



Regional Greenhouse Gas Initiative

Preparing for CO₂ Budget Source 2022 Interim Control Period Compliance

November 3, 2022

Webinar Outline

- Introduction
- Key Terms
- Compliance Timeline & Milestones
- Interim Compliance Process Checklist: 6 Steps
- Interim Compliance in RGGI COATS: Demonstration
- Question & Answer
- Additional Resources & Contacts

Introduction

What is RGGI CO₂ Budget Source Interim Compliance?

- Under each Regional Greenhouse Gas Initiative (RGGI) participating state's CO₂ Budget Trading Program, regulated power plants (**CO₂ budget sources**) are required to provide one CO₂ allowance for each ton of CO₂ emitted during the preceding three-year control period.
- For each interim control period (each of the first two calendar years of each three-year control period), each CO₂ budget source must provide allowances equal to 50 percent of its emissions during each interim control period. (Each CO₂ budget source must hold allowances equal to 100 percent of its emissions for the three-year control period at the end of the control period.)
- A **CO₂ allowance** represents a limited authorization to emit one short ton of CO₂, as issued by a RGGI state.
- The fifth control period began on January 1, 2021 and extends through December 31, 2023. The **current 2022 interim control period** began on January 1, 2022 and extends through December 31, 2022.

Introduction

What is RGGI CO₂ Budget Source Interim Compliance?

- The **RGGI CO₂ Allowance Tracking System (COATS)** is where compliance transactions occur and is used by each RGGI state to determine compliance with each state's CO₂ Budget Trading Program.
- For a list of **current CO₂ budget sources**, please see the Sources Report on the COATS home page: rggi-coats.org.

Key Terms

Note that terms may differ between this presentation, COATS, and state CO₂ Budget Trading Programs. If you have any questions on terminology, please contact your state (contact information can be found at the end of this presentation).

- **CO₂ Budget Source:** A fossil fuel-fired power plant 25 MW* or greater in size regulated under RGGI.
- **CO₂ Interim Compliance Obligation:** 50 percent of the total tons of CO₂ emitted during the 2022 interim control period by a CO₂ budget source, less any eligible emissions deductions (as determined by each state).
- **Draft True-Up:** The process in COATS which compares the CO₂ Interim Compliance Obligation to the sum of any CO₂ allowances already surrendered and those remaining in the compliance account. (Draft true-up must be run by 11:59 PM ET on March 1, 2023.)

* New York applicability requirements are 15 MW or greater. See [state statutes and regulations](#) for more information.

Key Terms

- **Allowance Transfer Deadline:** Midnight of March 1 occurring after the end of the control period or, if that March 1 is not a business day, midnight of the first business day thereafter.
- **Automatic Deduction of CO₂ Allowances:** The process by which CO₂ allowances (the amount as determined by the relevant state) held in a CO₂ budget source's compliance account are transferred for interim compliance to the relevant state's surrender account in COATS upon interim compliance true-up. Interim compliance true-up will occur on March 2, 2023.
- **Surrendering of CO₂ Allowances:** The optional process by which a CO₂ budget source may identify specific CO₂ allowances to be used for compliance by transferring them to the relevant state's surrender account in COATS by using the Compliance Deduction Transaction in COATS (available from January 31, 2023 through March 1, 2023).

Key Terms

- **Authorized Account Representative (AAR):** For a compliance account (i.e., CO₂ budget source and each CO₂ budget unit at the source), the person who is authorized by the owners and operators of the source and all CO₂ budget units at the source to represent and legally bind each owner and operator in matters pertaining to the CO₂ Budget Trading Program; or, for a general account, the natural person who is authorized to transfer CO₂ allowances held in the general account.
- **Alternate Authorized Account Representative (AAAR):** A person who may act on behalf of the AAR.
- **Electronic Submission Agent (Agent):** A person designated by an AAR or AAAR to act in COATS on their behalf.
- **Reviewer:** A person designated by an AAR or AAAR to review information in COATS on their behalf.

