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COMMISSION GUIDEBOOK

RENEWABLES PORTFOLIO STANDARD ELIGIBILITY

Seventh Edition

Commission Guidebook

CALIFORNIA
ENERGY COMMISSION

Edmund G. Brown Jr., Governor

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The requirements in this guidebook are based on applicable law, the Renewables Portfolio Standard Decision on Phase 1 Implementation Issues (Publication Number CEC-500-03-123F), the Renewables Portfolio Standard Decision on Phase 2 Implementation Issues (Publication Number CEC-500-03-049F), staff analysis, and public input.

ABSTRACT

The *Renewables Portfolio Standard Eligibility Guidebook* describes the eligibility requirements and process for certifying eligible renewable energy resources for California's Renewables Portfolio Standard (RPS) and describes the California Energy Commission's accounting system to verify compliance with the RPS. California's RPS has a target of obtaining 33 percent of the state's electricity from eligible renewable energy resources by 2020.

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What's New in This Guidebook?

Below are the major changes in this edition of the *Renewables Portfolio Standard Eligibility Guidebook* as compared with the August 2012 *Sixth Edition* of the *RPS Guidebook*:

New Legislation

- Assembly Bill 2196, which establishes new requirements for facilities using biomethane, is summarized.

Energy Resource Eligibility Requirements

This section incorporates the portions of the former Eligibility Requirements Section relating specifically to eligible energy resources. Changes to this section include:

- Table 1 summarizes the reporting requirements for each renewable resource.
- Biogas: The biogas section is removed and a biomethane section is introduced, implementing AB 2196.
- Biomass: additional information is transferred from the *Overall Program Guidebook* regarding eligible biomass materials.
- Fuel Cell: additional information on the hydrogen production process is required.
- Hydroelectric: this section is reorganized and duplicative information is removed; pumped storage hydroelectric is moved from this section to the Energy Storage section.
- The following topics are added to the Energy Resources Eligibility Requirements section:
    - Geothermal
    - Ocean Thermal
    - Ocean Wave
    - Solar
    - Tidal Current
    - Wind

Facility Requirements

This section incorporates the portions of the former Eligibility Requirements section relating to the operations and characteristics of an electrical generating facility that are unrelated to the eligible energy resource used to generate electricity. Changes to this section include:

- Table 2 is introduced to summarize the facility requirements presented in this section.
- Renewable Facilities Using Multiple Energy Resources
    - General clarifying revisions are made to the types of fuel measurement methodologies allowed by the Energy Commission.
    - The amount of nonrenewable fuel that may count toward the RPS is established for facilities that participated in the former Existing Renewable Facilities Program.

    - Additional clarifications are made to the yearly reporting instructions for facilities using multiple fuels including nonrenewable fuels.
- Facilities with a First Point of Interconnection to a non-California Balancing Authority Outside California or Facilities Located Outside the United States
    - Socioeconomics and Workers' Safety are removed from the list of LORS.
    - Language on certifying facilities for incremental generation is removed.
- Incremental Generation: this section is introduced, describing how the historical and renewable baselines are determined and how the eligible incremental generation is determined.
- Energy Storage: requirements are established for eligible renewable energy facilities using storage.
- The following sections are removed from this section:
    - Energy Delivery Requirements
    - Unbundled Renewable Energy Credits

Certification

The certification section is expanded to include new certification types and additional information on the certification process.

- Special multijurisdictional utility certification is no longer offered.
- Utility certified facilities:
    - The certification extension deadline for utility-certified facilities is further extended from October 1, 2012, to the adoption date of the seventh edition of this guidebook.
    - Each IOU must provide additional information to the Energy Commission regarding all utility-certified facilities they represent with unexpired initial contracts.
    - Each IOU must submit a CEC-RPS-1 form for each utility-certified facility it owns by the end of 2013.
- An applicant that fails to apply for certification within 90 days of the facility's commencement of commercial operations or fails to apply for amended certification or precertification with 90 days of a significant change may now retain the original eligibility date if the Energy Commission receives an application for certification or amended certification or precertification before the adoption date of this guidebook.
- Pre-March 29, 2012, Biomethane Facilities: limited certification for electric generation facilities only eligible under existing biomethane procurement contracts.
- Historic Carryover: establishes requirements for facilities with eligible generation for historic carryover as specified in the Energy Commission's draft regulations for Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities, as adopted.
- Eligibility Date: information on how the eligibility date for the facility is set, and when the eligibility date for a facility may be changed, is described in detail, including all exceptions that allow generation from the facility to count for specific purposes before the eligibility date.

- Checking the RPS-Eligibility Status of a Facility: Information on how to determine the status of an application for a facility in the RPS program.
- Applications that were denied for being incomplete after the adoption of the *Fifth Edition* of the *RPS Guidebook* may reinstate the original eligibility date assigned to the facility in an approved application, if an application is received by the Energy Commission before the adoption of this guidebook.

RPS Tracking Systems, Reporting, and Verification

New RPS reporting instructions and updated and new forms are provided for all load serving entities.

- There are special reporting instructions for retail sellers and local publicly owned electric utilities (POUs) for reporting 2011 and 2012 procurement. For years 2013 and forward, the annual due date for reporting procurement retired for the RPS for the previous reporting year is July 1 for both retail sellers and POUs.
- The reporting requirements and limitations related to the phasing out of the Interim Tracking System (ITS) for retail sellers, POUs, and certain RPS-certified facilities are described.
- REC retirement and reporting requirements shared by retail sellers and POUs are explained.
- In addition to explaining the verification methodology using the ITS and the Western Renewable Energy Generation Information System – WREGIS, information on how RPS data becomes finalized is included.

RPS Procurement Requirements

- A new section, RPS Procurement Requirements, is added. It addresses the different RPS agency roles of the Energy Commission and the California Public Utilities Commission (CPUC) and provides detailed reporting instructions for POUs with regards to "count in full" (including Historic Carryover) and Portfolio Balance Requirement claims.
- The process is discussed for contesting and correcting erroneous categorization in the verification process.

Retail Sellers' Procurement from POUs for RPS Compliance

A retail seller may claim RECs it has procured that are associated with deliveries of electricity by an eligible renewable energy resource to a POU, for purposes of satisfying the retail seller's RPS procurement requirements, if the Energy Commission verifies that certain conditions are met.

Administration

A new section, Administration, is added to provide information that is provided in the *Overall Program Guidebook for the Renewable Energy Program* that is relevant to the RPS. The RPS program

will no longer reference the *Overall Program Guidebook*, which the Energy Commission plans to phase out by the end of 2013.

Glossary of Terms

The glossary of terms is transferred from the *Overall Program Guidebook,* but only definitions relevant to the RPS are transferred to the *RPS Guidebook*. The following terms related to the RPS program have been added, revised, or removed from the *Overall Program Guidebook's* Glossary of Terms:

- Biogas
- Biomass
- Biomethane
- California Balancing Authority
- Commercial operation
- Commercial operations date (COD)
- Common carrier pipeline
- Dedicated pipeline
- Investor-owned utility (IOU)
- Ocean thermal
- Ocean wave
- Pipeline biomethane
- Portfolio Content Category
- Reporting Year
- Water-supply or conveyance system
- Retire

I. Introduction

The California Energy Commission developed this guidebook to implement and administer its responsibilities under California's Renewables Portfolio Standard (RPS) under Senate Bill 1038,[1] Senate Bill 1078,[2] Senate Bill 1250,[3] Senate Bill 107,[4] and Senate Bill X1-2.[5] These laws set a goal for retail sellers of electricity and local publicly owned electric utilities (POUs) to increase the amount of renewable energy they procure until 33 percent of their retail sales are served with renewable energy by December 31, 2020. Under these laws, the Energy Commission is required to certify electrical generation facilities as eligible renewable energy resources that may be used by retail sellers of electricity and POUs to satisfy their RPS procurement requirements, develop an accounting system to verify retail sellers' and POUs' compliance with the RPS, and adopt regulations specifying procedures for the enforcement of RPS procurement requirements of POUs. This guidebook describes the requirements and process for certifying electrical generation facilities as eligible renewable energy resources for the RPS and describes how the Energy Commission will track and verify compliance with the RPS. The Energy Commission is addressing its responsibilities for adopting regulations for enforcement provisions for POUs in a separate process.[6]

This guidebook establishes efficient and effective processes to encourage participation in California's RPS and assure program credibility to benefit stakeholders, regulators, and consumers. Although this guidebook addresses part of the Energy Commission's role in implementing the RPS, the Energy Commission recognizes that the California Public Utilities Commission (CPUC) and the California Air Resources Board (ARB) also have key RPS implementation and enforcement roles.

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1 SB 1038 (Chapter 515, Statutes of 2002). The pertinent provisions of SB 1038 were formerly codified in Public Utilities Code Sections 383.5 and 445 but are now codified in Public Resources Code Sections 25740 through 25751 as a result of Senate Bill 183 (Chapter 666, Statutes of 2003).

2 SB 1078 (Chapter 516, Statutes of 2002). The pertinent provisions of SB 1078 are codified in Public Utilities Code Section 399.11 through 399.15. This law was subsequently amended to add Sections 399.16, 399.17, and 399.12.5 under Senate Bill 67 (Chapter 731, Statutes of 2003), Assembly Bill 200 (Chapter 5, Statutes of 2005), and Assembly Bill 2189 (Chapter 747, Statutes of 2006), respectively.

3 SB 1250 (Chapter 512, Statutes of 2006). SB 1250 amends pertinent provisions in Public Resources Code Sections 25740 through 25751.

4 SB 107 (Chapter 464, Statutes of 2006). SB 107 amends pertinent provisions in Public Resources Code Sections 25740 through 25751 and Public Utilities Code Sections 399.11 through 399.16.

5 SB X1-2 (Chapter 1, Statutes of 2011, First Extraordinary Session). SB X1-2 amends pertinent provisions in Public Resources Code sections 25740 through 25751 and amends and/or adds Public Utilities Code Sections 399.11 through 399.31.

6 See http://www.energy.ca.gov/portfolio/pou_rulemaking/ for information about the Energy Commission's regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities*.

The enabling legislation established specific roles for the Energy Commission, the CPUC, and the ARB and directs the agencies to work together to implement the RPS.[7] Although the law assigns lead roles for specific implementation efforts to each agency, the roles of the agencies are interrelated. The Energy Commission is responsible for certifying electrical generation facilities as eligible renewable energy resources and tracking the procurement of such resources to ensure compliance with the RPS. With the passage of SB X1-2, the Energy Commission is also responsible for adopting regulations specifying the enforcement provisions for the POUs. Under SB X1-2, the Energy Commission must refer violations by the POUs to the ARB, which may apply penalties for noncompliance. The CPUC is responsible for establishing compliance targets for the amount of eligible renewable energy resources retail sellers of electricity must procure and determines compliance with the RPS for retail sellers. Retail sellers include electrical corporations,[8] electric service providers (ESPs), and community choice aggregators (CCAs).

In February 2003, the CPUC issued a ruling formalizing collaboration on RPS issues, and in March 2003, the Energy Commission adopted a reciprocal agreement. The Energy Commission subsequently developed this guidebook collaboratively with the CPUC.

While this guidebook reflects current requirements, the Energy Commission recognizes that it may need to revise program guidelines periodically to reflect market, regulatory, and legislative developments as well as incorporate the lessons learned from experience implementing the RPS.

Information about the Energy Commission's Power Source Disclosure Program and related requirements for all retail suppliers of electricity on reporting disclosures and specific purchase claims to customers can be found in the California Code of Regulations, Title 20, Sections 1390-1394.

A. RPS Legislation

Various laws have been enacted since the original adoption of this guidebook. These laws triggered the need for guidebook revisions. The seventh edition of this guidebook incorporates changes in law resulting from the following legislation:

- Senate Bill X1-2, signed into law on April 12, 2011, establishes the California Renewable Energy Resources Act and modifies and/or adds provisions in Public Resources Code Sections 25740 through 25751 and Public Utilities Code Sections 399.11 through 399.31. SB X1-2 increases the RPS procurement goal from 20 percent by 2010 to 33 percent by 2020, expands these requirements to include POUs, revises the responsibilities of the CPUC with respect to retail sellers of electricity, and gives the Energy Commission new regulatory

7 SB X1-2 modifies the roles and responsibilities of each agency in implementing the 33 percent RPS requirement, now assigned to all of California's load-serving entities. Both the CPUC and the Energy Commission will implement SB X1-2 through public processes that will define these roles and provide details of the rules and requirements for compliance.

8 Also referred to as investor-owned utilities (IOUs) in this guidebook.

responsibilities with respect to POUs. SB X1-2 also makes other changes to the RPS, including establishing new cost containment provisions and creating renewable energy product categories with specific procurement requirements for each compliance period.

- Assembly Bill 2196,[9] signed into law on September 27, 2012, amends Section 25741 of the Public Resources Code and adds Section 399.12.6 to the Public Utilities Code. AB 2196 revises the requirements for renewable electrical generation facilities that use landfill gas, digester gas, or another renewable fuel delivered to the facility through a common carrier pipeline, and establishes conditions for the transactions for the procurement of such fuel, including the source of the fuel and delivery method.

Legislation incorporated into previous editions of the *RPS Eligibility Guidebook* includes:

- Senate Bill 1038 (Chapter 515, Statutes of 2002).
- Senate Bill 1078 (Chapter 516, Statutes of 2002).
- Senate Bill 1250 (Chapter 512, Statutes of 2006).
- Senate Bill 107 (Chapter 464, Statutes of 2006).
- Senate Bill 1036 (Chapter 685, Statutes of 2007).
- Assembly Bill 1969 (Chapter 731, Statutes of 2006).
- Assembly Bill 3048 (Chapter 558, Statutes of 2008).
- Assembly Bill 1351 (Chapter 1351, Statutes of 2009).
- Assembly Bill 920 (Chapter 376, Statutes of 2009).
- Senate Bill 32 (Chapter 328, Statutes of 2009).
- Senate Bill 1247 (Chapter 488, Statutes of 2010).

Assembly Bill 1954 (Chapter 460, Statutes of 2010).Additional information on historical RPS legislation is provided in Appendix C: Statutory History of the RPS.

B. Outstanding Issues

There are several outstanding issues that could affect these guidelines. Brief discussions follow regarding the major issues facing the Energy Commission, the CPUC, and the ARB as the RPS is implemented. The Energy Commission will continue to address these issues collaboratively with the CPUC, ARB, and interested parties as necessary.

1. Storage Facilities

The Energy Commission recognizes the importance of storage technologies for renewable energy resources and recognizes that there are many different storage technologies and methods to store both renewable and nonrenewable energy. Currently, only a small subset of energy storage methods may qualify as part of a facility for RPS certification or precertification; please see Section III.G: Energy Storage for specifics. To further expand the eligibility of facilities using energy storage or account for their contribution to the RPS, additional issues will need to be addressed in a future guidebook revision.

9 Assembly Bill 2196 (Chapter 605, Statutes of 2012) amends Section 25741 of the Public Resources Code and adds Section 399.12.6 to the Public Utilities Code.

2. Station Service

With the adoption of the *Seventh Edition* of the *RPS Guidebook*, the Energy Commission clarifies that the electricity used to meet an electric generation facility's station service load is not eligible for the RPS. At this time, the WREGIS definition of station service remains in effect; the Energy Commission plans to consider the definition of station service with the adoption of a future *RPS Eligibility Guidebook*.[10]

3. Application of New Eligibility Requirements to RPS-Certified Facilities

The Energy Commission intends to evaluate if and how new eligibility requirements pursuant to changes in law apply to RPS-certified facilities that were certified under a previous edition of the *RPS Guidebook*. Because consideration of this issue could affect facilities that are currently certified under the provisions listed below, this issue merits further consideration. These issues include:

a) As discussed in Section III.B.3: Other Nonrenewable Fuel Allowances, the Energy Commission has allowed generation from RPS-certified facilities using greater amounts of nonrenewable fuel than the de minimis quantity currently allowed by law to be considered 100 percent eligible for the RPS if certain conditions are met, as described below.

   1) For solar thermal facilities that were eligible for funding under the Existing Renewable Resources Account (ERFP) as of December 31, 2011, the entire electrical generation output of the facility may count as RPS-eligible. As was the case under the ERFP, this level is capped at 25 percent of the total annual energy input for facilities using solar thermal resources.

   2) Facilities that commenced commercial operations before January 1, 2002, were certified and operational as a renewable qualifying small power production facility (QF)[11] pursuant to the federal Public Utility Regulatory Policies Act[12] before January 1, 2002, and are currently certified by the Federal Energy Regulatory Commission (FERC) as a renewable QF, may use up to 25 percent nonrenewable fuels and the entire electrical generation output of the facility will be considered RPS-eligible.

   3) A facility that was awarded a renewable power purchase contract as a result of a 2002/2003 interim RPS procurement solicitation approved by the CPUC under Decision 02-08-071 and Decision 02-10-062 may use up to 25 percent nonrenewable energy resources, measured on an annual total energy input basis, and count 100 percent of the electricity generated as RPS-eligible.

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10 Station service is defined in the WREGIS Operating Rules, available at: www.wecc.biz/WREGIS/Documents/WREGIS%20Operating%20Rules.pdf

11 A QF is a qualifying small power production facility eligible for certification pursuant to Section 292.207 of Title 18 of the Code of Federal Regulations.

12 Section 1253 of the Energy Policy Act of 2005 ("EPAct") added Section 210(m) to Public Utility Regulatory Policies Act of 1978 ("PURPA").

b) An existing small hydroelectric facility that commenced commercial operations before January 1, 2006, is eligible for the California RPS if the facility was under contract to, or owned by, a retail seller or local publicly owned electric utility as of December 31, 2005.[13]

c) An existing facility that otherwise meets all of the eligibility criteria for facilities with a first point of interconnection to a non-CBA outside California, except that it commenced commercial operations before January 1, 2005, may be RPS-eligible if electricity generated by the facility was procured by a retail seller or POU as of January 1, 2010.

4. Precertification

Staff continues to be interested in exploring options to revise the RPS precertification process for renewable projects that are in development and not yet commercially operational. Many stakeholders submitted comments in response to questions regarding precertification in the Energy Commission's notice for the October 21, 2011, workshop for revising the fifth edition of this guidebook. Staff will continue working with interested stakeholders in efforts to reach consensus on how the Energy Commission can provide a measure of regulatory certainty for projects in development.

C. Guidebook Organization

This guidebook is organized as follows:

What's New in This Guidebook?

I. Introduction

II. Energy Resource Eligibility Requirements

III. Facility Requirements

IV. Certification

V. RPS Tracking Systems, Reporting, and Verification

VI. RPS Procurement Requirements

VII. Retail Sellers' Procurement from POUs

VIII. Administration

Glossary of Terms

List of Acronyms and Abbreviations

Appendix A: WREGIS Reporting Instructions

Appendix B: Forms

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13 Assembly Bill 3048 (Chapter 558, Statutes of 2008) revised the definition of an "eligible renewable energy resource" to include small hydroelectric facilities under contract with or owned by a local publicly owned electric utility.

Appendix C: Statutory History of the RPS

Appendix D: Summary of Reporting Requirements and Deadlines

Section II covers energy resource specific eligibility requirements for electrical generating facilities interested in producing electricity that can be procured by retail sellers and POUs to comply with the RPS. Section III covers additional eligibility requirements for electrical generation facilities participating in the RPS, including generation tracking and accounting requirements as well as specific requirements for facilities with certain interconnection and operational characteristics that are independent of the energy resource used to generate electricity.

Section IV discusses the Energy Commission's certification and precertification process, including the types of certification and precertification currently offered and offered in the past. This section also contains a detailed explanation of the review process and any deadlines associated with the submission of an application for certification, precertification, or amended certification and precertification.

Section V discusses the RPS tracking, reporting, and verification processes the Energy Commission uses to verify retail sellers' and POUs' compliance with the RPS and to verify that generation is counted only once in California or any other state.

Section VI discusses the RPS procurement requirements and the agencies' roles for implementing them for the retail sellers and POUs.

Section VII discusses RPS requirements and verification when POUs sell RECs to retail sellers for RPS compliance.

Lastly, Section VIII covers the protocol used by the Energy Commission to administer the RPS program.

II. Energy Resource Eligibility Requirements

To become RPS certified, an electrical generation facility must be an "eligible renewable energy resource," which requires the facility to use one or more renewable energy resources or fuels as described in this section and to satisfy the additional eligibility requirements specified in Section III: Facility Requirements. The Energy Commission's RPS certification of a facility means the facility's electrical generation may be used by a retail seller or POU to satisfy its RPS procurement requirements. Facilities that are certified by the Energy Commission for the RPS are generally referred as "RPS eligible" or RPS certified."

The Energy Commission has determined that it is appropriate to define eligible renewable energy resources by renewable resource or fuel, rather than by the specific technology used. For certain eligible renewable energy resources, however, the law contains specific requirements, and the Energy Commission must consider both the resource or fuel and the technology to determine RPS eligibility for the facility that uses them for electricity generation.

To qualify as eligible for California's RPS, an electrical generation facility must use one or more of the following renewable resources or fuels:

- Biodiesel
- Biomass
- Biomethane
    - Digester gas
    - Landfill gas
- Fuel cell using renewable fuels
- Geothermal
- Hydroelectric
    - Conduit hydroelectric
    - Incremental hydroelectric generation from efficiency improvements
    - Small hydroelectric
    - Water supply and conveyance
- Municipal solid waste
- Ocean wave,
- Ocean thermal
- Solar
    - Photovoltaic
    - Solar thermal electric
- Tidal current
- Wind

Table 1 summarizes the resource-specific requirements for a facility to qualify for the RPS and provides information on the appropriate forms and additional required information to submit for facilities seeking RPS certification or precertification. An explanation of the requirements for each resource type is included below.

Table 1: Summary of RPS Resource Eligibility Requirements

Note: A CEC-RPS-1 form must be submitted for each electrical generation facility seeking RPS certification or precertification. Applications for aggregated units must be made on a CEC-RPS-3 form. All forms can be found in Appendix B: Forms.

Resource Used by Facility	Supplemental Form	Additional Required Information, or Notes
Biodiesel	CEC-RPS-1-S1	Yes, if MSW is all or part of the fuel source. Refer to Section II.G.
Biomass	CEC-RPS-1-S1	N/A
Biomethane, including Digester Gas and Landfill Gas	CEC-RPS-1-S1	Yes, if the biomethane is transported through a common carrier pipeline. Refer to Section II.C
Fuel Cell	CEC-RPS-1-S1	Yes, submit material required for the feedstock or technology used for generation, if applicable. Refer to Section II.D.
Geothermal	N/A	N/A
Hydroelectric	CEC-RPS-1-S2	Yes, dependent on the classification of the facility. Refer to Section II.F
Conduit Hydroelectric	CEC-RPS-1-S2	Yes, refer to Section II.F.2
Incremental Hydroelectric	CEC-RPS-1-S2	Yes, must demonstrate that the generation is a result of efficiency improvements. Refer to Section II.F.4.
Small Hydroelectric	CEC-RPS-1-S2	Yes, Refer to Section II.F.1
Water Supply and Conveyance System	CEC-RPS-1-S2	Yes, must demonstrate that the facility is operated as part of a water supply and conveyance system. Refer to Section II.F.3
MSW Combustion	CEC-RPS-1-S1	Yes, dependent on the location an operations date. Refer to Section II.G
MSW Conversion	CEC-RPS-1-S1	Yes, dependent on the technology. Refer to Section II.G
Ocean Thermal	N/A	Yes, briefly describe the technology.
Ocean Wave	N/A	Yes, briefly describe the technology.
Solar	N/A	Yes, depending on the classification of the facility.
Photovoltaic	N/A	Some facilities may apply as part of an aggregated unit using the CEC-RPS-3 form. Refer to Section IV.A.2.
Solar Thermal	N/A	N/A
Tidal Current	N/A	Yes, briefly describe the technology.
Wind	N/A	Some facilities may apply as part of an aggregated unit using the CEC-RPS-3 form. Refer to Section IV.A.2.

Source: California Energy Commission

A. Biodiesel

The electrical generation produced by a facility that uses biodiesel is eligible for the RPS if the biodiesel is derived from one or both of the following fuel sources and complies with the requirements for these fuel sources and multifuel technologies:

1) A biomass feedstock such as "agricultural crops and agricultural wastes and residues," including but not limited to animal waste, remains and tallow, food waste, recycled cooking oil, and pure vegetable oil, and consistent with the applicable requirements for multifuel technologies. (Refer to the requirements for biomass eligibility and for multifuel technologies below.)

2) An eligible "solid waste conversion" process using MSW and consistent with applicable requirements for multifuel technologies. (Refer to the requirements for MSW eligibility and for multifuel technologies below.)

When applying for RPS precertification or certification, the applicant must complete the biopower supplemental application form, CEC-RPS-1-S1 which can be found in Appendix B: Forms.

B. Biomass

A facility may be RPS-eligible if its electrical generation is produced using a biomass fuel. Eligible biomass fuel includes, but is not limited to, agricultural crops, agricultural wastes and residues, waste pallets, crates, dunnage, manufacturing, construction wood wastes, landscape and right-of-way tree trimmings, mill residues that result from milling lumber, rangeland maintenance residues, biosolids, sludge derived from organic matter, wood and wood waste from timbering operations, and any materials eligible for "biomass conversion" as defined in Public Resources Code Section 40106.

Agricultural wastes and residues include, but are not limited to, animal wastes, remains, and tallow; food wastes; recycled cooking oils; and pure vegetable oils.

Landscape or right-of-way tree trimmings include all solid waste materials that result from tree or vegetation trimming or removal to establish or maintain a right-of-way on public or private land for the following purposes:

- For the provision of public utilities, including, but not limited to, natural gas, water, electricity, and telecommunications.
- For fuel hazard reduction resulting in fire protection and prevention.
- For the public's recreational use.

Failure to use eligible biomass fuel will jeopardize the RPS eligibility of the facility. Applicants for facilities using a mixture of biomass and nonrenewable energy resources must certify as multifuel facilities, as described in Section III.B: Renewable Facilities Using Multiple Energy Resources. Applicants for biomass facilities must complete and submit the Biopower supplemental application form, CEC-RPS-1-S1, which can be found in Appendix B: Forms.

C. Biomethane

The passage of Assembly Bill 2196 in 2012 modified the RPS eligibility requirements for electrical generation facilities using biomethane to generate electricity. New requirements have been added for tracking and verifying such use of biomethane, including tracking and verifying the quantities and sources of biomethane and the related environmental and renewable attributes, and the deliveries of biomethane.

With adoption of this *Seventh Edition* of the *RPS Eligibility Guidebook*, the Energy Commission implements AB 2196 and concurrently lifts its March 28, 2012, suspension of eligibility for biomethane. Applicants representing facilities using biomethane (as defined in this edition of the *RPS Eligibility Guidebook*) that are RPS certified, precertified, or have pending certification or precertification applications must supplement their applications using the CEC-RPs-2196 form associated with this *Seventh Edition* of the *RPS Eligibility Guidebook* to demonstrate that they acknowledge the new requirements, attest that they meet these new requirements and all applicable requirements in this guidebook, and provide any additional information necessary for the Energy Commission to determine the electrical generation facility's eligibility for the RPS.

As with all renewable energy resources discussed in this guidebook, compliance with RPS procurement requirements for retail sellers claiming procurement from electric generating facilities using biomethane for the RPS is determined by the CPUC. Compliance determinations for procurement requirements for POUs are made by the Energy Commission in accordance with this guidebook and the RPS regulations for POUs as adopted by the Energy Commission.

The electrical generation produced by a facility that uses biomethane is eligible for the RPS if the biomethane is derived from digester gas and/or landfill gas. Biomethane may be converted to electricity at a generation facility that receives the biomethane in one of three ways:

1) Onsite Generating Facility Using a Dedicated Pipeline – Biomethane is produced and captured at a landfill or digester that is located at the same site as the electrical generation facility that is using the biomethane to generate electricity and the biomethane is delivered from the source to the generating facility via a dedicated pipeline as defined in this guidebook.

2) Offsite Generating Facility Using a Dedicated Pipeline – Biomethane is produced and captured at a landfill or digester that is not located at the site of the electrical generation facility that is using the biomethane and the biomethane is delivered to the facility through a dedicated pipeline as defined in this guidebook.

