



# Regional Greenhouse Gas Initiative

## Preparing for CO<sub>2</sub> Budget Source Fifth Control Period Compliance

October 12, 2023

# Webinar Outline

- Introduction
- Key Terms
- 4 Stages of RGGI Compliance
- Compliance Timeline & Milestones
- Compliance Process Checklist: 8 Steps
- Compliance in RGGI COATS: Demonstration
- Question & Answer
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# Introduction

## What is RGGI CO<sub>2</sub> Budget Source Compliance?

- Under each Regional Greenhouse Gas Initiative (RGGI) participating state's CO<sub>2</sub> Budget Trading Program, regulated power plants (**CO<sub>2</sub> budget sources**) are required to provide one CO<sub>2</sub> allowance for each ton of CO<sub>2</sub> emitted during the preceding three-year control period.
- A **CO<sub>2</sub> allowance** represents a limited authorization to emit one short ton of CO<sub>2</sub>, as issued by a RGGI state.
- Each **RGGI control period** is three years in length. The fifth control period began on January 1, 2021 and extends through December 31, 2023.
  - Starting in 2015, each CO<sub>2</sub> budget source must hold allowances equal to 50 percent of its emissions during each Interim Control Period (the first two calendar years of each three-year control period).
  - Each CO<sub>2</sub> 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.

# Introduction

## What is RGGI CO<sub>2</sub> Budget Source Compliance?

- The **RGGI CO<sub>2</sub> Allowance Tracking System (COATS)** is where compliance transactions occur and is used by each RGGI state to determine compliance with each state's CO<sub>2</sub> Budget Trading Program.
- For a list of **current CO<sub>2</sub> budget sources**, please see the Sources Report on the COATS home page: [rggi-coats.org](http://rggi-coats.org).

# Key Terms

*Note that terms may differ between this presentation, COATS, and state CO<sub>2</sub> 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).*

- **CO<sub>2</sub> Budget Source:** A fossil fuel-fired power plant 25 MW\* or greater in size regulated under RGGI.
- **CO<sub>2</sub> Compliance Obligation:** Total tons of CO<sub>2</sub> emitted during the fifth control period by a CO<sub>2</sub> budget source, less any eligible emissions deductions (as determined by each state).
- **Draft True-Up:** The process in COATS which compares the CO<sub>2</sub> Compliance Obligation to the sum of any CO<sub>2</sub> allowances already surrendered and those remaining in the compliance account. (Draft true-up must be run by 11:59 PM ET on March 1, 2024.)

\* 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 CO<sub>2</sub> Allowances:** The process by which CO<sub>2</sub> allowances (the amount as determined by the relevant state) held in a CO<sub>2</sub> budget source's compliance account are transferred for compliance to the relevant state's surrender account in COATS upon final compliance true-up. Final compliance true-up will occur on April 2, 2024.
- **Surrendering of CO<sub>2</sub> Allowances:** The optional process by which a CO<sub>2</sub> budget source may identify specific CO<sub>2</sub> 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, 2024 through March 1, 2024).

# Key Terms

- **Authorized Account Representative (AAR):** For a compliance account (i.e., CO<sub>2</sub> budget source and each CO<sub>2</sub> budget unit at the source), the person who is authorized by the owners and operators of the source and all CO<sub>2</sub> budget units at the source to represent and legally bind each owner and operator in matters pertaining to the CO<sub>2</sub> Budget Trading Program; or, for a general account, the natural person who is authorized to transfer CO<sub>2</sub> 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.



# 4 Stages of RGGI Compliance

**Stage 1: CO<sub>2</sub> Emissions Reporting** (*CO<sub>2</sub> Budget Sources*)

**Stage 2: Compliance Activities in COATS:** (*CO<sub>2</sub> Budget Sources*)

- Provide CO<sub>2</sub> allowances for compliance
- Run draft true-up
- Certify compliance

**Stage 3: Compliance Evaluation** (*RGGI States*)

**Stage 4: Public Reporting** (*Public*)



# 4 Stages of RGGI Compliance

## Stage 1: CO<sub>2</sub> Emissions Reporting

- **Reporting to the US EPA**

- CO<sub>2</sub> budget sources are required to report **quarterly CO<sub>2</sub> emissions data** to RGGI states through the US Environmental Protection Agency's (US EPA) Clean Air Markets Division (CAMD) Business System in accordance with state CO<sub>2</sub> Budget Trading Program regulations and US EPA regulations at 40 CFR Part 75.
  - Updates made in the CAMD Business System flow to COATS periodically.
- January 30, 2024: Deadline to submit CO<sub>2</sub> emissions data to the US EPA for Q4-2023, the final quarter of the fifth control period.
- For more information on the US EPA's emissions reporting requirements, see: <https://www.epa.gov/airmarkets>.

# 4 Stages of RGGI Compliance

## Stage 2: Compliance Activities in COATS

### a) Provide CO<sub>2</sub> allowances for compliance

- CO<sub>2</sub> allowances must be provided for compliance by the allowance transfer deadline (11:59 PM ET on March 1, 2024).
- It is recommended that you obtain all CO<sub>2</sub> allowances necessary for compliance well before the allowance transfer deadline.
- Market participants can acquire CO<sub>2</sub> allowances in two ways:
  - 1) **CO<sub>2</sub> Allowance Auctions:** Auction 62, to be held on December 6, 2023 is the last quarterly CO<sub>2</sub> Allowance Auction to purchase CO<sub>2</sub> allowances before the end of the fifth control period.
    - Auction notice will be released on October 10
    - The deadline to apply for Auction 62 is October 25.
    - For more information on RGGI CO<sub>2</sub> allowance auctions, see: <https://www.rggi.org/auctions/auction-materials>.
  - 2) **Secondary Markets:** CO<sub>2</sub> allowances for can also be acquired through the secondary market.

# 4 Stages of RGGI Compliance

## Stage 2: Compliance Activities in COATS

### a) Provide CO<sub>2</sub> allowances for compliance

- CO<sub>2</sub> budget sources must transfer and hold sufficient CO<sub>2</sub> allowances in their compliance account (not including any CO<sub>2</sub> allowances already surrendered) to meet their CO<sub>2</sub> compliance obligation in COATS by 11:59 PM ET on March 1, 2024.
- A CO<sub>2</sub> budget source may also optionally identify specific CO<sub>2</sub> allowances to be used for compliance (or “surrender” CO<sub>2</sub> allowances) by using the Compliance Deduction Transaction in COATS between January 31, 2024 and March 1, 2024.

# 4 Stages of RGGI Compliance

## Stage 2: Compliance Activities in COATS

### **b) Run draft true-up**

- CO<sub>2</sub> budget sources must run draft true-up in COATS by 11:59 PM ET on March 1, 2024.

### **c) Certify compliance**

- CO<sub>2</sub> budget sources are also required to certify compliance between January 31, 2024 and March 1, 2024 according to each state's CO<sub>2</sub> Budget Trading Program (e.g., electronic vs. paper submission).

*Additional information on how to run draft true-up and certify compliance in COATS will be discussed further on in this presentation.*

# 4 Stages of RGGI Compliance

## Stage 3: Compliance Evaluation

- **State Compliance Evaluation Period (March 2, 2024 – April 1, 2024):** RGGI states will evaluate each CO<sub>2</sub> budget source by reviewing the Compliance Certification Report and comparing the number of CO<sub>2</sub> allowances provided for compliance (**including any CO<sub>2</sub> allowances surrendered and held in compliance accounts**) to the CO<sub>2</sub> compliance obligation.
- Final compliance true-up will occur on the first business day following April 1, 2024, which is April 2, 2024. Between March 2, 2024 and final compliance true-up:
  - **CO<sub>2</sub> allowances of an allocation year from the fifth control period or prior will be frozen in COATS compliance accounts.** You will not be able to transfer or receive allocation year 2009-2023 CO<sub>2</sub> allowances in your compliance account.
  - **CO<sub>2</sub> Allowances in COATS general accounts will NOT be frozen.** To receive or transfer allocation year 2009-2023 CO<sub>2</sub> allowances during this time, you are strongly encouraged to make sure you have access to a general account. For more information on how to open a general account, please see the [COATS User's Guide](#).

# 4 Stages of RGGI Compliance

## Stage 3: Compliance Evaluation

- Final compliance true-up will occur on the first business day following April 1, 2024, which is April 2, 2024.

### **Following final compliance true-up on April 2, 2024:**

- CO<sub>2</sub> allowances will be **automatically deducted** from compliance accounts for compliance in accordance with the rules specified in each state's CO<sub>2</sub> Budget Trading Program;
- State-derived evaluations of compliance will be released publicly in the **Compliance Summary Report**; and
- **Allocation year 2009-2023 CO<sub>2</sub> allowances in compliance accounts will be unfrozen** in COATS, unless there is any shortfall of allowances to meet the CO<sub>2</sub> compliance obligation. If there is a shortfall of CO<sub>2</sub> allowances after compliance deductions are complete, the CO<sub>2</sub> budget source may not be able to transfer any CO<sub>2</sub> allowances out of their compliance account until excess emissions are resolved.



# 4 Stages of RGGI Compliance

## Stage 4: Public Reporting

- **There will be two public compliance data reports:**
  - **Source-Submitted Compliance Report (March 4, 2024)**
    - This report will be publicly available in COATS and will show data submitted by CO<sub>2</sub> budget sources.
    - This report will not include any state-derived evaluations of compliance.
    - A static form of this report will be archived on April 2, 2024 and remain available.
  - **Compliance Summary Report (April 2, 2024):**
    - This report will replace the Source-Submitted Compliance Report in COATS.
    - This report will include state-derived compliance evaluations of compliance.

To view public reports in COATS: Go to [rggi-coats.org](http://rggi-coats.org) and click on the desired report category in the "Public Reports" section. No login is required.



# Compliance Timeline & Milestones

**December 31, 2023**

End of the fifth control period

**March 1, 2024 11:59 PM ET**

Allowance Transfer Deadline: Provide CO<sub>2</sub> allowances for compliance  
Compliance Certification Deadline: Certify compliance

Last auction to acquire CO<sub>2</sub> allowances for compliance

Submit Q4-2023 CO<sub>2</sub> emissions data to US EPA CAMD

Provide CO<sub>2</sub> allowances & certify compliance

State Compliance Evaluation  
Compliance accounts frozen for allocation year 2009-2023 allowances  
Compliance data submitted by sources report available

States Compliance Evaluation complete

**December 6, 2023**

• **Auction 62**: Last auction to acquire CO<sub>2</sub> allowances in the fifth control period

**January 30, 2024**

• Q4-2023 CO<sub>2</sub> emissions data reporting deadline

**April 2, 2024**

- CO<sub>2</sub> Allowances are deducted for compliance (not including previously surrendered allowances)
  - State Compliance Evaluations determined
    - Compliance accounts unfrozen
  - Compliance Summary Report available

# Compliance Process Checklist: 8 Steps

- ❑ **Step 1**: Confirm access to the US EPA's CAMD Business System.
- ❑ **Step 2**: Confirm user registration in COATS.
- ❑ **Step 3**: *(Recommended)* Have a general account open in COATS.
- ❑ **Step 4**: Acquire sufficient CO<sub>2</sub> allowances to meet CO<sub>2</sub> compliance obligation.
- ❑ **Step 5**: Submit CO<sub>2</sub> emissions data to the US EPA by January 30, 2024.
- ❑ **Step 6**: Provide sufficient CO<sub>2</sub> allowances in COATS compliance account by the allowance transfer deadline (March 1, 2024).
- ❑ **Step 7**: Run draft true-up in COATS by March 1, 2024.
- ❑ **Step 8**: Certify compliance by the Compliance Certification Deadline (paper submission received by 5:00 PM ET and electronic submission by 11:59 PM ET on March 1, 2024).

# Compliance Process Checklist: 8 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.

# Compliance Process Checklist: 8 Steps

## ❑ Step 2: Confirm user registration in COATS

- COATS stores and maintains RGGI accounts and CO<sub>2</sub> 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.

# Compliance Process Checklist: 8 Steps

- ❑ **Step 3: (Recommended) Have a general account open in COATS**
  - From March 2, 2024 through final compliance true-up on April 2, 2024, CO<sub>2</sub> budget sources will not be able to transfer or receive allocation year 2009-2023 CO<sub>2</sub> allowances in their compliance account.
  - General accounts will be able to transfer and receive CO<sub>2</sub> allowances regardless of allocation year.
  - If you anticipate receiving or transferring allocation year 2009-2023 CO<sub>2</sub> allowances in COATS during this time, you are strongly encouraged to open and maintain a general account.
  - For more information on how to open a general account, please see the COATS [User's Guide](#).

# Compliance Process Checklist: 8 Steps

- ❑ **Step 4: Acquire sufficient CO<sub>2</sub> allowances to meet CO<sub>2</sub> compliance obligation**
- CO<sub>2</sub> allowances can be obtained in two ways:
  - CO<sub>2</sub> Allowance Auctions
    - Auction 62, to be held on December 6, 2023, is the final RGGI auction to purchase CO<sub>2</sub> allowances before the end of the fifth control period.
    - The Auction 62 Notice will be released on October 10, 2023.
    - For more information on CO<sub>2</sub> Allowance Auctions, please see: <https://www.rggi.org/auctions/auction-materials>.
  - Secondary Markets
    - CO<sub>2</sub> allowances can also be obtained through the secondary market.
- All CO<sub>2</sub> allowances must be provided for compliance by 11:59 PM ET on March 1, 2024.
  - It is strongly recommended that you obtain all CO<sub>2</sub> allowances necessary for compliance well before the allowance transfer deadline.



# Compliance Process Checklist: 8 Steps

- ❑ **Step 5: Submit CO<sub>2</sub> emissions data to the US EPA by January 30, 2024**
  - Emissions for the final quarter of the fifth control period (Q4-2023) must be submitted to US EPA's CAMD Business System by January 30, 2024.
  - CO<sub>2</sub> emissions data updates for the fifth control period will continue to flow to COATS from the CAMD system through final compliance true-up.
  - If there are any changes to CO<sub>2</sub> 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.



# Compliance Process Checklist: 8 Steps

- ❑ **Step 6: Provide sufficient CO<sub>2</sub> allowances in COATS compliance account by the allowance transfer deadline (March 1, 2024)**
  - All CO<sub>2</sub> budget sources must hold sufficient CO<sub>2</sub> allowances in their compliance account (not including any CO<sub>2</sub> allowances previously surrendered) to meet their CO<sub>2</sub> compliance obligation in COATS by 11:59 PM ET on March 1, 2024.
  - Please note the **CO<sub>2</sub> compliance obligation will reflect any emissions data updates that may occur after March 1, 2024**. Therefore, you should consider the potential for such updates when **determining how many CO<sub>2</sub> allowances** to hold in your compliance account for compliance.
  - Deduction of CO<sub>2</sub> Allowances: Following final compliance true-up April 2, 2024, CO<sub>2</sub> allowances will be deducted from each CO<sub>2</sub> budget source's compliance account.

# Compliance Process Checklist: 8 Steps

- ❑ **Step 6: Provide sufficient CO<sub>2</sub> allowances in COATS compliance account by the allowance transfer deadline (March 1, 2024)**
  - Surrendering of CO<sub>2</sub> Allowances (optional): If you wish to identify specific CO<sub>2</sub> allowances to use for compliance, you may do so by using the Compliance Deduction Transaction in COATS between January 31, 2024 and March 1, 2024.
    - Any identified CO<sub>2</sub> 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 CO<sub>2</sub> allowances to meet your CO<sub>2</sub> compliance obligation will be automatically deducted pursuant to the regulations of the state in which the CO<sub>2</sub> budget source resides.
  - For additional information on COATS transactions, see the COATS [User's Guide](#).

# Compliance Process Checklist: 8 Steps

## **Step 7: Run draft true-up in COATS by March 1, 2024**

- CO<sub>2</sub> budget sources must run draft true-up in COATS by 11:59 PM ET on March 1, 2024, which will compare their CO<sub>2</sub> compliance obligation to the sum of CO<sub>2</sub> allowances surrendered and/or held in their compliance account.
- CO<sub>2</sub> budget sources may run draft true-up in COATS as many times as needed.
- Final compliance evaluations by states will be released on April 2, 2024 in the Compliance Summary Report in COATS.

# Compliance Process Checklist: 8 Steps

## ☐ Step 8: Certify compliance by the Compliance Certification Deadline (between January 31 – March 1, 2024)

- CO<sub>2</sub> budget sources are required to submit a Compliance Certification Report certifying that they are in compliance according to their state's CO<sub>2</sub> Budget Trading Program.
- This certification may require a paper and/or electronic submission.
- Paper certification must be submitted by the AAR or AAAR by 5:00 PM ET and electronic certification must be submitted by the AAR or AAAR by 11:59 PM ET on March 1, 2024.
  - **For CO<sub>2</sub> budget sources located in Connecticut or Maryland:** Paper certification required. Electronic certification may also be submitted but is not required.
  - **For CO<sub>2</sub> budget sources located in Delaware, Vermont or Virginia:** Electronic and paper certification required.
  - **For CO<sub>2</sub> budget sources located in Maine, Massachusetts, New Hampshire, New Jersey, or New York:** Electronic certification required.
  - **For CO<sub>2</sub> budget sources located in Rhode Island:** Electronic or paper certification required.

# Compliance Process Checklist: 8 Steps

State	Electronic Certification Required?	Paper Certification Required?	State Mailing Address:
CT	No	Yes	Supervisor, Compliance Analysis and Coordination Group Engineering and Enforcement Division Bureau of Air Management Department of Energy & Environmental Protection 79 Elm Street, 5 <sup>th</sup> Floor Hartford, CT 06106
DE	Yes	Yes	DNREC – Division of Air Quality Attn: RGGI 100 West Water Street Dover, DE 19904
ME	Yes	No	N/A
MD	No	Yes	Maryland Department of the Environment Attn: Steve Lang Air and Radiation Administration Air Quality Compliance Program 1800 Washington Boulevard Baltimore, MD 21230
MA	Yes	No	N/A
NH	Yes	No	N/A
NJ	Yes	No	N/A
NY	Yes	No	N/A
RI	Accepted	Accepted	RI Department of Environmental Management Office of Air Resources Attn: Dena Gonsalves 235 Promenade Street Providence, RI 02908-5767
VA	Yes	Yes	Virginia Department of Environmental Quality P.O. Box 1105 Richmond, VA 23218 Attn: Tom Ballou
VT	Yes	Yes	Vermont Agency of Natural Resources Climate Action Office Attn: Brian Woods One National Life Drive – Davis 2 Montpelier, VT 05620-3901



# Compliance in RGGI COATS: A How-To Guide

# Compliance in RGGI COATS: A How-To Guide

**Step 1:** How to determine your total CO<sub>2</sub> compliance obligation

**Step 2:** How to provide CO<sub>2</sub> allowances for compliance

**Step 3:** How to conduct draft true-up

**Step 4:** How to certify compliance

**Step 5:** 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 CO<sub>2</sub> compliance obligation

1. In COATS ([rggi-coats.org](http://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.

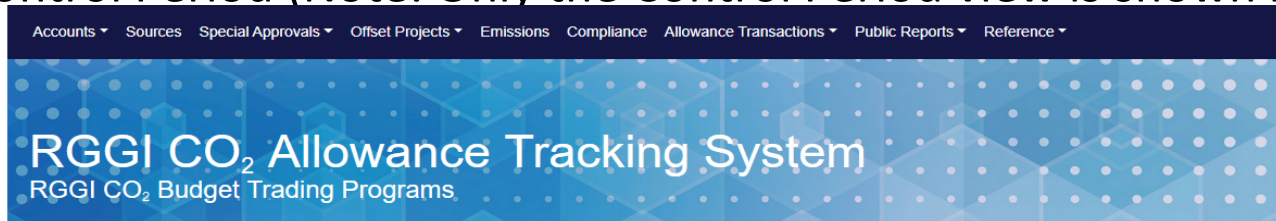


Click on Emissions to navigate to the Emissions page.

# Compliance in RGGI COATS: A How-To Guide

## Step 1: How to determine your total CO<sub>2</sub> compliance obligation

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



### Emissions - Control Period View

Use this page and the views below the grid to verify CO<sub>2</sub> 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.

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

Filter Criteria

Control Period [dropdown]

State [dropdown]

Source Name [text input]

ORIS Code [text input]

State Identifier [text input]

Unit [text input]

Filter Clear

State	ORIS Code	Source Name	State Identifier	Unit ID	Control Period	Op Time	Op Hours	Heat Input (mmBtu)	CO2 Mass (Tons)
DE	555	Industrial Power Station	1001-2002	1	01/01/2021 - 12/31/2023	1,321.00	1444	587,375	34,557
DE	555	Industrial Power Station	1001-2002	1	01/01/2018 - 12/31/2020	4,027.00	4556	1,851,472	104,783
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 Control Period 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 CO<sub>2</sub> allowances for compliance

- The **Allowance Transfer Transaction** in COATS:
  - Allows you to transfer CO<sub>2</sub> allowances to your compliance account.
  - Allows you to select CO<sub>2</sub> allowances to transfer either automatically or manually by CO<sub>2</sub> allowance serial block.

# Compliance in RGGI COATS: A How-To Guide

## Step 2: How to provide CO<sub>2</sub> allowances for compliance

- To transfer CO<sub>2</sub> allowances to your compliance account:
  1. In COATS, click on the **Transfer Allowances** sub-menu under the **Allowance Transactions** menu.

INDUSTRY USER (Last login : 12/04/2020 12:31 PM) : My Profile : Contact Us : Home : Log Out

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

Allowance Transactions  
Transfer Allowances  
Compliance Deduction

RGGI CO<sub>2</sub> Allowance Tracking System  
RGGI CO<sub>2</sub> Budget Trading Programs

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



# Compliance in RGGI COATS: A How-To Guide

## Step 2: How to provide CO<sub>2</sub> allowances for compliance

2. Select the Transferring Account from which you will transfer CO<sub>2</sub> 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 CO<sub>2</sub> allowances for compliance

3. Select the Acquiring Account which will receive the CO<sub>2</sub> 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

Filter Clear

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

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Click the radio button to select an acquiring account.

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# Compliance in RGGI COATS: A How-To Guide

## Step 2: How to provide CO<sub>2</sub> allowances for compliance

**4a. Select Allowances to Transfer (Automatic Selection Method):** By choosing “Automatic Selection”, COATS will automatically select the CO<sub>2</sub> 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 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: 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  ← 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

Back Next



# Compliance in RGGI COATS: A How-To Guide

## Step 2: How to provide CO<sub>2</sub> 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 CO<sub>2</sub> 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.**

**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	GNS1071
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 CO<sub>2</sub> allowance transfer must include a transaction date, which is the date of the completion of the sale or purchase transaction for the CO<sub>2</sub> allowance(s), if any, and must include the sale or purchase price of the CO<sub>2</sub> 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 CO<sub>2</sub> 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 CO<sub>2</sub> 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

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

# Compliance in RGGI COATS: A How-To Guide

## Step 2: How to provide CO<sub>2</sub> 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

<b>Allowances Transferred From</b>	<b>Allowances Transferred To</b>
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

<b>Allowances Transferred</b>				
Allocation Year	Type	Originating State	Serial Range	Quantity
2017	Standard	MA	1862556028 - 1862556036	15

Total Allowances Transferred 15

<b>Transaction Status History</b>	
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 CO<sub>2</sub> allowances for compliance

### The **Compliance Deduction Transaction** in COATS:

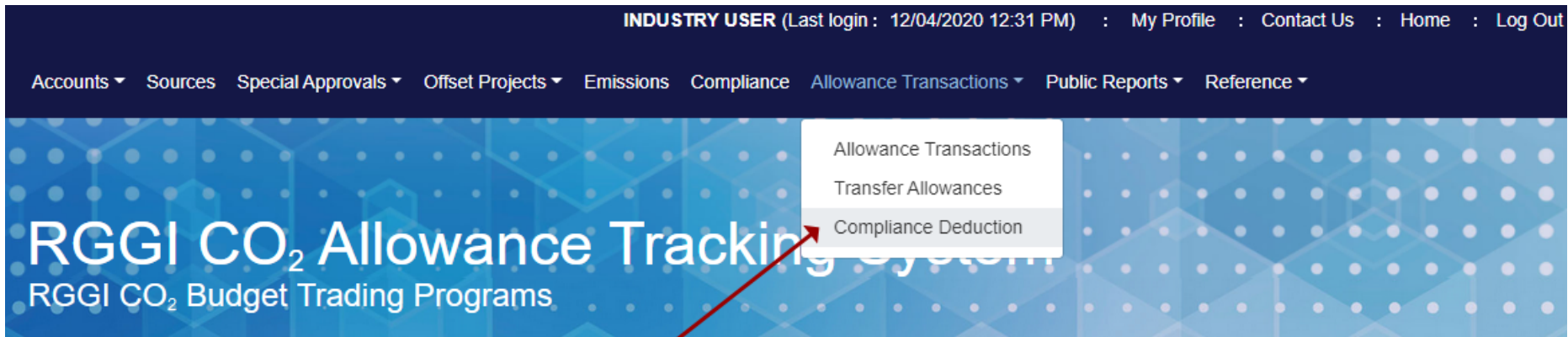
- Is **optional** (you are only required to transfer sufficient CO<sub>2</sub> allowances to your compliance account).
- Will be available in COATS from January 31 to March 1, 2024.
- Will transfer selected CO<sub>2</sub> allowances for surrender from your compliance account to your state's surrender account for compliance.
- Allows you to select CO<sub>2</sub> allowances to surrender either automatically or manually by CO<sub>2</sub> allowance serial block.

# Compliance in RGGI COATS: A How-To Guide

## Step 2: How to provide CO<sub>2</sub> allowances for compliance

### To conduct a Compliance Deduction Transaction:

1. You must already have transferred CO<sub>2</sub> 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 CO<sub>2</sub> allowances for compliance

Select the Surrendering Account from which you will transfer CO<sub>2</sub> allowances.

### Surrender Allowances: Step 1 - Select Surrendering Account

Help

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

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

1 - 1 of 1

#### 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 CO<sub>2</sub> allowances for compliance

Select the Surrender Account which will receive the transferred CO<sub>2</sub> 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
<input type="radio"/>	DE10248	Control Period 2 Surrender Account		DE	No
<input type="radio"/>	DE10881	Control Period 1 Surrender Account		DE	No
<input type="radio"/>	DE10955	Control Period 3 Surrender Account		DE	No
<input type="radio"/>	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 CO<sub>2</sub> 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) \*   ← **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 CO<sub>2</sub> 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 CO<sub>2</sub> 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 CO<sub>2</sub> 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 \*

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

Comment

Enter Session PIN \*

I am authorized to make this submission on behalf of the owners and operators of the CO<sub>2</sub> budget sources or CO<sub>2</sub> 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 CO<sub>2</sub> allowances for compliance

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

### Surrender Allowances: Confirmation of Surrender Transaction

Print Help

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

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	3 Year Control Period	01/01/2009 - 12/31/2011	Final	01/01/2009	12/31/2011
<input type="radio"/>	DE	3 Year Control Period	01/01/2012 - 12/31/2014	Final	01/01/2012	12/31/2014
<input type="radio"/>	DE	3 Year Control Period	01/01/2015 - 12/31/2017	Final	01/01/2015	12/31/2017
<input type="radio"/>	DE	3 Year Control Period	01/01/2018 - 12/31/2020	Final	01/01/2018	12/31/2020
<input checked="" type="radio"/>	DE	3 Year Control Period	01/01/2021 - 12/31/2023	Open	01/01/2021	12/31/2023

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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

- 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 01/01/2021 - 12/31/2023

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.

**Filter Criteria** ▼

Source Name	<input type="text" value="Industrial Power Station"/>
ORIS Code	<input type="text"/>
State Identifier	<input type="text"/>
Authorized Account Representative	<input type="text"/>
Processing Status	<input type="text" value=""/>
Certified?	<input type="text" value=""/>

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

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

Select All

	ORIS Code	Source Name	State Identifier	Authorized Account Representative	CO <sub>2</sub> Compliance Obligation	Total Allowances Pending Deduction	Last Update	Processing Status	Certified?	Paragraph 3 Document	Paragraph 4(ii) Document
<input type="checkbox"/>	555	Industrial Power Station	1001-2002	James, Mary					No		

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

# 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 CO<sub>2</sub> allowances and CO<sub>2</sub> 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  
Industrial Power Station Compliance Account: Warning: Compliance cannot be finalized for this unit until a compliance certification has been submitted.

Account Name	Account Number	ORIS Code	Unit ID(s)	Total CO <sub>2</sub> Emissions	Biomass Emissions Deducted	CHP Thermal Output Emissions Deducted	CO <sub>2</sub> Compliance Obligation	Previously Surrendered for CO <sub>2</sub> Interim Compliance	AAR Surrendered Allowances	Default Deductions	Total Allowances Deducted	Status	Result
Industrial Power Station Compliance Account	DE81070	555	1, 2	104,783	0	0	104,783	35,067	0	69,716	104,783	Complete	Source-Submitted - Emissions = Allowances

Return to Grid Certify Compliance

The Result column will display "Source-Submitted – Emissions = Allowances" if the draft true-up was successful. If not, it will display "Source-Submitted – Emissions > Allowances."

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

# Compliance in RGGI COATS: A How-To Guide

## Step 4: How to certify compliance

- CO<sub>2</sub> budget sources are required to submit a Compliance Certification Report certifying that they are in compliance with their state's CO<sub>2</sub> Budget Trading Program between January 31, 2024 and March 1, 2024.
- This report can only be accessed by the AAR or AAAR of the CO<sub>2</sub> budget source in COATS.
- Compliance certification may include an electronic certification and/or paper certification process as required by each state:
  - Electronic compliance certification must be submitted through COATS by the AAR or AAAR no later than 11:59 PM ET on March 1, 2024.
  - If a paper compliance certification report is required, it must be printed by the AAR/AAAR from COATS and submitted to the relevant state contact. All paper materials must be received by the relevant state no later than 5:00 PM ET on March 1, 2024.

# Compliance in RGGI COATS: A How-To Guide

## Step 4: How to certify compliance

- To certify compliance (both electronic and paper), the AAR or AAAR must follow these steps:
  1. **Navigate to the Compliance Certification Report Page** by clicking on the **Certify Compliance** button after running draft true-up. Note: Agents will not be able to access this button, only AARs or AAARs.

The **Compliance Certification Report Page** is the electronic Compliance Certification Report for a source and any units at the source that are subject to a CO<sub>2</sub> budget emissions limitation in a control period.

# Compliance in RGGI COATS: A How-To Guide

## Step 4: How to certify compliance

2. **To submit electronic certification (as required by your state)** on the Compliance Certification Report Page, you may electronically upload any relevant attachments, read the Certification statement, type your COATS password and click the "**Submit**" button.
  - **For CO<sub>2</sub> budget sources located in CT or MD**, the Certification Report must be printed from COATS, signed, and sent with any attachments to your relevant state. The report can be printed before or after clicking "Submit".
  - **For CO<sub>2</sub> budget sources located in DE, VT or VA**, you must click "Submit" and then you will need to print, sign, and send a copy of the report with any attachments to your relevant state agency.
  - **For CO<sub>2</sub> budget sources located in RI**, you may click "Submit" or print, sign, and send a copy of the report with any attachments to the relevant state agency.
  - **For CO<sub>2</sub> budget sources located in all other states**, you must click "Submit" and certify compliance electronically.

# Compliance in RGGI COATS: A How-To Guide

## Step 4: How to certify compliance

- 3. Read-only Compliance Certification Report.** If electronic certification is submitted (after uploading any necessary documents, entering your password, and clicking the Submit button on the Compliance Certification screen) in COATS, you will be navigated to a read-only version of the Compliance Certification Report. A print button will be available in the top right-hand corner of the page.

***Note:*** *It is recommended that you print a copy of the completed Compliance Certification Report for your records.*



# Compliance in RGGI COATS: A How-To Guide

## Step 5: How to view compliance reports

**There will be 2 public compliance data reports in COATS:**

- **Source-Submitted Compliance Report (March 4, 2024)**
  - This report will be publicly available in COATS and will show data submitted by CO<sub>2</sub> budget sources.
  - This report will not include any state-derived evaluations of compliance.
  - A static form of this report will be archived on April 2, 2024 and remain available.
- **Compliance Summary Report (April 2, 2024):**
  - This report will replace the Source-Submitted Compliance Report in COATS.
  - This report will include state-derived compliance evaluations of compliance.

# Compliance in RGGI COATS: A How-To Guide

## Step 5: 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.

The screenshot shows the RGGI CO<sub>2</sub> Allowance Tracking System homepage. At the top, there is a navigation bar with links for Home, Login, and Reference. Below this is a large blue banner with the text "RGGI CO<sub>2</sub> Allowance Tracking System" and "RGGI CO<sub>2</sub> Budget Trading Programs". The main content area is divided into two columns. The left column is titled "Public Reports" and contains a list of report categories. The right column is titled "RGGI COATS Accounts" and contains information about account registration and login.

**Public Reports**

RGGI COATS enables the public to view, customize, and download reports of RGGI data and CO<sub>2</sub> 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 CO<sub>2</sub> 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 Lei Pei at RGGI, Inc.: [lei.pei@rggi.org](mailto:lei.pei@rggi.org)

# Additional Resources

- **State CO<sub>2</sub> Budget Trading Programs**

- The compliance process for RGGI CO<sub>2</sub> 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](http://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](mailto:rggi-coats@gdit.com).
- For other questions related to compliance, please contact the relevant state contact person below.

State	Contact Person	Email	Phone
CT	Mike LaFleur	<a href="mailto:Michael.LaFleur@ct.gov">Michael.LaFleur@ct.gov</a>	(860) 424-3462
DE	Valerie Gray	<a href="mailto:Valerie.Gray@delaware.gov">Valerie.Gray@delaware.gov</a>	(302) 739-9402
ME	Eric Kennedy	<a href="mailto:Eric.Kennedy@maine.gov">Eric.Kennedy@maine.gov</a>	(207) 530-3139
MD	Roland Gorschboth	<a href="mailto:Roland.Gorschboth@maryland.gov">Roland.Gorschboth@maryland.gov</a>	(410) 537-4130
MA	Will Space	<a href="mailto:William.Space@state.ma.us">William.Space@state.ma.us</a>	(617) 292-5610
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