Compliance Timeline & Milestones

December 31, 2022

End of the 2022 interim control period

March 1, 2023 11:59 PM ET

Allowance Transfer Deadline: Provide CO₂ allowances for compliance

Last auction to acquire CO₂ allowances for compliance

Submit Q4-2022 CO₂ emissions data to US EPA CAMD

Run draft true-up & provide CO₂ allowances for compliance*

CO₂ Allowances are deducted for interim compliance (not including previously surrendered allowances)

2022 Interim Compliance Summary Report available

December 7, 2022

• **Auction 58**: Last auction to acquire CO₂ allowances in the 2022 interim control period

January 30, 2023

• Q4-2022 CO₂ emissions data reporting deadline

March 2, 2023

• 2022 interim compliance true-up

*Note that compliance certification is not required for interim compliance

Interim Compliance Process Checklist: 6 Steps

- ☐ **Step 1:** Confirm access to the US EPA's CAMD Business System.
- ☐ **Step 2:** Confirm user registration in COATS.
- ☐ **Step 3:** Acquire sufficient CO₂ allowances to meet CO₂ interim compliance obligation.
- ☐ **Step 4:** Submit CO₂ emissions data to the US EPA by January 30, 2023.
- ☐ **Step 5:** Run draft true-up in COATS by March 1, 2023.
- ☐ **Step 6:** Provide sufficient CO₂ allowances in COATS compliance account by the allowance transfer deadline (March 1, 2023).

Interim Compliance Process Checklist: 6 Steps

❑ Step 1: Confirm access to the US EPA's CAMD Business System

- Facility information including AARs, AAARs, owners, and operators is stored and maintained in the CAMD system and reflected in COATS.
- Please ensure you have an AAR and AAAR (if applicable) with access to the CAMD system, and that all information about your facility is up-to-date. Updates made in the CAMD system will flow through to COATS periodically.
 - Note: If you need to change your AAR or make changes that cannot be made in the CAMD system, this process will take time and may require the submission of paper documents. **Please plan accordingly.**
 - See <https://camd.epa.gov/CBS/login/auth> for more information about the CAMD Business System.

Interim Compliance Process Checklist: 6 Steps

❑ Step 2: Confirm user registration in COATS

- COATS stores and maintains RGGI accounts and CO₂ allowances and is where compliance transactions and evaluation are made.
- Please ensure that your facility's AAR, AAAR (if applicable), any Agents (if applicable), and any Reviewers (if applicable) for COATS are current and have access to COATS.
 - Agents, Reviewers, and general accounts are maintained in COATS.
 - Users cannot make changes to compliance account information in COATS; any changes need to be made in the CAMD system.
 - If you cannot make changes to your CAMD system account information (e.g., the existing AAR has left the company), and/or need to create a new user in COATS, this process will take time and may require the submission of paper documents. **Please plan accordingly.**
 - See the COATS [User's Guide](#) for more information about COATS.

Interim Compliance Process Checklist: 6 Steps

❑ Step 3: Acquire sufficient CO₂ allowances to meet CO₂ interim compliance obligation

- CO₂ allowances can be obtained in two ways:
 - CO₂ Allowance Auctions
 - Auction 58, to be held on December 7, 2022, is the final RGGI auction to purchase CO₂ allowances before the end of the 2022 interim control period.
 - The Auction 58 Notice will be released in October 2022.
 - For more information on CO₂ Allowance Auctions, please see: <https://www.rggi.org/auctions/auction-materials>.
 - Secondary Markets
 - CO₂ allowances can also be obtained through the secondary market.
- All CO₂ allowances must be provided for compliance by 11:59 PM ET on March 1, 2023.
 - It is strongly recommended that you obtain all CO₂ allowances necessary for compliance well before the allowance transfer deadline.

Interim Compliance Process Checklist: 6 Steps

- ❑ **Step 4: Submit CO₂ emissions data to the US EPA by January 30, 2023**
 - Emissions for the final quarter of the interim control period (Q4-2022) must be submitted to US EPA's CAMD Business System by January 30, 2023.
 - CO₂ emissions data updates for the 2022 interim control period will continue to flow to COATS from the CAMD system through interim compliance true-up.
 - If there are any changes to CO₂ emissions data, the relevant state, AAR, and any AAAR, Agent(s), and/or Reviewer(s) associated with the compliance account will be notified via COATS.

Interim Compliance Process Checklist: 6 Steps

☐ **Step 5: Run draft true-up in COATS by March 1, 2023**

- CO₂ budget sources must run draft true-up in COATS by 11:59 PM ET on March 1, 2023, which will compare their CO₂ interim compliance obligation to the sum of CO₂ allowances surrendered and/or held in their compliance account.
- CO₂ budget sources may run draft true-up in COATS as many times as needed.
- Note that compliance certification is not required for interim compliance.
- Interim compliance true-up will occur on March 2, 2023, and the 2022 Interim Compliance Summary Report will be made available in COATS.

Interim Compliance Process Checklist: 6 Steps

- ❑ **Step 6: Provide sufficient CO₂ allowances in COATS compliance account by the allowance transfer deadline (March 1, 2023)**
 - All CO₂ budget sources must hold sufficient CO₂ allowances in their compliance account (not including any CO₂ allowances previously surrendered) to meet their CO₂ interim compliance obligation in COATS by 11:59 PM ET on March 1, 2023.
 - Please note the **CO₂ interim compliance obligation will reflect any emissions data updates that may occur after the emissions reporting deadline of January 30**. Therefore, you should consider the potential for such updates when **determining how many CO₂ allowances** to hold in your compliance account for interim compliance.
 - Deduction of CO₂ Allowances: Following the allowance transfer deadline of March 1, 2023, CO₂ allowances will be deducted from each CO₂ budget source's compliance account, and the 2022 Interim Compliance Summary Report will be made available in COATS.

Interim Compliance Process Checklist: 6 Steps

- ❑ **Step 6: Provide sufficient CO₂ allowances in COATS compliance account by the allowance transfer deadline (March 1, 2023)**
- Surrendering of CO₂ Allowances (optional): If you wish to identify specific CO₂ allowances to use for interim compliance, you may do so by using the Compliance Deduction Transaction in COATS between January 31, 2023 and March 1, 2023.
 - Any identified CO₂ allowances will be transferred from your compliance account to your relevant state's surrender account for compliance at the point of the transaction.
 - Any remaining balance of CO₂ allowances to meet your CO₂ interim compliance obligation will be automatically deducted pursuant to the regulations of the state in which the CO₂ budget source resides.
- For additional information on COATS transactions, see the COATS [User's Guide](#).



Compliance in RGGI COATS: A How-To Guide

Compliance in RGGI COATS: A How-To Guide

Step 1: How to determine your total CO₂ interim compliance obligation

Step 2: How to provide CO₂ allowances for interim compliance

Step 3: How to conduct draft true-up

Step 4: How to view compliance reports

Note: Screenshots serve as examples only and do not represent any real data or accounts. Screenshots may not represent exact screens in COATS. Please see the COATS [User's Guide](#) for additional information.

Compliance in RGGI COATS: A How-To Guide

Step 1: How to determine your total CO₂ interim compliance obligation

1. In COATS (rggi-coats.org), click on the Emissions link in the menu navigation bar. This will bring you to the Emissions page, which displays all sources (units) with which you have been associated as an AAR, AAAR, Agent, or Reviewer.



Compliance in RGGI COATS: A How-To Guide

Step 1: How to determine your total CO₂ interim compliance obligation

2. You can choose to view your emissions Quarterly, Annually, or for the Control Period (Note: Only the Annual view is shown below).

Emissions - **Annual View**

Use this page and the views below the grid to verify CO₂ emissions data for the affected RGGI sources and units for which you serve as an AAR, AAAR or agent.

Clicking on the hyperlinked quarter in the Quarter column (see: Quarterly view) navigates one to the Emissions Record Detail page, which displays the data associated with the unit for the selected quarter, as well as additional information regarding any Quarterly Emissions data records and/or documents related to Eligible Biomass and Eligible CHP Thermal Output.

The Eligible Biomass (Tons) (State Value) and Eligible CHP Thermal Output (Tons) (State Value) reflect the deductions to be applied, if any.

Emissions data, including the Eligible Biomass (Tons) (State Value) and Eligible CHP Thermal Output (Tons) (State Value), can also be found in the Summary Level Emissions Report, Quarterly Emissions Report, Annual Emissions Report, and Control Period Emissions Report.

Help

Use the Filter Criteria to find a specific source or unit.

Filter Criteria ▼
Control Period
Year to
State
Source Name
ORIS Code
State Identifier
Unit

Year	State	ORIS Code	Source Name	State Identifier	Unit ID	Control Period	Op Time	Op Hours	Heat Input (mmBtu)	CO2 Mass (Tons)
2021	DE	555	Industrial Power Station	1001-2002	1	01/01/2021 - 12/31/2023	1,321.00	1444	587,375	34,557
2020	DE	555	Industrial Power Station	1001-2002	1	01/01/2018 - 12/31/2020	1,372.00	1783	625,322	34,650
2019	DE	555	Industrial Power Station	1001-2002	1	01/01/2018 - 12/31/2020	1,317.00	1435	640,150	35,373
2018	DE	555	Industrial Power Station	1001-2002	1	01/01/2018 - 12/31/2020	1,338.00	1338	586,000	34,760
2021	DE	555	Industrial Power Station	1001-2002	2	01/01/2021 - 12/31/2023	1,332.00	1446	579,551	34,453

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Show Replaced Data

☐ Show Control Period Data

☒ Show Annual Data

☐ Show Quarterly Data

Export Data

Click the radio button to display Annual data.

Click the Export Data button to download the grid to your local drive.

Compliance in RGGI COATS: A How-To Guide

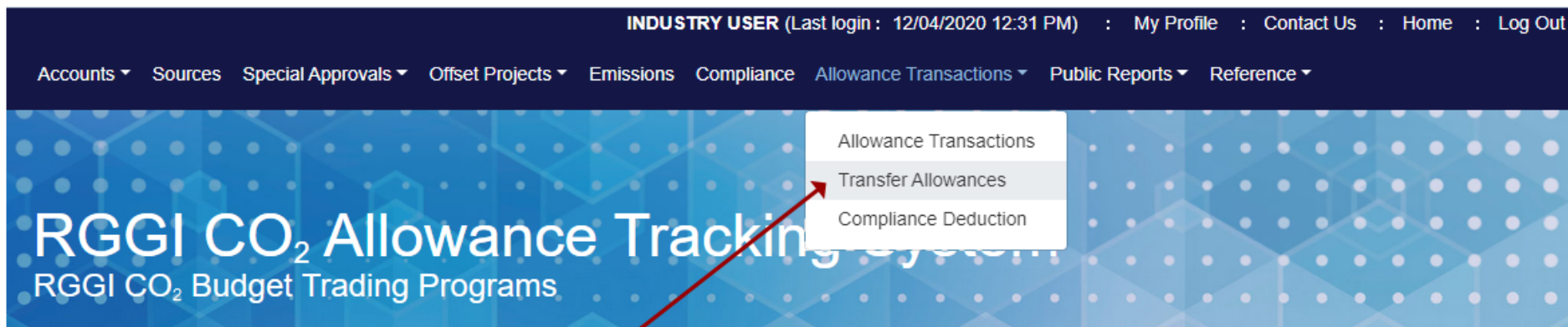
Step 2: How to provide CO₂ allowances for compliance

- The **Allowance Transfer Transaction** in COATS:
 - Allows you to transfer CO₂ allowances to your compliance account.
 - Allows you to select CO₂ allowances to transfer either automatically or manually by CO₂ allowance serial block.

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

- To transfer CO₂ allowances to your compliance account:
 1. In COATS, click on the **Transfer Allowances** sub-menu under the **Allowance Transactions** menu.



Click on **Transfer Allowances** to move allowances between accounts.

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

2. Select the Transferring Account from which you will transfer CO₂ allowances.

Transfer Allowances: Step 1 - Select Transferring Account

Help

Use the Filter Criteria to find a specific transferring account.

Filter Criteria ▼
Representative Name
Account Number
Account Name

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

	Account Number	Account Name	Authorized Account Representative	State	Allowances can be Transferred
<input checked="" type="radio"/>	GN81071	Industrial Power Station General Account	James, Mary	All States	Yes
<input type="radio"/>	DE81070	Industrial Power Station Compliance Account	James, Mary	DE	Yes

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Allowance Holdings

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Frozen	Quantity
2017	Standard	MA	1862556028 - 1862556036	02/02/2022	No	1000
2017	Standard	NH	1875072566 - 1875072665	02/02/2022	No	500
2021	Standard	MA	1875077566 - 1875077566	02/02/2022	No	150

Total Allowances Available: 1650

View the Account Holdings grid for details on the allowances available in the account.

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

3. Select the Acquiring Account which will receive the CO₂ allowances.

Transfer Allowances: Step 2 - Select Acquiring Account

Help

Use the Filter Criteria to find a specific acquiring account.

Filter Criteria ▼
Representative Name
Account Number
Account Name

Allowances to be Transferred From

Account Number GN81071
Account Name Industrial Power Station General Account
State All States

	Account Number	Account Name	Authorized Account Representative	State	Allowances can be Acquired
<input checked="" type="radio"/>	DE81070	Industrial Power Station Compliance Account	James, Mary	DE	Yes

1 - 1 of 1

Click the radio button to select an acquiring account.

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

4a. Select Allowances to Transfer (Automatic Selection Method): By choosing “Automatic Selection”, COATS will automatically select the CO₂ allowances to be transferred based on the allocation year(s) and serial number.

Transfer Allowances: Step 3 - Select Allowances to Transfer

Help

Allowances to be Transferred From

Account Number GNB1071
Account Name Industrial Power Station General Account
State All States

Allowances to be Transferred To

Account Number DE81070
Account Name Industrial Power Station Compliance Account
State DE

Choose Selection Method: Automatic **Automatic Selection**

Available Allowances

Allocation Year	Allowance Type	Originating State	Serial Range	Allowance(s)	Frozen	Date Acquired
2017	Standard	MA	1862556028 - 1862556036	1000	No	02/02/2022
2017	Standard	NH	1875072566 - 1875072665	500	No	02/02/2022
2021	Standard	MA	1875077566 - 1875077566	150	No	02/02/2022

Amount to Transfer

15

Enter the quantity of allowances to transfer.

Select Allocation Year(s) *

2017
2021

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

Deduction Method

☐ Begin with last acquired

☒ Begin with first acquired

Choose the deduction method.

Calculate

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

Allowances to be Transferred

Allowance Year	Allowance Type	Originating State	Serial Range	Date Acquired	Allowance(s)
2017	Standard	MA	1862556028 - 1862556036	02/02/2022	15

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Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

4b. Select Allowances to Transfer (Serial Block Selection Method): As an alternative to the automatic selection method (described in the previous slide), you may select CO₂ allowances from a specific serial block range.

Transfer Allowances: Step 3 - Select Allowances to Transfer

[Help](#)

Allowances to be Transferred From

Account Number GN81071
Account Name Industrial Power Station General Account
State All States

Allowances to be Transferred To

Account Number DE81070
Account Name Industrial Power Station Compliance Account
State DE

Choose Selection Method: **Serial Block Selection**

Available Allowances

☐ **Select All**

	Allocation Year	Type	Originating State	Serial Range	Frozen	Total Allowances Available	Quantity
<input checked="" type="checkbox"/>	2017	Standard	MA	1862556028 - 1862556036	No	1000	<input type="text" value="15"/>
<input type="checkbox"/>	2017	Standard	NH	1875072566 - 1875072665	No	500	<input type="text" value="0"/>
<input type="checkbox"/>	2021	Standard	MA	1875077566 - 1875077566	No	150	<input type="text" value="0"/>

Total to be Transferred: 15

Check the serial block of allowances you would like to transfer.

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Enter the quantity of each checked serial block to transfer.

Compliance in RGGI COATS: A How-To Guide

5. Review and approve the transaction

Transfer Allowances: Step 4 - Review and Approve Transaction

[Help](#)

Allowances to be Transferred From

Account Number GN81071
Account Name Industrial Power Station General Account
State All States
Authorized Account Representative James, Mary

Allowances to be Transferred To

Account Number DE81070
Account Name Industrial Power Station Compliance Account
State DE
Authorized Account Representative James, Mary

Allowances to be Transferred

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Quantity
2017	Standard	MA	1862556028 - 1862556036	02/02/2022	15

Total to be Transferred: 15

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

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

Click the Submit button to finalize the allowance transfer.

Transaction Date

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

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

Check here if an exchange settlement transaction ☐

Comment

Enter Session PIN *

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

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

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

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

.....

Back Submit Click the Submit button to complete the transaction.

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

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

6. **Confirmation of Allowance Transaction.** We recommend that you print the page for your records. Check your email for a system-generated confirmation of the allowance transfer.

Transfer Allowances: Confirmation of Allowance Transaction Print the page for your records using the Print button. Print Help

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

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

Recorded Date	02/04/2022
Transaction Date	01/03/2022
Transaction ID	rggi169736
Transaction Status	Complete
State	DE
Price per allowance of associated sale or purchase transaction (\$)	
Exchange Settlement Transaction	No

Allowances Transferred From	Allowances Transferred To
Account Number GN81071	Account Number DE81070
Account Name Industrial Power Station General Account	Account Name Industrial Power Station Compliance Account
State All States	State DE
Authorized Account Representative James, Mary	Authorized Account Representative James, Mary

Allowances Transferred

Allocation Year	Type	Originating State	Serial Range	Quantity
2017	Standard	MA	1862556028 - 1862556036	15

Total Allowances Transferred 15

Transaction Status History

Date	Transaction Status
02/04/2022	Complete

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

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

The **Compliance Deduction Transaction** in COATS:

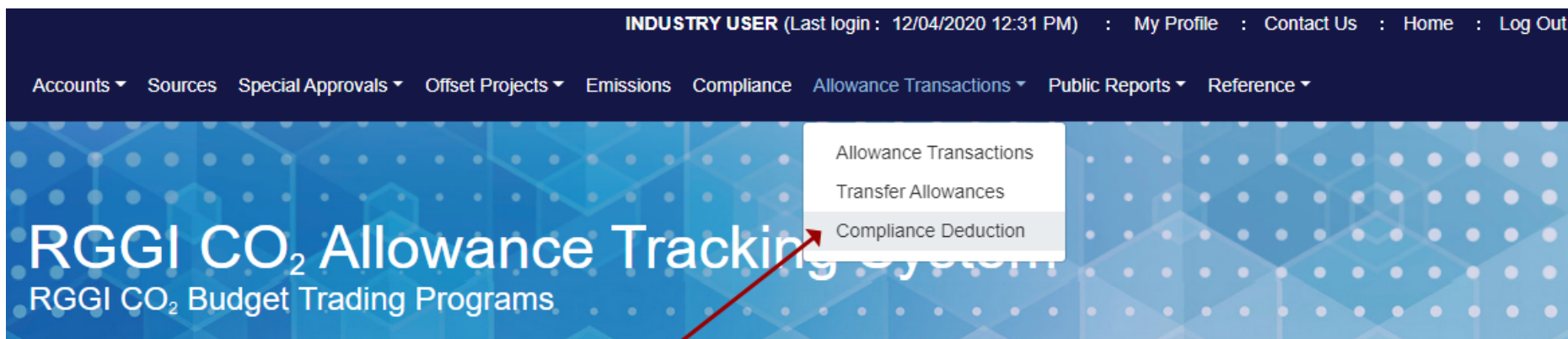
- Is **optional** (you are only required to transfer sufficient CO₂ allowances to your compliance account).
- Will be available in COATS from January 31 to March 1, 2023.
- Will transfer selected CO₂ allowances for surrender from your compliance account to your state's surrender account for compliance.
- Allows you to select CO₂ allowances to surrender either automatically or manually by CO₂ allowance serial block.

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

To conduct a Compliance Deduction Transaction:

1. You must already have transferred CO₂ allowances to your compliance account (as described in previous slides).
2. In COATS, click on the **Compliance Deduction** sub-menu under the **Allowance Transactions** Menu.



Click on Compliance Deduction to surrender allowances.

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

Select the Surrendering Account from which you will transfer CO₂ allowances.

Surrender Allowances: Step 1 - Select Surrendering Account

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

Help

Use the Filter Criteria to find a specific surrendering account.

Filter Criteria ▼
Representative Name
Account Number
Account Name

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

	Account Number	Account Name	Authorized Account Representative	State	Allowances can be Transferred
<input checked="" type="radio"/>	DE81070	Industrial Power Station Compliance Account	James, Mary	DE	Yes

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Allowance Holdings

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Frozen	Quantity
2014	Standard	Maine	1862556028 - 1862556036	02/04/2022	No	145133
2017	Standard	Massachusetts	1875072566 - 1875072665	02/04/2022	No	15
2017	Standard	Maryland	1875077566 - 1875077566	02/02/2022	No	3000

Total Allowances Available: 148148

View the Allowance Holdings grid for details on the allowances available in the account.

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

Select the Surrender Account which will receive the transferred CO₂ allowances (e.g., a Surrender Account for the regulating state)

Surrender Allowances: Step 2 - Select Surrender Account

Help

Filter Criteria ▶

Allowances to be Surrendered From

Account Number DE81070
Account Name Industrial Power Station Compliance Account
State DE

	Account Number	Account Name	Authorized Account Representative	State	Allowances can be Acquired
<input type="radio"/>	DE81007	Control Period 5 Surrender Account		DE	Yes
	DE10248	Control Period 2 Surrender Account		DE	No
	DE10881	Control Period 1 Surrender Account		DE	No
	DE10955	Control Period 3 Surrender Account		DE	No
	DE80975	Control Period 4 Surrender Account		DE	No

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Click the radio button to select the Surrender Account. Only the Surrender Accounts for the state with which the Compliance Account is associated will appear in the grid for selection.

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Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

4a. Select Allowances to Surrender – Automatic Selection Method

Surrender Allowances: Step 3 - Select Allowances to Surrender

[Help](#)

Allowances to be Surrendered From

Account Number DE81070
Account Name Industrial Power Station Compliance Account
State DE

Allowances to be Surrendered To

Account Number DE81007
Account Name Control Period 5 Surrender Account
State DE

Choose Selection Method: **Automatic Selection**

Available Allowances

Allocation Year	Allowance Type	Originating State	Serial Range	Allowance(s)	Frozen	Date Acquired
2014	Standard	ME	1862556028 - 1862556036	145133	No	02/04/2022
2017	Standard	MD	1875072566 - 1875072665	3000	No	02/02/2022
2017	Standard	MA	1875077566 - 1875077566	15	No	02/04/2022

Amount to Surrender

Enter the quantity of allowances to transfer.

Select Allocation Year(s) *

☒ 2014
☐ 2017**Select the Allocation Year(s) of the allowances COATS will select from the Available Allowances grid.**

Deduction Method

☒ Begin with last acquired ☐ Begin with first acquired**Choose the deduction method.****After entering the above criteria and clicking Calculate, COATS will automatically select the allowance serial numbers to transfer.**

Allowances to be Surrendered

Originating State	Allowance Year	Allowance Type	Serial Range	Date Acquired	Allowance(s)
ME	2014	Standard	1862556028 - 1862556036	02/04/2022	100

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

4b. Select Allowances to Surrender – Manual Selection Method. As an alternative to the automatic selection method (described on the previous slide), you may manually select CO₂ allowances to transfer choosing from a specific serial block range and selecting the receiving account.

Surrender Allowances: Step 3 - Select Allowances to Surrender

[Help](#)

Allowances to be Surrendered From

Account Number DE81070
Account Name Industrial Power Station Compliance Account
State DE

Allowances to be Surrendered To

Account Number DE81007
Account Name Control Period 5 Surrender Account
State DE

Choose Selection Method: **Serial Block Selection**

Available Allowances

☐ **Select All**

	Allocation Year	Type	Originating State	Serial Range	Frozen	Total Allowances Available	Quantity
<input checked="" type="checkbox"/>	2014	Standard	ME	613783270 - 613928402	No	145133	<input type="text" value="100"/>
<input type="checkbox"/>	2017	Standard	MA	517934832 - 517934846	No	15	<input type="text" value="0"/>
<input type="checkbox"/>	2017	Standard	MD	529518726 - 529521725	No	3000	<input type="text" value="0"/>

Total Allowances to be Surrendered 100

Check the serial block of allowances you would like to transfer.

Enter the quantity of each checked serial block to transfer.

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

5. Review and approve the transaction.

Surrender Allowances: Step 4 - Review and Approve Transaction

[Help](#)

Allowances to be Surrendered From

Account Number DE81070
Account Name Industrial Power Station Compliance Account
State DE
Authorized Account Representative James, Mary

Allowances to be Surrendered To

Account Number DE81007
Account Name Control Period 5 Surrender Account
State DE

Allowances to be Surrendered

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Quantity
2014	Standard	ME	1862556028 - 1862556036	02/04/2022	100

Total Allowances to be Surrendered 100

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

Transaction Date

Control Period *

Comment

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

Enter Session PIN *

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

Password *

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

Click the Submit button to complete the transaction.

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

Compliance in RGGI COATS: A How-To Guide

Step 2: How to provide CO₂ allowances for compliance

6. **Confirmation of Allowance Transaction.** We recommend that you print the page for your records.

Surrender Allowances: Confirmation of Surrender Transaction

Your allowance surrender has been completed. Please print this page for your records.

Print Help

Print the page for your records using the Print button.

Date of Allowance Surrender	02/10/2022
Transaction Date	02/10/2022
Transaction ID	rggi169738
Transaction Status	Complete
State	DE

Allowances to be Surrendered From

Account Number	DE81070
Account Name	Industrial Power Station Compliance Account
State	DE
Authorized Account Representative James, Mary	

Allowances to be Surrendered To

Account Number	DE81007
Account Name	Control Period 5 Surrender Account
State	DE

Allowances Transferred

Allowance Year	Allowance Type	Serial Range	Allowance(s)
2014	Standard	1862556028 - 1862556036	100

Total Allowances to be Surrendered 100

Transaction Status History

Date	Transaction Status
02/10/2022	Complete

Continue

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

Compliance in RGGI COATS: A How-To Guide

Step 3: How to conduct draft true-up

1. **View the Compliance Homepage** by clicking the **Compliance** link in the menu **navigation bar**. This 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.

Compliance

Help

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

Use the Filter Criteria to find a specific Control Period for a State.

Filter Criteria ▼
State
Control Period
Control Period Type

Select the radio button for a State and Control Period.

	State	Control Period Type	Control Period	Status	Compliance Begin Date	Compliance End Date
<input type="radio"/>	DE	Interim Control Period	2022 (Interim)	Open	01/01/2022	12/31/2022

1 - 1 of 1

The Status indicates whether the Control Period for the State is available for true-up processing.

Click the Next button once you have selected a Control Period for a State to proceed to the Select Sources for True-Up Processing page.

Compliance in RGGI COATS: A How-To Guide

Step 3: How to conduct draft true-up

- 2. Select Sources for True-Up Processing.** This page displays the sources for which you are affiliated as an AAR, AAAR, Agent, or Reviewer and the results of the last draft (or final) true-up processing performed.

Select Sources for True-Up Processing for DE 2022 (Interim)

[Help](#)

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

Use the Filter Criteria to find a specific Source.

Draft true-up may be run multiple times. The "Last Update" column in the grid displays the date true-up was last processed for the source. The "Total Allowances Pending Deduction" column displays the sum of allowances surrendered and remaining allowances available for deduction at that time.

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

The Processing Log hyperlink leads to the Compliance Log page.

[Processing Log](#)

☐ Select All

	ORIS Code	Source Name	State Identifier	Authorized Account Representative	CO ₂ Interim Compliance Obligation	Total Allowances Pending Deduction	Last Update	Processing Status
<input type="checkbox"/>	555	Industrial Power Station	1001-2002	James, Mary				

[Back](#)

[Process True-Up](#)

[Export Data](#)

Click the Process True-Up button once you have selected a Source to proceed to the Compliance Processing page.

Filter Criteria ▼

Source Name

ORIS Code

State Identifier

Authorized Account Representative

Processing Status

Filter

Clear

Compliance in RGGI COATS: A How-To Guide

Step 3: How to conduct draft true-up

- 3. Compliance Processing.** This page displays the results of the current draft true-up processing based on previously surrendered CO₂ allowances and CO₂ allowances held in the compliance account at the time of processing.

Compliance Processing

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

Processing Complete.

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

Industrial Power Station Compliance Account: Success

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
Industrial Power Station Compliance Account	DE81070	555	1, 2	69,010	0	0	34,505	100	34,405	34,505	Complete	CO2 Interim Compliance Obligation = Allowances

[Return to Grid](#)

Compliance in RGGI COATS: A How-To Guide

Step 4: How to view compliance reports

The 2022 Interim Compliance Summary Report

- This report will be publicly available in COATS and will show data regarding CO₂ allowances provided by CO₂ budget sources to meet their interim compliance obligation for that interim control period.
- This report will be available to the public following interim compliance true-up.

Compliance in RGGI COATS: A How-To Guide

Step 4: How to view compliance reports

- Go to the COATS homepage and click on the desired report category in the "Public Reports" section of the screen. No login is required.

Home Login Reference ▾

RGGI CO₂ Allowance Tracking System

RGGI CO₂ Budget Trading Programs

Public Reports

RGGI COATS enables the public to view, customize, and download reports of RGGI data and CO₂ allowance market activity.

Access reports here:

- [Summary Level Emissions](#)
- [Quarterly Emissions](#)
- [Annual Emissions](#)
- [Control Period Emissions](#)
- [Sources](#)
- [Accounts](#)
- [Transaction Price Report](#)
- [Special Approvals](#)
- [Offset Projects](#)
- [Source-Submitted Compliance](#)
- [Compliance Summary](#)
- [2022 Interim Compliance Summary Report](#)

Access archived reports here.

RGGI COATS Accounts

RGGI COATS enables market participants to receive and transfer CO₂ allowances, register offset projects, and submit offset project Consistency Applications and Monitoring and Verification Reports.

A login is required only for authorized account representatives (AARs), alternate account representatives (AAARs), electronic submission agents, or reviewers to access compliance or general accounts.

[Click here to log in to RGGI COATS](#)

[Register to use RGGI COATS](#)

RGGI COATS is compatible with the following web browsers: Chrome, Edge, Firefox, Opera, and Safari.

Question & Answer

- **To ask a question during the webinar:** Send your question via the “**Q&A**” function to the presenters on your webinar screen.
- **To ask a question after the webinar:** If you have additional questions following the webinar, you can email them to Leila Fanaeian at RGGI, Inc.:
leila.fanaeian@rggi.org

Additional Resources

- **State CO₂ Budget Trading Programs**

- The compliance process for RGGI CO₂ budget sources is governed by the applicable of the state in which the facility is located. For more information, see <https://www.rggi.org/program-overview-and-design/state-regulations>.

- **RGGI Website**

- Additional information related to compliance can be found at: <https://www.rggi.org/allowance-tracking/compliance>.

- **RGGI COATS:**

- RGGI COATS can be accessed at: rggi-coats.org.
- For more information, see the RGGI COATS [User's Guide](#).

- **US EPA's Emissions Reporting Requirements**

- See the US EPA CAMD website at <https://www.epa.gov/airmarkets>.

Contacts

- For questions related to COATS, please email rggi-coats@gdit.com.
- For other questions related to compliance, please contact the relevant state contact person below.

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CT	Mike LaFleur	Michael.LaFleur@ct.gov	(860) 424-3462
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MD	Steve Lang	Steven.Lang@maryland.gov	(410) 537-3944
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Thank You!

A recording of this presentation will be made
available on the RGGI website at:

<https://www.rggi.org/allowance-tracking/compliance>.