3) Offsite Generating Facility Using a Common Carrier Pipeline –Biomethane is produced and captured at a landfill or digester that is not located at the site of the electrical generation facility that is using the biomethane and the biomethane is delivered to the facility through a common carrier pipeline as defined in this guidebook. A biomethane procurement contract for this type of facility falls into one of two categories:

a) Existing biomethane procurement contract: Biomethane procurement contract that was executed by a retail seller or POU before March 29, 2012, and reported to the Energy Commission before March 29, 2012, in connection with an application for RPS certification or precertification of the designated electrical generation facility intended to use the procured biomethane.

b) New biomethane procurement contract: Biomethane procurement contract that was executed by a retail seller or POU on or after March 29, 2012; or was reported to the Energy Commission on or after March 29, 2012, in connection with an application for RPS certification or precertification of the designated electrical generation facility intended to use the procured biomethane.

The eligibility requirements for facilities using biomethane under existing and new biomethane procurement contracts are provided below. Applicants for facilities using a mixture of RPS-eligible biomethane and conventional natural gas must apply as a multifuel facility, as described in Section III.B: Renewable Facilities Using Multiple Energy Resources. If biomethane is mixed with conventional natural gas for conditioning purposes, the mixed gas must meet all delivery requirements, though only the electricity attributable to the biomethane portion will be considered RPS-eligible.

1. Existing Biomethane Procurement Contracts

An electrical generating facility using biomethane delivered through a common carrier pipeline pursuant to a biomethane procurement contract executed by retail seller or POU[14] before March 29, 2012, is eligible for the RPS if the facility meets all of the following requirements:

a) The biomethane procurement contract was reported to the Energy Commission before March 29, 2012, in connection with the application for RPS certification or precertification of the designated electrical generation facility.

b) The source(s) and the amount of biomethane under the biomethane procurement contract were reported to the Energy Commission before March 29, 2012 in connection with the application for RPS certification or precertification of the designated electrical generation facility. A facility that was already RPS certified before March 29, 2012, and seeking to add a new biomethane source(s) pursuant to a biomethane procurement contract executed by the retail seller or POU before March 29, 2012, may provide a copy of written documentation submitted to and acknowledged by Energy Commission staff before March 29, 2012, in lieu of having reported the source(s) and the amount of

14 For purposes of this Existing Biomethane Procurement Contracts section, a biomethane procurement contract executed by a retail seller or POU includes a biomethane procurement contract executed by an affiliate or subsidiary entity of a retail seller or POU for the purpose of the retail seller or POU.

biomethane under the biomethane procurement contract in an application for RPS certification or precertification. [15,]

c) The facility meets the requirements under the *RPS Eligibility Guidebook* that was in place at time of the execution of the biomethane procurement contract, including but not limited to the *Fourth Edition* of the *RPS Eligibility Guidebook*.

d) The biomethane source(s) under the biomethane procurement contract are producing biomethane and injecting it into a common carrier pipeline before April 1, 2014. Incremental electric generation attributable to a biomethane source that fails to produce and inject biomethane into a common carrier pipeline before April 1, 2014, is subject to the eligibility requirements in Section II.C.2: New Biomethane Procurement Contracts. The applicant must notify the Energy Commission when this requirement is met for each source associated with a biomethane procurement contract executed before March 29, 2012, and must attest to having met this requirement with an amended application for certification for each source.

e) The biomethane is used by the designated electrical generation facility pursuant to the biomethane procurement contract that was executed by the retail seller or POU and reported to the Energy Commission before March 29, 2012.

A facility failing to meet all of the requirements above is subject to the eligibility requirements in Section II.C.2: New Biomethane Procurement Contracts.

a. Delivery Requirements for Existing Biomethane Procurement Contracts

A facility using biomethane procured under an existing biomethane procurement contract is required to meet the requirements of the *RPS Eligibility Guidebook* in place at the time the biomethane procurement contract was executed. The applicable guidebooks require that:[16]

1) The biomethane must be injected into a natural gas pipeline system that is either within the WECC region or interconnected to a natural gas pipeline system located in the WECC region that delivers gas into California (or delivers to the electrical generation facility if the electrical generation facility is located outside California) and the gas is delivered as specified below.

2) The applicant, or authorized party, must enter into contracts for the delivery (firm or interruptible) or storage of the gas with every pipeline or storage facility operator transporting or storing the gas from the injection point to California (or to the electrical generation facility if the electrical generation facility is located outside California).

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15 The *Fourth Edition of the RPS Eligibility Guidebook* clarified that a party could request pre-approval for adding a new fuel source to a specific facility already RPS-certified by submitting such documentation to Energy Commission staff. (Page 43)

16 The eligibility requirements for the third and fourth editions of the RPS Eligibility Guidebook are largely the same with some additions to the fourth edition of the guidebook that were largely introduced as clarifications to the third edition guidebook.

Delivery contracts with the pipeline operators may be for delivery with or against the physical flow of the gas in the pipeline.

It is the responsibility of the applicant to ensure that the delivery of biomethane complies with the requirements in the *RPS Guidebook* that was in place when the application for certification was submitted. An applicant may submit a complete delivery description as part of a certification or precertification application for Energy Commission staff's preliminary review. If this information is submitted with the application, staff may identify any potential issues with the delivery path, but a final determination on the eligibility of a delivery path will not be made until after the applicant submits the annual reporting requirements as specified in Section II.C.6: Annual Accounting and Reporting Requirements for Biomethane Injected into a Common Carrier Pipeline.

b. Adjustments to Existing Biomethane Procurement Contracts

Electrical generation that is attributable to any quantities of biomethane delivered through a common carrier pipeline and associated with any of the following changes under the existing biomethane procurement contract will be considered RPS-eligible only if the biomethane procurement complies with requirements of Section II.C.2: New Biomethane Procurement Contracts.

1) Any extension of the term of the existing biomethane procurement contract as originally executed and reported to the Energy Commission before March 29, 2012.

2) Any quantities of biomethane that exceed the quantities (as measured in millions of British thermal units [MMBTUs]) of biomethane specified in the existing biomethane procurement contract, as originally executed and reported to the Energy Commission before March 29, 2012, will be subject to the eligibility requirements specified in Section II.C.2: New Biomethane Procurement Contracts. Only the incremental generation that exceeds the quantities (as measured in MMBTUs) specified in the existing biomethane procurement contract will be subject to the requirements of Section II.C.2.

3) Any quantities of biomethane procurement from sources identified in the existing biomethane procurement contract, as originally executed and reported to the Energy Commission before March 29, 2012, that are specified as optional to the buyer in the contract, as determined by the Energy Commission. Quantities will be deemed optional if the buyer, through his or her initiation or election, can decide whether to accept the additional quantities of biomethane.

4) Any procurement from biomethane sources that were not identified in the existing biomethane procurement contract, as originally executed and reported to the Energy Commission before March 29, 2012, or not identified in the RPS certification application submitted to the Energy Commission before March 29, 2012. The removal of a source(s) of biomethane identified in the existing biomethane procurement contract or RPS application submitted to the Energy Commission will not be considered a "change in the

source(s) of biomethane." The removal of a biomethane source cannot be replaced with a new source.

5) Any procurement from biomethane source(s) not producing biomethane and injecting it into a common carrier pipeline on or before April 1, 2014. If the facility fails to meet the requirements of Section II.C.2 below, then such procurement will not be eligible to count toward the RPS procurement requirements of a retail seller or POU.

c. Substitution of Electrical Generation Facilities

Biomethane under an existing biomethane procurement contract may only be used for RPS purposes at the designated electrical generation facility for which the biomethane procurement contract was originally reported to the Energy Commission prior to March 29, 2012, in connection with the RPS certification of the designated electrical generation facility. Biomethane under an existing biomethane procurement contract may not be used for RPS purposes at a different electrical generation facility.

2. New Biomethane Procurement Contracts

An electrical generating facility using biomethane delivered through a common carrier pipeline under a new biomethane procurement contract or contract amendment executed on or after March 29, 2012, or under a biomethane procurement contract reported to the Energy Commission on or after March 29, 2012, or associated with adjustments to existing biomethane procurement contracts reported to the Energy Commission prior to March 29, 2012, is subject to the requirements listed below and described in more detail in this section:

a) Common Carrier Pipeline Injection and Delivery Requirements.

b) New and Incremental Quantities of Biomethane Requirements. Original injection into a common carrier pipeline on or after March 29, 2012, or incremental biomethane injections.

c) Requirements for Environmental Benefits to California. The capture and injection of biomethane into a common carrier pipeline directly result in at least one of the following environmental benefits to California:

    1) Reduction or avoidance of the emission of any criteria air pollutants (or their precursors) in California.

    2) Reduction or avoidance of pollutants that could have an adverse impact on any surface water or groundwater in California

    3) Mitigating a local nuisance in California associated with the emission of odors.

For purposes of this section, a "new biomethane procurement contract" includes a new biomethane procurement contract executed on or after March 29, 2012, an amendment executed on or after March 29, 2012, to an existing biomethane procurement contract, or a biomethane procurement contract or contract amendment executed before March 29, 2012, but reported to the Energy Commission on or after March 29, 2012.

a. Common Carrier Pipeline Injection and Delivery Requirements for New Biomethane Procurement Contracts

The delivery of biomethane procured through a new biomethane procurement contract and delivered through a common carrier pipeline must meet the following requirements. The delivery requirements are satisfied if the designated electrical generation facility is located within California and receives biomethane from a biomethane production facility that injects the biomethane into a common carrier pipeline that physically flows within California.

For an electrical generation facility receiving biomethane from a biomethane production facility with its initial injection point into a common carrier pipeline outside California, the biomethane delivery must comply with the following requirements:

1) The biomethane must be injected into a common carrier pipeline system that is either within the WECC region or interconnected to a common carrier pipeline system located within the WECC.

2) The applicant for RPS certification of the designated electrical generation facility, or authorized party, must enter into a contract for the delivery (firm or interruptible) or storage of the gas with every pipeline or storage facility operator transporting or storing the biomethane from the initial injection point to the final delivery point at the electrical generation facility.

3) The pipeline(s) along the delivery path must physically flow from the initial injection point towards the receipt point at the electrical generation facility, as determined by the Energy Commission. To meet this requirement, each segment of the pipeline on the delivery path from the point of injection to the point of receipt must physically flow toward the electrical generating facility at least 50 percent of the time on an annual basis. If storage is used, then the pipeline must flow in the direction of the electrical generating facility from the injection point to the storage point and from the storage point to the receipt point at the electrical generating facility at least 50 percent of the time on an annual basis.

An applicant for an electrical generating facility using biomethane under a new biomethane procurement contract must provide the injection point and receipt point(s) and attest that the pipeline injection and delivery requirements will be met in an application for certification and provide verification from the transporting carrier pipeline regarding the physical flow of the pipeline(s) each year with the auditable package.

Any change in pipeline injection or receipt points for biomethane procured as part of new biomethane procurement contract that was identified in the initial application must be reported to the Energy Commission as part of an amended certification application within 90 days of the change.

b. New or Incremental Quantities of Biomethane

Biomethane sources associated with new biomethane procurement contracts with retail sellers, POUs, or any other entity must not have injected biomethane into a common carrier pipeline

before March 29, 2012, pursuant to a contract with a retail seller or POU, unless the source commenced injection of sufficient incremental quantities of biomethane after March 29, 2012, to satisfy the contract requirements. Biomethane from a biomethane source that is or was part of an existing biomethane procurement contract with a retail seller or POU and originally executed and reported to the Energy Commission before March 29, 2012, may be used for RPS purposes only if the biomethane source produces sufficient incremental quantities of biomethane on or after March 29, 2012, to satisfy the new biomethane procurement contract requirements and the biomethane source otherwise satisfies the requirements of Section II.C.2: New Biomethane Procurement Contracts.

The Energy Commission will determine the eligible quantity of incremental biomethane injections from an individual biomethane source based on the source's historical injection of biomethane over three years prior to the increase in biomethane injections must be considered. The baseline amount of biomethane will then be defined and the amount of eligible incremental injections of biomethane will be determined similar to incremental generation as specified in Section III.E: Incremental Generation.

An applicant for an electrical generation facility using biomethane injected into a common carrier pipeline must provide documentation with a completed application for certification or precertification to demonstrate that the biomethane source meets these requirements.

c. Environmental Benefits to California

An applicant must demonstrate for each biomethane source under a new biomethane procurement contract that the capture and injection of biomethane into a common carrier pipeline directly results in at least one of the following environmental benefits in California:

1) Reduction or avoidance of the emission of any criteria air pollutants (or their precursors) in California, as defined by the ARB. A criteria air pollutant is an air pollutant for which acceptable levels of exposure can be determined and for which an ambient air quality standard has been set. Examples include ozone, carbon monoxide, nitrogen dioxide, sulfur dioxide, PM10 and PM2.5.[17]

   The Energy Commission will accept a demonstration that actions planned or taken to capture and inject biomethane into a common carrier pipeline will likely lead to such an emission reduction or avoidance in California based on standard methodologies used in the field.

   a) If such a demonstration is made to the Energy Commission's satisfaction, after-the-fact studies of the emission reduction or avoidance will not be required.

   b) If an acceptable demonstration is not made, an applicant must provide baseline emissions data of at least one criteria air pollutant (or its precursor) from the biomethane source, and show that the capture and injection of biomethane from the

17 PM 2.5 refers to particulate matter that is 2.5 micrometers in diameter, and PM 10 is larger particulate matter that is 10 micrometers in diameter.

source into a common carrier pipeline results in a reduction or avoidance of emissions of the criteria air pollutant (or its precursor) in California.

2) Reduction or avoidance of pollutants that could have an adverse impact on any surface water or groundwater, including saline waters, within the boundaries of California, as defined by the State Water Resources Control Board, whether public or private, including waters in both natural and artificial channels.[18]

   An applicant must demonstrate to the Energy Commission's satisfaction that this requirement is met by referencing at least one peer-reviewed published document that established a direct and quantifiable relationship between the capture and injection of biomethane from the source into a common carrier pipeline and the reduction or avoidance of pollutants that could have an adverse impact on waters of the state. An applicant lacking such references must provide empirical evidence to demonstrate that this requirement is met.

3) Mitigating a local nuisance in California associated with the emission of odors.[19]

   An applicant must demonstrate to the Energy Commission's satisfaction that this requirement is met by providing documentation showing a direct relationship between the capture and injection of biomethane into the common carrier pipeline and the minimization or resolution of a violation of a local nuisance in California associated with the emission of odors, as defined by the local jurisdiction. The local jurisdiction may be a city, county, air pollution control district or other local jurisdiction in California that establishes rules or standards for nuisances of odors. A local nuisance does not need to be established under the rules or standards of the local jurisdiction to meet this provision. However, if a facility's operation has created a local nuisance associated with the emission of odors, the applicant must provide documentation of the nuisance and demonstrate that the capture of biomethane from the source and injection of biomethane into a common carrier pipeline directly results in the mitigation of the odor nuisance in California.

3. RPS Procurement Requirements for Facilities Using Biomethane Delivered Through a Common Carrier Pipeline

If the requirements of this guidebook are satisfied, the procurement of electricity products by a retail seller or POU from an electrical generation facility using biomethane is eligible to count toward the RPS procurement requirements in place at the time the biomethane procurement contract was executed by a retail seller or POU.

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18 See Water Code Section 13050(e).

19 A "nuisance" is generally defined in Civil Code Section 3479 as "Anything which is injurious to health, including, but not limited to, the illegal sale of controlled substances, or is indecent or offensive to the senses, or an obstruction to the free use of property, so as to interfere with the comfortable enjoyment of life or property, or unlawfully obstructs the free passage or use, in the customary manner, of any navigable lake, or river, bay, stream, canal, or basin, or any public park, square, street, or highway…"

The RPS procurement requirements are established for retail sellers and POUs in Article 16 (commencing with Section 399.11) of Chapter 2.3 of Part 1 of Division 1 of the Public Utilities Code, as enacted by Senate Bill X 1-2 (Stats. 2011, 1st Ex. Sess., ch.1), which draws a distinction for procurement contracts for electricity products executed before June 1, 2010, and contracts executed on or after this date. SBX1-2 generally requires retail sellers and POUs to satisfy the procurement requirements of Article 16 by procuring electricity products that 1) meet one of the three Portfolio Content Categories specified in Public Utilities Code Section 399.16 (b) and were procured under contracts executed on or after June 1, 2010 (generally referred to "PCC procurement") or 2) were procured under contracts executed before June 1, 2010, and satisfy the conditions of Public Utilities Code Section 399.16 (d) (generally referred to as "count in full procurement"). Hence, SBX1-2 draws a distinction between procurement contracts for electricity products executed before June 1, 2010, and procurement contracts executed on or after this date.

Compliance with RPS procurement requirements for retail sellers, including classification of Product Content Categories and Portfolio Balance Requirements, is determined by the CPUC pursuant to its Decision 11-12-052 or any future CPUC decision.

Compliance for POUs is determined by the Energy Commission pursuant to its RPS regulations for POUs, *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities*.[20] For POUs, the Energy Commission will consider the dates of execution of the biomethane procurement contract and power purchase agreement (PPA) or ownership agreement in determining whether the electricity procurement qualifies as either PCC procurement or count-in-full procurement, provided all other requirements are satisfied. Each PPA or ownership agreement and biomethane procurement contract will generally fall into one of the following classifications:

a) Both the biomethane procurement contract and PPA or ownership agreement were executed on or after June 1, 2010; the procurement should be classified as PCC procurement.

b) The PPA or ownership agreement was executed before June 1, 2010, and specifies that the procurement of generation pursuant to the contract or agreement is attributable to biomethane, regardless of the biomethane procurement contract execution date; the procurement should be classified as count in full procurement.

c) The PPA or ownership agreement was executed before June 1, 2010, but it does not specify that the procurement of generation pursuant to the contract or agreement is attributable to biomethane. If the biomethane procurement contract was executed before June 1, 2010, then the procurement should be classified as count in full. If the biomethane procurement contract was executed on or after June 1, 2010, then the procurement should be classified as PCC procurement.

20 See http://www.energy.ca.gov/portfolio/pou_rulemaking/

d) Both the biomethane procurement contract and PPA were executed before June 1, 2010; the procurement should be classified only as count in full procurement.

A copy of the PPA or ownership agreement executed by a POU for procurement of electricity generation attributed to biomethane, and a copy of the each biomethane procurement contract, with any sensitive or confidential information redacted from each of these agreements, must be submitted to the Energy Commission with an application for RPS certification of the electrical generation facility designated to use the biomethane. If the facility is already RPS certified, the PPA or ownership agreement and biomethane procurement contract(s) must be submitted with the submission of the existing biomethane supplemental information form, the CEC-RPS-2196, within 90 days of the adoption of this Seventh Edition of the *RPS Eligibility Guidebook* for the facility to retain its RPS status.

The PPA or ownership agreement must convey the following:

a) The PPA or ownership agreement execution date.

b) Sufficient environmental attributes are transferred to the POU to ensure that there are net zero emissions associated with the production of electricity from the generating facility using the biomethane. The Energy Commission will rely on CPUC Decision D.08-08-028, as may be subsequently modified, for the definition of "zero net emissions."[21]

The biomethane procurement contract for each biomethane source must demonstrate the following:

a) The biomethane procurement contract execution date and term.

b) The biomethane sources are specified in the contract. For facilities using biomethane that are certified under SectionII.C.1: Existing Biomethane Procurement Contracts, the biomethane sources may be specified in the RPS certification application submitted to the Energy Commission before March 29, 2012.

c) The contracted quantity of biomethane in MMBtu from each source, which may include the full output or a percentage of the full output from each source, and the specific time frame for biomethane deliveries.

d) All renewable and environmental attributes associated with the production, capture, and injection of the biomethane are transferred in whole to the electrical generating facility using the biomethane.

21 The CPUC is addressing the Zero Net Emissions requirement for retail sellers in its RPS proceeding (R.11-05-005) October 5, 2012 Assigned Commissioner Ruling http://docs.cpuc.ca.gov/PublishedDocs/Efile/G000/M029/K970/29970716.PDF

4. Application Process for Facilities Using Biomethane

To implement AB 2196, applicants of all electrical generation facilities using biomethane that are certified or have applied for certification must submit a CEC-RPS-2196: Existing Biomethane Supplemental Information form regardless of whether the facility is already certified, precertified, or pending certification, and provide all necessary documents within 90 days of the adoption of the seventh edition of this guidebook to maintain or establish its RPS status; a facility failing to do so will be suspended and procurement from the facility will not be eligible for the RPS until the suspension is resolved. New applications will not be accepted unless they are submitted in accordance with the *RPS Eligibility Guidebook, Seventh Edition.*

An applicant for an electrical generation facility using biomethane must attest that the environmental and renewable attributes associated with the biomethane are transferred to the electrical generation facility and to no other entities, and provide a copy of the biomethane procurement contract with the application to demonstrate that the environmental and renewable attributes associated with the biomethane are transferred to the facility. For cases where the same entity owns the electrical generation facility and the biomethane source, and no biomethane procurement contract exists, the applicant must attest that that the environmental and renewable attributes associated with the biomethane are transferred to the electrical generation facility and to no other entities.

An RPS certified or precertified facility with a biomethane procurement contract executed and reported to the Energy Commission before March 29, 2012, must notify the Energy Commission when the facility begins taking delivery of biomethane from a source under the biomethane procurement contract by submitting an amended application for RPS certification within 90 days of commencement of delivery of the biomethane source.

An electrical generation facility that is RPS certified or precertified under Section II.C.1: Existing Biomethane Procurement Contracts, will be certified on a limited basis and will receive an RPS ID number with a "F" or "G" suffix indicating that the facility will not remain RPS certified after the existing biomethane procurement contract ends or it has used the quantities of biomethane specified in the existing biomethane procurement contract, whichever is earlier, as determined by the Energy Commission. If the facility amends the contract term, quantities of biomethane, or biomethane sources, the facility must submit an amended application to the Energy Commission within 90 days of the change, a facility failing to do so will risk losing its RPS certification status. A facility that meets the requirements of Section II.C.1, except that any biomethane source has not commenced biomethane delivery to the electrical generation facility, will be RPS precertified on a limited basis; the applicant must submit an application for RPS certification within 90 days of commencement of receipt of biomethane deliveries.

An applicant for an electrical generation facility using or proposing the use of biomethane that is already certified, precertified, or pending certification, must submit a CEC-RPS-2196: Existing Biomethane Supplemental Information Form as specified in this *Seventh Edition* of the *RPS Eligibility Guidebook* and provide all necessary documents within 90 days of the adoption of the seventh edition of this guidebook to retain the facility's certification or precertification status; a

facility failing to do so will be suspended and procurement from the facility will not be eligible for the RPS until the suspension is resolved.

5. Biomethane Environmental Attributes

The renewable and environmental attributes associated with the biomethane production and capture must be transferred from the biomethane producer to the designated electrical generation facility. Additionally, only appropriate marketing, regulatory, or retail claims from the reductions of greenhouse gases (GHGs) due to methane destruction may be made in connection with the biomethane procurement contract.

a. Renewable and Environmental Attributes

No party may sell, trade, give away, claim, or otherwise dispose of any of the attributes associated with a biomethane procurement contract that would prevent the resulting electricity from being compliant with the definition of "green attributes" as defined in the glossary of terms. For biomethane delivered from the biomethane production facility to the electrical generation facility, these necessary attributes must be conveyed along with the biomethane and sold for the purpose of use at the designated electrical generation facility such that RECs generated would be eligible to meet the RPS.

POUs must demonstrate to the Energy Commission that sufficient renewable and environmental attributes are transferred from the electrical generation facility to the POU to ensure that there are net zero emissions associated with the production of electricity from the generating facility using the biomethane.[22]

b. Marketing, Regulatory, or Retail Claim of GHG Reductions From Methane Destruction

A POU or intermediary party, including the electrical generator, to a biomethane procurement contract shall not make a marketing, regulatory, or retail claim that asserts that the biomethane procurement contract resulted, or will result, in GHG reductions related to the destruction of methane if the capture and destruction of methane are required by law.[23] If the biomethane source is required by law to capture and destroy the methane produced by the biomethane source, the applicant for the designated electrical generation facility must convey this information to the Energy Commission as part of the RPS certification or precertification application.

If the biomethane source is not required by law to capture and destroy the methane produced by the biomethane source, a POU or intermediary party to a biomethane procurement contract

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22 For retail sellers, Energy Commission staff defers to the CPUC in implementing Decision 08-08-028 on Definition and Attributes of Renewable Energy Credits for Compliance with the California RPS (August 21, 2008 – see (http://docs.cpuc.ca.gov/word_pdf/FINAL_DECISION/86954.pdf), as may be modified by a subsequent decision of the CPUC. (Also see CPUC decision D.04-06-014 setting forth RPS Standard Terms and Conditions in Appendix A (pp. A2-A3) – See STC 2 at (http://docs.cpuc.ca.gov/word_pdf/FINAL_DECISION/37401.pdf)

23 The CPUC will implement this provision for retail sellers.

may make a marketing, regulatory, or retail claim of GHG reductions related to the destruction of methane associated with the biomethane procurement contract only if one of the following applies:

1) The environmental attributes associated with the capture and destruction of the biomethane are transferred to the POU and are retired on behalf of its customers consuming the electricity associated with the use of biomethane and not resold.

2) The biomethane procurement contract does not allow the biomethane source to separately market the environmental attributes associated with the capture and destruction of the biomethane sold under the contract, and the attributes are retired by the POU on behalf of its customers, or by the intermediary party, and not resold.

If the POU or intermediary party to a biomethane procurement contract makes a regulatory, marketing or retail claim of GHG reductions related to the destruction of methane, the POU must demonstrate that the attributes associated with methane destruction are retired and not resold by demonstrating *both* of the following to the Energy Commission:

1) The biomethane source is registered with a GHG project verification program and registry.[24]

2) Carbon credits or offsets have been retired in a voluntary offset program on behalf of the POU's customers consuming the electricity associated with the use of biomethane. [25]

6. Annual Accounting and Reporting Requirements for Biomethane Injected into a Common Carrier Pipeline

To ensure the use of biomethane injected into a common carrier pipeline and used by an RPS-certified electrical generation facility meets the requirements set forth in this guidebook, an applicant for an RPS-certified electrical generation facility using biomethane injected into a common carrier pipeline must report certain information to the Energy Commission annually. This information includes pipeline nomination reports, storage nomination reports, invoices, and meter reads necessary to monitor the eligibility of the designated electrical generation facility using the biomethane. These reporting requirements also satisfy part of the verification reporting requirements for all procurement from electric generating facilities using biomethane. The requirements for this documentation are also outlined in this section.

This documentation must be presented in a clear and logical manner. The Energy Commission will accept documentation created for other purposes (for example, historical contracts or invoices), provided that the applicant lists all submitted documents, briefly summarizes the purpose of each document, identifies what requirement each document is being submitted to fulfill, and indicates where in each document the necessary information is contained.

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24 An example of a GHG project verification program and registry is the Climate Action Reserve (http://www.climateactionreserve.org/)

25 An example of a program that oversees the voluntary GHG offset market is Green-e Climate® (http://www.green-e.org/getcert_ghg.shtml)

The information shall be submitted annually to the Energy Commission by March 31 for the prior calendar year and shall include all relevant information for the prior calendar year, listed by month. Staff will not review the eligibility of any generation associated with biomethane use at an electrical generation facility until after the applicant has submitted the necessary information. Any discrepancies in the reported information must be explained in detail and supported with documentation. Staff may request additional documentation to determine whether the facility's use of biomethane and nonrenewable fuels may be counted for the RPS for a given year.

a. Pipeline Transport Contracts and Delivery Paths

The delivery path is the contractual route taken by the biomethane through a common carrier pipeline(s) from the biomethane source to the delivery point. RPS-certified electrical generation facilities using biomethane injected into a common carrier pipeline must use a delivery path that meets certain requirements set forth in this guidebook. To ensure that these requirements are met, a complete picture of that path must be provided to the Energy Commission. This includes copies of the contracts for transporting the biomethane through each pipeline along the delivery path, with any sensitive or confidential information redacted, a Delivery Path Summary Spreadsheet, and a Transport Contract Summary Spreadsheet. Both of these spreadsheets are provided in the CEC-RPS-Biomethane form found in Appendix B: Forms.

For all biomethane sources associated with existing biomethane procurement contracts subject to the requirements of Section II.C.1: Existing Biomethane Procurement Contracts, the applicant is responsible for ensuring that the delivery complies with the guidebook in place when the application for RPS certification was submitted. The pipeline transport contracts must demonstrate the following:

1) The point of receipt (POR), where the biomethane enters the pipeline.
2) The point of delivery (POD), where the gas exits the pipeline or enters storage.
3) The transport maximum daily quantity, the maximum amount that can be transferred through the pipeline each day, if specified in the transport contract.

As part of the annual reporting, the applicant of an RPS-certified electrical generation facility must submit the Delivery Path Summary Spreadsheet, which lists the pipelines used to deliver the gas, in order, from the fuel production facility to the RPS-certified electrical generation facility. For each pipeline in the delivery path, the spreadsheet must name the entity holding ownership of the gas at the point of receipt (POR) and the entity holding ownership of the gas at the point of delivery (POD). A new path must be listed for any change in the path during the reporting year and the Delivery Path Summary Spreadsheet must show the timeframe that each delivery path was valid.

The Transport Contract Summary Spreadsheet summarizes the contracts for the delivery of the biomethane and contains columns with information listed below. All quantities should be in MMBtus unless otherwise noted. Each row in this spreadsheet represents one transport contract of the delivery path of the biomethane.

1) "POR Entity" – This is the entity that holds ownership of the gas at the POR.

2) "POR Name" – This is the name of the point of receipt listed on the transport contract, which is the point where the gas enters the pipeline. If multiple PORs and PODs are listed in the contract, indicate the contract multiple times, once for each combination of POR and POD actually used during the applicable year. If the contract does not specify a POR and is an "all points" contract, indicate "ALL."

3) "POR Meter Number" – The number or ID of the pipeline meter at the point of receipt. This is used to identify the POR on pipeline nomination reports and other documents. If multiple PORs and PODs are listed in the contract, indicate the contract multiple times, once for each combination of POR and POD that was actually used during the applicable year. As with the POR Name, if the contract does not specify a POR, indicate "ALL."

4) "Pipeline Name" – The name of the pipeline that this segment of the delivery path is covered by.

5) "POD Name" – The name of the point of delivery, the point where the gas exits the pipeline, either into another pipeline, storage, or the electricity generating facility. If multiple PORs and PODs are listed in the contract, indicate the contract multiple times, once for each combination of POR and POD that was actually used during the applicable year. As with the POR Name, if the contract does not specify a POR, indicate "ALL."

6) "POD Meter Number" – The number of ID of the pipeline meter at the point of delivery. This is used to identify the POR on pipeline nomination reports and other documents. If multiple PORs and PODs are listed in the contract, indicate the contract multiple times, once for each combination of POR and POD that was actually used during the applicable year. As with the POR Name, if the contract does not specify a POR, indicate "ALL."

7) "POD Entity" - The entity that holds ownership of the gas at the POD.

8) "Contract Number" – The contract number for the transport contract that covers this segment of the delivery path.

9) "Contract Effective Date" – The date the transport contract became effective. If the contract is renewed monthly, and there has been no change of terms, provide the earliest date.

10) "Contract Expiration Date" – The date the transport contract will expire. If the contract is renewed monthly, and there has been no change of terms, provide the most recent expiration date.

12) "TMDQ" – The maximum daily quantity, in MMBtus, that can be transported through the pipeline according to this contract, if specified in the transport contract. If a maximum daily quantity was not specified in the transport contract, indicate "N/A.".

b. Annual Accounting of Generation Attributable to Biomethane

The Energy Commission must ensure that the requirements in this section have been met before generation resulting from the use of biomethane is eligible to be counted towards a retail seller or POU's RPS procurement requirements. To help Energy Commission staff make its determination, the applicant for each RPS-certified electrical generation facility using biomethane injected into a common carrier pipeline shall provide auditable package documentation that includes the following information for each biomethane source:

1) Fuel Use Summary Spreadsheet (provided in the CEC-RPS-Biomethane form in Appendix B: Forms of this guidebook) showing the monthly fuel invoice, injection, delivery, and use quantities in MMBtus and the monthly total generation of the RPS-certified electrical generation facility.

2) Fuel Delivery Summary Spreadsheet showing the monthly fuel quantities received into and delivered from each pipeline along the delivery path.

3) Delivery Path Summary Spreadsheet summarizing the delivery path.

4) Transport Contract Summary Spreadsheet summarizing the information in the transport contracts.

5) Monthly meter data for the biomethane source's injection point on the delivery pipeline.

6) Monthly pipeline nomination reports for each pipeline and storage facility along the delivery path.

7) Monthly invoices for the procurement of the biomethane.

8) Monthly meter data showing the total use of all fuels (biomethane and nonrenewable fuels) at the electricity generating facility.

9) A summary statement, including supporting documentation, of all biomethane associated with, or planned to be delivered to, the RPS-certified facility remaining in a storage facility at the close of the calendar year. Biomethane quantities not identified in the summary report for an RPS-certified facility may not be used for the RPS at a later time.

10) Any additional documentation necessary for the Energy Commission to determine nonrenewable fuel use based on the fuel measurement methodology included in the RPS certification of the electrical generation facility, including the information submitted to WREGIS related to fuel use.

Electrical generation facilities using biomethane injected into a common carrier pipeline that are RPS certified or precertified under Section II.C.1: Existing Biomethane Procurement Contracts, are only eligible to use biomethane from the sources and in the quantities specified in the biomethane procurement contracts that were reported to the Energy Commission before March 29, 2012. To monitor this eligibility requirement, and to ensure that no facility using biomethane that was certified or precertified under Section II.C.1 exceeds these contracted amounts, the

auditable documentation described above must be submitted to the Energy Commission for every year since and including the contract execution date, unless the facility is no longer operating or was decommissioned before January 1, 2011, and no longer has a biomethane procurement contract.

D. Fuel Cell Facilities Using Renewable Fuel

The electrical generation produced by a fuel cell facility using renewable fuel is eligible for the RPS if the renewable fuel used is limited to one or more of the following fuel sources:

1) Landfill gas, digester gas, or other gases that meet the definition of an "eligible renewable energy resource" as defined in Public Utilities Code Section 399.12, Subdivision (e) with reference to Public Resources Code Section 25741(a).

2) Hydrogen or hydrogen-rich gases derived from a nonfossil fuel or feedstock through a catalytic or electrolytic process that is energized using power generated by an "eligible renewable energy resource." The electrical generation from a fuel cell using this source of fuel is eligible for the RPS only if the electricity (that was used to make the renewable fuel) is not also counted toward an RPS compliance obligation, or claimed for any other program as renewable generation. If the source of electricity used to make the renewable fuel is located at another site, the facility generating that electricity must be certified as California RPS-eligible.26 An applicant may be required to submit a detailed description of the hydrogen production process.

Applicants for facilities using a mixture of RPS-eligible and nonrenewable fuel must certify as multifuel facilities, as described in Section III.B: Renewable Facilities Using Multiple Energy Resources. Applicants for fuel cell facilities must complete the Biopower supplemental application form, CEC-RPS-1-S1, which can be found in Appendix B: Forms.

E. Geothermal Facilities

The electrical generation produced by a facility that uses a geothermal resource may be RPS-eligible. Only natural heat from within the earth that is captured for production of electric power may be used to create RPS-eligible geothermal generation. If the geothermal facility uses thermal energy that does not naturally occur, the facility would be subject to the requirements of Section III.B: Renewable Facilities Using Multiple Energy Resources

26 An example of an eligible renewable fuel for a fuel cell is hydrogen derived from water through a catalytic or electrolytic process that is energized with electricity generated by a solar photovoltaic system. In this example, the hydrogen is derived from water (a non-fossil fuel or feedstock) through a process energized with electricity from an eligible renewable energy resource (a solar photovoltaic system). The electricity used to energize the process must be bundled with the RECs so that it is renewable energy that is used to produce the hydrogen. If the renewable attributes are unbundled from the electricity and disposed of separately, the hydrogen will be produced with null power and will not be considered a renewable fuel for purposes of fuel cell eligibility under the RPS.

F. Hydroelectric

Electrical generation produced by the following types of hydroelectric facilities is eligible for the RPS:

1) Small hydroelectric facilities 30 MW or less.
2) Conduit hydroelectric facilities 30 MW or less.
3) Existing hydroelectric generation units 40 MW or less and operated as part of a water supply or conveyance system.
4) Incremental generation from eligible efficiency improvements to hydroelectric facilities regardless of the facility's overall generating capacity.

The RPS eligibility requirements for each of these hydroelectric facilities are addressed separately in Subsections 1, 2, 3, and 4 below. Subsection 5 and 6 describe additional eligibility requirements that apply to two or more of the groups above.

In addition to the certification or precertification application, applicants for small hydroelectric facilities or conduit hydroelectric facilities with eligible incremental efficiency improvements must complete the hydroelectric supplemental application form, CEC-RPS-1-S2, which can be found in Appendix B: Forms, and provide additional required information described later in this section.

1. Small Hydroelectric

The RPS eligibility of small hydroelectric facilities depends in part on whether the facility was operational before or after January 1, 2006, and whether energy efficiency improvements were made after January 1, 2008.

a) Pre-January 1, 2006 (Existing Facility): Generation from a small hydroelectric facility that commenced commercial operations before January 1, 2006, is eligible for the California RPS if the facility meets all of the following criteria:

    1) The facility has a nameplate capacity of 30 MW or less, with an exception for eligible efficiency improvements made after January 1, 2008, as discussed below.
    2) The facility was under contract to, or owned by, a retail seller or local publicly owned electric utility as of December 31, 2005.[27]

b) Post-January 1, 2006 (New Facility): Generation from a small hydroelectric facility that commences commercial operations or is repowered on or after January 1, 2006, is eligible for the California RPS if the facility meets all of the following criteria:

27 Assembly Bill 3048 (Chapter 558, Statutes of 2008) revised the definition of an "eligible renewable energy resource" to include small hydroelectric facilities under contract with or owned by a local publicly owned electric utility.

1) The facility has a nameplate capacity of 30 MW or less, with an exception for eligible efficiency improvements made after January 1, 2008, as discussed below.

2) The facility does not "cause an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow."[28][29]

A small hydroelectric or conduit hydroelectric facility shall not lose its RPS eligibility if efficiency improvements undertaken after January 1, 2008, cause it to exceed 30 MW and the efficiency improvements do not result in an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow. The entire generating capacity of the facility shall be RPS-eligible.

2. Conduit Hydroelectric

To be eligible for the RPS, a conduit hydroelectric facility must use for its generation only the hydroelectric potential of an existing[30] pipe, ditch, flume, siphon, tunnel, canal, or other manmade conduit that is operated to distribute water for a beneficial use.[31] A conduit hydroelectric facility may be considered a separate project even though the facility itself is part of a larger hydroelectric facility. The RPS eligibility requirements for conduit hydroelectric facilities depend in part on whether the facility was operational before or after January 1, 2006, and whether eligible energy efficiency improvements were made after January 1, 2008. A discussion of eligible efficiency improvements can be found at the end of this section.

a) Pre-January 1, 2006 (Existing Facility): Generation from a conduit hydroelectric facility that commenced commercial operations before January 1, 2006, is eligible for the RPS if the facility meets the following criterion:

   1) The facility has a nameplate capacity of 30 MW or less, with the exception of eligible efficiency improvements made after January 1, 2008, as discussed below.

b) Post-January 1, 2006 (New Facility): Generation from a conduit hydroelectric facility that commences commercial operations or is repowered on or after January 1, 2006, is eligible for the California RPS if the facility meets all of the following criteria:

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28 Public Utilities Code Section 399.12, Subdivision (e)(1)(A).

29 A hydroelectric generation facility that is certified as eligible for the RPS as of January 1, 2010, shall not lose its eligibility if the facility causes a change in the volume or timing of streamflow required by license conditions approved pursuant to the Federal Power Act (Chapter 12 [commencing with Section 791a] of Title 16 of the United States Code) on or after January 1, 2010.

30 "Existing" in this context is defined as built before January 1, 2008, the effective date of Assembly Bill 809. If the conduit hydroelectric facility is built in a new pipe, ditch, fume, siphon, tunnel, canal, or other manmade conduit, it may apply as a small hydroelectric facility if it meets all the eligibility requirements of a small hydroelectric facility.

31 "Beneficial use" shall be defined consistent with the California Code of Regulations, Title 23, Sections 659 through 672, to include the following uses of water: domestic use, irrigation use, power use, municipal use, mining use, industrial use, fish and wildlife preservation and enhancement use, aquaculture use, recreational use, and heat control use.

1) The facility has a nameplate capacity of 30 MW or less, with the exception of eligible efficiency improvements made after January 1, 2008, as discussed below.

2) The facility does not "cause an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow."[32][33]

A conduit hydroelectric facility shall not lose its RPS eligibility if efficiency improvements undertaken after January 1, 2008, cause it to exceed 30 MW and do not result in an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow. The entire generating capacity of the facility shall be RPS-eligible.

A conduit hydroelectric facility may be associated with or part of a larger existing hydroelectric facility and separately certified as RPS eligible if the facility meets the following criteria:

a) The associated existing hydroelectric facility commenced commercial operations before January 1, 2006.

b) The conduit hydroelectric facility commenced commercial operations on or after January 1, 2006.

c) The existing hydroelectric facility and conduit hydroelectric facility are separately metered to identify their respective generation.

3. Existing Hydroelectric Generation Unit Operated as Part of a Water Supply or Conveyance System

The certification of an existing hydroelectric generation unit operated as part of a water supply or conveyance system[34] requires that the unit meet all of the following requirements:

a) The generation unit has a nameplate capacity of 40 MW or less, subject to the definition of a "project" as defined in the Glossary of Terms.

b). Generation from the facility was under contract to, or owned by, a retail seller or local publicly owned electric utility as of December 31, 2005.

c). The unit is operated as part of a "water supply or conveyance system," as defined in the Glossary of Terms.

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32 Public Utilities Code 399.12, Subdivision (e)(1)(B).

33 A hydroelectric generation facility that is certified as eligible for the RPS as of January 1, 2010, shall not lose its eligibility if the facility causes a change in the volume or timing of streamflow required by license conditions approved pursuant to the Federal Power Act (Chapter 12 [commencing with Section 791a] of Title 16 of the United States Code) on or after January 1, 2010.

34 Senate Bill X1-2 revised Public Utilities Code Section 399.12, Subdivision (e)(1)(A) to add existing hydroelectric generation units not exceeding 40 MW and operated as part of a water supply or conveyance system as an eligible renewable energy resource, if certain criteria are met. Hydroelectric generation units meeting these criteria are eligible for the RPS starting on January 1, 2011, consistent with SB X1-2, provided the eligibility requirements specified in this guidebook are satisfied.

Additional documentation described below must be included with a complete application for RPS certification or precertification. An applicant must provide the following additional information to substantiate that the hydroelectric generation unit is operated as part of a water supply or conveyance system:

a) Current water supply permit issued by the California Department of Public Health, if applicable, or its equivalent from another state or local government agency.

b) Current hydroelectric project license, permits, or exemption from licensing from the Federal Energy Regulatory Commission (FERC), if applicable, or the equivalent from another federal, state, or local government agency. If no FERC hydroelectric project licenses, permits, or exemptions were issued for the facility, the applicant must submit documentation explaining why the FERC project licenses, permits, or exemptions are not applicable to the facility.

c) Documentation showing the water supply and conveyance system was initially built solely for the distribution of water for agricultural, municipal, or industrial consumption and operated primarily for this purpose.

4. Incremental Hydroelectric Generation From Efficiency Improvements Regardless of Facility Output

The incremental increase in generation that results from efficiency improvements to a hydroelectric facility, regardless of the electrical output of the facility, is eligible for the RPS if all of the following conditions are met:

a) The facility is owned by a retail seller or a local publicly owned electric utility.[35]

b) The facility was operational before January 1, 2007.

c) The efficiency improvements are initiated on or after January 1, 2008, are not the result of routine maintenance activities and were not included in any resource plan sponsored by the facility owner before January 1, 2008.

d) The facility meets one of the following conditions:

   1) For a facility located in California, the facility has, within the immediately preceding 15 years from the date the efficiency improvements are initiated, received certification from the State Water Resources Control Board (SWRCB) pursuant to Section 401 of the Clean Water Act (33 U.S.C. Sec. 1341) or has received certification from a regional board to which the SWRCB has delegated authority to issue

35 Assembly Bill 1351 (Chapter 525, Statutes of 2009). AB 1351, amended then Section 399.12.5 of the Public Utilities Code to require that a hydroelectric facility, regardless of output, be owned by a retail seller or local publicly owned electric utility for the facility's incremental generation from efficiency improvements to be eligible for the RPS, and to authorize the applicable state board, agency, or regional board outside California to issue a certification to the facility pursuant to the federal Clean Water Act.

certification, unless the facility is exempt from certification because there is no potential discharge into waters of the United States.

2) For a facility not located in California, the certification pursuant to Section 401 of the federal Clean Water Act (33 U.S.C. Sec. 1341) may be received from the applicable state board or agency, as determined by the Energy Commission, or from a regional board to which the state board has delegated authority to issue the certification.[36]

3) The facility meets the requirements of the Public Utilities Code 399.12.5, Subdivision (b)(2)(C).

e) The incremental increase is the result of efficiency improvements from a retrofit, and the efficiency improvements do not result in an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow.[37]

f) All of the incremental increase in electricity generation resulting from the efficiency improvements must be demonstrated to result from a long-term financial commitment by the retail seller or local publicly owned electric utility.[38]

a. General Requirements for Hydroelectric Facilities

To be eligible for the RPS, a new or repowered small hydroelectric facility, conduit hydroelectric facility, or a hydroelectric facility with incremental generation from eligible efficiency improvements must demonstrate that it can operate without adversely impacting the instream beneficial uses or causing a change in the volume or timing of streamflow.[39]

A facility could have an adverse impact on the instream beneficial uses if it causes an adverse change in the chemical, physical, or biological characteristics of water, including a change in the volume, rate, timing, temperature, turbidity, or dissolved oxygen content of the stream water.

5. Eligible Efficiency Improvements

Eligible efficiency improvements to hydroelectric facilities are limited to those improvements that make more efficient use of the existing water resource and equipment, rather than increase the storage capacity or head of an existing water reservoir. Efficiency improvements do not include regular or routine maintenance activities. Eligible efficiency improvements may include the following measures:

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36 Public Utilities Code Section 399.12.5, Subdivision (b).

37 A hydroelectric generation facility that is certified as eligible for the RPS as of January 1, 2010, shall not lose its eligibility if the facility causes a change in the volume or timing of streamflow required by license conditions approved pursuant to the Federal Power Act (Chapter 12 [commencing with Section 791a] of Title 16 of the United States Code) on or after January 1, 2010.

38 "Long-term financial commitment" means either new ownership investment in the facility by the retail seller or local publicly owned electric utility or a new or renewed contract with a term of 10 or more years, which includes procurement of the incremental generation. (Public Utilities Code Section 399.12.5, Subdivision [b][4].)

- Rewinding or replacing the existing turbine generator.
- Replacing turbines.
- Computerizing control of turbines and generators to optimize regulation of flows for generation.

The applicant is responsible for showing that its facility qualifies for the RPS. The eligible incremental generation from a hydroelectric facility that underwent efficiency improvements will be determined in accordance with Section III.E: Incremental Generation. Additional information required of applicants for small hydroelectric, conduit hydroelectric facilities, and incremental generation regardless of output is discussed below.

6. Additional Required Information for Hydroelectric Facilities

An applicant must provide additional information to substantiate its application for RPS precertification or certification for a small hydroelectric facility, conduit hydroelectric facility, or incremental generation from efficiency improvements to hydroelectric facilities regardless of overall facility size if the facility:

a) Commenced commercial operations or was repowered on or after January 1, 2006, for small or conduit hydroelectric facilities.

b) Commenced commercial operations before January 1, 2007, for incremental generation from efficiency improvements regardless of facility size.

c) Was added to an existing water conduit on or after January 1, 2006, for conduit hydroelectric facilities.

d) Was an existing small hydroelectric or conduit hydroelectric facility and made efficiency improvements after January 1, 2008, that caused it to exceed 30 MW.

Additional required water-use data and documentation described below must be included with a complete application for RPS precertification or certification. This information must be included in the CEC-RPS-1-S2 that accompanies a completed CEC-RPS-1 application form. Applicants possessing a permit or license from the SWRCB or from another governing body if located in another state – must submit a copy of the permit or license as well as the application for the permit or license.

a. Name of the facility

The applicant must identify any and all names of the facility used in any documentation submitted to the Energy Commission and in any other public proceeding.

b. Ownership of the facility

In addition to the current facility owner, the applicant should identify any previous facility owners listed in any of the documents submitted to the Energy Commission or relevant to the information listed below.

c. Source water description

The application must identify the source of the water for the hydroelectric project. The source must be characterized as surface, groundwater, or other (for example, recycled water). For surface water sources, a map at a scale of 1:24,000 must be provided. The map should also identify the location of the diversion point and all other facilities. In addition, a written description of the location of the diversion should be provided (county and nearest city) as well as the name of the body of water at the point of diversion. For groundwater, the location of the well(s) and conveyance facilities shall be identified on a map of 1:24,000 scale. The applicant must also specify how much water is used for each of the identified beneficial uses.

d. Water rights

Applicants must clearly establish their right to divert water by submitting all necessary information as well as all appropriate licenses or permits. Within California, this information must identify the permitted volume, rate and timing of water diversions, the place of diversion, and beneficial uses. This may be achieved through submittal of the appropriate SWRCB appropriation permit or license, or the Statement of Water Diversion and Use filed with SWRCB. For diversions not subject to an appropriation permit or license, a copy of any Statement of Water Diversion and Use filed with SWRCB should be provided. Facilities located outside California must provide similar documentation of an existing water right for water diversion.

e. Hydrologic data

The applicant must submit appropriation and/or diversion data for the last five years or for the period of operation if the project has been operating less than five years. Information contained in any legally required reports may be used to meet this requirement if sufficient information is included in the report. For other projects, the hydrologic data submitted must be accompanied by a description of how the data is collected. Flow data shall be provided at the frequency set forth in the applicable water appropriation permit; for example, if the permit specifies minimum and maximum flows on a monthly basis, then that is the level of information necessary to be submitted.

f. Other permits

The applicant must submit all other applicable permits, including those project licenses, permits and exemptions issued by the Federal Energy Regulatory Commission (FERC), if applicable, or the equivalent from another federal, state, or local government agency. If no FERC project licenses, permits, or exemptions were issued, the applicant must submit documentation explaining why the FERC project licenses, permits, or exemptions are not applicable to the facility.

g. Environmental documentation

The applicant must submit copies of any permits, agreements, contracts, or other requirements affecting the operation of the facility, especially those that affect the volume, rate, timing,

temperature, turbidity, and dissolved oxygen content of the stream water before and after the points of diversion.

h. Capacity

For small and conduit hydroelectric facilities, the applicant must demonstrate how the project will comply with the 30 MW nameplate capacity size limitations under the RPS and not cause an adverse impact on instream beneficial uses or a change in the volume or timing of streamflow. For this purpose, a facility may have an adverse impact on the instream beneficial uses if it causes an adverse change in the chemical, physical, or biological characteristics of water.

i. Efficiency improvements

Applicants seeking certification of small or conduit hydroelectric facilities that exceed 30 MW due to efficiency improvements must provide:

1) Documentation showing when the existing small or conduit hydroelectric facility commenced commercial operations.

2) Documentation describing the efficiency improvements and when they were initiated and completed.

3) Documentation demonstrating that the efficiency improvements are not the result of routine maintenance.

4) Documentation demonstrating that the efficiency improvements did not result in an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow. For this purpose, an efficiency improvement could have an adverse impact on the instream beneficial uses if it causes an adverse change in the chemical, physical, or biological characteristics of water.

j. Incremental Hydroelectric Generation

Applicants seeking certification of incremental hydroelectric generation due to efficiency improvements regardless of facility output are required to provide:

1) Documentation showing when the existing hydroelectric facility commenced commercial operations.

2) Documentation describing the efficiency improvements and when they were initiated and completed.

3) Documentation demonstrating that the efficiency improvements are not the result of routine maintenance.

4)Documentation demonstrating that the efficiency improvements were not included in any resource plan sponsored by the facility owner before January 1, 2008. An example of this documentation is submission of pertinent sections of such a resource plan.

5) One of the following:

   a) A copy of certification from the State Water Resources Control Board (SWRCB) pursuant to Section 401 of the Clean Water Act (33 U.S.C. Sec. 1341) or the certification from a regional board to which the SWRCB has delegated authority to issue certification, unless the facility is exempt from certification because there is no potential discharge into waters of the United States. The certification must have been received within the immediately preceding 15 years before the improvements were initiated.

   b) If the hydroelectric facility is located in a state in the United States other than California, the certification pursuant to Section 401 of the federal Clean Water Act (33 U.S.C. Sec. 1341) may be received from the applicable state board or agency or from a regional board to which the state board has delegated authority to issue the certification.

   c) The facility meets the requirements of the Public Utilities Code Section 399.12.5, Subdivision (b)(2)(C).

6) Documentation demonstrating that the efficiency improvements did not result in an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow. For this purpose, an efficiency improvement would have an adverse impact on instream beneficial uses if it causes an adverse change in the chemical, physical, or biological characteristics of water.

7) Documentation demonstrating that the efficiency improvements to the facility resulted from a long-term financial commitment by the retail seller or POU.[40]

8) A calculation of the historical average annual production of the existing hydroelectric facility, including verifiable generation data for the 20 years preceding the efficiency improvements, including supporting water flow data. If the facility has not been operating 20 years, then provide data for the years it has been operational.

9) The actual or expected efficiency improvement and increase in production in MWh resulting from the efficiency improvement and a discussion of the method used to estimate increased energy production. The actual or expected efficiency improvement should be based on the same data that are used to calculate the historical average annual production of the existing hydroelectric facility. If production data are available for years following the efficiency improvement, please provide those data.

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40 "Long-term financial commitment" means either new ownership investment in the facility by the retail seller or local publicly owned electric utility or a new or renewed contract with a term of 10 years or more, which includes procurement of the incremental generation. (Public Utilities Code Section 399.12.5, Subdivision (b)(4).

G. Municipal Solid Waste

Electrical generation produced by a facility that uses (MSW) as defined in the glossary of terms is eligible for the RPS. Two types of MSW facilities are eligible:

1) Municipal Solid Waste Combustion Facilities: A facility that directly combusts MSW to produce electricity is eligible for the RPS only if it is located in Stanislaus County and was operational before September 26, 1996.[41] An applicant for a combustion facility must submit documentation to the Energy Commission demonstrating that the facility meets these requirements.

2) Municipal Solid Waste Conversion Facilities: A facility is eligible for the RPS if 1) it uses a two-step process to create energy whereby in the first step, gasification[42] conversion, a non-combustion thermal process that consumes no excess oxygen, is used to convert MSW into a clean-burning gaseous or liquid fuel, and then in the second step this clean-burning fuel is used to generate electricity, and 2) the facility and conversion technology meet all of the following applicable criteria in accordance with Public Resources Code Section 25741, Subdivision (b):

    a) The technology does not use air or oxygen in the conversion process, except ambient air to maintain temperature control.

    b) The technology produces no discharges of air contaminants or emissions, including greenhouse gases as defined in Section 38505 of the Health and Safety Code.

    c) The technology produces no discharges to surface or groundwaters of the state.

    d) The technology produces no hazardous wastes.

    e) To the maximum extent feasible, the technology removes all recyclable materials and marketable green waste compostable materials from the solid waste stream before the conversion process, and the owner or operator of the facility certifies that those materials will be recycled or composted.

    f) The facility at which the technology is used complies with all applicable laws, regulations, and ordinances.

    g) The technology meets any other conditions established by the Energy Commission.

    h) The facility certifies that any local agency sending solid waste to the facility diverted at least 30 percent of all solid waste it collects through solid waste reduction, recycling, and composting.

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41 Public Utilities Code Section 399.12, Subdivision (e)(2).

42 This process is referred to as "gasification" in Public Resources Code Section 40117, as implemented by the California Department of Resources Recycling and Recovery (CalRecycle). The requirements of Section 40117 mirror the requirements of Public Resources Code Section 25741, Subdivision (b), as applicable to municipal solid waste conversion.

In addition to the certification or precertification application, applicants for MSW facilities must complete the supplemental application form for biopower, CEC-RPS-1-S1, found in Appendix B: Forms, and provide the additional required information described below.

1. MSW Conversion Facilities Located in California

Applicants for RPS certification of solid waste conversion facilities must provide copies of any solid waste facilities permits issued by the appropriate enforcement agency[43] (EA) pursuant to regulations promulgated by the California Department of Resources Recycling and Recovery (CalRecycle). These permits must be attached to the completed CEC-RPS-1 form to verify compliance with the requirements specified above. Applicants seeking RPS precertification must attach copies of their Solid Waste Facilities Permit Application, as submitted to the EA. The Energy Commission will verify compliance in consultation with CalRecycle based on the adopted regulations as set forth in Title 14, California Code of Regulations, Division 7, Chapter 3, Article 6.0, commencing with Section 17400.

To become certified as an eligible renewable energy resource for the RPS, an applicant for a solid waste conversion facility must submit to the Energy Commission a copy of any applicable permits issued pursuant to the requirements of Title 14, California Code of Regulations, Division 7, Chapter 3, Article 6.0, commencing with Section 17400. The Energy Commission will confirm that the permit is approved, active, and applicable to the facility seeking RPS certification. These permits must demonstrate:

a) The facility is using only a "gasification" conversion technology, as defined in Public Resources Code Section 40117.

b) The facility accepts and processes "solid waste" as defined in Public Resources Code Section 40191 and is not limited to receiving and processing "source-separated" waste as defined in Title 14, California Code of Regulations, Section 17402.5, Subdivision (b)(4).

c) The facility processes solid waste from which, to the maximum extent feasible, all recyclable materials and marketable green waste compostable materials have been removed before the solid waste conversion process.

In addition, an applicant for a solid waste conversion facility must certify to the Energy Commission that:

a) All recyclable materials and marketable green waste compostable materials removed from solid waste prior to the conversion process are recycled or composted.

b) Any local agency sending solid waste to the facility diverted at least 30 percent of all solid waste it collects through solid waste reduction, recycling, and composting. For purposes of this certification, "local agency" means any city, county, or special district, or subdivision thereof that is authorized to provide solid waste handling services.

43 Enforcement agency as defined in Public Resources Code Section 40130. A list of enforcement agencies can be found at http://www.calrecycle.ca.gov/LES/Directory/.

To become precertified as RPS-eligible, the applicant must submit to the Energy Commission copies of its Solid Waste Facilities Permit Application, as submitted to the EA or a letter from CalRecycle stating that the facility, if built and operated as proposed, is using a "gasification" conversion technology, as defined in Public Resources Code Section 40117. In the event that the EA determines that no permit is required, then the applicant must submit to the Energy Commission the information provided to the EA and the EA's official determination of the facility's regulatory status. The Energy Commission will review this information and consult with CalRecycle to determine if the information is complete and satisfies the requirements specified in Public Resources Code Section 25741, Subdivision (b). The Energy Commission will confer with CalRecycle to determine that the information included on any final approved solid waste facility permit is consistent with the requirements of the RPS eligibility criteria.

If a precertified applicant does not obtain an applicable solid waste facility permit, if such a permit is deemed necessary, by the time the project commences commercial operation, or if it is denied approval for a required permit, the Energy Commission will revoke the applicant's precertification.

2. MSW Conversion Facilities Located Outside California

In the case of an MSW conversion facility not located within California and thus not under the jurisdiction of CalRecycle or an EA, the facility must meet the same requirements for in-state facilities, except that the Energy Commission will accept similar permits (as described above) from the corresponding local agency or agencies with the authority to issue such permits. The applicant must submit copies of the permit applications and all documentation required to receive the local equivalent of the required EA permits as well as any additional information that would be required to receive these permits from the EA.

For RPS precertification, the applicant must submit all available documentation required to receive the local equivalent of the EA permits, as well as the permits required by the local authority. If a precertified applicant does not obtain all required permits from the local authority or meet all standards placed on similar facilities located in California by the EA to receive the required permits by the time the project commences commercial operation, or if it is denied approval for a permit, the Energy Commission will revoke the applicant's precertification.

H. Ocean Thermal

The electrical generation produced by a facility that uses an ocean thermal resource, the temperature differences between deep and surface ocean water, may be RPS eligible. As part of the application for the RPS certification or precertification of an ocean thermal facility, the applicant must include a brief description of the technology used to generate electricity.

I. Ocean Wave

The electrical generation produced by a facility that uses an ocean wave resource may be RPS-eligible. As part of the application for the RPS certification or precertification of an ocean wave facility, the applicant must include a description of the technology used to generate electricity.

J. Solar

The electrical generation produced by a facility using a solar resource may be RPS-eligible if the facility uses either a solar photovoltaic or solar thermal process to produce electricity.

1. Photovoltaic

Solar photovoltaic processes use photons from the sun to excite electrons contained in a semiconductor from a low energy state to a higher energy state through the photoelectric effect. These facilities may use tracking systems or concentrating systems to increase the amount of solar radiation available to the photovoltaic cells. The RPS makes no distinction between the different solar cells that may be used or between facilities that use concentrating or tracking systems and those that do not for the purposes of eligibility.

2. Solar Thermal

Solar thermal electric facilities use solar radiation to create a thermal potential, typically in a fluid. Many solar thermal electric facilities incorporate supplemental boilers or some form of thermal energy storage. Solar thermal electric facilities that include a supplemental boiler to add thermal energy to the working fluid for any purpose are subject to the requirements of Section III.B: Renewable Facilities Using Multiple Energy Resources. Solar thermal electric facilities with thermal storage incorporated into the generating process are eligible consistent with Section III.G: Energy Storage

K. Tidal Current

The electrical generation produced by a facility that uses a tidal current resource may be RPS-eligible. As part of the application for the RPS certification or precertification of a tidal current facility, the applicant must include a description of the technology used to generate electricity.

L. Wind

The electrical generation produced by a facility that uses a wind resource may be RPS-eligible. Facilities using wind resources can use any method to capture the naturally occurring wind resource, convert it to mechanical energy, and then generate electricity.

III. Facility Requirements

Electrical generation facilities using one or more of the renewable energy resources or fuels discussed above are subject to additional eligibility requirements governing the operations of the facility and the methods used to track and account for the electricity generated by the facility. The requirements of Section III.A: Generation Tracking and Accounting apply to all facilities, regardless of facility operations. The remaining facility requirements apply only to select facilities depending on their operations, interconnection, or other characteristics. Table 2 summarizes the different facility characteristics that may trigger the need to submit additional information.

Table 2: Summary of RPS Facility Characteristics Eligibility Requirements

Note: A CEC-RPS-1 form must be submitted for each electrical generation facility seeking the certification or precertification of an individual facility. Applications for aggregated units must be made on a CEC-RPS-3 form. All forms can be found in Appendix B: Forms.

Characterizations	Supplemental Form	Additional Required Information, or Notes
Distributed Generation	N/A	May group small facilities that use either wind or solar photovoltaic using the CEC-RPS-3. Refer to Section III.F
Energy Storage	Technology Dependent	Yes, refer to Section III.G
Incremental Generation	N/A	Yes, must report historical generation information and improvement or expansion activities. Refer to Section III.E
Interconnected to a non-CBA Outside CA	CEC-RPS-1-S3	Yes, refer to Section III.C
Multifuel Facility	N/A	Yes, must report fuel use information. Refer to Section III.B
Out-of-Country	CEC-RPS-1-S3	Yes, refer to Section III.C.3
Repowered	N/A	Yes, must describe repowering activities and financial investment. Refer to Section III.D

Source: California Energy Commission

A. Generation Tracking and Accounting

The following generation tracking and accounting requirements apply to all electrical generation facilities that are certified or precertified by the Energy Commission for California's RPS. For more information on the Energy Commission's process for verifying RPS procurement and generation data, see Section V: RPS Tracking Systems, Reporting, and Verification.

1. WREGIS

An electrical generation facility must be registered in the WREGIS system before the applicant may apply for the RPS certification of that facility.[44] As part of the application process the applicant must provide the Energy Commission with the WREGIS generating unit identification number or numbers (GU IDs), including what generation is represented by that GU ID, exported generation, onsite load, or other; whether that GU ID represents multiple fuel types; and the total nameplate capacity registered under that GU ID. If any of the information that was provided to WREGIS about the facility differs from the information provided to the Energy Commission the applicant must identify the discrepancies information and explain the reasons for those discrepancies.

All generation from facilities certified as eligible for California's RPS must be tracked in WREGIS, with the limited exceptions for 2011-2012 generation noted in this guidebook. Applicants for certification must provide the WREGIS Generating Unit Identification number (GU ID) for each certified facility to the Energy Commission.[45,46] An RPS-certified facility must remain registered in the WREGIS system and comply with all WREGIS rules, and all generation from that facility must be tracked in the WREGIS system to be considered RPS-eligible, with the limited exceptions noted in this guidebook. Failure to remain registered in the WREGIS system, or the inability to provide proof of registration in WREGIS upon request, may result in the facility's RPS certification being revoked. It is the responsibility of the applicant of an RPS-certified facility to notify the Energy Commission in writing within 90 days of a change in its status in the WREGIS system.

All electrical generation facilities participating in the RPS must use a meter with an independently verified rating of 2 percent of higher accuracy to report the generation output of the facility to WREGIS.

The Energy Commission will strive to accurately identify, or label, WREGIS certificates in the WREGIS system, or RECs, as coming from an RPS certified facilities when applicable. If RECs for a facility have been created prior to the addition of a label by staff, an applicant may request in writing that the label be added to the RECs already created. RECs that have been transferred from the original WREGIS subaccount cannot be edited or later labeled as California RPS-eligible. Facilities with utility contracts that require immediate transfer to the utility for RPS retirement, as described in Section V: RPS Tracking Systems, Reporting, and Verification, will not necessarily reside in the generator's initial subaccount and therefore will not be labeled as RPS-eligible. RECs that are not labeled as RPS-eligible may still be used for California's RPS if the generation that produced the RECs complied with all requirements of this guidebook. Any

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44 This requirement may not be applied to facilities that have ceased to operate and are applying for a limited RPS certification.

45 POUs may use the Interim Tracking System (ITS) to report generation occurring through October 2012 that is not tracked in WREGIS; for more information on the ITS, see Section V: RPS Tracking System, Reporting and Verification.

46 The facility must be registered with WREGIS to receive a WREGIS ID number that can be used for California's RPS.

REC that does not meet the requirements of this guidebook will not be treated as California RPS-eligible regardless of the information printed on the REC.

2. Metering Requirements

Generation from an RPS-certified facility must be measured using a meter, or meters, with an independently verified accuracy rating of 2 percent, or better, to be counted for the RPS. Any electricity considered for the RPS, including electricity from any additions or enhancements to that facility, must be measured by the same meter, or meters, used to report generation to WREGIS.

Applicants submitting an application for the RPS certification of a facility must ensure that the facility is using appropriate metering as required by this guidebook and WREGIS before applying for RPS certification. Additional metering at the facility may be required if the existing metering system does not conform to the requirements of this guidebook and WREGIS.

B. Renewable Facilities Using Multiple Energy Resources

Renewable facilities using multiple energy resources to generate electricity are eligible for the RPS. These renewable facilities are referred to as "multifuel" facilities and use a mix of fuels or energy resources that can include fossil fuels, other nonrenewable energy resources, and one or more RPS-eligible renewable energy resources to generate electricity. Applicants for these multifuel facilities must accurately measure the annual contribution of each fuel and energy resource type and maintain and report this information to the Energy Commission and WREGIS, as required.

1. Measuring the Renewable Generation From Multifuel Facilities

All applications to certify or precertify a multifuel facility must include a measurement methodology to determine the contribution of each fuel or energy resource, a list of all energy resources used at the facility, and the actual, or anticipated, percentage of the contribution of each energy resource to the total generation output as measured by the fuel measurement methodology on an annual basis. Any significant change in the fuel amounts should be reported to the Energy Commission through an amended application for certification, or precertification; significant changes are discussed in Section IV.B.7: Amending Certification or Precertification. Unless the facility's operations comply with one of the requirements described below to treat an amount of nonrenewable generation as RPS-eligible, no generation attributable to the use of nonrenewable fuel or energy resource will be counted as RPS-eligible.

The Energy Commission will allow one of the methods provided below for measuring the fraction of a multifuel facility's electricity output attributable to renewable energy resources. An application for RPS precertification or certification of a multifuel facility must indicate which of these methods will be used to measure the renewable fraction of the facility's generation. The applicant shall report the fraction of renewable energy relative to the total electricity generation from a multifuel facility to WREGIS on a monthly basis.

All fuels or energy resources contributing thermal energy to the system that generates electricity (except for solar thermal facilities using direct steam generation systems with no thermal storage capacity proposing an alternative measurement methodology), and any inputs not separately metered, must be accounted for in the measurement methodology for all thermal conversion technologies. This includes, but is not limited to, fuel use for startup, freeze protection, flame stabilization, supplemental firing, and any input of thermal energy used to maintain, increase, or control the decrease of the thermal energy within the generation system. Similarly, all fuels or energy resources entering a fuel cell must be considered. Nonthermal technologies should independently and accurately measure all generation directly from each technology or separate unit. Facilities with internal metering must use a meter with an independently verified rating of 2 percent or higher accuracy.

Below are the methods for measuring the contribution of each fuel or energy resource at RPS-eligible facilities.

a) Combustion technologies and fuel cell technologies: For eligible renewable resources using the combustion of renewable fuels to generate electricity, such as biomass or digester gas, the percentage of the total generation attributable to the RPS-eligible source shall be determined by the ratio of the eligible renewable energy input (MMBtu) to the total energy input (MMBtu) contributing thermal energy to generate electricity or improve efficiency by adding heat to the system, given by the following equation:

$$\text{Percent Renewable} = \frac{\sum(\text{MMBtu})_{\text{RPS}}}{\sum(\text{MMBtu})_{\text{RPS}} + \sum(\text{MMBtu})_{\text{non-RPS}} + \sum\left((\text{MWh})_{\text{grid}} \cdot \frac{3.413\ \text{MMBtu}}{1\ \text{MWh}}\right)}$$

$(MWh)_{grid}$ $= Grid\ Electrictiy\ adding\ heat\ to\ the\ system (MWh)$

$(MMBtu)_{RPS}$ $= RPS\ Eligible\ Renewable\ Fuel(s)\ (MMBtu)$

$(MMBtu)_{non-RPS}$ $= Non - Renewable\ Fuel(s)\ (MMBtu)$

b) Noncombustion, thermal technologies: Renewable technologies that do not use a combustion process to generate RPS-eligible electricity, such as solar thermal and geothermal technologies, have two possible methods to measure the renewable contribution to the total generation.

1) The first option takes the ratio of the total nonrenewable energy (grid electricity and nonrenewable energy inputs) contributing thermal energy to the system compared to the total generation of the facility, and subtracts it from one. The contribution of the nonrenewable fuel will be measured by the generation that an equivalent amount of MMBtus of natural gas would produce at a similar natural gas facility. The result of the equation, provided below, is the contribution attributable to the non-combustion renewable technology.

$$Percent\ Renewable = 1 - \frac{\left[(MMBtu)_{non-RPS} \cdot \frac{1\ MWh}{3.413\ MMBtu} \cdot (eff)_{plant} + (MWh)_{grid}\right]}{(MWh)_{Total}}$$

$(\mathrm{MWH})_{\mathrm{Total}}$ = Total electricial generation of all generators,

not the net electricial output of the facility (MWh)

$(\mathrm{MWh})_{\mathrm{grid}}$ = Grid Electrictiy adding heat to the system(MWh)

$(\mathrm{MMBtu})_{\mathrm{non-RPS}}$ = Non − Renewable Fuel(s) (MMBtu)

$(\mathrm{eff})_{\mathrm{plant}}$ = The actual conversion efficiency of the facility or 0.425

2) The second option for noncombustion, thermal renewable technologies is to measure the change in the heat content of the medium used to collect the heat attributable to the thermal contribution of the renewable technology. This is done by measuring the heat content of the medium before the heat energy from the renewable source is absorbed and after that heat is absorbed. To use this method, the applicant must provide a single line drawing of the electric generating system identifying every heat source and the proposed points to measure the change in the heat content of the medium. If multiple media are used to collect heat at the facility from the thermal sources, the heat added to the system shall be measured using the medium that turns the electric generating turbine. For this option, the applicant may use the following Percent Renewable equation:

$$\text{Percent Renewable} = \frac{\sum(\mathrm{MMBtu})_{\mathrm{RPS}}}{\sum(\mathrm{MMBtu})_{\mathrm{RPS}} + \sum(\mathrm{MMBtu})_{\mathrm{non-RPS}} + \sum\left((\mathrm{MWh})_{\mathrm{grid}} \cdot \frac{3.413\ \mathrm{MMBtu}}{1\ \mathrm{MWh}}\right)}$$

Where the noncombustion, thermal renewable contribution is defined by:

$(MMBtu)_{RPS} = (MMBtu)_{medium_{out}} - (MMBtu)_{medium_{in}}$

$(MMBtu)_{RPS}$ = *The Heat Contribution of the RPS eligible Technology* $(MMBtu)$

$(MMBtu)_{medium_{out}}$
= *The Heat Content of the heated medium Exiting the* Renewable *Boiler* $(MMBtu)$

$(MMBtu)_{medium_{in}}$
= *The Heat Content of the heated medium Entering the Renewable Boiler* $(MMBtu)$

$(\mathrm{MWh})_{\mathrm{grid}}$ = Grid Electrictiy adding heat to the system(MWh)

$(\mathrm{MMBtu})_{\mathrm{non-RPS}}$ = Non − Renewable Fuel(s) (MMBtu)

In the event that any thermal renewable facility uses a nonrenewable energy input to add heat to the system through a noncombustion, thermal process, the contribution of that fuel shall be accounted for in a method similar to the second option for noncombustion, thermal renewable technologies.

c) Nonthermal electric generating technologies (except fuel cell technologies): Some renewable technologies, such as solar photovoltaic and wind, are nonthermal electricity generation technologies. Therefore, measurement of total annual energy input is not appropriate for these technologies. Instead, a facility incorporating one or more of these technologies must have internal metering to measure the electrical generation directly

associated with that specific technology. The internal metering shall be compared to the total output of the facility to determine the percentage attributable to any nonthermal renewable technology, if applicable. The percentages attributable to the technology shall be recorded monthly and reported to WREGIS on a monthly basis.

d) Alternative measurement methodology: Applicants may submit an alternative measurement method if it can be demonstrated to the Energy Commission's satisfaction that the method is superior to the methods discussed above and is the most appropriate method for that technology, fuel, or energy resource. The methodology shall be based on the total annual energy input of each energy resource to the generating system, and any inputs not separately metered, measurable on a monthly basis. The Energy Commission will evaluate and consider the proposed measurement method as part of the facility's application for precertification or certification.

Solar thermal facilities using direct steam generation systems with no thermal storage capacity may use nonrenewable fuel for the purpose of increasing or maintaining the thermal energy of the generation system, subject to all the following limitations:

1) The maintenance or increase in thermal energy is limited to levels not exceeding temperatures necessary to generate electricity.

2) The maintenance or increase in thermal energy may not exceed 25 percent of the hourly thermal capacity of the receiver system.

3) The use of nonrenewable fuel for maintenance or increase in thermal energy is limited to the period of time between the final daily termination of generation and the facility's daily initial commencement of generation the next morning.[47]

Uses of nonrenewable fuel falling within these limitations need not be considered as contributing to electricity generation in the measurement methodology for solar thermal facilities using direct steam generation systems with no thermal storage capacity. The applicant must demonstrate to the Energy Commission's satisfaction that the proposed method is superior to the methods discussed above and is the most appropriate method for solar thermal facilities using direct steam generation systems with no thermal storage capacity, similar to all other proposed alternative measurement methodologies. The alternative measurement method shall include separate metering of the total amount of nonrenewable fuel used daily by the facility and separate metering for the portion of this total used between shutdown and commencement of generation the next morning, for reporting the fuel usage to the Commission. The facility operator shall maintain adequate documentation to substantiate the reported nonrenewable fuel use at the facility.

47 For example, the pregeneration warming period for the daily initial startup and overnight freeze protection would be treated as part of the period of time between the facility's final daily termination of generation and the facility's initial commencement of generation the next morning.

2. De Minimis Quantity of Nonrenewable Fuels or Energy Resources

All of the generation from multifuel facilities using a de minimis quantity of nonrenewable fuels or energy resources in the same generation process as the renewable fuel or resource, and as measured by the methodology approved for that specific facility, may be counted as RPS-eligible. Public Utilities Code Section 399.12, Subdivision (h)(3), requires that the Energy Commission set the de minimis quantity for all facilities applying for precertification or certification at a level of no more than 2 percent of the total annual contribution of nonrenewable fuel to the facility's annual electricity output. The Energy Commission has determined that all facilities using nonrenewable fuels in the generation process may use a de minimis quantity of nonrenewable fuel of 2 percent annually, as calculated by a measurement methodology approved under this guidebook.

The law authorizes the Energy Commission to adjust the de minimis quantity for an individual facility up to a maximum level of 5 percent of the total annual contribution of nonrenewable fuel to the facility's annual electricity output if the applicant can demonstrate that several conditions are met by the facility's use of the increased amount of nonrenewable fuel. The Energy Commission has determined that individual facilities meeting the criteria below will be allowed a de minimis quantity of 5 percent nonrenewable fuel use, as measured by the approved fuel measurement methodology. Applicants for individual facilities seeking this adjusted de minimis nonrenewable fuel use must demonstrate in their applications for precertification or certification that the facility meets *all* of the following criteria:

a) The higher quantity of nonrenewable fuel used at the facility will lead to an increase in generation from the facility that is significantly greater than generation from the nonrenewable fuel alone. Significantly greater generation from the facility is defined as an increase in generation that, as a result of the increased quantity of nonrenewable fuel use, is greater than twice the generation potential of the increased quantity of nonrenewable fuel alone.[48] This equates to an increase in generation attributable to the renewable fuel that is greater than the generation potential from the increased quantity of nonrenewable fuel alone.[49]

b) The increased use of nonrenewable fuel reduces the facility's electrical output variability in a manner that results in net environmental benefits to the state. Reduced variability of output from a facility can improve its synchronization to the grid or improve the facility ramp rates, which can improve the ability of renewables to integrate into the California electrical system and achieve the state's RPS and climate change targets, and, thereby, demonstrate a net environmental benefit to the state.

c) The higher quantity of nonrenewable fuel is limited to either natural gas or hydrogen derived by the reformation of a fossil fuel. Specifically, an adjusted de minimis quantity

48 The generation potential of the increased nonrenewable fuel alone is calculated by applying the heat rate of the facility to the increased quantity of the nonrenewable fuel.

49 The Energy Commission may revise the definition of "significant" for this purpose after a sampling of operational data is available.

of nonrenewable fuel greater than 2 percent but not greater than 5 percent may be sourced from either natural gas or hydrogen derived by the reformation of a fossil fuel.

All facilities using a de minimis amount of nonrenewable fuels to count toward the RPS must retain records to verify the facility's ongoing compliance with the above requirements and must submit this information to the Energy Commission as required below, and upon request. If the Energy Commission determines that a facility's adjusted nonrenewable fuel use does not meet the above requirements, the facility will be subject to the 2 percent de minimis limit for the applicable year(s) and all subsequent years unless the applicant provides sufficient documentation to demonstrate its qualities for the 5 percent de minimis limit. If the Energy Commission readjusts the annual de minimis quantity of nonrenewable fuels to 5 percent for that facility, it will be applied to generation that occurs subsequent to the Energy Commission's determination.

For counting generation attributed to nonrenewable fuel as California RPS-eligible, see Section III.B.4: Accounting for Nonrenewable Fuel Use below.

3. Other Nonrenewable Fuel Allowances

In the past, the Energy Commission has allowed the generation from facilities using greater amounts of nonrenewable fuel than the de minimis quantity to be considered 100 percent eligible for the RPS if certain conditions were met, as described below. Only facilities that continue to meet these conditions and are currently RPS certified under these conditions may continue to receive RPS credit for the entire output of the facility. For these facilities to count 100 percent of the electricity generated toward the RPS, one of the following four conditions must be met in the current certification for that facility. If the allowable nonrenewable energy amount is exceeded, then only the generation attributable to renewable energy inputs will be counted for the RPS. For counting generation attributed to nonrenewable fuel for the RPS, see Section III.B.4: Accounting for Nonrenewable Fuel Use below.

a) Biomass facilities eligible for Existing Renewable Facility Program (ERFP) funding as of December 31, 2011. If a biomass facility met the conditions to qualify 100 percent of its generation for ERFP funding under the January 2009 edition of the *Existing Renewables Facilities Program Guidebook, Sixth Edition*, on December 31, 2011, then the entire electrical generation output of the facility can count as RPS-eligible through the end of the facility's electricity procurement contract with the utility that was in place at the time the ERFP program ended or through 2013, whichever is later. As was the case under the ERFP, for facilities using biomass fuel, this level of nonrenewable fuel use is 5 percent of the total annual energy input. Once the contract is terminated (or through 2013, whichever is later), these facilities will be subject to the de minimis quantity rules in the *RPS Eligibility Guidebook* in place at that time. The applicant for the facility must reapply for RPS certification to maintain the facility's RPS eligibility.

b) Solar thermal facilities eligible for ERFP funding as of December 31, 2011. If a solar thermal facility met the conditions to qualify 100 percent of its generation for ERFP funding under the January 2009 edition of the *Existing Renewables Facilities Program*

Guidebook, Sixth Edition, on December 31, 2011, then the entire electrical generation output of the facility can count as RPS-eligible. As was the case under the Existing Renewable Facilities Program, for facilities using solar thermal resources, this level is 25 percent of the total annual energy input. As noted in Section I.B: Outstanding Issues, the Energy Commission plans to consider how to treat the use of nonrenewable fuel for the RPS at solar thermal facilities previously eligible for the ERFP in a future edition of this guidebook.

c) Facilities that commenced commercial operations before January 1, 2002, were certified and operational as a renewable qualifying small power production facility (QF)[50] pursuant to the federal Public Utility Regulatory Policies Act[51] before January 1, 2002, and are currently certified by the Federal Energy Regulatory Commission (FERC) as a renewable QF, may use up to 25 percent nonrenewable fuels and the entire electrical generation output of the facility will be considered RPS-eligible. As noted in Section I.B: Outstanding Issues, the Energy Commission plans to consider how to treat the use of nonrenewable fuel for the RPS by these facilities in a future guidebook revision.

d) If the facility was awarded a renewable power purchase contract as a result of a 2002/2003 interim RPS procurement solicitation approved by the CPUC under Decision 02-08-071 and Decision 02-10-062, these facilities may use up to 25 percent nonrenewable energy resources, measured on an annual total energy input basis, and count 100 percent of the electricity generated as RPS-eligible. As noted in Section I.B: Outstanding Issues, the Energy Commission plans to consider how to treat these facilities' use of nonrenewable fuel for the RPS in a future guidebook revision.

4. Accounting for Nonrenewable Fuel Use

All generation from multifuel facilities using nonrenewable fuels must be evaluated annually to determine compliance with the fuel measurement methodology applicable to the facility. To help the Energy Commission staff make its determination regarding nonrenewable fuel use, the applicant for each multifuel facility shall provide the following information to the Energy Commission annually:

a) The total annual generation from the facility, including monthly data, in MWh.

b) A list of energy resources contributing to electricity generation at the facility, and the monthly energy input for each fuel measured in BTUs. (In the case of electricity, contribution should be measured in MWh.) The use of any energy resource that is not separately metered, even if it does not contribute to electricity generation, must be included in this list.

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50 A QF is a qualifying small power production facility eligible for certification pursuant to Section 292.207 of Title 18 of the Code of Federal Regulations.

51 Section 1253 of the Energy Policy Act of 2005 ("EPAct") added Section 210(m) to Public Utility Regulatory Policies Act of 1978 ("PURPA").

c) For solar thermal facilities using direct steam generation systems with no thermal storage capacity using an alternative fuel measurement methodology the monthly energy input for each fuel, in BTUs, used for maintenance or increase in thermal energy of the generation system during the period of time between the final daily termination of generation and the facility's daily initial commencement of generation the next morning. Each of these fuel uses must be identified separately.

d) Any additional documentation necessary for the Energy Commission to determine nonrenewable fuel use based on the fuel measurement methodology included in the RPS certification, including the information submitted to WREGIS related to fuel use.

This documentation must be presented in a clear and logical manner. If documentation created for other purposes is submitted with the application, for example, historical contracts, water rights, or environmental documentation, the applicant should list all submitted documents, briefly summarize the purpose of each document, identify what requirement each document is being submitted to fulfill, and indicate where in the each document the necessary information is contained.

The information shall be submitted to the Energy Commission by March 31 for the prior calendar year and shall include all relevant information for the prior calendar year, listed by month. Staff will not begin review of the fuel use at a facility until after the applicant has submitted the necessary information. Any discrepancies in the reported information shall be explained in detail and supported with documentation. Staff may request additional documentation to determine whether the facility's use of nonrenewable fuels complies with the applicable fuel measurement methodology and whether the use of nonrenewable fuels may be counted for the RPS for a given year.

Multifuel facilities using fossil fuel or other nonrenewable fuel and meeting the conditions described in Subsection 2: De Minimis Quantity of Nonrenewable Fuels or Energy Resources or in Subsection 3: Other Nonrenewable Fuel Allowances, may count a quantity of nonrenewable fuel use for the RPS. The Energy Commission will not verify that RECs associated with electricity generation from nonrenewable fuels qualify as eligible for California's RPS until after annual data are available, provided by the applicant, and reviewed by the Energy Commission. Energy Commission staff will not label any RECs representing electricity generated from nonrenewable fuels as eligible for California's RPS until after the end of the calendar year during which the generation occurred and the fuel use data has been reviewed.

a. Evaluation of Standard Facilities

For facilities subject to the de minimis quantity described in Subsection 2 of this section, the Energy Commission will make one of the following determinations:

1) The use of nonrenewable fuel at the facility did not exceed the facility's de minimis quantity as calculated by the approved measurement methodology for that facility. The RECs representing generation attributable to the use of nonrenewable fuels or energy

resources for that year that comply with the requirements of this guidebook will be labeled as "California RPS-Eligible" in the WREGIS system.

2) The use of nonrenewable fuel at the facility exceeded the facility's de minimis quantity but remained below 10 percent of the total energy inputs of the system, as calculated by the approved measurement methodology for that facility. The generation attributable to the use of nonrenewable fuels or energy resources that exceeds the de minimis quantity will not be considered RPS-eligible. However, the RECs representing the quantity of generation attributable to the nonrenewable fuel use that does not exceed the de minimis quantity for that year that comply with the requirements of this guidebook will be labeled as "California RPS-Eligible" in the WREGIS system.[52]

3) The use of nonrenewable fuel at the facility exceeded 10 percent of the facility's total energy inputs as calculated by the approved measurement methodology for that facility. None of the generation attributable to the use of nonrenewable fuels or energy resources will be RPS-eligible, and the RECs representing the nonrenewable generation will not be labeled as "California RPS-Eligible" in the WREGIS system.

b. Evaluation of Facilities with Other Nonrenewable Fuel Allowances

For facilities subject to one of the other nonrenewable fuel allowances described in Subsection 3 of this section, the Energy Commission will make one of the following determinations:

1) The use of nonrenewable fuel at the facility did not exceed the facility's nonrenewable fuel allowance as calculated by the approved measurement methodology for that facility. The generation attributable to the use of nonrenewable fuels or energy resources for that year will be RPS-eligible, and the RECs representing the nonrenewable generation will be labeled as "California RPS-Eligible" in the WREGIS system.

2) The use of nonrenewable fuel at the facility exceeded the facility's nonrenewable fuel allowance as calculated by the approved measurement method for that facility. None of the generation attributable to the use of nonrenewable fuels or energy resources will be RPS-eligible, and the RECs representing the nonrenewable generation will not be labeled as "California RPS-Eligible" in the WREGIS system.[53]

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52 RECs representing eligible generation that occurred before the month during which the nonrenewable fuel use exceeded the annual allowable de minimis quantity will be labeled California RPS-eligible if they remain in the original WREGIS subaccount. The nonrenewable RECs representing generation for the month during which the limit was exceeded beyond the fraction that are eligible, and the nonrenewable RECS generated during the remainder of that year, will not be labeled as California RPS-eligible.

53 Facilities that were eligible for Existing Renewable Facility Program (ERFP) funding on December 31, 2011, must comply with the requirements to count the entire electrical output of the facility as RPS-eligible to treat any of the generation attributable to nonrenewable fuels or energy resources as RPS-eligible regardless of the level of nonrenewable fuel allowance. For example, a facility eligible to use up to 5 percent nonrenewable fuel and consider the entire output of the facility as renewable due to participation in the ERFP, may not treat the allowable 5 percent as RPS-eligible if the nonrenewable fuel use exceeds 5 percent.

Beginning with the adoption of the fifth edition of this guidebook adopted on May 9, 2012, no REC created in the WREGIS system representing generation attributable to nonrenewable fuel will be considered California RPS-eligible or labeled as such until the Energy Commission has made such a determination as described above.[54] For more information on WREGIS Certificates and when RECs are labeled as coming from an RPS certified facility see Section III.A.1: WREGIS.

C. Facilities with a First Point of Interconnection to a non-California Balancing Authority Outside California or Facilities Located Outside the United States

The requirements of this section apply to renewable facilities that have their first point of interconnection to a non-California balancing authority (non-CBA) outside the state, but within the WECC service area. Facilities within the WECC service area that are located outside the United States must meet the out-of-country requirements below regardless of the location of their first point of interconnection to the transmission network. Facilities located in California or near the border of the state with their first point of interconnection to a California balancing authority are not subject to the additional requirements of this section. Applicants may be required to submit documentation to verify the location of their first point of interconnection to the transmission network with their application for precertification or certification.

Facilities that are not or will not be interconnected to a transmission network within the WECC service area are not eligible for the RPS.

1. General Requirements

With the exceptions noted below for certain POUs, electrical generation from a renewable facility with its first point of interconnection to a non-CBA outside the state can qualify for the RPS if it meets the RPS eligibility requirements described in this guidebook and satisfies all of the following criteria.[55]

a) Facility has its first point of interconnection to an out-of-state transmission network within the WECC service area.

b) Facility commences initial commercial operations on or after January 1, 2005.

c) Facility does not cause or contribute to any violation of a California environmental quality standard or requirement within California.

54 When determining whether nonrenewable fuel or energy resource uses exceed the de minimis quantity, or the applicable fuel allowance, the Energy Commission will round the percentage up to the nearest one-thousandth of a percent. Any use of nonrenewable fuel above the de minimis quantity, or other applicable fuel allowance, will result in the facility exceeding that allowance, regardless of its magnitude.

55 Public Resources Code Section 25741, Subdivision (a)(2)(B).

d) If located outside the United States, the facility is developed and operated in a manner that is as protective of the environment as a similar facility would be if it were located in California.[56]

e) Facility and any retail seller, POU or third parties procuring generation from the facility participate in WREGIS.

a. Existing Facilities

If the facility meets all of the above criteria for facilities with a first point of interconnection to a non-CBA outside California except it commenced commercial operations before January 1, 2005 (criterion "2" above), then it may be RPS-eligible if it meets one of the following criteria:

1) The electricity is from incremental generation resulting from project expansion or repowering of the facility on or after January 1, 2005.

2) Electricity generated by the facility was procured by a retail seller or POU as of January 1, 2010.

An applicant seeking to certify the incremental generation of an existing electrical generation facility due to project expansion or repowering on or after January 1, 2005, must meet the requirements in Section III.E: Incremental Generation.

An applicant seeking to certify an existing electrical generation facility that commenced commercial operations before January 1, 2005, must provide a procurement invoice or similar document on the letterhead of the retail seller or POU to demonstrate that the facility meets this requirement.

b. Local Publicly Owned Electric Utilities

For a POU that is interconnected to a non-CBA located outside California but within the WECC, procurement is not subject to the eligibility requirements in this section for facilities with a first point of interconnection outside California if all of the following conditions are met:[57]

1) The POU was in existence on or before January 1, 2009.

2) The POU provides retail electric service to 15,000 or fewer customer accounts in California.

3) Electricity generated by the facility is procured by the POU, delivered to the balancing authority area in which the POU is located, and is not used to fulfill the renewable energy procurement requirements of other states.

4) The POU and facility participate in WREGIS.

5) The Energy Commission verifies that the electricity generated by the facility meets the RPS procurement requirements.

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56 Public Resources Code Section 25741, Subdivision (a)(3).
57 Public Utilities Code Section 399.30, Subdivision (i).

The application for certification of such a facility must indicate it is applying under these requirements. The RPS certification issued will indicate the special conditions on the certificate. This exception to the requirements in this section for facilities with a first point of interconnection outside California applies only to situations wherein these POUs procure energy to meet their own RPS obligations. If generation from these facilities is procured to meet the RPS obligations of another POU or retail seller of electricity, the facility will be subject to all of the eligibility requirements in Section III.C: Facilities with a First Point of Interconnection to a non-California Balancing Authority Outside California or Facilities Located Outside the United States.

2. Additional Required Information for Facilities With a First Point of Interconnection to a non-CBA Outside California

All facilities with a first point of interconnection to a non-CBA outside California must provide the following additional required information when applying for certification as RPS-eligible. Further requirements apply to facilities that commenced commercial operations before January 1, 2005, as described below. However, the additional reporting requirements for facilities with a first point of interconnection to a non-CBA outside California do not apply to a facility that is exclusively serving POUs subject to Public Utilities Code Section 399.30, Subdivision (h).:

Applicants for all other facilities with a first point of interconnection to a non-CBA outside California seeking RPS certification must analyze and document the impacts, if any, the facility has or may have on California's environmental quality.

The law requires a facility with a first point of interconnection to a non-CBA outside California to demonstrate that it will not cause or contribute to a violation of a California environmental quality standard or requirement within California.[58] To meet this requirement, the analysis performed by the applicant must include the following, subject to the Environmental Area Thresholds set forth in Table 3:

a) A comprehensive list and description of all California environmental quality laws, ordinances, regulations, and standards (collectively referred to as "LORS") that may be directly or indirectly violated by the facility's development or operation.

b) An assessment of whether the facility's development or operation will cause or contribute to a violation of any of these LORS in the region of California most likely to be affected by the facility's development or operation.

c) Documentation substantiating the applicant's assessment as required in b) above. For example, documentation could include environmental studies, permits, and similar materials demonstrating that the facility's development or operation will not cause or contribute to a violation of a California environmental quality standard or requirement in California.

58 Public Resources Code Section 25741, Subdivision (a)(2)(B)(ii).

At a minimum, the LORS described in the applicant's analysis shall address the following environmental areas consistent with Appendix B, Section (g), of the Energy Commission's regulations for power plant certification, Title 20, California Code of Regulations, Sections 1701, et seq, to the extent that application of the Environmental Area Thresholds for Facilities With a First Point of Interconnection to a non-CBA Outside California set forth in Table 3 shows that the project has the potential to impact resources within California:

- Cultural Resources
- Land Use
- Traffic and Transportation
- Visual Resources
- Air Quality
- Public Health
- Hazardous Materials Handling
- Waste Management
- Biological Resources
- Water Resources
- Agriculture and Soil
- Paleontological Resources
- Geological Hazards and Resources
- Transmission System Safety and Nuisance
- Noise

The assessment of the potential for a facility with a first point of interconnection to a non-CBA outside California to cause or contribute to any violation of a California environmental quality standard or requirement depends on the environmental resource area and the facility's distance from the region in California most likely to be impacted by the facility's development or operation. The likelihood that a facility located outside California will affect California's environmental quality is primarily related to distance. For example, a facility located in a state not adjacent to California is unlikely to contribute to a violation of a California visual resource LORS. The supplemental form for a facility with a first point of interconnection to a non-CBA outside California, CEC-RPS-1-S3, requires an applicant to identify the project's distance from California, as well as the location in California most likely to be impacted by the project.

The applicable LORS for a given facility will vary depending on the facility's location, since the LORS across California vary. For example, the air quality standards in Southern California may differ from the air quality standards in Northern California. Accordingly, for demonstrating whether the facility with a first point of interconnection to a non-CBA outside California will cause or contribute to a violation of any of these LORS in California, the applicant should select the region in California most likely to be affected by the facility's development or operation.

The Energy Commission will first consider the facility's technology and distance from the California region most likely to be impacted to assess the applicant's LORS documentation. Table 3 describes the thresholds the Energy Commission will apply when evaluating the likelihood of a facility to cause or contribute to a violation of a California LORS, with projects

located beyond those thresholds being unlikely to violate a California LORS. As shown in Table 3, some environmental areas have discrete distance limits beyond which the project is unlikely to impact California's environmental quality. Other environmental areas have conditional thresholds for which the potential impact depends on the nature of the facility and its location.

All applicants must submit a written explanation substantiating the claim that the facility does not and will not cause or contribute to a violation of a California LORS within California. For facilities beyond the discrete thresholds identified in Table 3, submission of a simple explanation documenting how the facility's development and operation does not cause or contribute to a violation of a California LORS is sufficient. For projects closer than the discreet threshold for an environmental area, a detailed explanation documenting how the facility's development and operation does not cause or contribute to a violation of a California LORS for the environmental area is required. An applicant may submit a simple explanation for each environmental area with a conditional threshold if there is no potential for a violation of a California LORS. If, however, there is potential for such a violation for an area with a conditional threshold, a detailed explanation is required. For example, Traffic and Transportation is an area with a conditional distance of 20 miles. A facility located in Wyoming, which is farther than 20 miles from the California border, could provide a simple explanation describing how its development and operation have no impact on California's LORS because its transportation activities do not involve California air or highway travel. All LORS assessments and explanations should be submitted in a document to accompany the CEC-RPS-1 Form and supplemental form for a facility with a first point of interconnection to a non-CBA outside California, along with documentation substantiating the applicant's assessment as required in this section.

Table 3: Environmental Area Thresholds

Environmental Area	Threshold or Minimum Distance From California Border
Discrete Thresholds	
Agricultural and Soil	2 miles
Cultural Resources	Project viewshed/ 20 miles
Geological Hazards	2 miles
Land Use/ Recreation	Project viewshed/ 20 miles
Noise	2 miles
Paleontological Resources	Project viewshed/ 1 mile
Visual Resources	Project viewshed/ 20 miles
Conditional Thresholds	
Air Quality	10 miles, or greater if there is potential for transportation or other emissions to impact California air quality
Biological Resources	10 miles, unless the project has the potential to impact a California migratory bird or animal population
Public Health	10 miles, or greater if there is potential for project-related wildfire risk
Traffic and Transportation	20 miles, or greater if the project could impact California air travel or traffic on California highways
Transmission System Safety and Nuisance	2 miles, although if the transmission line interconnection extends into California, the facility would be considered in state and an environmental review pursuant to the California Environmental Quality Act would be required
Waste Management / Hazardous Materials Handling	No distance limit if California disposal site is used or materials are transported through California.
Water Resources	2 miles, or farther distance if project has the potential to impact a drainage flowing into California

Source: California Energy Commission

3. Additional Required Information for Out-of-Country Facilities

For facilities located outside the United States, but within the WECC, the applicant must analyze and document that the facility is developed and operated in a manner that is as protective of the environment as a similar facility in California.[59] To meet this requirement the analysis performed by the applicant must include all of the following:[60]

a) A comprehensive list and description of all California environmental quality LORS that would apply to a similar facility located within California at a location designated by the applicant.

b) An explanation of how the facility will be developed and operated in a manner that is as protective of the environment as a similar facility located in California, including whether the developer and/or operator will secure and put in place mitigation measures to ensure that these LORS are followed.

c) Documentation substantiating the applicant's assessment as required in b) above. For example, documentation could include environmental studies, permits, and similar materials demonstrating that the facility's development and operation will protect the environment to the same extent as provided by these LORS for a similar facility located in California.

D. Repowered Facilities

As noted earlier in this guidebook, the criteria for RPS eligibility may depend on the date a facility begins commercial operations. If a facility is repowered as provided in this section, the date it recommences commercial operations after repowering may be used as its commercial operation date for the RPS application instead of its initial commencement date of commercial operations. In general, only an applicant seeking to revise a facility's date of commercial operations needs to apply for certification as a repowered facility. An applicant for a facility that is RPS-certified or not subject to the eligibility restrictions based on the facility's online date may not need to apply as a repowered facility, even if the facility's prime generation equipment is replaced with new equipment.

Applicants seeking to certify a facility as a repowered facility must submit documentation confirming the replacement of the facility's prime generating equipment and the capital investment made to repower the facility, as well as the value of those investments, in addition to the appropriate application form(s) and any other required information necessary for the generating technology.

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59 This requirement applies effective January 1, 2011, consistent with SB X1-2.

60 Depending on the location and interconnection of the facility, the applicant may also need to address the requirements for facilities with a first point of interconnection to a non-CBA outside California. In such cases, the applicant must analyze and document the impacts, if any, the facility has or may have on California's environmental quality, as specified in section E.1, and must also analyze and document that the facility is developed and operated in a manner that is as protective of the environment as a similar facility in California, as specified in this section E.3.

1. Prime Generating Equipment

The applicant must document that the facility's prime generating equipment is new and that the repowered facility re-entered commercial operations on or after January 1, 2005. Applicants for repowered small hydroelectric facilities and conduit hydroelectric facilities must document the facilities re-entered commercial operations on or after January 1, 2006.

The "prime generating equipment" for each renewable resource is defined as:

a) Wind: the entire wind turbine, including the generator, gearbox (if any), nacelle, and blades.

b) Biomass: the entire boiler. Stoker boilers may be replaced with boilers using improved stoker technology or fluidized bed technology.

c) Geothermal: the entire steam generator, including the turbine rotors, shaft, stationary blades, and any gear assemblies.

d) Small and conduit hydroelectric: the entire turbine and structures directly supporting the turbine.

e) Solid waste conversion: the entire gasifier (gasifying equipment) and combustion turbine.

f) Landfill gas: the entire internal combustion engine or combustion turbine as applicable.

g) Digester gas: the entire digester unit and internal combustion engine or combustion turbine as applicable.

h) Solar thermal: the entire steam turbine and solar boiler.

All prime generating equipment at the facility must be replaced with new equipment for the facility to qualify as a repowered facility. For example, a 25 MW wind facility consisting of 50 separate wind turbines must, at a minimum, replace each of the 50 wind turbines with new turbines of like or greater capacity for the entire 25 MW facility to qualify as a repowered facility. The Energy Commission recognizes that a wind facility owner may want or need to repower only a portion of the turbines owned at a site and does not exclude that option. In the event that a generator is interested in repowering a portion of a site, then it will need to recertify the remaining portion of the site that is not being repowered.

2. Capital Investments

The applicant must document that the value of the capital investment made to repower the facility equals at least 80 percent of the total value of the repowered facility. In addition, the

applicant must document that capital investments were made not more than two years before the date that the facility re-entered commercial operations.[61]

In addition to the prime generating equipment that must be replaced to qualify as a repowered facility, other capital investments may be used to meet the 80 percent threshold if they were made to that portion of the facility that contributes directly to the production of electricity. This includes:

a) Electricity generators and related equipment

b) Fuel processing, enhancing, and delivery equipment

c) Control equipment

d) Associated process control equipment

e) Structures used to support the aforementioned equipment.

It is not necessary for this equipment to be replaced for the facility to qualify as a repower, unless the equipment is listed as part of the prime generating equipment above in Section III.D.1: Prime Generating Equipment. However, if this equipment is replaced, the capital investment to do so may be considered toward meeting the 80 percent threshold.

A capital expenditure may not be used to meet the 80 percent threshold if the investment does not directly contribute to the production of electricity, such as:

a) Environmental control equipment

b) Air pollution control equipment

c) Land on which the facility sits or was purchased as part of the repowered process

Similarly, intangibles such as the value of a facility's power purchase contract or its goodwill will not be considered part of the repowered facility.

The applicant must provide documentation, such as invoice receipts, verifying the replacement of the old equipment, as well as other components of the technology relevant to the repowering application. The Energy Commission will confirm that the equipment listed is appropriate for certification as a repowered facility.

The "repowered facility" is defined as the new prime generating equipment and all of the new and/or existing electrical generators; fuel processing, enhancing, and delivery equipment; and any associated process control equipment and structures at the facility.

61 If it can be documented to the Energy Commission's satisfaction that construction activities associated with the repowering process began more than two years before the date the facility re-entered commercial operations the two year window may be extended.

3. Evidence of the 80 Percent Threshold

The applicant may show that it has met the 80 percent threshold by submitting either tax records or an assessment of the "replacement value" of the facility along with documentation of the cost of the new equipment. The applicant must notify the Energy Commission which methodology it is using and provide the appropriate information as described below.

a. Tax Records Method

The applicant must submit to the Energy Commission all relevant tax records needed to demonstrate that the capital investments made to repower the facility are equal to at least 80 percent of the value of the repowered facility.

1) The applicant must document the value of the capital investments and the year the investments were made. In this case, the value of capital investments is the original tax "basis" declared to the Internal Revenue Service to calculate depreciation. The tax basis should reflect the value of the equipment the applicant has attested to purchasing. The tax basis is generally what a business pays for an item to be depreciated.

2) The applicant must document the value of the repowered facility. In this case, the value of the repowered facility is based on the sum of the tax basis declared for all of the equipment and structures in the repowered facility as of the year the facility is repowered. For new equipment and structures, the value of the repowered facility is the original tax basis. For existing equipment and structures, the value of the repowered facility is the tax basis as adjusted for depreciation. For facilities financed using a sale/lease-back or similar structure, the original tax basis of the equipment and structures for both the lessor and lessee will be considered.

3) The applicant must divide the total value of capital investments by the total value of the repowered facility. This calculation must show that the investment is equal to or greater than 80 percent of the total value of the facility for it to qualify as repowered.

b. Replacement Value Method

This alternative approach may make it more difficult for a facility to meet the 80 percent repowering threshold, but it is a reasonable alternative for parties who are unable or unwilling to secure the necessary tax records to use the adjusted tax basis approach.

1) The applicant must document the value of the equipment replaced in the facility. The replacement cost of new equipment is based on the equipment's purchase price and, consequently, is the same value when compared to the adjusted tax basis approach.

2) The applicant must submit an independent evaluation of the replacement cost of existing, unreplaced equipment ("retained equipment"). The evaluation should be an estimate of the capital costs that would have to be incurred to replace the retained equipment. This estimate must be provided by an accountant in good standing with the American Institute of Certified Public Accountants or a member in good standing and certified as an internal auditor with the Institute of Internal Audits.

3) The applicant must divide the total value of capital investments by the sum of the replacement cost of the new equipment and the independent estimate of the replacement cost of the retained equipment. This calculation must show that the investment is equal to or greater than 80 percent of the total value of the facility for it to qualify as repowered.

E. Incremental Generation

The Energy Commission may certify incremental generation from the expansion or repowering of a facility or as a result of efficiency improvements at hydroelectric facilities. All applicants seeking RPS certification of incremental generation must provide evidence that the incremental generation from the facility resulted (or will result if the applicant is seeking precertification) from a capital expenditure in the facility. This information is needed to verify that the incremental production is not a result of weather fluctuations or some other recurring or random event. The capital investment must exclude monies that would have been spent on operation and maintenance in the normal course of doing business. The applicant must provide a brief description of each capital investment made for facility expansion, repowering, or efficiency improvements, including a discussion of the nature of the capital investments and how they resulted in the incremental generation. In substantiating an application to certify incremental production, the burden of proof will be on the applicant to submit compelling evidence to demonstrate the effect that capital expenditures had on production.

Only the incremental portion of the facility output will be considered RPS eligible. The incremental portion of the facility output will be determined either by direct measurement of the facility expansion or by comparison of the facility output to the historical baseline of the facility.

All data submitted are expected to be public. However, the Energy Commission is interested only in data with a direct bearing on the application. For example, although information on capital investments and the resulting production increases is expected to be submitted publicly, the Energy Commission has no interest in any proprietary underlying economic analyses that may have led to the decision to make such an investment.

1. Direct Measurement of the Incremental Generation

For facilities that directly meter the expanded portion of the facility separate from the existing portion of the facility and report it separately in the WREGIS system using a distinct WREGIS GU ID, the baseline is the capacity of the facility before the facility expansion. Facilities capable of separately measuring the incremental portion of the facility, such as wind and solar photovoltaic facilities are strongly encouraged to account for the incremental portion of the facility in this manner.

Consistent with Section III.B: Renewable Facilities Using Multiple Energy Resources the nonrenewable fuel and the use will be evaluated after the end of the generation year.

2. Calculated Measurement of the Incremental Generation

Facilities unable or unwilling to separately meter the incremental portion of the facility output will need to establish the historical generation baseline of the facility. The historical baseline is calculated based on the generation from the facility in the 36 calendar months (240 calendar months – 20 years – for all hydroelectric facilities), immediately preceding the initiation of construction activities to which the incremental generation is attributed, or any generation decreases in anticipation of construction activities. If a major maintenance or economic event results in a reduction of more than 25 percent from the average monthly generation for one or more months during the 36 calendar months, or 240 calendar months for hydroelectric facilities, an additional month, or months, worth of generation will be required to replace the month(s) with a significant decrease in generation. This grouping of 36 calendar months, or 240 calendar months for hydroelectric facilities, is referred to as the historical baseline period. If the facility has not operated for at least 36 calendar months, 240 calendar months for hydroelectric facilities, the entire generation history for the plant must be provided.

The historical baseline is the average amount of electricity generated by the facility each month during the historical baseline period. In addition to the historical baseline, facilities will receive a renewables baseline. The renewable baseline is the average monthly generation attributable to only the renewable portion of the generation, see Section III.B: Renewable Facilities Using Multiple Energy Resources. If no nonrenewable energy resources were used at the facility to generate electricity during the historical baseline period the renewable baseline will be equal to the historical baseline.

The incremental generation from the facility is defined as the electricity generated by the facility in excess of the baseline.[62] The generation attributed to the baseline generation, generation that cannot be counted as RPS eligible, must include renewable generation equal to the renewable baseline and include additional generation, renewable or nonrenewable, equal to the remainder of the historical baseline. Facilities not producing renewable generation in excess of the renewable baseline, or any generation in excess of the historical baseline, in a particular month will not produce any incremental generation that month.

Consistent with Section III.B: Renewable Facilities Using Multiple Energy Resources the nonrenewable fuel use will be evaluated after the end of the generation year. For any entity to count generation resulting from the use of a nonrenewable energy resource at an incremental generation facility as eligible in California's RPS the total fuel use at the facility must comply with the requirements of Section III.B. Additionally, the fuel use attributed to the incremental generation must also comply with the requirements of Section III.B.[63]4

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62 The RECs determined to be in excess of the historic and renewable baselines may be attributable to generation from any hour within the generation month at the facility owner's discretion, The facility owner is responsible for ensuring both the historic and renewable baselines are met for each month, only generation not used to meet these baselines may be claimed as incremental.

63 For example, a facility with a historic baseline and renewable baseline of 90 MWh producing 100 MWh in a month could potentially count 10 MWh as RPS-eligible. If 2 MWh are attributable to nonrenewable

F. Eligibility of Renewable Energy Credits for Distributed Generation Facilities and Onsite Load

With the adoption of the fifth edition of this guidebook on May 9, 2012, the Energy Commission determined that all grid-connected renewable electric generation facilities in the WECC may be certified as RPS-eligible, including generation serving onsite load, if all eligibility requirements are met for the specific renewable energy resource used by the facility to generate electricity.

Applicants for a renewable facility that serves onsite load must meet all RPS eligibility requirements including, but not limited to participation in WREGIS and reporting eligible generation based on a meter with an independently verified rating of 2 percent or higher accuracy.

Both the Energy Commission and the CPUC have roles in determining RPS implementation for renewable distributed generation (DG) facilities, and both have established that Renewable Energy Credits (RECs) created by a renewable DG facility belongs to the owner of the RPS-eligible facility. The CPUC issued a decision on January 11, 2007, allowing DG facility owners to retain 100 percent of the RECs associated with the electricity produced. Facilities that have been or will be funded, entirely or in part, by the following programs may apply for certification or precertification as RPS-eligible, if all eligibility requirements are met for that resource type: New Solar Homes Partnership program, Emerging Renewables Program, or Pilot Performance-Based Incentive Program; the CPUC-approved Self-Generation Incentive Program or California Solar Initiative; or any similar ratepayer-funded program. Similarly, grid-connected facilities participating in net-metering tariffs or consuming some or all of the electricity produced by the renewable energy resource onsite and not exporting all of the electricity to the electricity grid may apply for certification to be RPS-eligible, if all eligibility requirements are met for that resource type.

On June 9, 2011, the CPUC adopted a decision establishing a rate for payment of excess generation from distributed wind and solar systems, as required by AB 920, and requiring electric utilities to compensate net energy metering customers for electricity they produce in excess of their onsite load at the end of a 12-month period (net surplus generation).[64] In all cases the meter used to report generation to WREGIS must have an independently verified accuracy rating of 2 percent or higher. It is the responsibility of the facility owner and the utility procuring the RECs associated with the net surplus compensation under an AB 920 program to ensure the RECs are transferred appropriately.

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energy resources then the entire output of the facility is only 2 percent nonrenewable, but the incremental generation from the facility would be 20 percent nonrenewable, and thus not counted toward the RPS. Additionally, a facility with a historic baseline of 90 MWh and a renewable baseline of 10 MWh that produces 100 MWh of electricity each month could potentially count 10 MWh as RPS-eligible. If 80.2 MWh of the generation are attributable to the nonrenewable fuel, then the entire output of the facility would be 80.2 percent nonrenewable, but the incremental portion of the facility would be 2 percent nonrenewable. None of this facility's electricity from the use of nonrenewable fuels could count toward the RPS because the total nonrenewable generation from the facility exceeded allowable limits.

64 CPUC, Decision D.11-06-016, June 9, 2011.

G. Energy Storage

There are a wide variety of energy storage technologies. None of these technologies are inherently renewable as they are not dependent on the use of a renewable energy resource. However, energy storage technologies can be used to store energy from a renewable energy resource to produce electricity at a later time. In such cases the resulting electricity may be eligible to produce RECs.

An energy storage device may be considered an addition or enhancement to a renewable electrical generation facility consistent with Public Resources Code 25741, Subdivision (a)(1), if the device falls within one of the two classifications below. Energy storage devices or facilities not falling into one of these two classifications are not eligible for the RPS as part of a electrical generation facility and may not receive RPS certification or precertification as they do not generate electricity from a renewable energy resource or directly store energy from a renewable energy resource for delivery of electricity at a later time, but rather store electricity as part of the electric transmission system.

All renewable electrical generation facilities including energy storage in an application for RPS certification must comply with the metering requirements specified in Section III.A.2: Metering Requirements Energy storage systems using pumped storage hydroelectric must meet the eligibility requirements for small hydroelectric facilities.

1. Integrated Energy Storage

Methods of storing energy from a renewable energy resource that are integrated into the renewable electrical generation facility as part of the generation process are enhancements to the renewable electrical generation facility.[65] These methods generally store an energy potential created at the electrical generation facility by the renewable energy resource, or a mix of renewable and nonrenewable energy resources, before the generation of electricity occurs. If a storage device stores energy after the production of electricity, for example battery storage, then the storage device must only be capable of storing energy coming from the renewable generator.[66]

Facilities can use renewable and nonrenewable energy resources to generate electricity. For these facilities the output of a storage device integrated into a renewable electrical generation facility using nonrenewable energy resources will be a mix of renewable and nonrenewable energy, regardless of the fuel used at the time energy is stored in the device. For information on facilities using multiple energy resources see Section III.B: Renewable Facilities Using Multiple Energy Resources.

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65 For example, thermal energy storage incorporated into a solar thermal electric facility.

66 For example, if the electrical generation facility is a solar photovoltaic system with a battery storage device, the battery must be incapable of receiving electricity from any source except the photovoltaic system. If the generation facility is a biomass plant that also uses natural gas in the electricity generation process, then the battery may only receive electricity from the generation facility associated with the biomass-fired gas boiler(s).

2. Directly Connected Energy Storage

An energy storage device not integrated into the operations of a renewable electrical generation facility and able to receive energy inputs from other sources is an addition to the renewable electrical generation facility if the energy storage device and the renewable electrical generation facility are both:

a) Directly connected.[67]

b) Operated as part of the same RPS eligible electrical generation facility.

All energy inputs to the facility, the renewable generator and the energy storage system, would be considered in the fuel measurement methodology, see Section III.B: Renewable Facilities Using Multiple Energy Resources. The resulting percentage of renewable fuel used to generate electricity would be applied to the generation output of the facility.

Alternatively, the applicant may propose to treat only the energy leaving the facility, including the renewable generator and storage device, in excess of the imported grid electricity as RPS eligible, if it can be shown that this approach will underestimate the renewable portion of the stored and exported electricity in all possible cases.

67 Electricity from the renewable generator is transmitted to the storage device on an internal power line and not on any electrical transmission or distribution line(s) used for any purpose other than delivering power to or from the energy storage device. An internal power line is any power line on the generator side of the meter(s) used to report generation for RPS purposes. Such lines may be used to serve onsite load.

IV. Certification

This section describes the process for RPS precertification and certification of electrical generation facilities that use renewable energy resources to generate electricity. Applications will be evaluated under the edition of this guidebook that is in place at the time a complete application is received by the Energy Commission. Applications that are submitted using forms no longer in use by the Energy Commission will not be accepted.

Electricity generation from an electrical generation facility cannot be counted toward meeting a retail seller or POU's RPS procurement requirements unless the facility is first certified by the Energy Commission as eligible for the RPS. Any facility operator who owns a facility or is interested in entering into a contract to generate electricity that will count toward a retail seller's or POU's RPS obligation must certify the facility with the Energy Commission before the generation may be counted toward a retail seller's or POU's RPS obligation.[68] Procurement of RPS-eligible electricity may count toward a retailer seller's or POU's RPS obligation if the electrical generation facility uses an eligible renewable energy resource and was RPS-certified at the time of procurement or applied for RPS certification or precertification at the time of procurement, with some exemptions as noted below.

When applying for RPS certification, the facility operator or agent applying on the operator's behalf agrees to participate in the Energy Commission's generation tracking and verification system. For more information about the tracking and verification system, please refer to Section V: RPS Tracking Systems, Reporting, and Verification.

A. Certification Types

The Energy Commission approves RPS certification for electrical generation facilities that have commenced commercial operations and are generating renewable electricity, as described in this guidebook. Provisional certification or "precertification" as an eligible renewable energy resource is available for an applicant whose facility has not commenced commercial operations or is not yet using an eligible renewable energy resource. **The Energy Commission's approval of a facility for precertification does not guarantee that a facility will be eligible for RPS certification in the future, and the precertification certificate will indicate this on its face.** All applications for RPS certification or precertification will be evaluated under the guidebook in place at the time the Energy Commission receives a complete application from the applicant, see Section IV.B: The RPS Application Process for more information on what constitutes a complete

68 The Third Edition of the *RPS Eligibility Guidebook* allows generation to count only toward a retail seller's RPS procurement obligation if it occurs after the Energy Commission receives the precertification or certification application. Earlier editions of the *RPS Eligibility Guidebook* editions did not contain this restriction and counted all generation toward a retail seller's RPS obligation so long as the facility eventually became certified. The Fourth Edition of the *RPS Eligibility Guidebook* provided notice that, going forward, the Energy Commission will no longer count pre-2008 procurement toward a retail seller's RPS obligation unless the facility was certified at the time of the procurement or the Energy Commission received an application for certification before March 1, 2011.

applications. The Energy Commission provides different types of certification, depending on the facility operations, contractual obligations, and applicant preference. Each type of certification may require the use of a specific application form. Provided below are descriptions of the different types of certification and the necessary forms for each type, Table 4 summarizes the types of certification.

Table 4: Summary of RPS Certification Types

Section	Certification Type	Eligible For RPS	Application Form
1	Individual Facilities	Yes, no restrictions	CEC-RPS-1
2	Aggregated Facilities	Yes, no restrictions	CEC-RPS-3
3	Multijurisdictional Utility Certification	Yes, only for the specified MJU	No longer offered
4	POU Certification	Yes, no restrictions	No longer offered
5	Utility Certification	Yes, only utility representing the facility and only for the duration of the original utility contract	No longer offered
6	Limited Certification	Yes, only the POU contracting with the facility prior to June 1, 2010	CEC-RPS-1
7	Special POU Precertification	No, must apply for certification before considered eligible	No longer offered
8	Pre-March 29, 2012 Biomethane Injected into a Common Carrier Pipeline	Yes, with restrictions, see Section	CEC-RPS-2196
9	Historic Carryover only	No, may only be counted for historic carryover purposes	CEC-RPS-1 with exceptions

Source: Energy Commission
The Energy Commission assigns a unique RPS identification number, RPS ID, to each facility represented in a certification, precertification, or aggregated unit application. For certification and precertification applications this number consists of five numerals and a letter suffix. For aggregated units the number has the same format, but each facility in the aggregated unit has an additional four digit identifier with an additional suffix, see Section IV.A.2: Aggregated Facilities for more information. The numeral portion of the RPS ID is assigned in numerical order, beginning with 60,000, and typically will not change over the life of the facility. The suffix is assigned to the facility based on the application type and may be revised as the participation in California's RPS changes over time, see Table 5for a summary of the RPS ID suffixes.

The Energy Commission provides different types of certification, depending on the facility operations, contractual obligations, and applicant preference. Each type of certification may require the use of a specific application form. Provided below are descriptions of the different types of certification and the necessary forms for each type. Table 5, provides a list of the certification and precertification types, as well as the suffix used for each type.

Table 5: RPS ID Suffix Summary

Suffix	Represents	Certification Types**
A	Certification	1, 3, 4
B	Certification and SEPs*	1
C	Precertification	1, 3
D	Precertification and SEPs*	1
E	Utility Certification	5
F	Certification for Pre March 29, 2012 Biomethane	8
G	Precertification for Pre March 29, 2012 Biomethane	8
H	Historic Carryover only	9
L	Limited Certifications	6
M	Certification for Biomethane Facilities Subject to Sections II.C.1 and II.C.2.	1 and 8
N	Precertification for Biomethane Facilities Subject to Sections II.C.1 and II.C.2	1 and 8
P	Special POU Precertification	7
R	Facility in an Aggregated Unit	2

Source: Energy Commission
*SEPs (supplemental energy payments) are no longer offered by the Energy Commission, but several certifications or precertifications still retain the suffix indicating the original RPS/SEP eligibility.
**Numbers represent the certification types as listed in Table 4

1. Individual Facilities

Applicants seeking certification of an individual facility must apply using the CEC-RPS-1 form. These facilities must constitute an individual project, as defined in the glossary of terms. Applications for both certification and precertification can be made for this certification type. Upon receipt of an application for a facility not previously certified with the Energy Commission's RPS program, the facility will be assigned a unique RPS certification number with a suffix of "A" for certification applications, and a suffix of "C" for precertification applications. A previously certified or precertified facility will retain its RPS identification number, but the suffix will change to reflect the most recent application type.

2. Aggregated Facilities

To streamline the process for certifying and precertifying distributed generation facilities, the Energy Commission provides an aggregated application process for wind and solar photovoltaic facilities. An aggregated unit is a group of facilities having both similar characteristics and registered in WREGIS as an aggregated unit. The eligibility of an aggregated

unit depends on the eligibility of all facilities within the aggregated unit. An application for an aggregated unit will not be approved unless all facilities in the unit are eligible. If the Energy Commission determines that one facility in an approved unit is not RPS-eligible, the applicant shall have 30 days, once notified, to submit an amended application that removes any ineligible facilities from the aggregated unit, or the entire unit will lose its certification.

A facility may be part of an aggregated unit using the CEC-RPS-3 form if it meets any one of the following:

a) Has received benefits from a ratepayer-funded incentive program.
b) Participates in a net metering tariff.
c) Primarily serves onsite load.

Facilities that are less than 20 kW (AC) and that received benefits, or plan to receive benefits, from a ratepayer-funded incentive program or a net metering tariff are encouraged to apply for certification as part of an aggregated unit.

All facilities applying for certification as an aggregated unit on the CEC-RPS-3 application form must share a WREGIS Generating Unit ID number (GU ID).[69] The application form must also include all the facilities using that WREGIS GU ID, so that the RPS ID and the WREGIS GU ID numbers assigned to an aggregated unit will include an identical set of generating facilities. All facilities must also use the same generation technology (for example, wind or solar photovoltaic).

Aggregated units will receive an RPS ID with an "R" suffix, and each facility in the unit will be assigned a four-digit identifier with an additional suffix of "A" for certification, or "C" for precertification, so the extended RPS ID number for a facility in an aggregated unit will have the format #####R-#### A.

a. Net Surplus Compensation Participation

Facilities receiving compensation for excess RECs under an AB 920 program may also be certified in an aggregated unit. In all cases the meter used to report generation to WREGIS must have an independently verified accuracy rating of 2 percent or higher. It is the responsibility of the facility owner and the retail seller or POU procuring the excess RECs under an AB 920 program to ensure the RECs are transferred appropriately. To count RECs procured under an AB 920 program, the retail seller or POU must retire the RECs in WREGIS and may be required to submit documentation demonstrating that the RECs and the associated electricity were procured together as part of an AB 920 program.

3. Facilities Serving Multijurisdictional Utilities

In the past the Energy Commission provided a special certification for facilities serving a multijurisdictional utility under former Public Utilities Code Section 399.17. These facilities applied for certification using the CEC-RPS-1 form and were approved for certification with

69 See the WREGIS Operating Rules Appendix A, the WREGIS Interface Control Document, Addendum A, WREGIS Generation Classification.

different certification requirements, but only the generation procured by the multijurisdictional utility was considered RPS-eligible.

The Energy Commission will no longer accept an application for the certification of a facility in this manner. A facility previously certified as serving only a multijurisdictional utility may retain its current RPS certification until such time as the contract with the multijurisdictional utility ends or a change in the facility operations or contracting parties requires an amended application for RPS certification, whichever is earlier. If another load-serving entity plans to procure electricity from a facility certified in this manner, the facility operator, or agent thereof, must submit an amended application to certify the facility as an individual facility and must submit all applicable certification forms and information.

4. Facilities Serving POUs

To expedite the initial RPS certification of facilities selling electricity to POUs, the Energy Commission accepted new applications for commercially on-line facilities serving POUs submitted on the CEC-RPS-4 form until October 1, 2012. This certification type is no longer offered by the Energy Commission. For a facility to become certified using the CEC-RPS-4 form, the facility must have been under contract with and delivering electricity to the POU submitting the form as of January 1, 2012. In addition the POU must have been able to provide all necessary material for certification of the facility; the facility must not have been previously certified in the RPS program; the technology, fuel, or energy resource used by the facility must not require use of supplemental forms or additional reporting requirements; and no fewer than 5 facilities must be included in the application. A facility certified using a CEC-RPS-4 form was assigned an RPS ID with an "A" suffix, and any utility may procure generation from the facility as RPS-eligible.

5. Utility-Certified Facilities

The Energy Commission will not accept an application on the facility operator's behalf using a CEC-RPS-2 form.[70] Instead, a retail seller must now use the CEC-RPS-1 form to apply for certification or precertification as a facility's agent; in this instance, the generation would be eligible for use by any retail seller or POU, subject to other applicable limitations.

Facilities certified by a retail seller using a CEC-RPS-2 form before the publication of the fourth edition of this guidebook were assigned RPS IDs with an "E" suffix and were granted certification for only the generation procured under contract by that retail seller. The facility operator must separately certify any facility capacity that is not subject to its procurement contract with the retail seller, but that is procured to satisfy the RPS targets of another retail seller or POU. If a facility operator, or agent thereof, seeks certification on its own behalf using

70 The Energy Commission developed the CEC-RPS-2 Form in 2004 to facilitate the initial application process for the RPS and to accommodate retail sellers applying for a significant number of facilities on the facilities' behalf. The Energy Commission will no longer accept the RPS-2 Form for this purpose, or any other purpose.

the CEC-RPS-1 form, however, the facility operator need submit only one application for that facility regardless of whether its generation is sold to one or multiple retail sellers or POUs.

Except for CPUC-ordered extensions to existing QF power purchase contracts, retail seller certification on the operator's behalf using the CEC-RPS-2 form becomes void in the event the facility's contract with the retail seller expires, is voluntarily extended, or is otherwise renegotiated[71] by the retail seller and the facility operator. Once the contract expires or is voluntarily renegotiated, the facility operator, or agent thereof, must apply for certification from the Energy Commission using a CEC-RPS-1 form within 90 days of the contract termination date. Facilities that have applied using a CEC-RPS-1 form as of the adoption date of this *Seventh Edition* of the *RPS Guidebook* are not subject to this requirement, if the application is approved. The retail seller may not recertify the facility on the operator's behalf using a CEC-RPS-2 form.

a. Maintaining a Utility Certification

Utilities wishing to maintain utility certifications for specific electrical generation facilities are required to provide additional information to the Energy Commission. The additional information will include information on the facility location, ownership, contact information, identification number (including the WREGIS GU ID); the contract term and quantities of electricity allowed to be procured under that contract; and other information necessary for Energy Commission staff to have a complete picture of the facility consistent with other certified facilities. After the adoption of this *Seventh Edition* of the *RPS Guidebook,* Energy Commission staff will provide each utility with a list of the utility-certified facilities that were certified as being under contract with the utility and the requested information that is needed. A utility wishing to continue the certification of any utility-owned facility that is currently utility certified will be required to submit a CEC-RPS-1 application form instead of the additional data request for utility-certified facilities.

Staff will work with the appropriate utilities to develop a reasonable time frame for their response. Failure to respond within the specified time frame may jeopardize the certification for these facilities. After the additional information has been evaluated by staff, new RPS certification certificates may be issued for the utility certified facilities.

6. Limited Certifications

A facility using renewable energy resources that was under contract with, or owned by, a retail seller or POU with the contract or ownership agreement having been originally executed prior to June 1, 2010, and not meeting the eligibility requirements of the current *RPS Guidebook*, may receive a limited certification of the facility so that the electricity procured under that contract or ownership agreement may be counted for the RPS if all the following conditions are met:

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71 Historically, only revisions to contracts affecting the amount of electricity procured by the retail seller, such as contract term or quantities, or the resource used to generate that electricity constituted a renegotiation and required a new application. As of the adoption date of this seventh edition of the *RPS Guidebook,* any revision to a contract will be considered a renegotiation, will void the previously awarded utility certification and require the submission of an amended certification application form.

a) The facility was eligible for the RPS under the rules in the *RPS Guidebook* in place when the contract was executed, or the *First Edition* of the *RPS Guidebook* if the contract predates the adoption of the first edition.

b) For an electrical corporation, the contract has been approved by the CPUC, even if that approval occurs after June 1, 2010.

c) Any contract amendments or modifications occurring after June 1, 2010, do not increase the nameplate capacity or expected quantities of annual generation, or substitute a different renewable energy resource. The duration of the contract may be extended if the original contract specified a procurement commitment of 15 or more years.

A facility meeting the above requirements, but failing to meet the eligibility requirements of the current *RPS Guidebook*, may apply for a limited certification on the CEC-RPS-1 form. Except for contract modifications noted above, a facility receiving a limited certification will be eligible for the RPS only for the duration of the contract or ownership agreement originally executed prior to June 1, 2010;[72] this provision applies to only the generation procured under the contract or ownership agreement. These facilities will be assigned a unique RPS certification number with an "L" suffix signifying limited certification applications.

7. Special Precertification for POU-Related Facilities

Facilities previously assigned a precertification RPS ID number with a "P" suffix are owned by or under contract with a POU rather than a retail seller. The "P" suffix indicates that these facilities met all RPS-eligibility requirements, except for previous limitations in the law precluding POU-owned or contracted facilities from being RPS-certified. Thus, the Energy Commission could have assigned only a precertification status to these facilities. A change in law has now removed this restriction, and precertified facilities with a "P" suffix may now apply for RPS certification. Applicants for such facilities must apply for RPS certification and must provide all supporting documentation required in the current edition of the guidebook, if the facility has not already been certified. However, if the applicant previously provided such documentation and it remains accurate, the applicant may simply reference the documentation when submitting a new application for certification. If RPS certification is approved for a facility with a "P" suffix, all generation from the date the initial precertification application was received by the Energy Commission will be considered RPS-eligible[73]. The Energy Commission will change the "P" suffix to an "A" suffix once a facility is again approved for certification.

No new special precertifications for POU-related facilities will be awarded.

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72 Public Utilities Code Section 399.16, Subdivision (d).

73 Facilities that received the special precertification for POU-related facilities are not required to have applied for certification within 90 days of commencing commercial operations. These facilities are required to apply for certification within 90 days of any material change in the facility operations as a special precertification cannot be amended.

8. Facilities with Pre-March 29, 2012, Contracts for Biomethane Injected into a Common Carrier Pipeline

An electrical generation facility that is certified or precertified under Section II.C.1: Existing Biomethane Procurement Contracts above will be certified on a limited basis and will receive an RPS ID number with an "F" or "G" suffix, for certification and precertification, respectively. These suffixes indicate that the facility will not remain certified or precertified after it has used the quantities of biomethane specified in the original contract, as determined by the Energy Commission. If the facility amends the contract term, quantities of biomethane, or biomethane sources, the facility must submit an amended application for RPS certification to the Energy Commission within 90 days of the change. A facility failing to do so will risk losing its RPS certification status, see section IV.B.7: Amending Certification or Precertification. A facility that meets the requirements of Section II.C.1, except that the biomethane source has not commenced biomethane delivery will be precertified on a limited basis; the applicant must submit an application for RPS certification within 90 days of commencement of receipt of biomethane deliveries to retain treatment under Section II.C.1.

Facilities using biomethane sources eligible under both Sections II.C.1: Existing Biomethane Procurement Contracts and II.C.2: New Biomethane Procurement Contracts will receive an "M" or "N" suffix, for certification and precertification, respectively, signifying that the facility is eligible under both rules. Once the biomethane source(s) eligible under Section 1 are no longer used, the facility must amend the certification on a CEC-RPS-1 form and will be issued an "A" suffix, see Section IV.B.7: Amending Certification or Precertification.

9. Historic Carryover

A POU may count historic carryover to meet its RPS procurement requirements as specified in the Energy Commission's adopted regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities*. The generation from historic carryover must have been produced at a renewable electrical generation facility that was RPS-eligible under the *RPS Eligibility Guidebook* current at the time of execution of the contract or ownership agreement, except that the generation from such resources need not have been tracked in WREGIS. If the contract or ownership agreement was executed prior to April 21, 2004, the procurement must have been from resources that were RPS-eligible under the *RPS Eligibility Guidebook* in place as of April 21, 2004.

A POU wishing to count historic carryover from a particular facility to meet the POU's RPS procurement requirements must identify the facility on the CEC-RPS-POU form and identify the following:

a) If the facility is currently RPS certified, not RPS certified, or whether an application for RPS certification is currently under review.

b) The edition of the *RPS Eligibility Guidebook* in effect at the time the contract or ownership agreement was executed.

c) Whether the facility met the requirements of the *RPS Eligibility Guidebook* in effect at the time the contract or ownership agreement was executed. The POU is responsible for providing supporting documentation, as necessary, to support this claim. Evidence of compliance with a former edition of the *RPS Eligibility Guidebook* may include:

   1) A previously awarded certification under the guidebook in place when the PPA or ownership agreement was signed. The RPS ID for the facility will suffice.

   2) A current certification under a different guidebook with all supplemental information required by the edition in place when the PPA or ownership agreement was signed. This includes facilities with pending certification applications. It also requires the RPS ID for the facility and the supplemental information required by the edition in place when the PPA or ownership agreement was signed.

   3) For facilities not currently RPS certified nor represented in a pending RPS application and that the POU is incapable of applying for the certification as an agent of the facility owner, the POU must submit an unsigned CEC-RPS-1 form, under the current *RPS guidebook*, with the necessary supporting documentation required by the guidebook edition in place when the PPA or ownership agreement was signed.[74]

The POU submitting the CEC-RPS-POU form will be required to submit all necessary supporting documentation for all historic carryover claims.

A facility that produced generation that a POU wishes to count as historic carryover, but which does not need to be otherwise RPS certified, will be assigned an "H" suffix to their RPS IDs, representing an historic carryover only certification. After the Energy Commission has completed its review of the historic carryover for California's RPS, it will cancel each facility's historic carryover certifications unless an application for ongoing RPS certification of the facility has been submitted by a representative of the facility owner.

A facility that produced generation that a POU wishes to count as historic carryover, and was previously awarded RPS certification or limited certification, will retain the original suffix on its RPS ID.

B. The RPS Application Process

The next section outlines the process of applying for precertification and certification, provides information on completing the application forms and submission requirements, and describes the application review and approval processes. Only facilities that have begun commercial operations may apply for RPS certification.

1. Completing Application Forms

Individual facility or aggregated unit applicants must submit a completed application (see Section IV.A: Certification Types) and all required supplemental information; for more

74 If the POU is the facility owner or is capable of applying for certification of the facility on behalf of the facility owner, the POU must separately apply for certification under the current *RPS Guidebook*.

information please review Section II: Energy Resource Eligibility Requirements. All information requested in the application forms must be provided unless otherwise specified. The additional required information described in this guidebook must be submitted along with any application for certification.

Any additional information provided to the Energy Commission as part of the application process must be presented in a clear and logical manner. If documentation created for other purposes is submitted with the application, for example, historic contract, water rights, or environmental documentation, the applicant should list all submitted documents, briefly summarize the purpose of each document, identify what requirement each document is being submitted to fulfill, and indicate where in the each document the necessary information is contained.

When a retail seller, POU, or agent applies on a facility operator's behalf, the retail seller or agent must furnish all additional required information. To the extent that the facility's agent or a retail seller applies for certification on a facility's behalf, the agent or retail seller must secure and have available for inspection records to verify the application for certification or precertification. In addition, the agent, POU, or retail seller must possess documents to verify a facility's compliance with the requirements of certification and precertification. These documents must be available to the Energy Commission upon request for auditing purposes.

Only the authorized officer or agent of the facility, the applicant, or the persons identified on the application form, as listed on the submitted application, may approve or request any changes to an application form during the review process. No changes may be made to an application once the review has been finalized; if the applicant wishes to make any changes, an amended certification (or precertification) application must be submitted. If during the application process substantial revisions to the application are requested by the applicant, or are necessary to continue the review of the application, the Energy Commission may request a new application be submitted to replace the existing application. If the persons identified on the application form are unavailable or no longer associated with the facility, an amended application must be immediately submitted to name a new applicant or contact person, see Subsection 7 below.

Application forms can be found on the Energy Commission's website at:

http://www.energy.ca.gov/renewables/documents/index.html#rps

2. Submission Requirements

Before an application for RPS precertification or certification is considered received by the Energy Commission, the applicant must submit both a hard copy and an electronic copy of the completed application form. The hard copy of the complete application, with an original signature (not a copy) of the authorized officer or agent of the facility, along with all supporting documentation (supplemental information may be provided either in hard copy or electronically), must be submitted to the Energy Commission at:

California Energy Commission
Attn: RPS Certification
1516 Ninth Street, MS-45
Sacramento, CA 95814

The electronic version of the unsigned application form in Excel® format must be submitted to the Energy Commission via email to [RPSTrack@energy.ca.gov]. The subject line of the e-mail and the name of the Excel® file should include "Certification," the facility name (or aggregated unit name), and the RPS ID number (if applicable) in the following format:

RPS Certification (or Precertification) of the [Facility Name], [RPS ID number if available]

Once the Energy Commission has received all of the above information from the applicant, including all required supplemental information, the application will proceed into the review process.[75] Prior to beginning the review process the Energy Commission will e-mail the applicant a confirmation that both a hard copy and electronic copy of the application has been received.[76] An application for certification for a facility that has not yet begun commercial operations using a renewable fuel will be returned to the applicant; only an application for precertification will be accepted for such facilities.

3. Eligibility Date

Upon receipt of the application, electronic and hard copy, staff will date stamp the hard copy of the application as received. This is the official date upon which the Energy Commission deems the application received. For first time applications of precertification, certification, or aggregated units that are approved this date will become the eligibility date, or beginning on date, for the facility. Facilities that are part of an aggregated until will receive an eligibility date that is later than the eligibility date for the remainder of the unit if the facility is added to the unit after the original creation of the aggregated unit. If the facility, or facilities in an aggregated unit, is subsequently certified as RPS-eligible, all generation beginning with the month of the eligibility date that is tracked in WREGIS will be considered RPS-eligible. The eligibility date will be provided with the approval notification.

The eligibility date for a facility may be revised for several reasons. If the eligibility date is revised for any reason the applicant will be notified. These reasons include:

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75 If the applicant does not have the required software or Internet access to complete an electronic submission in the required format, and has made all reasonable attempts to complete an electronic submission, the applicant may request a waiver of the electronic submission requirement by submitting a written request to Energy Commission staff that includes an explanation of the circumstances. Staff may explore alternatives with the applicant before considering a waiver. The applicant shall make a written request for a waiver before submitting an application in an alternate format.

76 A confirmation email does not indicate that the application submission is complete, will be reviewed as submitted, or that the application will be approved. The confirmation will only indicate that both a hard copy and electronic copy of the application have been received on the current application forms.

a) Denial of an application.[77]

b) Failure to submit a certification application within 90 days of commencing commercial operations for a precertified facility, or before the adoption date of this *Seventh Edition* of the *RPS Guidebook*.[78]

c) Substantial changes in the operations of the facility from the precertification application.

d) Moving a facility from one aggregated unit to another, affects only the moved facility.

e) Withdrawing the certification or precertification of a facility or removing a facility from an aggregated unit.

f) Failure to submit an amended certification within 90 days of the change requiring an amendment, or before the adoption date of this *Seventh Edition* of the *RPS Guidebook*.

g) Revoking the certification of a facility.

If the eligibility date is revised for a facility, aggregated unit, or facility in an aggregated unit that was not previously certified, the generation occurring before the new eligibility date will not be RPS-eligible. Generation from facilities that were certified before the revision to the eligibility date may still be used for California's RPS if the original certification was appropriately approved and occurred before the denial or withdrawal of an application or before the change in operations that required a submission of an amended application.

There are several special cases where the generation from a specific facility or aggregated unit may count for California's RPS prior to the eligibility date, or may be able to retain a previous eligibility date despite a failure to submit a certification or amended certification application in a timely manner. These special cases are explained in more detail below and include:

a) Net Surplus Generation: Generation procured as part of an AB 920 net surplus compensation program prior to October 1, 2012.

b) Existing hydroelectric generation unit operated as part of a water supply or conveyance system.

c) A facility serving a POU.

d) A facility using biomethane that fails to apply for certification or amended certification within 90 days.

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77 Applications that were denied for being incomplete after the adoption of the fifth edition of the *RPS Eligibility Guidebook* may reinstate the original eligibility date, assigned to the facility in an approved application, if an application was received by the Energy Commission before the adoption of this guidebook.

78 An operating nonrenewable electrical generation facility that was precertified for planned use of a renewable fuel must apply within 90 days of commencing operations using renewable fuel to retain the facility's RPS-eligibility date that was assigned at the time of precertification.

In all cases, the electricity will not be considered eligible and will not be counted toward meeting an RPS obligation until the facility is actually certified by the Energy Commission as eligible for the RPS, and the facility's operations are consistent with the information provided in the certification application. This applies to all facilities regardless of whether they previously registered with the Energy Commission's Renewable Energy Program.

All eligible generation produced in the month of the eligibility date, or later, and properly tracked in the WREGIS system[79] will be considered RPS-eligible generation.

a. Net Surplus Generation

Generation procured by a utility under an AB 920 net surplus compensation program prior to the electrical generation facility's eligibility date will be considered RPS-eligible once the facility has become RPS-certified. The generation produced and procured pursuant to an AB 920 net surplus compensation program prior to the facility applying for certification or October 1, 2012, whichever is earlier, may be reported to the Energy Commission using the ITS if the facility is registered in WREGIS when applying for RPS certification. It is the responsibility of the utility claiming the RECs procured under an AB 920 program to provide evidence that the quantity of claimed RECs does not exceed the quantity procured under AB 920.

b. Existing Hydroelectric Generation Unit Operated as Part of a Water Supply or Conveyance System

Generation from an existing small hydroelectric generation unit up to 40 MW that is operated as part of a water supply or conveyance system, as defined in the Glossary of Terms, and that is RPS-certified by the Energy Commission may be counted toward a retail seller's or POU's RPS procurement requirements beginning on January 1, 2011, consistent with SB X1-2, if an application for certification is received by the Energy Commission no later than 90 days after the adoption of the *Seventh Edition* of the *RPS Eligibility Guidebook*.

c. Grace Period Exception for Facilities Serving Local Publicly Owned Electric Utilities

For generation occurring on or after January 1, 2011, to count toward a POU's RPS procurement obligations from a facility that was not certified by the Energy Commission as RPS eligible at the time of generation, the Energy Commission must receive an application for RPS certification by December 31, 2013, and subsequently certify the facility as RPS-eligible.[80] An applicant must include the facility's assigned WREGIS GU ID number on the application for RPS certification. As noted above, applicants must register facilities with WREGIS to be assigned a WREGIS ID number. If the generation occurred before adoption of the *Renewables Portfolio Standard Eligibility Guidebook, Fifth Edition*, the Energy Commission must determine that the facility met the

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79 Limited exceptions to this requirement exist. Please see Section IV: RPS Tracking, Reporting, and Verification.

80 A facility must be RPS-certified by the Energy Commission before a POU or retail seller may report procurement of its generation toward the POU's or retail seller's RPS procurement requirements. In earlier editions of this guidebook, a facility under contract with or approved by a POU for its RPS before June 1, 2010, was encouraged to apply for certification by October 1, 2012.

eligibility requirements of the *Renewables Portfolio Standard Eligibility Guidebook, Fourth Edition*, at the time the generation occurred for the generation to count toward the POU's RPS. Generation meeting these requirements may only be counted toward the RPS procurement obligations of a POU.

d. Facilities Using Biomethane

Many facilities using biomethane that are certified or precertified to use biomethane under earlier editions of this guidebook were unable to apply for certification or amended certification or precertification within 90 days after the commercial operations date, or other significant change in operations that requires an amended application, because of the biomethane suspension that was implemented by the Energy Commission on March 29, 2012. These facilities may retain the original eligibility date provided in a previously approved precertification or certification if an application for certification or amended certification or precertification is received within 90 days after the adoption of this *Seventh Edition* of the *RPS Guidebook* and all other eligibility requirements are met.

4. Application Review Process

Upon receipt of the completed application, staff will date stamp the application as received and begin the review process. A valid RPS ID will be assigned to the facility or aggregated unit, as necessary. Facilities that have already been assigned an RPS ID will retain that ID for the life of the project. The suffix may change if additional applications for certification or precertification are submitted for the facility; see Table 5 for the meaning of various RPS ID suffixes. Complete applications are processed in the order they are received.

The Energy Commission may use any information or records submitted to the Energy Commission or obtained as part of the application review process or any audit to determine eligibility and compliance with the RPS. The information and records may include, but are not limited to, applications for RPS precertification and certification, supplemental documentation submitted with RPS applications, documents submitted to substantiate procurement or generation claims, any other documentation submitted upon request of the Energy Commission, publicly available information and documents, and information submitted to other state, federal, or local agencies. This information and these records may be disclosed to the public pursuant to the California Public Records Act (Government Code Section 6250, et seq.). If, as part of any audit, the Energy Commission requires the applicant to provide copies of records that the applicant believes contain proprietary information entitled to protection under the California Public Records Act or other law, the applicant may request that such records be designated confidential pursuant to the Energy Commission's regulations for confidential designation, Title 20, California Code of Regulations, Section 2505.[81]

The Energy Commission will make every effort to notify applicants if their facility is eligible for the RPS as soon as possible. For facilities that are not required to submit additional information

81 Please refer to the section VIII.B.4: Use and Disclosure of Information and Records for more information.

pursuant to this guidebook, the Energy Commission expects to review and process applications for certification and precertification within 30 business days of their receipt, unless questions or concerns arise regarding the applications. For applicants that must submit additional required information, such as for biopower, hydroelectric, repowered, facilities with a first point of interconnection to a non-CBA outside California, or out-of-country facilities, the Energy Commission must conduct an extensive review of the additional data, which could take more than 60 days from the date a complete application is received by the Energy Commission and, if applicable, the Executive Director makes a determination on any related requests from the applicant for confidential designation.[82]

If questions arise, the applicant will be contacted and may be asked to submit additional information. A request for additional information will place a hold on the review process for that facility until the Energy Commission receives the requested information. If the applicant does not respond within 60 days to a request for clarification or additional information regarding the application, the application will expire without approval, be returned, and the application will be labeled incomplete. The applicant must submit a new application with complete information to reinstate the certification request. The Energy Commission may not seek clarifications on all points of an application for a facility that is not using, nor plans to use, a renewable energy resource, or that clearly fails to satisfy any portion of the eligibility requirements of this guidebook. These applications will be disapproved for failing to meet the RPS eligibility requirements as indicated by the applicant, and not the incompleteness of the application.

5. Notification of the Final Determination

After completing its review, the Energy Commission will notify applicants in writing of its determination on the application for certification or precertification. If the application for certification or precertification is approved, the Energy Commission will issue a certificate stating that the facility, or aggregated unit, is certified or pre-certified as eligible for the RPS. An individual facility certificate will list the Energy Commission-issued certification number for the facility as well as the size, fuel type or types, annual percentage of nonrenewable energy resources (if any), name, location, owner/operator of the facility, applicant or certifying agent, date RPS eligibility begins, and other information relevant to the facility's eligibility. The certificate will also indicate whether the facility was certified by the facility owner/operator, an agent of the facility owner/operator, or a retail seller on the owner/operator's behalf. A copy of the certificate will also be sent to the owner/operator as indicated on the application form, if different than the applicant. An aggregated unit certificate will list the Energy Commission-issued certification number for the unit as well as the number of facilities in the unit, the total size, fuel type, name, aggregating entity, applicant or certifying agent, the applicable RPS eligibility dates, and other information relevant to the facilities' eligibility.

82 Review times provided are estimates and are subject to change depending on the complexity of the application and the activity in the application queue.

Previous approval of precertification status does not guarantee that a facility will be eligible for RPS certification in the future, and the precertification certificate will indicate this on its face. All facilities must meet the eligibility requirements set forth in the edition of the *RPS Eligibility Guidebook* in place at the time the Energy Commission receives an application for certification, regardless of whether the facility had previously been awarded precertification status.

In addition, the certificate will identify any limits on certification (or precertification). For example, a certificate issued for a multijurisdictional facility certified pursuant to Public Utilities Code Section 399.17 will indicate that the generation of the facility is only eligible to be claimed for RPS compliance by the multijurisdictional utility identified in the application.

If the applicant disagrees with the Energy Commission's determination on a certification (or precertification) application, the applicant may petition the Energy Commission for reconsideration as described in Section VIII.C: Reconsideration of Certification.

As specified in Section VIII.B.2: Audits, the Energy Commission may conduct periodic or random reviews to verify records submitted for certification (or precertification) for the RPS. Further, the Energy Commission may conduct on-site audits and facility inspections to verify compliance with the requirements for certification (or precertification). The Energy Commission may request additional information it deems necessary to monitor compliance with the certification requirements specified in this guidebook. The information submitted by applicants for precertification is subject to further verification once the facility comes on-line. Applicants for precertified facilities must submit a complete certification application (CEC-RPS-1) with all additional required information and be certified as RPS-eligible before any of the facility's generation may be counted toward satisfying a retail seller's or POU's RPS procurement requirements.

6. Checking the RPS-Eligibility Status of a Facility

Upon receipt of an RPS application using the appropriate RPS application forms the Energy Commission will record the status of the facility in the RPS program. The Energy Commission will post information on its website listing all facilities and aggregated units that have been represented in an RPS application and the status of the most recent application, which dictates the status of the facility in the RPS program. Any changes in a facility's certification status will also be posted on the Energy Commission's website. This information can be found online at:

http://www.energy.ca.gov/portfolio/documents/list_RPS_certified.html

The status of each facility listed will indicate as one of the following:

a) Received: The application has been received by the Energy Commission, but the review has not begun or only a minimal review has been performed.

b) Corrections Sent: The staff analyst has submitted a request for more information or clarification on the application to the applicant, the review is on hold until the requested

information is provided in writing. The applicant will have 60 days to respond before the application is classified incomplete.

c) Pending: The application has passed the initial review and is in the queue for the final review, further inquiries may be pursued as needed.

d) Approved: The application is approved and either certification or precertification has been awarded, the certificate and an accompanying letter have been sent.

e) Suspended: The eligibility of an approved facility or aggregated unit is in question and the applicant, as listed on the application, has been contacted for clarification when possible.[83] Generation from facilities with a suspended status may not be used to meet the RPS obligations of any entity until the issues are resolved, which may require the submission of an amended application form. Once the issues are resolved the suspension will be lifted and generation from that facility, including generation occurring during the period of suspension, may be used to meet RPS obligations. Failure to resolve the suspension within a year may result in the disapproval of the facility.

f) Incomplete: The application for certification, precertification, or an aggregated unit is incomplete and the review cannot be completed as submitted. These applications have been returned to the applicant. For facilities that have not previously been RPS certified or precertified a new eligibility date will be assigned to a future application.

g) Disapproved: The facility is not eligible for California's RPS and no generation from the facility may be claimed for compliance. If the facility had been certified, generation occurring before the disapproval, or the event resulting in disapproval, may be eligible depending on the circumstances of the disapproval. Facility certifications that have been disapproved will receive a new eligibility date if certification is later pursued.

e) Withdrawn: The applicant for the facility has voluntarily withdrawn the RPS application before the completion of the application review process, or the applicant has requested an end to the precertification or certification of a facility or aggregated unit. Facility certifications that have been withdrawn will receive a new eligibility date if certification is later pursued.

f) Decommissioned: The electric generation facility has ceased to operate, as confirmed by the applicant, the facility owner, or the system operator.

7. Amending Certification or Precertification

Representatives of certified and precertified facilities must notify the Energy Commission promptly of any changes in information previously submitted in an application for certification or precertification. A facility failing to do so within 90 days of the change risks losing its certification status. Any changes to a certified or precertified facility should be reported on an amended CEC-RPS-1 form or an amended CEC-RPS-3 form; certifications cannot be amended

83 If the contact information provided on the most recent application is invalid the facility or aggregated unit will be immediately suspended.

on the CEC-RPS-2 form or on the CEC-RPS-4 form. An amended application with any of the following significant changes will be reviewed under the edition of the guidebook in place at the time the Energy Commission receives a complete amended application for precertification or certification:

a) Change in fuel, technology, or energy resource type

b) Increase in nameplate capacity

c) Change in QF status

d) Change in fuel suppliers (except for biomass facilities)

e) Repowering of the facility[84]

f) Increase in the amount of nonrenewable fuel used annually beyond the allowable amount, or a change that exceeds 10 percent of the total annual energy input.

If, when applying for an amended certification or precertification, all authorized individuals listed on the original application form are no longer associated with the facility described in the application, the new applicant must include a cover letter, signed by a new authorized officer or agent, verifying the legitimacy of the changes. The Energy Commission will review the amended application and notify the applicant of any modifications to its certification status.

Changes to applicant information, authorized individuals, facility owner, facility contact information, or the authorized officer or agent for a facility may be reported to the Energy Commission without subjecting the facility to a full review, provided that none of these changes affect the eligibility of the facility. In these limited cases the applicant must submit a CEC-RPS-1 form with only the following sections completed:

a) Section I: Type of Certification Requested

b) Section II: Facility Name and Location

c) Section V: Application Contact Information

d) Section VI: Facility Ownership and Contact Information

e) Section XI: General Information

84 An amended application for an RPS-certified facility that is repowered, as defined in this guidebook, will be evaluated under the edition of this guidebook in place at the time the Energy Commission receives a complete amended application for certification only if the applicant seeks to revise the commercial operations date of the facility based on the date the repowered facility reentered commercial operations. Applicants of previously certified facilities that are repowered but not seeking to revise the operations date need not amend the facility's certification if all information in the original certification remains accurate and no change in facility ownership or applicant representing the facility have occurred. However, such an applicant is encouraged to notify the Energy Commission to document that the facility was repowered.

f) Section XII: Attestation

Supplemental applications should not be submitted. Applicants wishing to amend any other part of the facility certification or precertification must submit a complete certification or precertification application.[85] A new certificate will only be issued for this amendment if the information on the original certificate is no longer correct.

Also, any changes to the status of a facility's certification will be posted on the Energy Commission's website.

85 Revisions to the applicant and authorized officer or agent for a utility-certified facility may be made by sending a letter, on the utility's letterhead, verifying the change in the applicant or authorized officer.

V. RPS Tracking Systems, Reporting, and Verification

This section describes the Energy Commission's RPS tracking systems and the requirements for reporting and verifying RPS procurement and generation data. RPS-certified facilities, retail sellers, POUs and other third parties participating in the RPS must report procurement and generation data to the Energy Commission so that it may verify the data to ensure procurement claims and related RECs are counted only once for the RPS of California and other states. Once these data are verified by the Energy Commission staff, it is summarized in an RPS Verification Report after the end of each RPS compliance period and used by the CPUC and the Energy Commission to determine RPS compliance of retail sellers and POUs, respectively.

Throughout this section, references are made to the Energy Commission's regulations for the *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities*[86] *(Enforcement Procedures for the RPS for POUs*), for POUs and to CPUC Decisions[87] for retail sellers. This section also uses the term "load-serving entity" (LSE) to refer to retail sellers and POUs, collectively.

A. RPS Tracking Systems

The Energy Commission is responsible for developing a tracking system to verify compliance with the RPS pursuant to Public Utilities Code Section 399.25, Subdivisions (b) and (c), which provide as follows:

> The Energy Commission shall do the following:
>
> (b) Design and implement an accounting system to verify compliance with the renewables portfolio standard by retail sellers and POUs to ensure that electricity generated by an eligible renewable energy resource is counted only once for the purpose of meeting the renewables portfolio standard of this state or any other state, to certify renewable energy certificates produced by eligible renewable energy resources, and to verify retail product claims in this state or any other state. In establishing the guidelines governing this accounting system, the Energy Commission shall collect data from electricity market participants that it deems necessary to verify compliance of retail sellers and POUs in accordance with the requirements of this article and the California Public Records Act (Chapter 3.5 [commencing with Section 6250] of Division 7 of Title 1 of the Government Code). In seeking data from electrical corporations, the Energy Commission shall request data from the [California Public Utilities] commission.
>
> (c) Establish a system for tracking and verifying renewable energy credits that, through the use of independently audited data, verifies the generation of electricity associated with each REC and protects against multiple counting of the same renewable energy credit. The

86 Draft versions of these regulations are available at: http://www.energy.ca.gov/2013publications/CEC-300-2013-002/CEC-300-2013-002-SD.pdf. as adopted.

87 See http://www.cpuc.ca.gov/PUC/energy/Renewables/decisions.htm for relevant RPS Decisions as updated by the CPUC.

Energy Commission shall consult with other western states and with the WECC in the development of this system.

The Energy Commission developed two RPS tracking systems to carry out its responsibilities under Section 399.25: the Interim Tracking System (ITS) and the Western Renewable Energy Generation Information System (WREGIS). The ITS, initially established while WREGIS was being developed, is being phased out. WREGIS is an electronic tracking system that covers the WECC service area. It was launched in June 2007, and issues a REC, termed a WREGIS Certificate, for each reported megawatt-hour of eligible generation on a monthly basis. WREGIS Certificates document the amount of energy generated by a participating facility using renewable energy resources and located in the WECC.

The ITS was utilized to verify all RPS generation and procurement while WREGIS was being developed. Retail sellers were initially required to report the quantity of RECs associated with RPS procurement to the Energy Commission using the ITS. The ITS is based on self-reported data and data collected from various other sources to verify RPS procurement claims and energy deliveries. As explained below in the Section V.B: Reporting to the Energy Commission, the Energy Commission still uses the ITS on a limited basis to verify certain RPS procurement claims. The ITS will no longer be used when all LSEs have fully transitioned to WREGIS. The process for transitioning from the ITS to WREGIS is described in Section V.B.3: Transitioning from ITS to WREGIS.

A REC shall be counted only once for compliance with the California RPS and may not be used to count toward the regulatory requirements of any other state or to satisfy any other retail regulatory or voluntary market product claims.[88] RPS-certified facilities, POUs, retail sellers and third parties who enter into REC transactions for RPS compliance purposes must participate in WREGIS and report procurement and generation data to the Energy Commission so that the data may be verified for RPS compliance purposes.

B. Reporting to the Energy Commission

Although the law now establishes multiyear compliance periods for the RPS, the Energy Commission still tracks and examines RPS procurement and generation data annually to help facilitate verification for RPS compliance at the end of each compliance period. Retail sellers and POUs must therefore report data annually to the Energy Commission as described below. All reports are due to the Energy Commission on July 1 (or the next business day if the first falls on a weekend) of each year for procurement claims to be counted for the previous year. The Energy Commission had previously directed retail sellers and POUs to postpone reporting for 2011. With adoption of this *Seventh Edition* of the *RPS Guidebook*, the Energy Commission provides instructions on how to report RPS procurement beginning with the 2011 and 2012 reporting years. These instructions are provided in the following subsections.

88 The ARB provides for RPS adjustments in its cap and trade program, but requires RECs to be retired for the RPS to qualify for the adjustment. Section 95111(b)(5) http://www.arb.ca.gov/cc/reporting/ghg-rep/tool/power_regreqs_4page.pdf

In certain situations, RPS-certified facilities may be required to report generation data to the Energy Commission or to the LSEs to whom they sell, in addition to what is reported to WREGIS.

1. RPS-certified Facilities with Generation Reported Using the ITS

Except as noted below for test energy and temporary use of the ITS for POUs transitioning to WREGIS, use of the ITS is no longer allowed. Beginning January 1, 2011, procurement data for retail sellers must be tracked and reported to the Energy Commission using WREGIS. For POUs, procurement data must be tracked and reported to the Energy Commission using WREGIS beginning October, 2012.

When the ITS is used for reporting procurement, a generating facility (a retail seller or POU, if the generating facility is owned by the LSE) must report monthly and annual generation data to the Energy Commission on the CEC-RPS-GEN form for the entire previous calendar year for which any WREGIS data are unavailable. Note that for 2011 and 2012 generation data that has not already been reported to the Energy Commission, the CEC-RPS-GEN forms are due to the Energy Commission on July 1, 2013, or ninety days after the adoption date of the *Seventh Edition* of the *RPS Guidebook*, whichever is later. The CEC-RPS-GEN form and instructions are provided in Appendix B: Forms. Energy Commission staff may request that the facility additionally submit monthly payment statements from the LSE, procurement entity, or third party, showing the amount of energy procured from the facility, as an attachment to the CEC-RPS-GEN form. If the facility uses the payment statement to serve as supporting verification documentation, the facility should strike out any price or other sensitive/confidential data on the statement that it does not want to make publicly available.

If an LSE certifies a facility for the RPS on the facility's behalf, the LSE is responsible for reporting the generation data for that facility.[89] This reporting requirement will be satisfied through the interim tracking forms and WREGIS data. LSEs do not need to file a separate CEC-RPS-GEN form to report generation for a generating facility the LSE certifies, nor does the LSE have to separately provide third-party verification of the generation, unless requested to do so for verification purposes. Regardless of whether generation is reported to the Energy Commission using the ITS or WREGIS, the Energy Commission may conduct audits or request additional information, including CEC-RPS-GEN forms, to verify RPS compliance.

2. RPS-certified Facilities Not Interconnected to a CBA and Multifuel Facilities

Additional reporting for generation data will be necessary for facilities whose generation is:

a) Scheduled into a California balancing authority (CBA), where staff will need to analyze hourly meter and schedule data; or

b) From multifuel facilities, for which Energy Commission staff must determine if the entire output of the facility is RPS-eligible and/or if the LSE may only claim the

89 Energy Commission staff plan to phase out utility-certification by the end of 2013, as discussed earlier in this guidebook.

renewable portion of a facility's output. This includes RPS-eligible facilities using biomethane.

Annual hourly data for facilities scheduled into a CBA is required as described in Section VI.C.1: Portfolio Content Category 1. The reporting requirements for multifuel facilities are explained in Section III.B.4: Accounting for Nonrenewable Fuel Use.

3. Transitioning from ITS to WREGIS

As specified in the *RPS Eligibility Guidebook, Third Edition*, effective January 1, 2008, the Energy Commission requires RPS-certified facilities, retail sellers, procurement entities and third parties to participate in WREGIS as part of RPS compliance. In addition, it specified that a Qualified Reporting Entity (QRE)[90] must register with WREGIS before it can report generation data on a facility's behalf. The exceptions to this requirement are discussed below.

a. Using the ITS for Test Energy

Beginning with reporting year 2011, the Energy Commission will accept only retail seller procurement claims for generation that is tracked in WREGIS and reported to the Energy Commission using WREGIS State/Provincial/Voluntary Compliance Reports (WREGIS Compliance Reports), except in the cases where tracking RECs for test energy was not available in WREGIS.[91] Initially, the WREGIS system created RECs for generation associated with the earliest active certificate issuance cycle at the time the facility was approved in the WREGIS system.[92] For new facilities with a recent commercial on-line date, this may include "test energy."[93] In July 2012, the functional requirements of WREGIS were changed so that WREGIS may now create RECs for test energy generated during longer periods that precede the generator's registration and approval in WREGIS. Therefore, retail sellers may use the ITS to report test energy not tracked in WREGIS until July 31, 2012. After this date, retail sellers must report all test energy using WREGIS. As explained below, POUs may use the ITS until October 2012 for all reporting not available in WREGIS, including test energy.

b. Transitioning to WREGIS for POUs

The Energy Commission will track and verify the procurement of POUs to determine compliance with the RPS. A POU claiming RECs for the RPS before October 2012, may use the ITS to report data to the Energy Commission that are not available in WREGIS. A POU may not report using the ITS for generation that is, or is expected to become available, in WREGIS, and should work closely with facilities to ensure WREGIS certificates representing procured RECs

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90 A Qualified Reporting Entity (QRE) **is a**n individual or an organization providing renewable generation data to WREGIS on a unit-specific basis for the purpose of creating WREGIS Certificates**.**

91 *RPS Eligibility Guidebook, Fifth Edition.* http://www.energy.ca.gov/2012publications/CEC-300-2012-002/CEC-300-2012-002-CMF.pdf page 66.

92 The WREGIS Certificate Issuance Cycle begins on the first day *after* the end of the Current Period Generation Month.

93 For purposes of the RPS, test energy refers to preproduction electricity generation that occurs during the testing period of a facility before it commences commercial operations.

are properly transferred to the purchasing POUs. Supporting documentation from WREGIS staff may be necessary to confirm that amounts claimed on the ITS are not, or will not become, available in WREGIS. Beginning with generation on October 2012, the Energy Commission will accept only POU procurement tracked and reported through WREGIS.

4. Reporting Using WREGIS

QREs report generation data to WREGIS. When one megawatt-hour of reported generation is accumulated, WREGIS creates one WREGIS Certificate (REC issued through WREGIS with a unique serial number). For purposes of RPS compliance, retail sellers and POUs must retire RECs to demonstrate procurement of the generation represented in the RECs. In practical terms, WREGIS Certificates that are retired represent both procurement and generation data.

Additional generation data may be required to verify procurement and the Energy Commission may conduct audits or request additional information, including CEC-RPS-GEN forms in addition to WREGIS Compliance Reports, as needed to verify RPS Compliance.

WREGIS has its own rules and functionality requirements independent of the Energy Commission's RPS program. As a result, there may be instances when RPS information reported through WREGIS may ultimately differ from amounts verified by the Energy Commission in its RPS Procurement Verification Reports for retail sellers and POUs. To reconcile differences that occur in WREGIS and verified data, additional documentation may need to be provided by the reporting entities, RPS-certified facilities, WREGIS staff, and/or others involved to substantiate the reason(s) why WREGIS Certificate amounts may ultimately differ from the amounts reported in the RPS Verification Report. The process for reconciling differences with WREGIS data and what is ultimately verified as allowable for the RPS is explained below in Section V.C.4: Accounting for WREGIS Prior Period Adjustments.

5. RPS Procurement Reporting Due Dates

a. RPS Reporting for Retail Sellers

Retail Sellers will retire RECs into an annual WREGIS retirement subaccount for the reporting year in which they are retired. Test energy claims falling under the ITS reporting allowances described above may be reported on the ITS and reported to the Energy Commission at the same time as the WREGIS Compliance Reports. For retail sellers, RECs retired for the 2011 reporting year must be reported by July 1, 2013 or within 90 days after the adoption of the *RPS Eligibility Guidebook, Seventh Edition,* whichever is later, and RECs retired for the 2012 reporting year must be reported within 120 days after the adoption of the *RPS Eligibility Guidebook, Seventh Edition*. For 2013 forward, the due date for reporting RPS procurement retired for the previous reporting year is July 1 of the following year. For example, RECs retired for 2013 reporting year, would be submitted to the Energy Commission on July 1, 2014. Analysis of e-Tag[94] data is necessary to determine Portfolio Content Category classification. Therefore,

94 The North American Electric Reliability Corporation (NERC) is the entity responsible for the implementation of the first energy tagging process. An e-Tag is an electronic record that contains the

WREGIS NERC E-Tag and CA RPS E-Tag Summary Reports no longer need to be sent to Energy Commission staff. Retail sellers must complete WREGIS forms authorizing WREGIS to send the WREGIS NERC e-Tag Summary Reports to CPUC staff. Details for RPS reporting using WREGIS are included in Appendix A: WREGIS Reporting Instructions.

b. RPS Reporting for POUs

POUs will retire RECs into annual WREGIS retirement subaccounts, preliminarily classified into portfolio content categories, for the reporting year in which they are claimed. Claims that meet the criteria for ITS reporting described above may be reported using the ITS and will be submitted at the same time as the WREGIS Compliance Reports. Claims available in WREGIS may not be reported using the ITS. POUs must report historic carryover claims as specified in the *Enforcement Procedures for the RPS for POUs,* by 30 calendar days after the effective date of the regulations.

Energy Commission staff must review contract and other static data (data not expected to change over multiple years) to determine proper portfolio content category classification. The CEC-RPS-POU Compliance Reporting Spreadsheet (CEC-RPS-POU) must be used for this purpose. POUs are encouraged to submit the static contract data to Energy Commission staff in the "Static Information" tabs on the POU compliance reporting spreadsheet and the necessary supporting documentations as soon as possible upon finalization of the *RPS Eligibility Guidebook, Seventh Edition* and adoption of the *Enforcement Procedures for the RPS for POUs* to expedite Energy Commission staff's review. If POUs are unable to submit the information required in the "Static Information" tabs and the supporting documentation as soon as possible, they are encouraged to submit it at the same time that the historic carryover information is due. Delays in providing the information could delay the Energy Commission's determination of POUs' RPS compliance.

POUs must report RECs claimed for the 2011 and 2012 reporting years and all other required reporting information as described in the *Enforcement Procedures for the RPS for POUs* by September 1, 2013 or 30 calendar days after the effective date of the POU regulations whichever is later. For 2013 forward, the due date for reporting RPS procurement retired for the previous reporting year is July 1 of the following year. For example, claims retired for 2013 reporting year, would be submitted to the Energy Commission on July 1, 2014. Details for reporting using WREGIS are included in Appendix A: WREGIS Reporting Instructions.

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details of a transaction to transfer electricity from a seller to a buyer where the electricity is scheduled for transmission across one or more balancing authority area boundaries.

c. *Public Utilities Code Sections 399.17; 399.18; and 399.30 (h) Exemptions from the Procurement Balance Requirements*

Small and Multijurisdictional Utilities (SMJUs), and POUs that meet the requirements of Public Utilities Code (PUC) Sections 399.17, 399.18,[95] and 399.30 (h),[96] respectively, are not subject to the portfolio balance requirements established by PUC Section 399.16 (c).

For a POU that meets the criteria of PUC Section 399.30 (h) and is not subject to the portfolio balance requirements, reporting and verification will differ from the other POUs. A POU that meets the criteria of PUC Section 399.30 (h) will not classify its procurement by portfolio content category in its compliance reports or when reporting procurement for verification. These POUs will classify their procurement in the following categories: count in full, bundled, and unbundled. Verification efforts for POUs that meet the criteria of PUC Section 399.30 (h) will be focused on RPS eligibility, contract execution dates, and whether the RECs are bundled. POUs meeting the criteria of PUC Section 399.30 (h) must report to the Energy Commission in accordance with the *Enforcement Procedures for the RPS for POUs*. Details for reporting using WREGIS are included in Appendix A: WREGIS Reporting Instructions.

For SMJUs, reporting to and verification by the Energy Commission will not differ from that of all other retail sellers. Energy Commission staff will verify the eligibility of the RPS procurement, while CPUC staff will determine the procurement classification. Retail Sellers meeting the criteria of PUC Section 399.17 and/or 399.18 must report to the Energy Commission consistent with the time frames described above for all other retail sellers. Details for reporting using WREGIS are included in Appendix A: WREGIS Reporting Instructions.

C. REC Retirement and Reporting Requirements

The law establishes certain requirements that merit special instructions for when a REC must be retired. The retirement and reporting requirements that apply to retail sellers and POUs are described below.

1. Up to 36 Months for RECs to be Retired and Used for Compliance.

WREGIS certificates, or RECs, used for the RPS starting January 2011 and later must be retired by the retail seller or POU within 36 months from the initial month and year of generation of the

95 http://docs.cpuc.ca.gov/WORD_PDF/FINAL_DECISION/169704.pdf This section applies to utilities (or their successors) having fewer than 60,000 California customers and either serving retail end-use customers outside of California or being located outside the California ISO and receiving the majority of their electricity from generation sources outside California. The first condition applies to PacifiCorp. The second applies to California Pacific Energy Company, the successor to the California assets of Sierra Pacific Power Company. (D.11-02-015; D.11-04-030.)

96 Public Utilities Code section 399.30 (h) applies to POUs that were in existence on or before January 1, 2009, provide retail electric service to 15,000 or fewer customer accounts in California, and are interconnected to a balancing authority located outside California but within the WECC. There are currently two POUs that appear to meet these criteria: City of Needles and Truckee Donner Public Utilities District.

associated electricity to be eligible for the RPS.[97,98] Retire means to claim a renewable energy credit in the tracking system established by the Energy Commission pursuant to the Public Utilities Code Section 399.25(c) and thereby commit the renewable energy credit to be used for compliance with the RPS.

Energy Commission staff will verify that this requirement has been met by comparing the WREGIS Certificate vintage month and year to the WREGIS retirement month and year, as represented by the Action Date on the WREGIS Compliance Report. RECs retired after the 36 month retirement requirement will be deemed ineligible for the RPS, unless documentation is provided to demonstrate that the vintage month and year on the WREGIS Certificate is not representative of the actual generation month and year as described below in Section V.C.4: Accounting for WREGIS Prior Period Adjustments.

2. Procurement Claims May Not Be Made Before the Contract Execution and/or Ownership Agreement Date

RECs cannot be claimed for RPS compliance before the contract execution and or ownership agreement date, as specified in the *Enforcement Procedures for the RPS for POUs* and CPUC decisions for retail sellers. Specifically, RECs cannot be retired for a reporting year prior to when the RECs were procured and, moreover, cannot meet one compliance period's portfolio quantity requirements with procurement dating from a later compliance period.[99] This analysis will be conducted based on month and year of the procurement and/or ownership agreement.

3. Supplements for Previously Reported Years through the Following Reporting Year

LSEs should not expect to supplement REC retirement reports submitted for a previous year. The multi-year compliance periods and the 36 month retirement requirement allowance, combined with allowances for excess procurement, provide LSEs flexibility in determining the necessary amount of RECs to retire per reporting year to meet their RPS procurement requirements. LSEs are encouraged to take a prudent approach to retirement and achievement of the RPS requirements by retiring enough RECs to meet their RPS requirements and, perhaps, retiring more to cover unexpected situations or to qualify as excess procurement.

4. Accounting for WREGIS Prior Period Adjustments

WREGIS Certificates are based on revenue meter data, and when prior period settlement data are finalized, debits or credits may occur in the current reporting period. The WREGIS functionality process called a "prior period adjustment" allows WREGIS to create additional WREGIS Certificates or withhold the creation of WREGIS Certificates in a future month, and

97 Public Utilities Code Section 399.21, Subdivision (a)(6).
98 The requirement that RECs be retired within 36 month will not be applied to historic carryover.
99 Public Utilities Code Section 399.15(b)(2)(c) and 399.30(c)(2).

possibly in a future year.[100] As a result, there may be fewer WREGIS Certificates created in a later month than actual generation for that month to adjust for an earlier month when there were more WREGIS Certificates created than should have been created. In situations like this, where WREGIS prior period adjustments are made to correct the total number of certificates issued to a facility over a certain period, LSEs should claim procurement to reflect the facility's actual generation amounts versus prior period adjustment WREGIS Certificates. If the vintage date on the WREGIS Certificate is not representative of the actual month and year of generation as a result of a prior period adjustment, then additional documentation may be required to verify procurement requirements.

In situations where the actual generation differs from WREGIS Certificate data, LSEs may retire WREGIS Certificates with a vintage that may not match actual generation, as long as there is sufficient documentation to explain the difference. If the prior period adjustment occurs for WREGIS Certificates already retired, LSEs may request Energy Commission staff to "withdraw" the claims, rather than have them be determined as ineligible. If in another year, WREGIS accounts for the reporting error by not creating additional WREGIS Certificates, the LSE may request that the WREGIS Certificates that were withdrawn be re-allocated to the year in which WREGIS withholds the creation of WREGIS Certificates. In this way, although different from the WREGIS data, LSEs are able to have an accurate reporting of the amount of actual RPS generation for RPS purposes.

To account for prior period adjustments in the Energy Commission's *RPS Verification Reports*, supporting documentation will be necessary. Supporting documentation may include one or more of the following:

a) A letter from the LSE explaining the discrepancy and the reason for the discrepancy between WREGIS Certificates and actual generation amounts, particularly in the case where WREGIS Certificates have been retired and an LSE wishes to request the claims be withdrawn;

b) Documentation from WREGIS staff explaining how the prior period adjustment(s) were handled in WREGIS; and/or

c) Additional supporting information that would allow Energy Commission staff to determine the actual generation month and year versus the vintage month and year as indicated on the WREGIS Certificates.

5. Facilities with Special RPS Restrictions

The law provides that RECs may not be created for electricity generated pursuant to any electricity purchase contract with a retail seller or POU executed before January 1, 2005, unless the contract contains explicit terms and conditions specifying the ownership or disposition of those RECs. The law requires procurement under those contracts to be tracked through

100 Refer to the WREGIS Operating Rules for details regarding adjustments to reported generation, including prior period adjustments, which can only be made within two years after the end of the electricity generation month.

WREGIS and counted toward the RPS procurement requirement of the retail seller or POU purchasing the electricity.[101]

Similarly, the law states that no RECs shall be created for contracts with Qualified Facilities[102] under the federal Public Utility Regulatory Policies Act[103] executed after January 1, 2005. The law requires that procurement under these contracts be tracked through WREGIS and counted toward the purchasing retail seller's RPS procurement requirement. [104]

To ensure these statutory requirements are met automatic retirement subaccounts may be used to retire WREGIS Certificates from the two types of contracts described above.

Because Energy Commission staff requested LSEs to delay retiring and reporting data in the *Fifth Edition* of the *RPS Eligibility Guidebook* for the 2011 and 2012 reporting years, RECs under contract types discussed above have not necessarily been automatically retired. With the adoption of this *Seventh Edition* of the *RPS Guidebook* , retail sellers may now retire RECs associated with the contracts described above, and report the 2011 and 2012 WREGIS Certificates in accordance with the instructions in this guidebook; see Appendix A: WREGIS Reporting Instructions for details.

Additionally, for 2013 forward, retail sellers may reinstate the automatic retirement subaccounts for RECs created as a result of these contractual arrangements and begin the automatic retirement process. For the 2013 WREGIS Certificates created before establishment of the automatic retirement subaccounts, retail sellers may retire the WREGIS Certificates and report them with the 2013 reporting year.

LSEs must inform Energy Commission staff of special restriction facilities, from which they have claims, when submitting RPS procurement claims. Once the necessary information has been recorded by Energy Commission staff, LSEs will not need to report the information again unless there is an amendment or relevant change to the contract.

D. RPS Procurement Verification

The Energy Commission will verify whether procurement is consistent with the requirements of this edition of the *RPS Guidebook* and other applicable *RPS Guidebooks* and, for POUs only, consistent with the Energy Commission's *Enforcement Procedures for the RPS for POUs*.

The Energy Commission intends to verify procurement claims for each retail seller and POU on an annual basis for each year of a multi-year compliance period. This process will begin with an Energy Commission staff analysis of annual procurement data as submitted by the LSEs for the preceding reporting year. Staff will work with each retail seller and POU to verify the reported

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101 Public Utilities Code Section 399.21, Subdivision (a)(4).
102 A QF is a qualifying small power production facility eligible for certification pursuant to Section 292.207 of Title 18 of the Code of Federal Regulations.
103 Section 1253 of the Energy Policy Act of 2005 ("EPAct") added Section 210(m) to Public Utility Regulatory Policies Act of 1978 ("PURPA").
104 Public Utilities Code Section 399.21, Subdivision (a)(5).

procurement claims and the Energy Commission staff expect to hold an annual public workshop to present Energy Commission staff's findings and discuss outstanding issues. The Energy Commission plans to post its findings on its website.

Following the end of each compliance period, the Energy Commission will combine the verification results of the intervening years with those for the final year of the compliance period and prepare a report summarizing the results. Because reporting for 2011was delayed, Energy Commission staff may initially combine the verification results for multiple years in a single workshop, particularly if it will lead to overall efficiencies in processing and presenting the data.

The Energy Commission expects to prepare two RPS reports per compliance period, one for retail sellers – *RPS Verification Report for Retail Sellers* and one for POUs - *RPS Verification and Compliance Report for POUs*.

1. Verification Methodology Using the ITS

As discussed above, the Energy Commission developed an ITS for use until WREGIS became operational. Under the ITS, the Energy Commission first verifies that the RPS procurement reported to the Energy Commission is from an RPS-certified facility. Also, to the extent possible, the Energy Commission ensures that electricity products procured by LSEs for the RPS are counted only once in California or any other state. The Energy Commission will conduct this verification by cross-checking RPS procurement with retail claims reported under the Energy Commission's Power Source Disclosure Program and other similar data sources. For RPS-certified facilities for which available generation data indicate that procurement exceeded generation by 5 percent or greater, the procuring LSE must submit supporting documentation to verify procurement from those facilities.

The Energy Commission will apply the applicable provisions of law, this guidebook, and the Energy Commission's *Enforcement Procedures for the RPS for POUs* when verifying the amount of RPS-eligible procurement. The Energy Commission will verify the energy generation to the extent possible and will verify that the amount of RPS-eligible procurement as reported to the Energy Commission did not exceed the facility's total generation. The Energy Commission will check that if two or more utilities procured electricity products from the same facility, the cumulative amount of electricity procured does not exceed the facility's total generation. If procurement exceeds generation, the Energy Commission will report the discrepancies in its RPS Verification Reports.

The Energy Commission will collaborate with other state agencies to determine if generation from each facility is claimed in more than one state's regulatory programs. Additionally, the Energy Commission will monitor renewable energy claims on the voluntary market, where possible. For example, Green-e Energy[105] and the Energy Commission collaborate to help ensure against double-counting of the same renewable energy claims.

105 Green-e Energy is a voluntary certification program for renewable energy.

2. Verification Method Using WREGIS

Beginning with the 2008 compliance year, the Energy Commission started conducting its RPS procurement verification process by analyzing available WREGIS data, and will use WREGIS data to compile and prepare RPS Procurement Verification reports. As with the ITS, the Energy Commission will compare the reported energy generation with other available generation data and will verify that the amount of RPS-eligible procurement as reported to the Energy Commission did not exceed each facility's total generation. Additionally, the Energy Commission will work with other western states and the voluntary market to help ensure against double-counting of RECs.

In the case of a multijurisdictional utility that has retired RECs in a tracking system other than WREGIS (such as NVTREC[106]), the utility may be required to provide a compliance report from such a system to the Energy Commission to assist staff in verifying against double-counting.

As noted in Section III.B.4: Accounting for Nonrenewable Fuel Use, additional information is needed to verify that the nonrenewable RECs are not inappropriately counted for California's RPS. Nonrenewable fuel use information must be submitted to the Energy Commission no later than March 31 of the year following the generation year so staff may verify that the facility's use of nonrenewable fuel did not exceed the facility's de minimis or nonrenewable fuel allowance as specified in Section III.B: Renewable Facilities Using Multiple Energy Resources.

3. Retail Sellers – Finalizing Verified Data

For retail sellers, Energy Commission staff will review the WREGIS Compliance reports and verify the claims as eligible or disallowed; Energy Commission staff will not address Portfolio Content Category (PCC) classification in the *RPS Verification Report for Retail Sellers*. The CPUC will determine PCC classification for retail sellers as part of the RPS compliance determination process.

Energy Commission staff will prepare RPS Verification Summary Tables to show retail sellers the procurement amounts that are determined to be eligible, suspended, or disallowed. Reasons for procurement claims that are suspended or disallowed will be identified in the summary tables. Retail sellers should work with Energy Commission staff to provide any additional information that may change Energy Commission staff's assessment. As appropriate, Energy Commission staff will update the tables. The tables will be presented at a public workshop. If retail sellers disagree with the information provided in the tables, they should provide written and/or verbal comments at the workshop. Comments will be taken into consideration as staff develops and prepares the draft *RPS Verification Report for Retail Sellers*. After it adopts the *RPS Verification Report* for retail sellers, the Energy Commission will transmit the report to the CPUC for its use in determining RPS compliance for the retail sellers.

106 NVTREC is the REC tracking and verification system used for Nevada's RPS.

4. POUs – Finalizing Verified Data

POUs should retire electricity product procurement based on the PCC classification. This will be considered the POU's initial non-binding classification. A POU should, to the best of its ability, retire RECs in the correct PCC retirement subaccount. After Energy Commission staff has conducted its initial verification process, which will include PCC classification, data summary tables will be developed that list claims as eligible, suspended, or disallowed. Reasons for procurement claims that are suspended or disallowed will be identified in the summary data tables. The data tables will also identify the amounts of procurement classified as Historic Carryover (HC10), Count in Full (PCC0), or as one of the three types of electricity products in the Portfolio Content Categories, referred to as PCC 1, PCC 2, and PCC 3. For POUs that are not subject to the portfolio balance requirements, the data tables will include procurement claims classified as Count in Full (PCC0), bundled electricity procurement (BNDL), and unbundled procurement (TREC).

Energy Commission staff will work with POUs to update the data tables, as appropriate. Claims submitted as PCC 1 or PCC 2 without sufficient supporting documentation may be classified by Energy Commission staff as PCC 3 unless sufficient documentation is provided to reclassify the claim. The data tables will be presented at a public workshop. If POUs disagree with the information provided in the data tables, they may provide written and/or verbal comments at the workshop. Public comments will be taken into consideration as staff develops the *Draft RPS Verification and Compliance Report for POUs*, which will be based on all years within the compliance period. After it adopts the *RPS Verification and Compliance Report for POUs,* the Energy Commission will use the report as a first step in determining RPS compliance for POUs.

VI. RPS Procurement Requirements

A. Energy Commission and CPUC - Agency Roles

Retail sellers are subject to relevant CPUC Decisions and should refer to the CPUC for additional reporting information related to a retail seller's RPS procurement requirements, including the Portfolio Balance Requirements (PBRs). The following sections address the reporting requirements for POU RPS procurement, including the PBRs. Details regarding POU enforcement of the RPS regulations are found in the *Enforcement Procedures for the RPS for POUs.*

The following section applies to POUs only. When providing supporting documentation, confidential or commercially sensitive information, such as price or bid information, should be redacted to the extent appropriate.

B. Portfolio Content Category 0 - Count in Full

For POUs, procurement claims may qualify as "count in full" if they meet the criteria in the *Enforcement Procedures for the RPS for POUs*.

Procurement claims from "count in full" contracts are not classified in PCCs. Additionally, there is no delivery requirement for "count in full" procurement. As such, there are no delivery or scheduling verification responsibilities associated with "count in full" procurement claims.

C. RPS Portfolio Content Categories for POUs

This section describe the supporting documentation required for Energy Commission staff to analyze PCCs claims for POUs, as required in the *Enforcement Procedures for the RPS for POUs.*

1. Portfolio Content Category 1

POUs must provide Energy Commission staff with contractual documentation to demonstrate the contracting requirements for PCC 1 are met.[107] Contractual documentation substantiating PCC 1 claims must be initially provided along with the CEC-RPS-POU reporting form and then as part of annual reports and/or compliance reports as updates and amendments occur. Information must be sufficient to demonstrate the following:

- The contract execution date and/or ownership agreement date.
- That the electricity and RECs were procured together.[108]
- That there was no resale of the electricity back to the facility.
- The contracted MWh amount; specify if it includes the full output, a percentage of the full output, fixed volume, or other.

Facilities must meet one of the following criteria:

- Have first point of interconnection within a California balancing authority (CBA);

107 See Enforcement Procedures for the RPS for POUs.
108 WREGIS certificates generated before the contract date will not count as PCC 1.

- Have first point of interconnection to a distribution system to serve CBA end users;
- Have generation scheduled for delivery into a CBA; or
- Have dynamic transfer agreement with a CBA.

Documentation requirements for the different PCC 1 criteria are provided below.

a. Facilities that Have a First Point of Interconnection with a CBA or to a Distribution System to Serve CBA End Users

For facilities with a first point of interconnection within a CBA, the interconnection status must be verified for procurement claims to count as PCC 1. If the Energy Commission does not already have information confirming that a facility or a distribution facility has a first point of interconnection within a CBA or to a distribution system to serve CBA end users, the POU must provide information demonstrating that the facility has a first point of interconnection within a CBA or to a distribution system to serve CBA end users before it can be verified as PCC 1.

Energy Commission staff is working to obtain interconnection agreement information for facilities that are currently RPS-certified, but in cases where the necessary interconnection information is not on hand for Energy Commission staff, a POU will need to work with its contracted generating facilities to ensure that the required information is provided.

In cases where POUs must provide supporting documentation to demonstrate a facility is interconnected to a CBA or to a distribution system to serve CBA end users, supporting documentation may, if determined sufficient by Energy Commission staff, include at least one of the following:

1) A copy of the interconnection agreement or distribution system interconnection agreements demonstrating a first point of interconnection within a CBA or to a distribution system to serve CBA end users (preferred).

2) A Power Purchase Agreement ("PPA"), ownership agreement, or other contractual documentation specifying the Point of Interconnection, provided the documentation clearly verifies the point of interconnection as being in a CBA or to a distribution system to serve CBA end users.

3) An interconnection agreement between a distribution utility and an electrical generation facility that identifies the point of interconnection to the distribution system, provided the documentation clearly verifies the point of interconnection as being in a CBA or to a distribution system to serve CBA end users.

4) An interconnection agreement between a balancing authority and an electrical generation facility or facility developer that specifies the point of interconnection, provided the documentation clearly verifies the point of interconnection as being in a CBA or to a distribution system to serve CBA end users.

5) A rate schedule supporting the purchase and sale of renewable electricity, such as a feed-in tariff, which also identifies the point of interconnection, provided the

documentation clearly verifies the point of interconnection as being in a CBA or to a distribution system to serve CBA end users.

Energy Commission staff may require additional information if the supporting documentation above is determined to be insufficient.

POUs with PCC 1 procurement claims from facilities confirmed by Energy Commission staff to have a first point of interconnection within a CBA or to a distribution system to serve CBA end users and to have met the contractual requirements, may not need to provide information other than the RPS procurement claim (ITS and/or WREGIS, as applicable) to support the PCC 1 claim, for the length of the contract. However, any changes to the facility's interconnection or distribution system status or contract amendments must be reported to Energy Commission staff.

b. Agreements to Dynamically Transfer Electricity to a California Balancing Authority

For RPS-certified facilities that are dynamically transferred into a CBA, the POU should identify all balancing areas in the scheduling "chain," and provide copies of agreements that demonstrate that all parties in the scheduling chain have agreed to dynamic scheduling, such that the electricity generated by the RPS-certified facility is delivered in real time to a CBA.

The date from which generation may begin to be classified as PCC 1 will be determined by the details specified in the dynamic transfer agreement and/or as specified in the procurement contract. Generation that was not dynamically transferred in real time may not be classified as PCC 1, including generation that occurs before the dynamic transfer agreement and/or procurement contract start date or after the dynamic transfer agreement and/or procurement contract end date.

Energy Commission staff may request additional supporting documentation from POUs to establish that procurement claims from facilities with dynamic transfer agreements may be classified as PCC 1.

POUs with procurement claims from an RPS-certified facility with a first point of interconnection within a CBA, but that has a dynamic transfer agreement to schedule generation outside a CBA, must provide supporting documentation to demonstrate that arrangements have been made to ensure that the facility's generation remains with a CBA. Supporting documentation may include documentation that the dynamic transfer agreement was terminated or adjusted in a way that would ensure the facility's generation remains within a CBA. A POU must identify all RPS-certified facilities from which it is claiming procurement, that are interconnected to a CBA, but that have dynamic transfer agreements to transfer electricity to locations outside of a CBA.

c. *Facilities with First Point of Interconnection Outside a CBA - Scheduling Generation into a CBA*

(1) Scheduling Documentation

The RPS-certified facility, or party responsible for the scheduling arrangements, typically engages in an interchange transaction with the appropriate control area operator to deliver the facility's generation to a CBA. In accordance with the policies of the NERC, the interchange transaction must be tagged as what is commonly referred to as an e-Tag.[109]

For RPS-certified facilities that are physically located outside a CBA, the POU should provide documentation that demonstrates the nature of the scheduling arrangements, in accordance with the *Enforcement Procedures for the RPS for POUs.*

POU scheduling agreement documentation should be submitted as part of supporting documentation for the CEC-RPS-POU form and, in the future, as part of the POU's annual reports and/or compliance reports. Supporting documentation may include, but is not limited to, the following:

- Any relevant agreements adopted by the POU governing board;
- Power Purchase Agreements ("PPAs") that specify scheduling procedures and processes among the various counterparties;
- PPA that specifies responsibility for transmission to a Point of Delivery (POD) that is within or in a CBA area;
- An ownership agreement combined with the demonstration of the purchase of transmission rights (firm, contingent firm, or nonfirm) that support delivery of the renewable energy to a CBA area;
- Transmission service agreements;
- Bilateral agreements;
- Broker agreements;
- Evidence from online trading platforms;
- Inter-Scheduling Coordinator Trade Agreements, if available; and/or
- Copies of firm transmission scheduling arrangements, if relevant.

As the RPS markets evolve, additional forms of documentation may be included. If a scheduling agreement covers multiple years, the POU does not need to resubmit the documentation annually, provided the POU demonstrates the length of the scheduling agreement and reports to the Energy Commission any amendments or changes to the agreement.

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109 The North American Electric Reliability Corporation (NERC) is the entity responsible for the implementation of the first energy tagging process. An e-Tag is an electronic record that contains the details of a transaction to transfer electricity from a seller to a buyer where the electricity is scheduled for transmission across one or more balancing authority area boundaries. The North American Energy Standards Board (NAESB) uses an Electric Industry Registry (EIR), known as the OATI webRegistry as the official source of e-Tag registry data. http://www.naesb.org/weq/weq_eir.asp The previous EIR was the NERC TSIN Registry, which was expected to cease publishing of registry data on November 13, 2012 with the OATI webRegistry becoming the official source of registry data.

(2) Verification of Final Schedule and Generation Data

RPS-certified facilities with generation scheduled into a CBA may use another source to provide the real-time ancillary services[110] required to maintain an hourly or subhourly import schedule into a CBA, but only the fraction of the schedule actually generated by the RPS facility may count toward PCC 1. The final schedule amount as indicated on an e-Tag may be larger than the actual generation amount from the facility; however, only the amount actually generated by the facility and scheduled into a CBA may be classified as PCC 1 in accordance with the *Enforcement Procedures for the RPS for POUs*.

RECs may be created for all electricity generated by the RPS-certified facility, including generation that exceeds the schedule; however, only the fraction of the generation that meets the schedule will be classified as PCC 1.

POUs may not retire more RECs for PCC 1 than the amount (MWh including four decimal points to account for stranded kWh) equal to the lesser of the hourly amount scheduled for delivery as indicated in final e-Tags and the hourly amount of electricity generated.

Energy Commission staff will work to ensure that the number of RECs initially classified by POUs as PCC 1 is equal to the lesser of the hourly amount scheduled for delivery as indicated in final e-Tags and the hourly amount of electricity generated. Given the restrictions of matching within the WREGIS system, an entity can only match a whole MWh of an e-Tag schedule with the same amount of WREGIS certificates. To avoid stranding kWh of scheduled generation, the reported MWh quantities in the lesser of analysis includes four decimal points.

Analysis of PCC 1 data is based on the RPS-certified facility's annual, hourly generation and the annual, hourly schedule, regardless if all RECs are retired and reported in the year of generation. POUs must provide sufficient documentation to support PCC 1 claims in the form of an auditable package.

The auditable package includes the following information and should be provided as part of the POU's annual RPS reporting package:

- