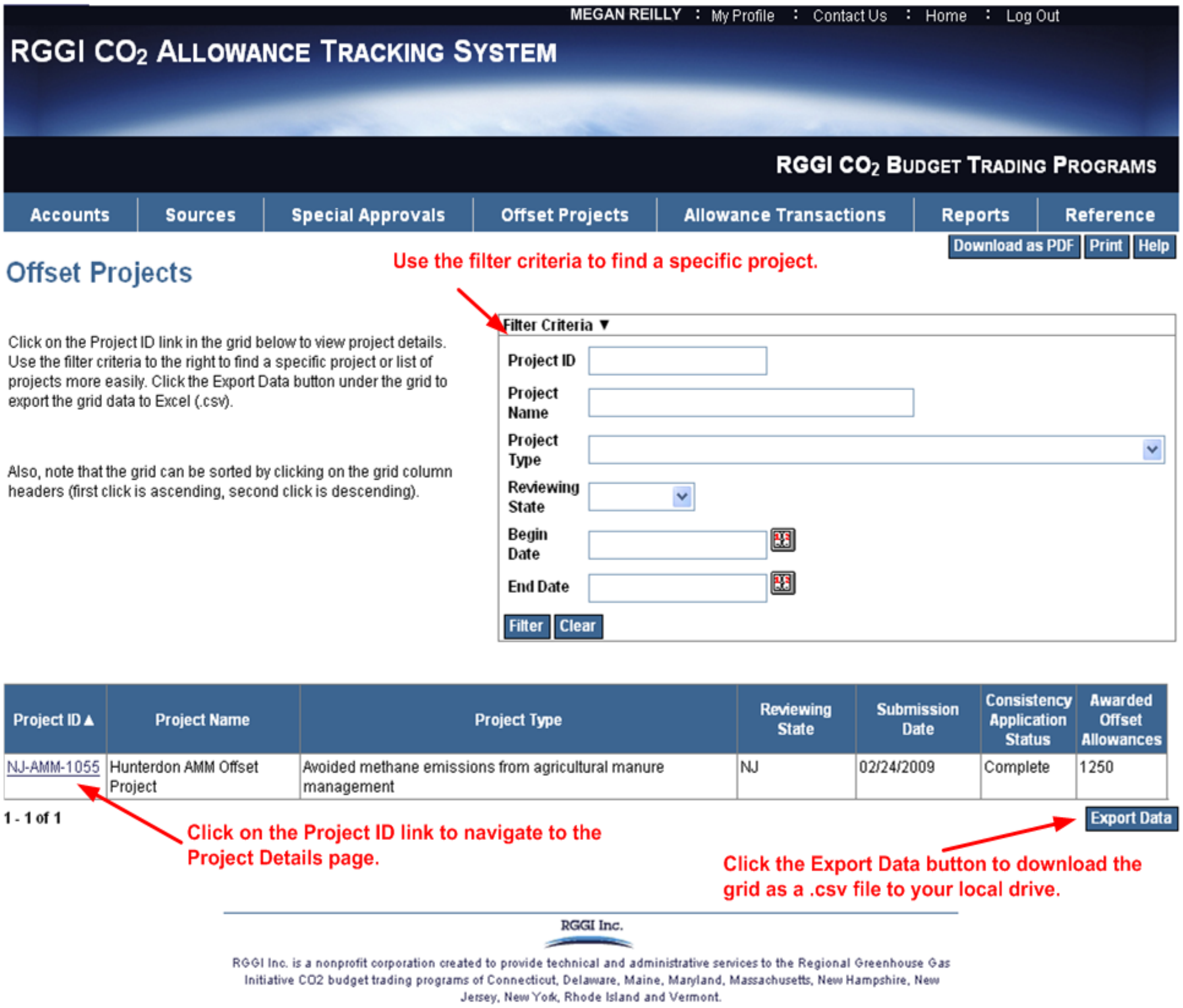
1. **Click the Offset Projects Menu.** Click on the **Offset Projects** menu link in the top navigation bar. This will bring you to the Offset Projects Home page.

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.

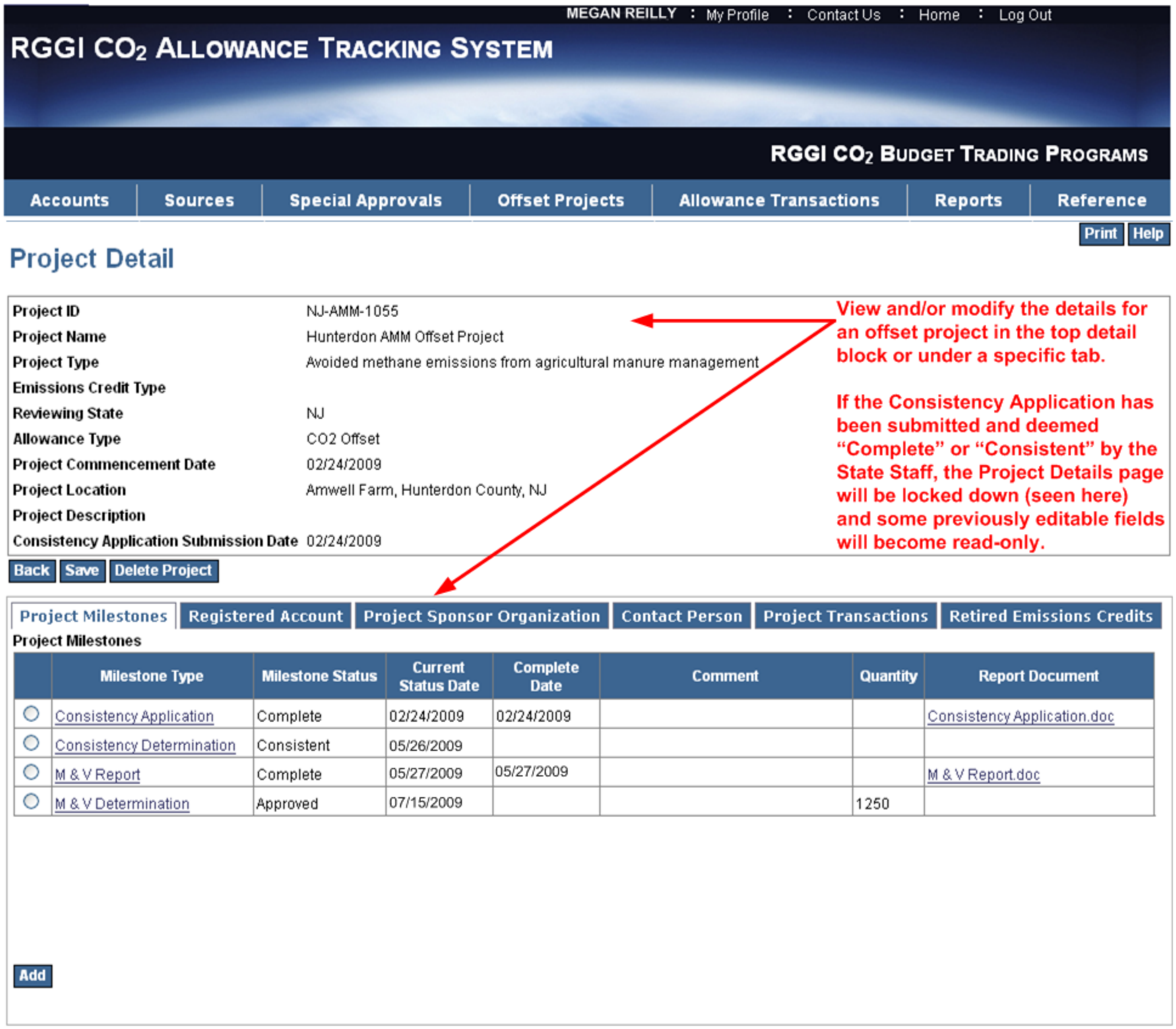
   Note: You are associated with an offset project by being the Authorized Account Representative (AAR), Alternate Authorized Account Representative (AAAR), or electronic submission agent (Agent) for the registered account for the offset project.

Figure 12-2
Offset Projects Homepage



3. **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



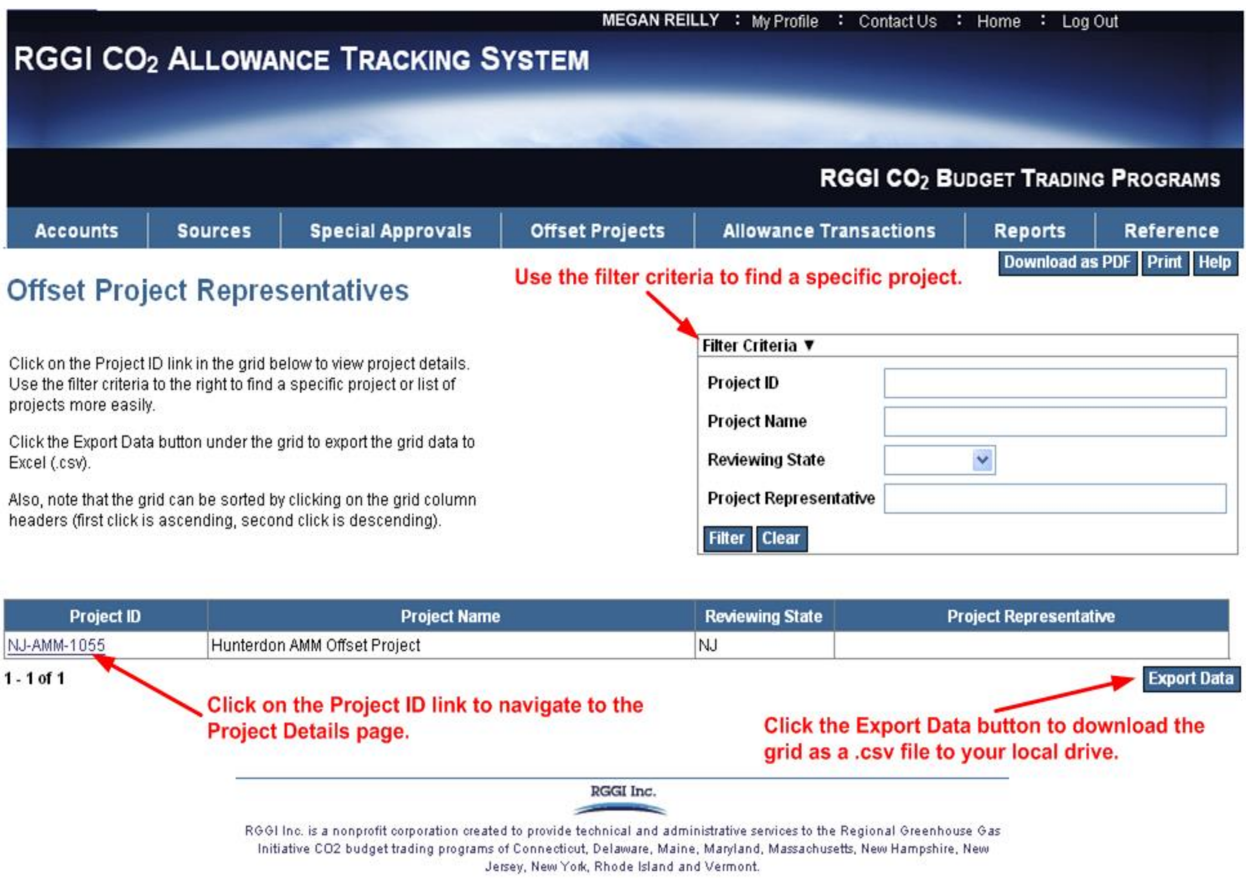
12.2 Project Sponsors Homepage

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.

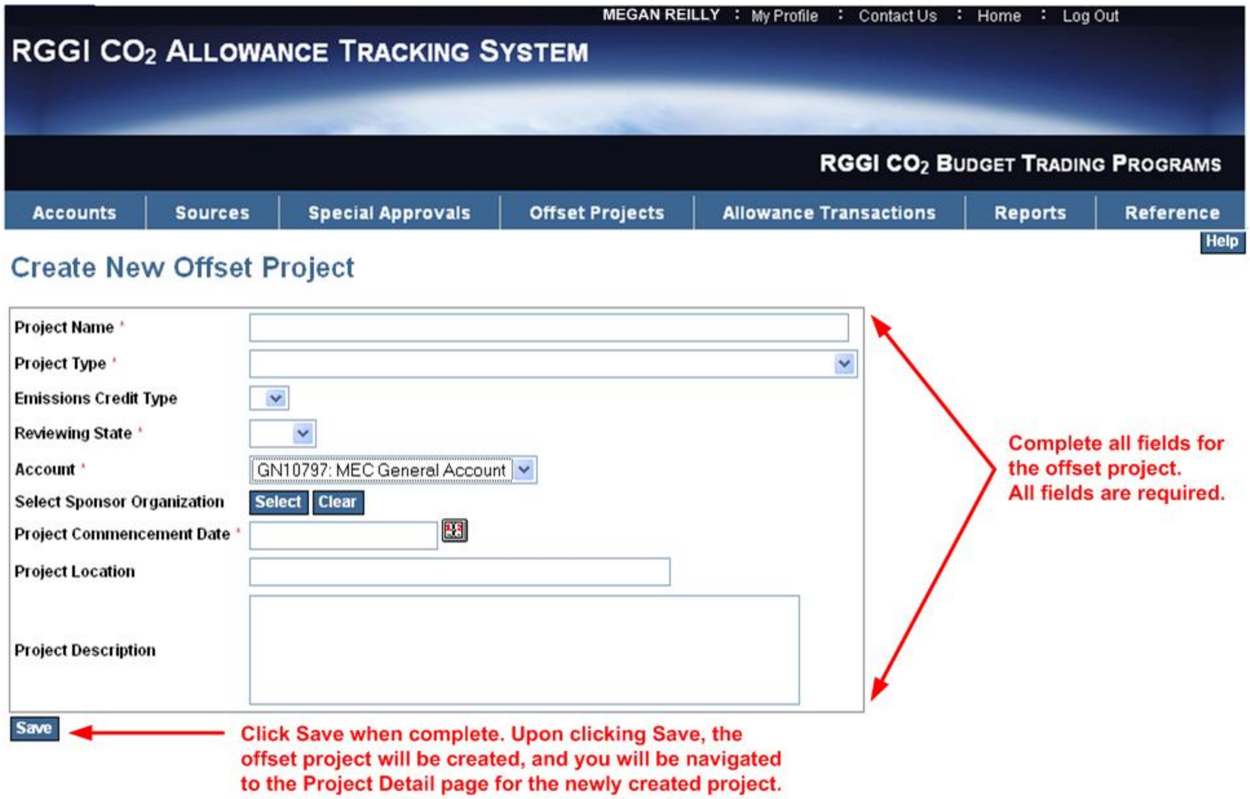
12.3 Steps to Create an Offset Project

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

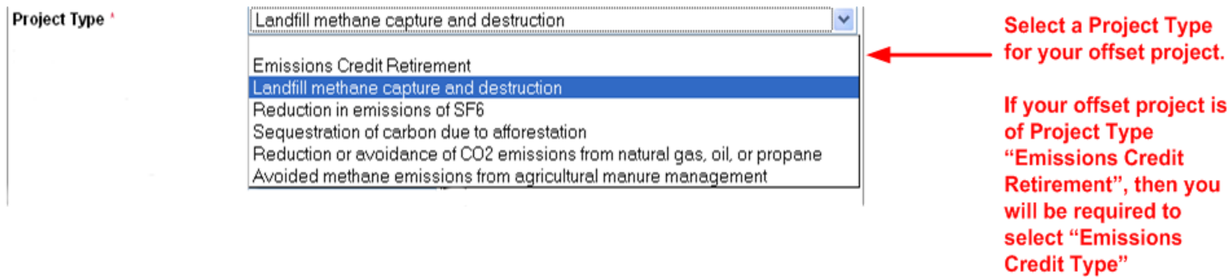


A. **Enter a unique Project Name.** Type the name of your offset project into the Project Name field. This field is required, as it is indicated by a red asterisk (*), and you will not be allowed to save your new offset project if this field has not been completed.

Figure 12-8
Create New Offset Project – Project Name

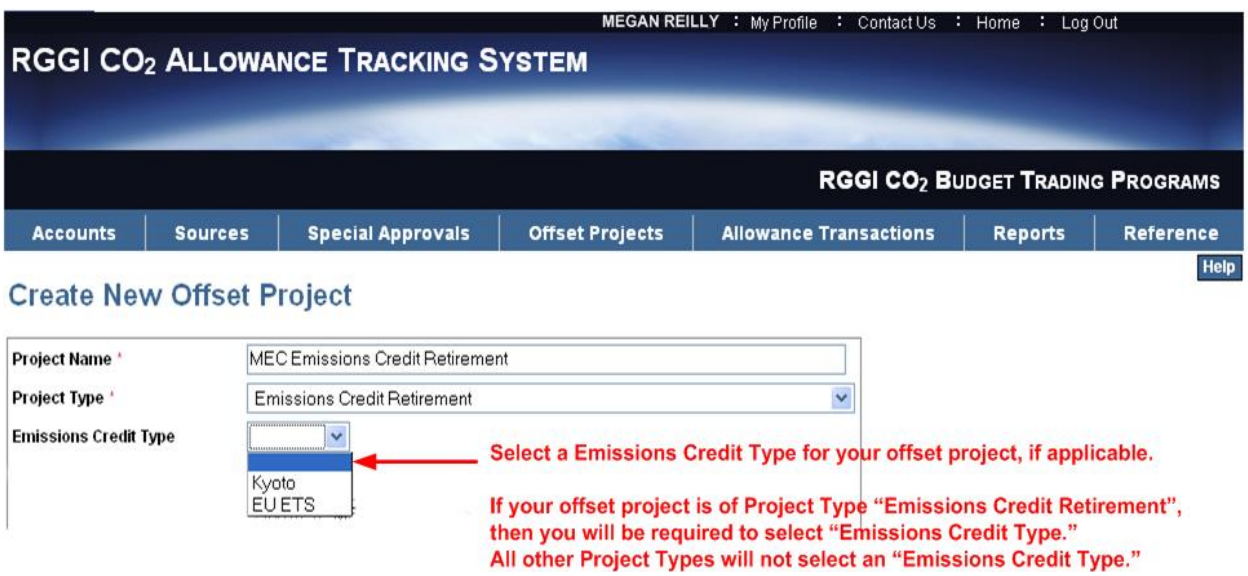
B. Select a Project Type. Select the type of offset project from the drop-down menu.

Figure 12-9
Create New Offset Project – Project Type



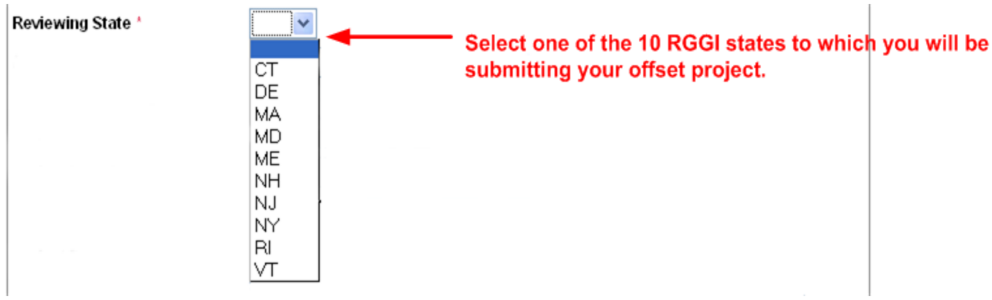
- **If Applicable, select an Emissions Credit Type.** If you have selected a Project Type of "Emissions Credit Retirement," then you will be required to select an Emissions Credit Type from the drop-down menu.

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



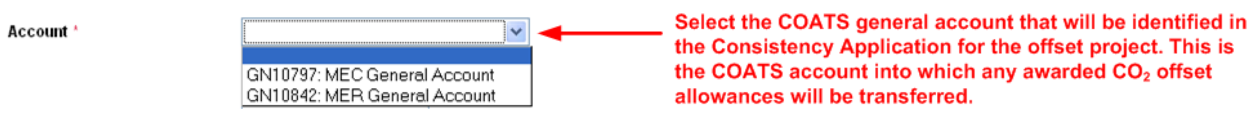
C. Select a Reviewing State. Select the state to which the project sponsor must submit the Consistency Application and Monitoring and Verification Reports (M & V Reports) for the offset project.

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 CO_2 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

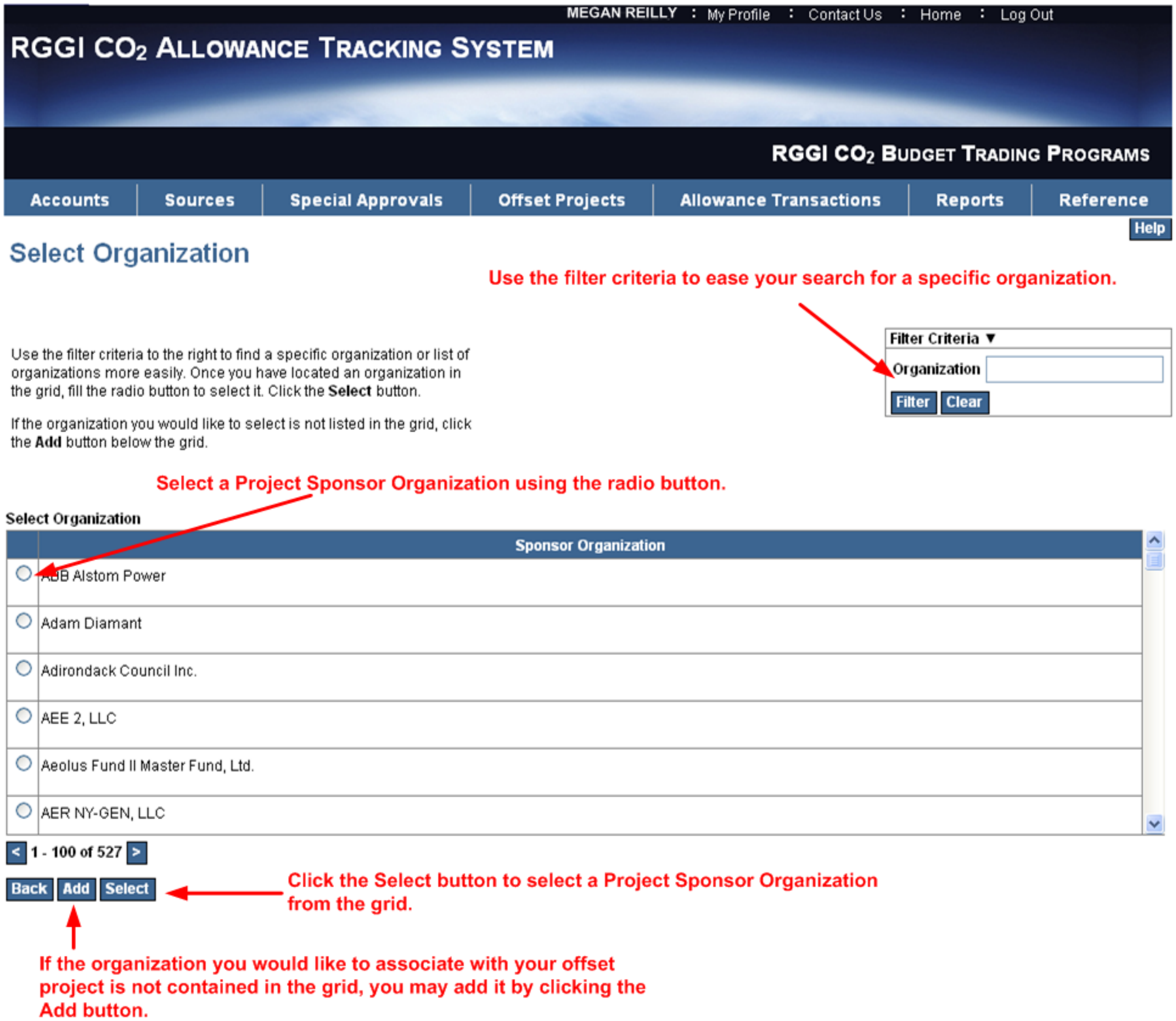


E. Select a Project Sponsor Organization. Select the project sponsor organization for the offset project. Click the **Select** button. You will be navigated to the Select Organization page.

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

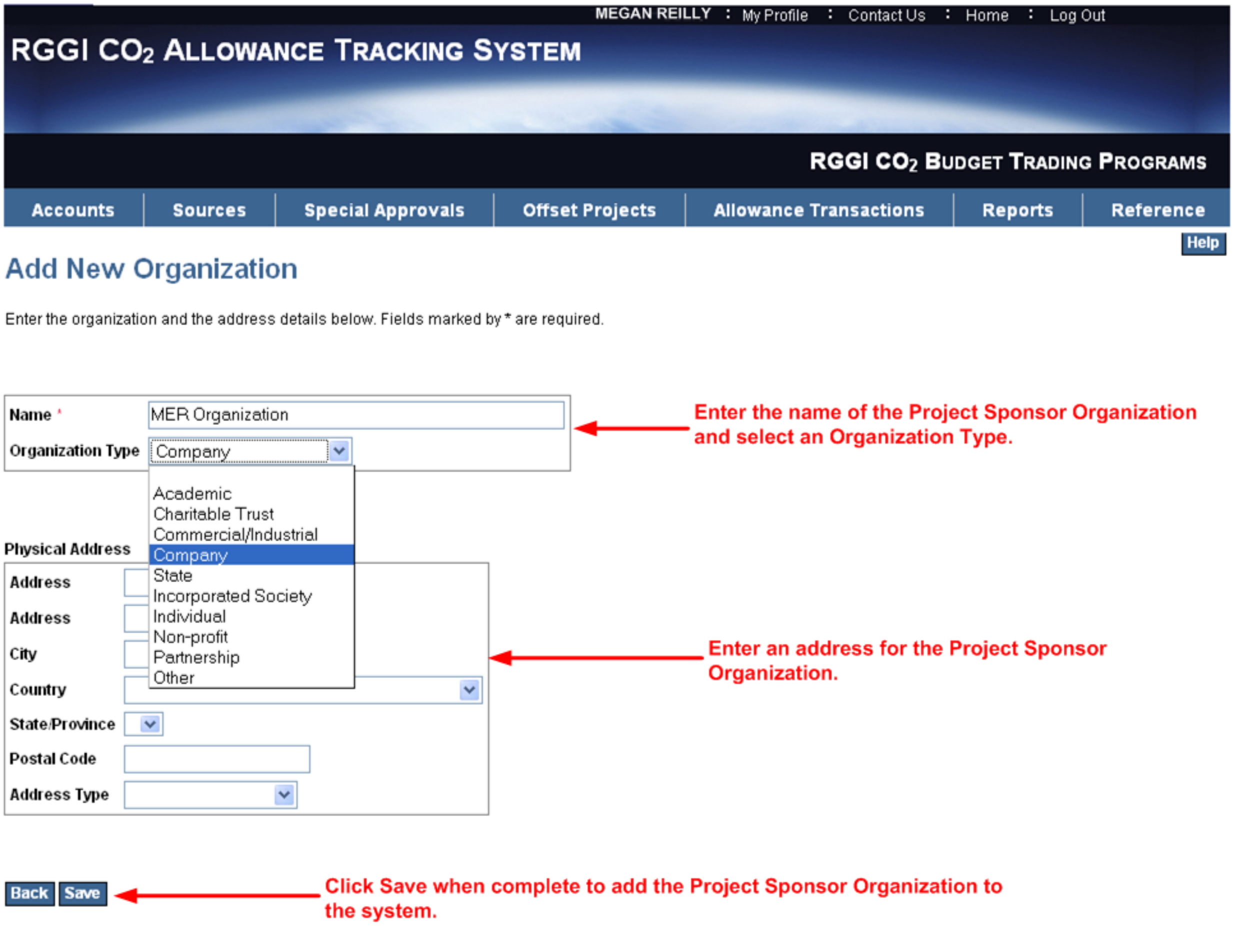
- On the Select Organization page, use the radio button to select an organization that already exists in RGGI COATS. Then click the **Select** button.

Figure 12-14
Select Organization Page



- 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



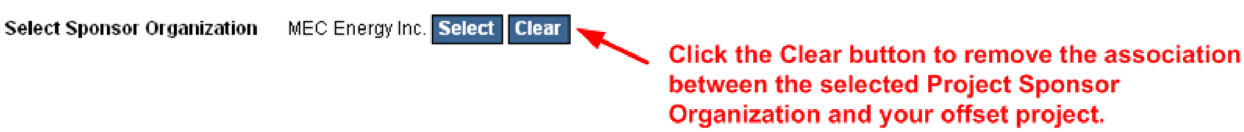
- On the Add New Organization Page, enter the name of the project sponsor organization in the relevant field and select the Organization Type from the drop-down menu. Enter the address for the project sponsor organization.

- 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

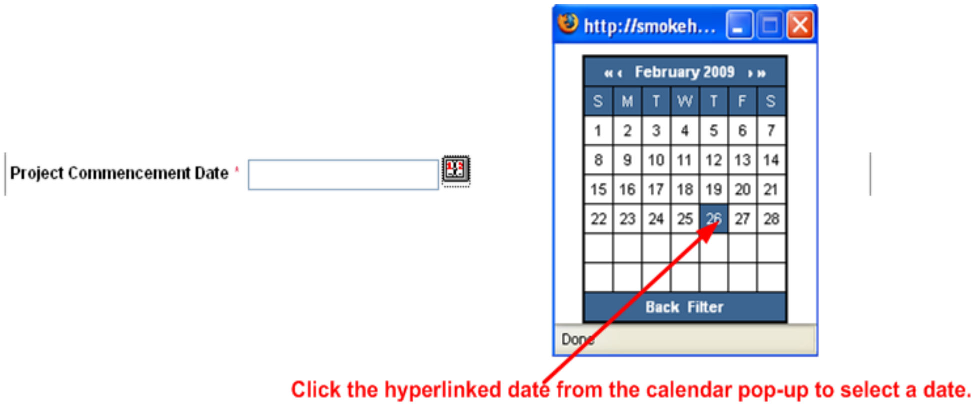


F. Enter a Project Commencement Date. Select the date on which the offset project commenced or will commence by clicking the calendar icon to the right of the Project Commencement Date field. See the applicable state regulations for the definition of project commencement.

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

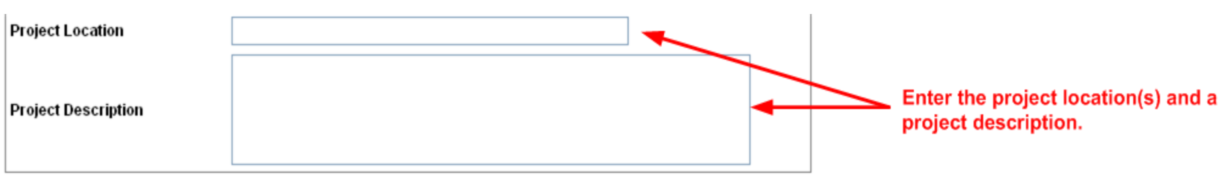


G. Enter a Project Location and Project Description.

- 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.

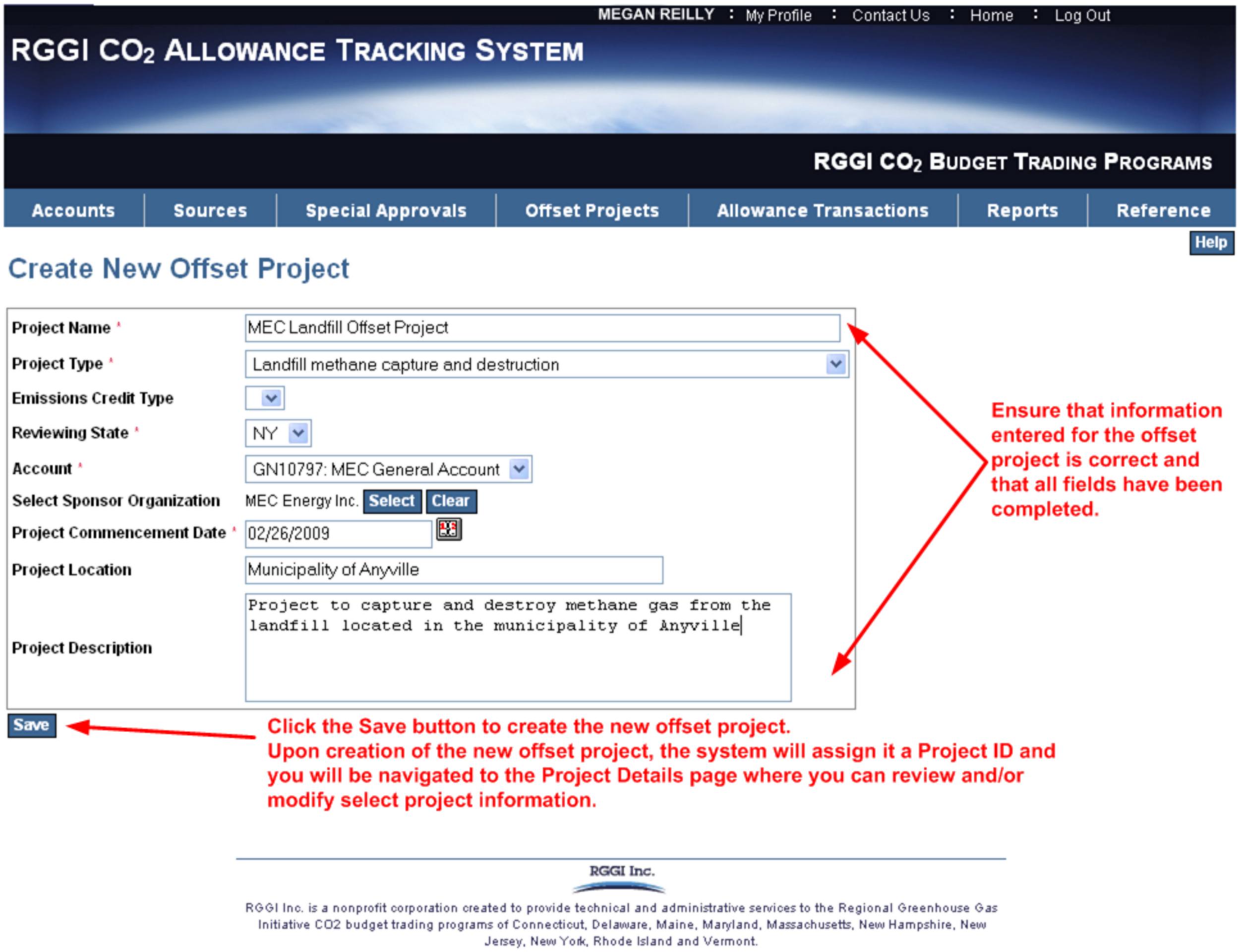
- Enter a project description.

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



H. Click Save to Create a New Offset Project.

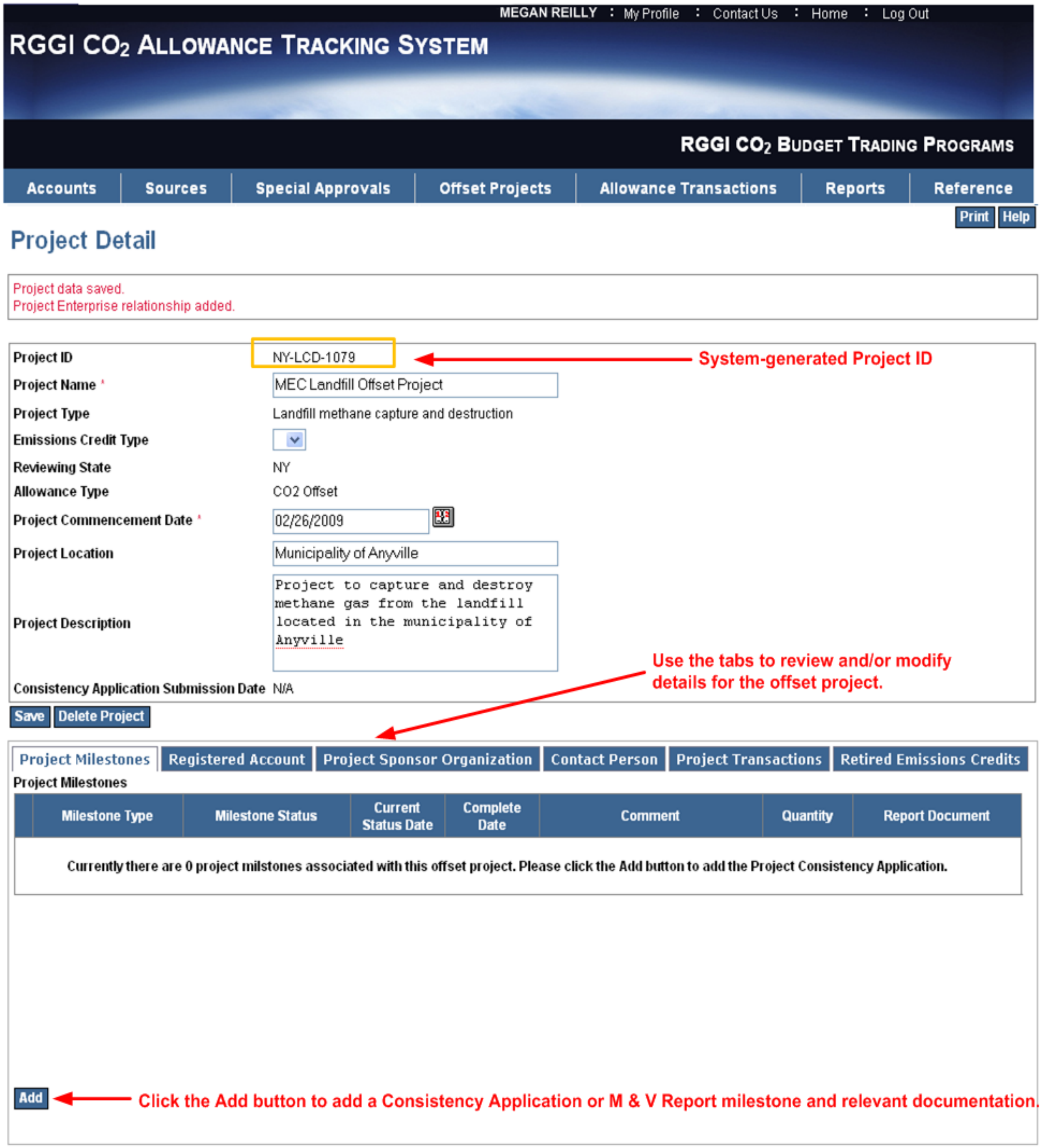
Figure 12-21
Create New Offset Project – Completed Page



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



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.

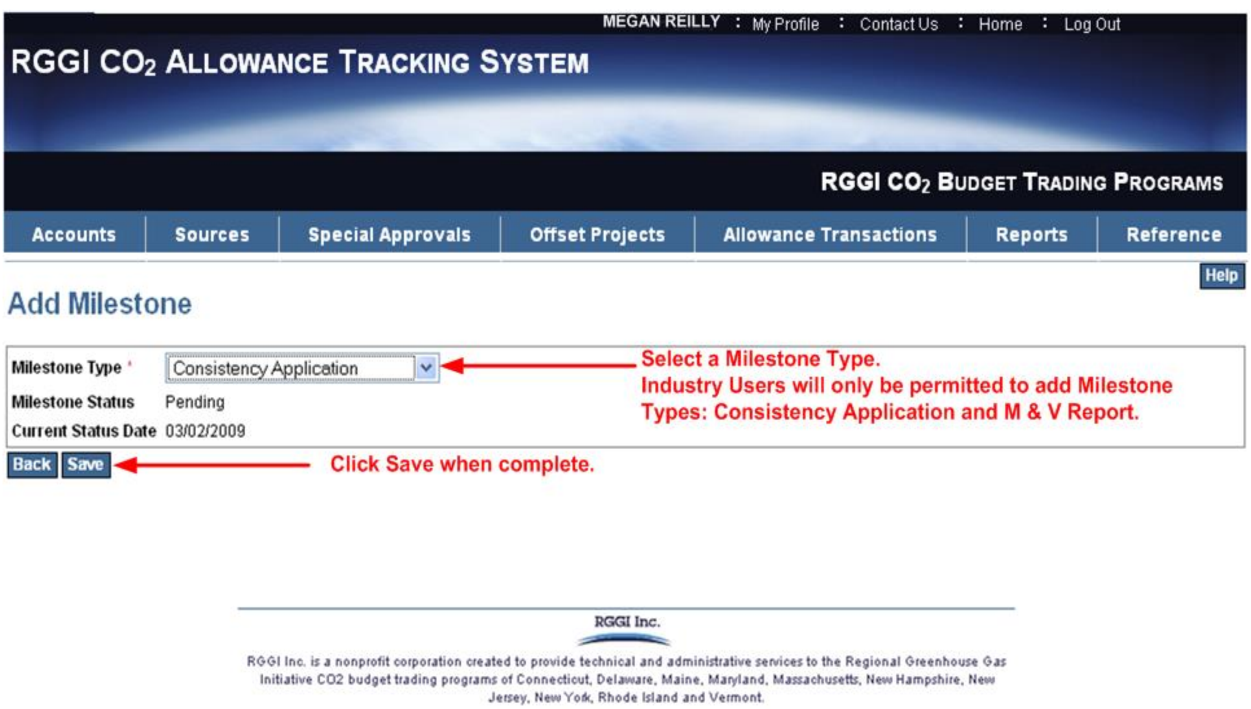
Note: Adding an M & V Report for an offset project will be completed annually for each year of the offset project (except for U.S. Forest type projects for which M & V reports could be submitted not less than every six years, and that the first M & V report for reforestation projects must be submitted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

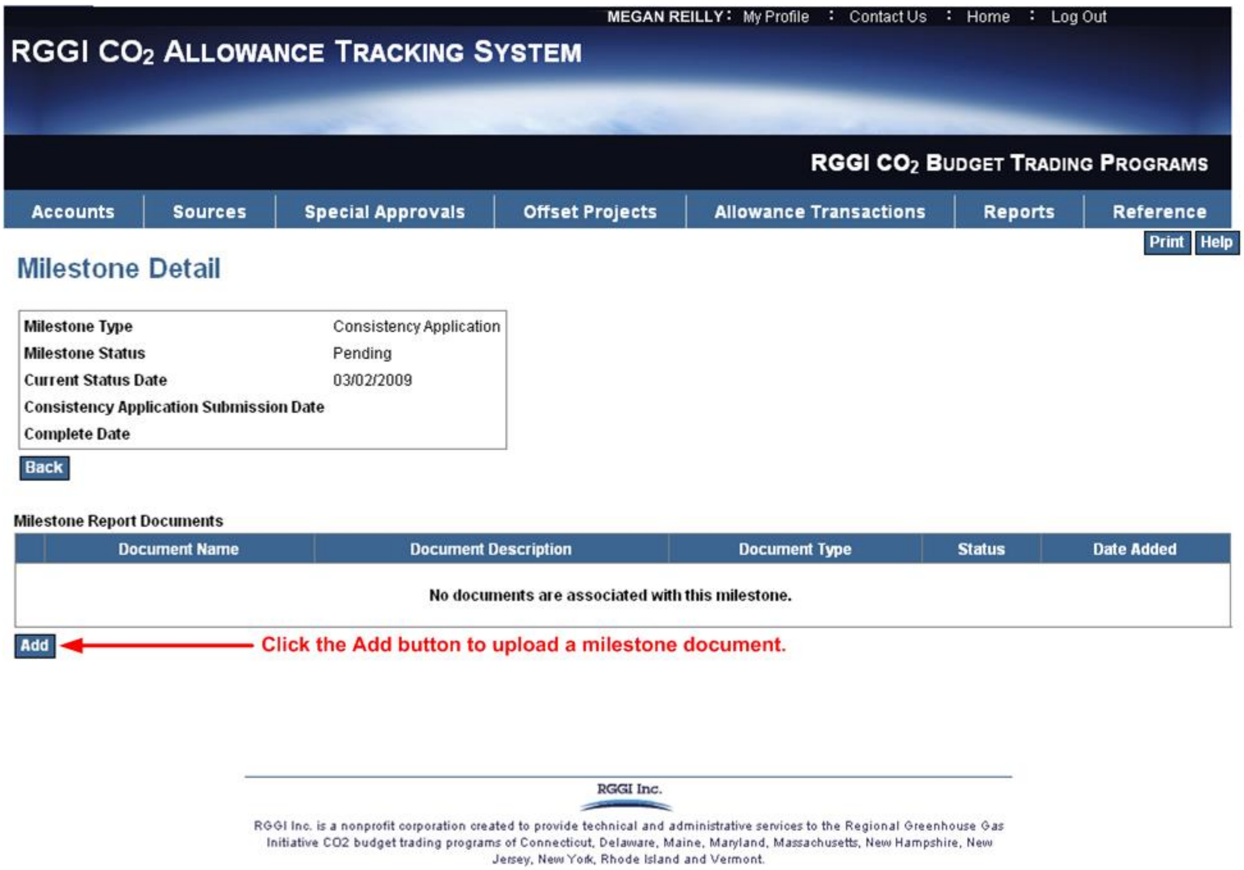


A. Select a Milestone Type of Consistency Application from the drop-down menu. Although all Milestone Types will display, project sponsors will only be permitted to select Consistency Application and M & V Report.

- 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



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.

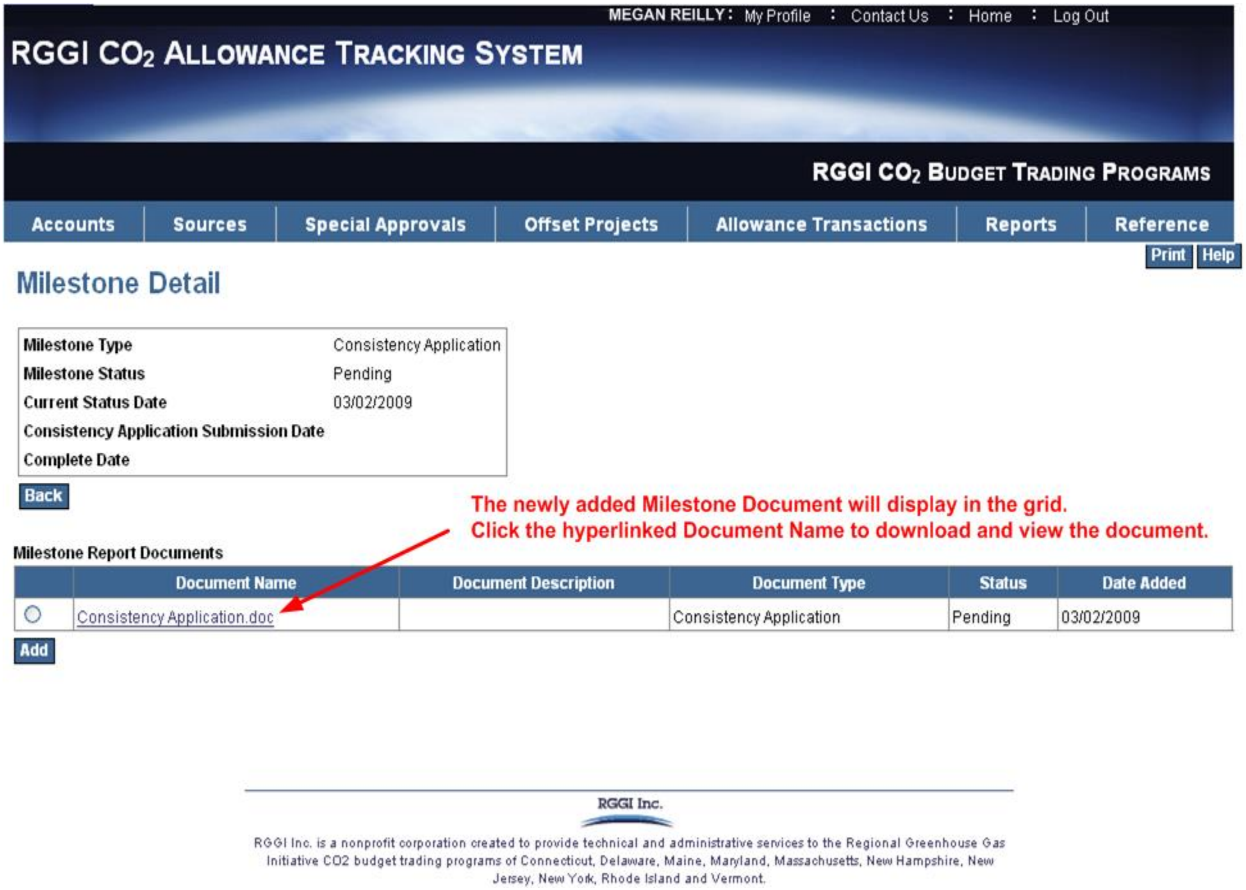
Note: Only official state Consistency Applications issued by the reviewing state should be uploaded to RGGI COATS. Official state applications can be accessed through https://www.rggi.org/allowance-tracking/offsets.

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



3. **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.

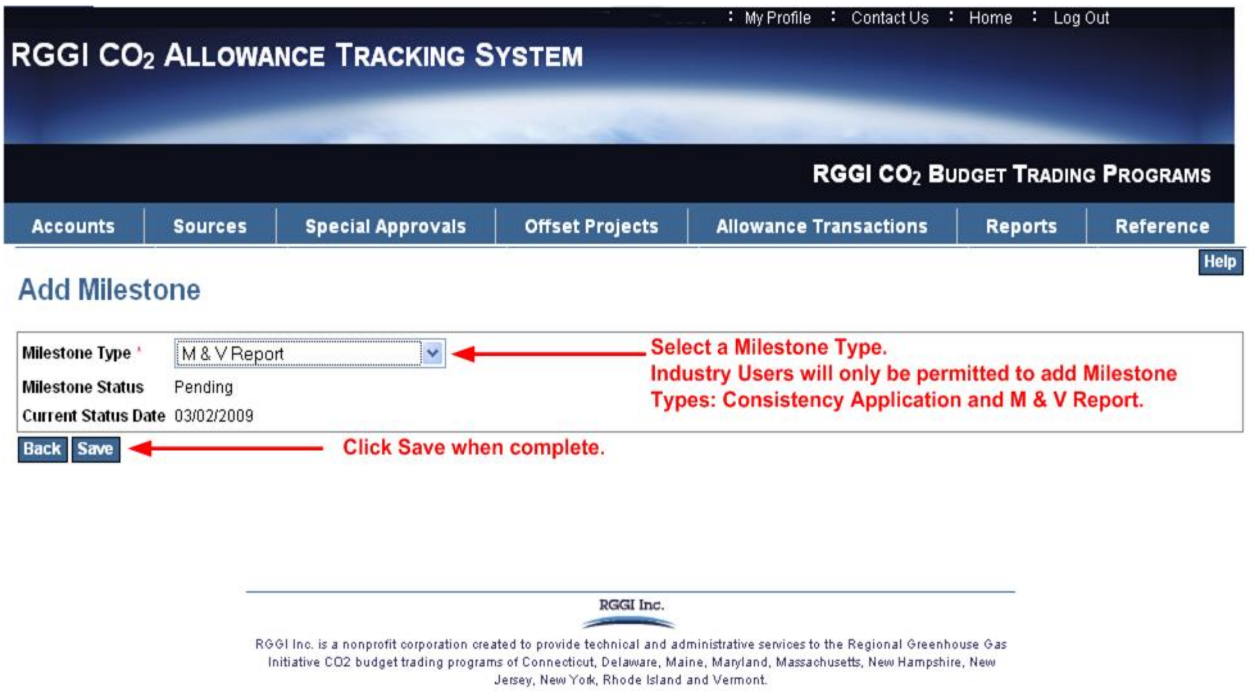
Figure 12-27
Project Details Page, Project Milestones Grid (Consistency Application)

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)

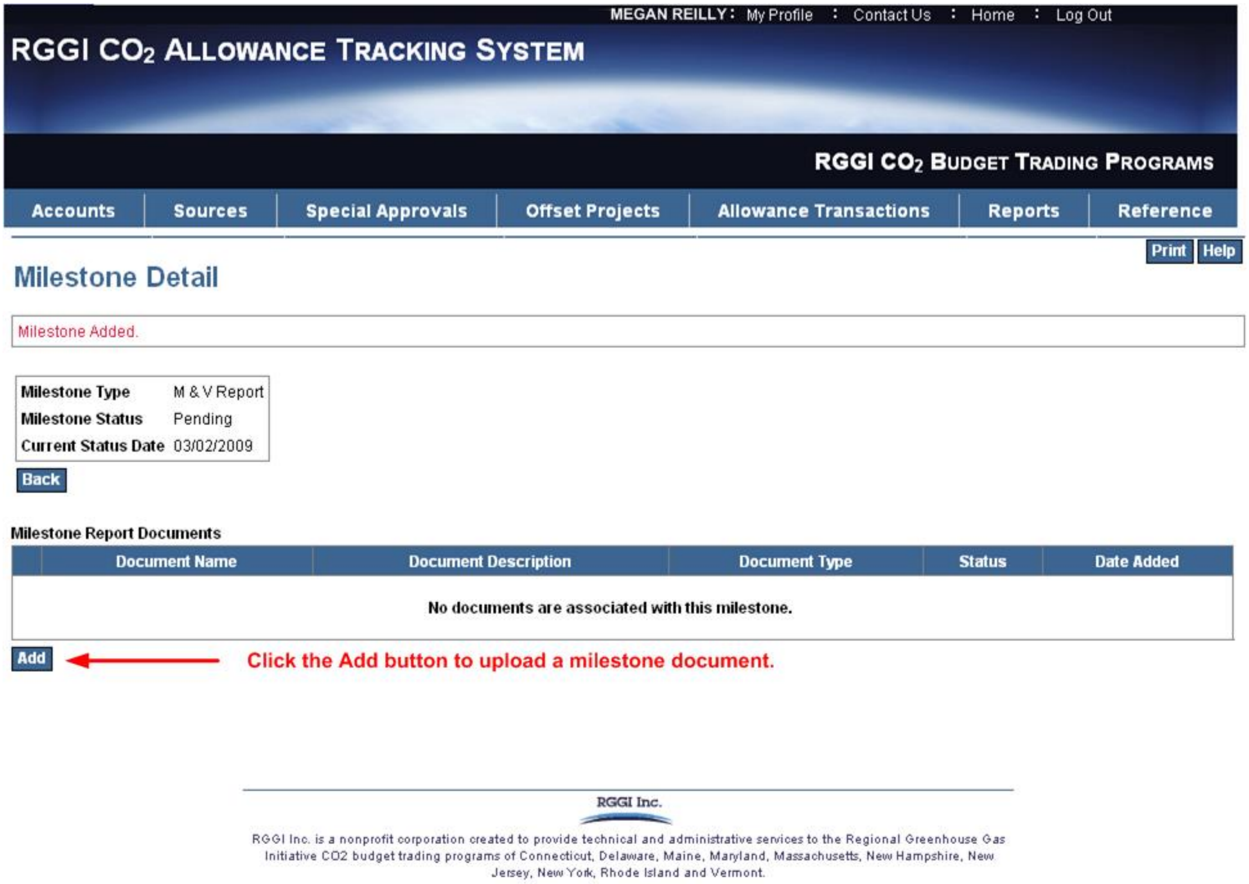


A. Select a Milestone Type of M & V Report from the drop-down menu. Although all Milestone Types will display, industry users will only be permitted to select Consistency Application and M & V Report.

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.

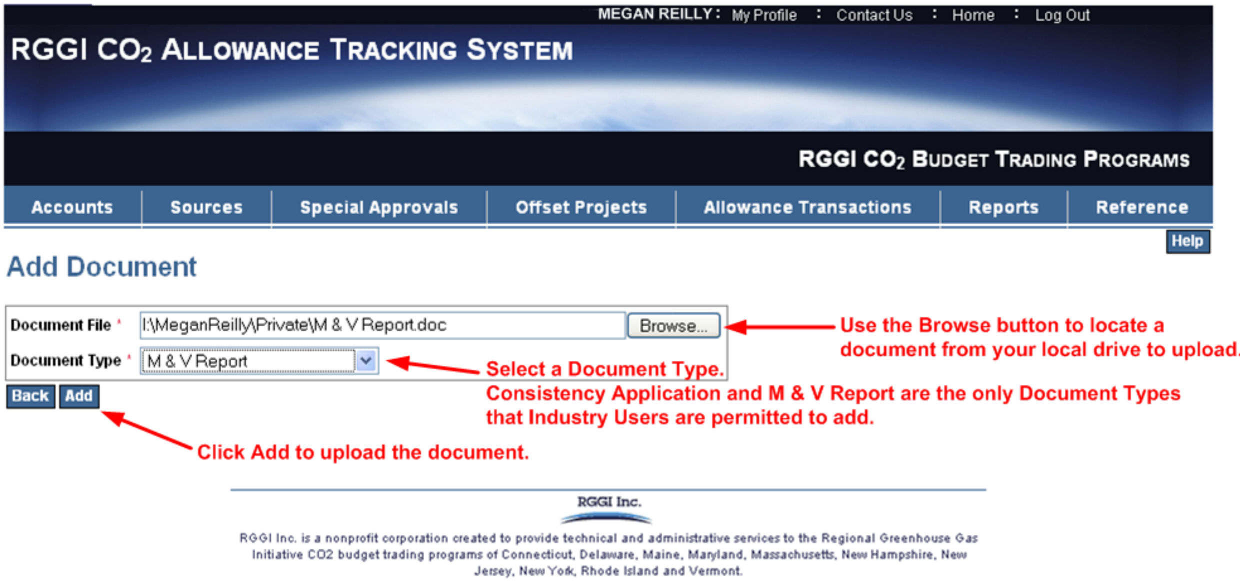
C. Upon clicking the **Save** button, the new milestone will be created. You will be navigated to the M & V Report Milestone Details page.

Figure 12-29
M & V Report Milestone Details Page



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.

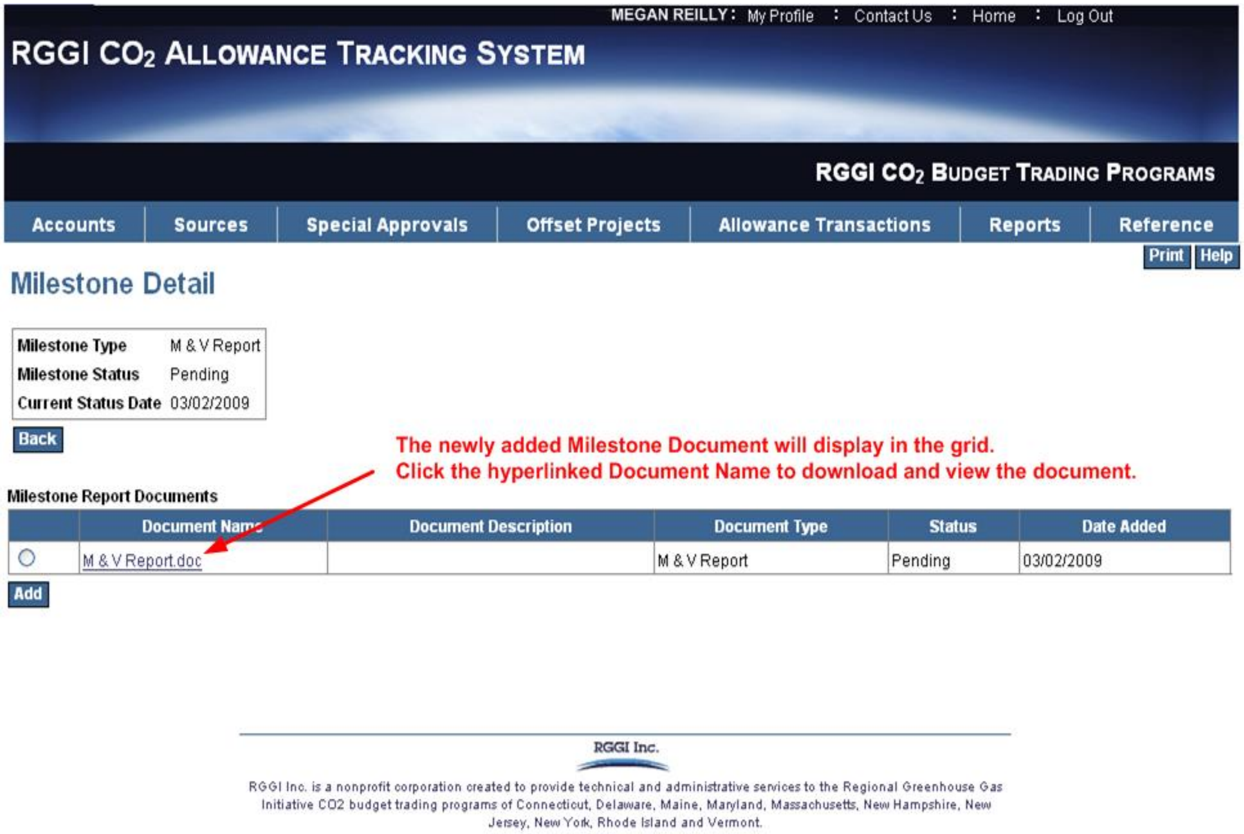
B. Select a Document Type of M & V Report from the drop-down menu field. Consistency Application and M & V Report are the only Milestone Document Types that Industry Users are permitted to add.

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.

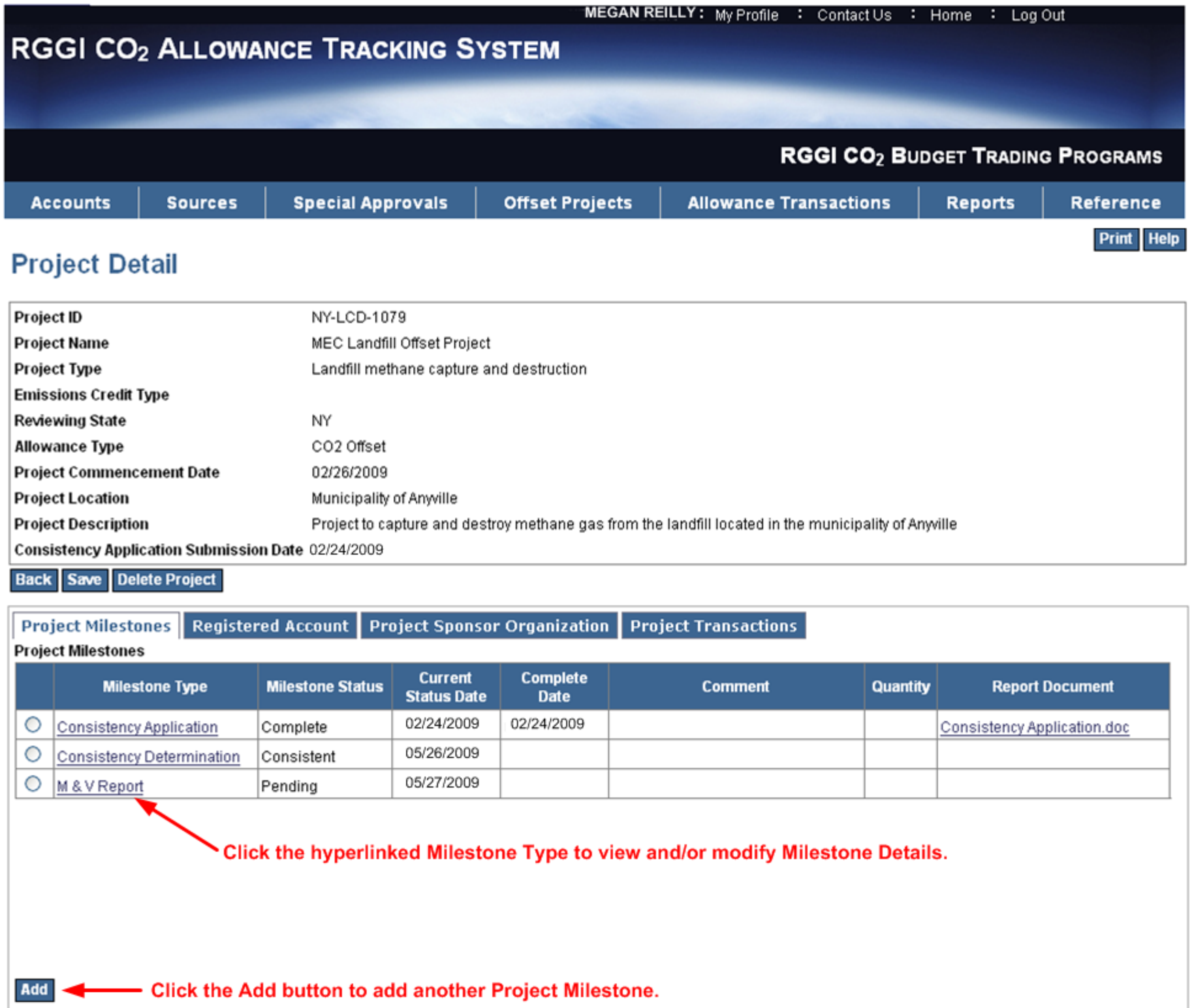
D. Upon clicking the **Add** button, you will be navigated back to the M & V Report Details page. The newly added M & V Report document will display in the Milestone Documents grid.

Figure 12-31
M & V Report Milestone Details Page with Milestone Documents



6. **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.

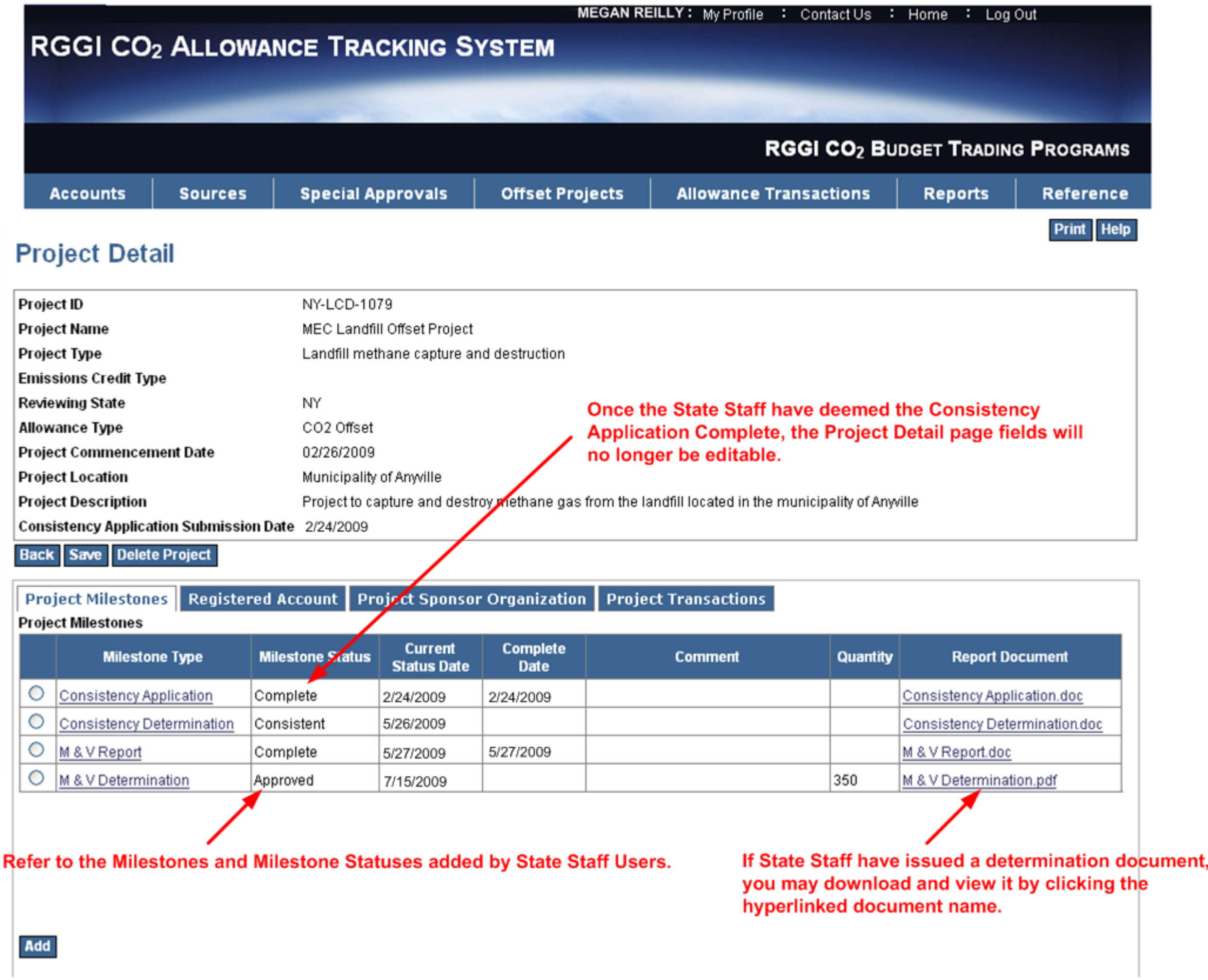
Figure 12-32
Project Detail Page, Project Milestones Grid (M & V Report)



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



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.

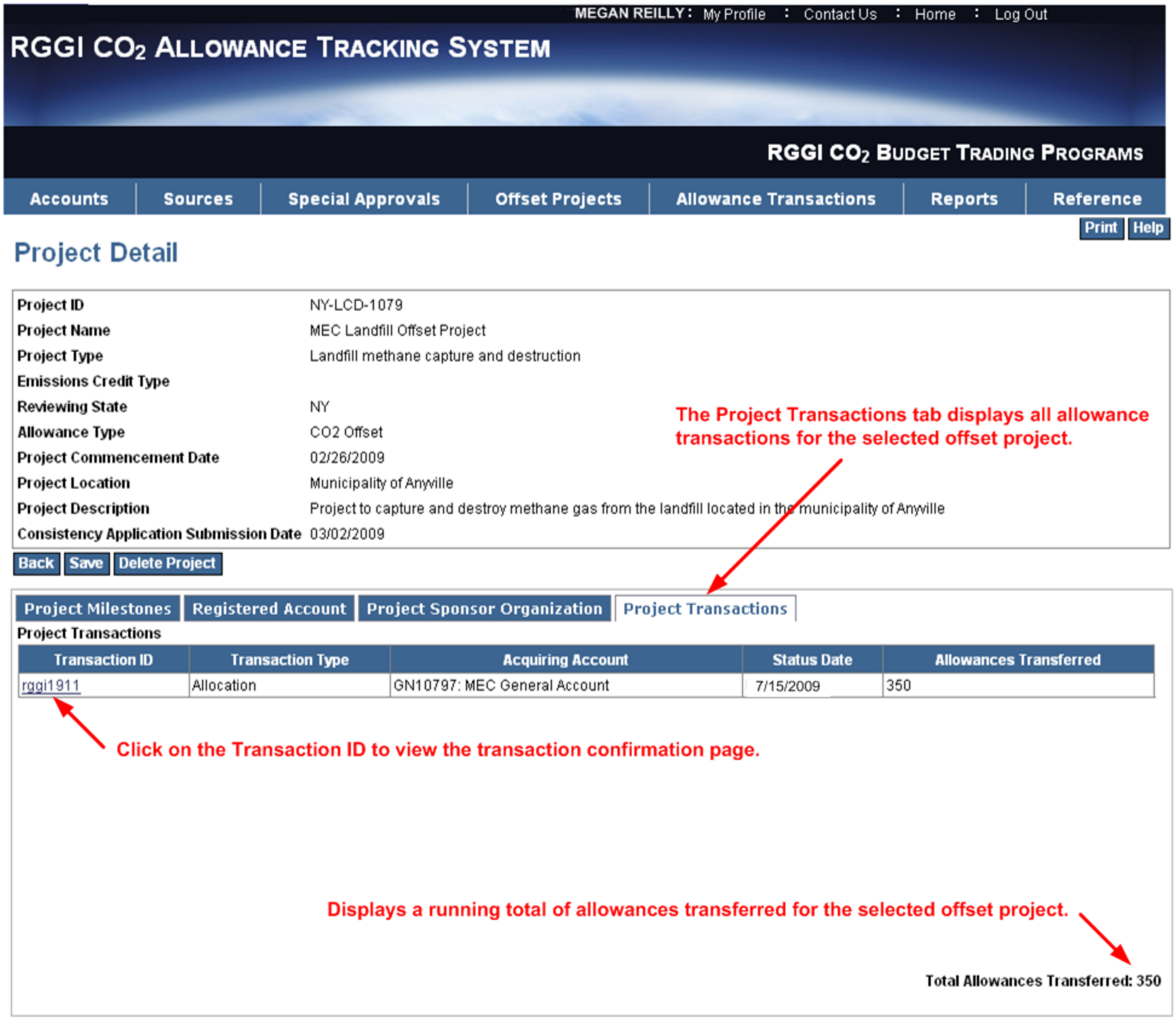
- State staff from the reviewing state will determine the completeness of the project sponsor's periodic M & V Report. After state review, a state staff user will change the M & V Report Milestone status to Incomplete or Complete. Once the M & V Report is deemed Complete, it will be publicly available 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 CO_2 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 CO_2 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 CO_2 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.

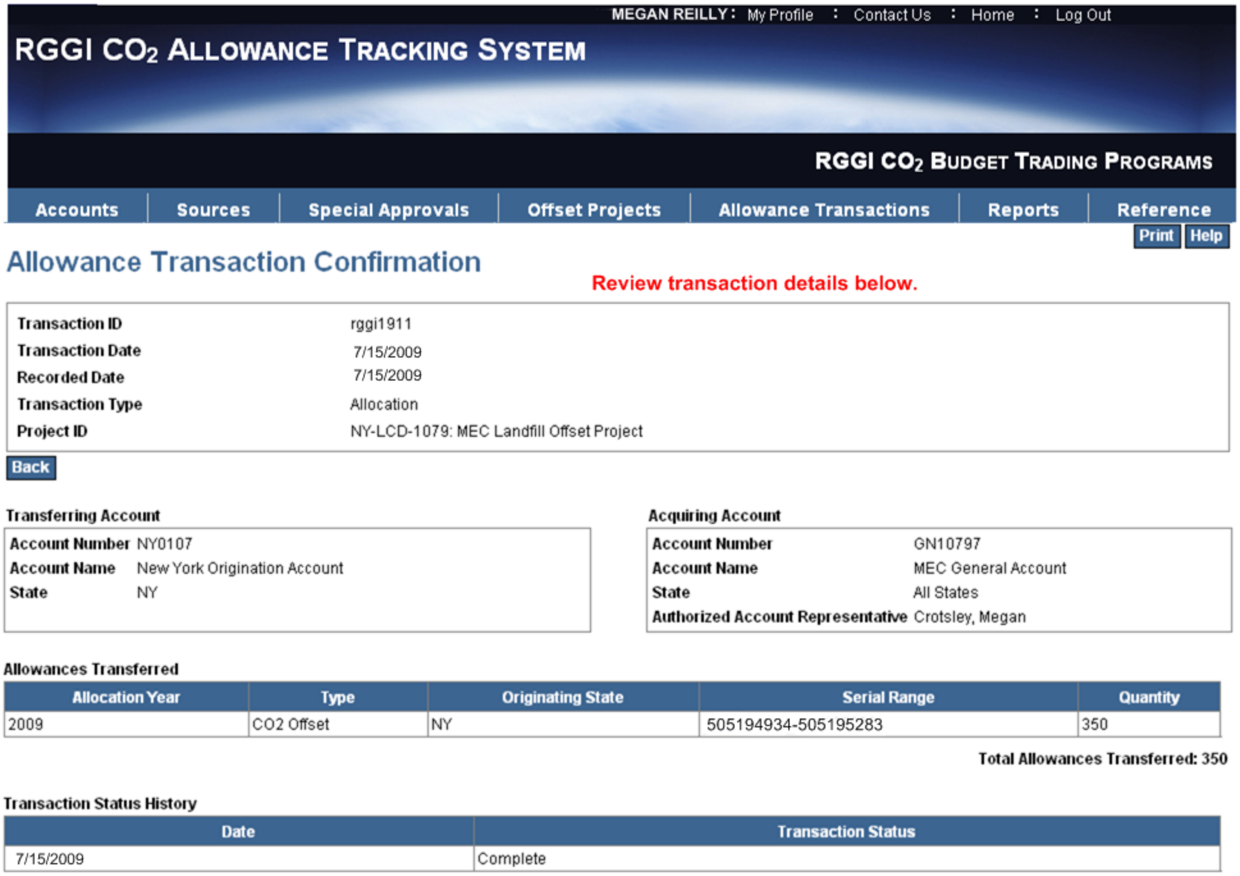
Figure 12-35
Project Details Page, Project Transactions Grid



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 CO_2 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



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

RGGI CO_2 ALLOWANCE TRACKING SYSTEM

RGGI CO_2 BUDGET TRADING PROGRAMS

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

Print Help

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

Back

Transferring Account

Account Number	NY0107
Account Name	New York Origination Account
State	NY

Acquiring Account

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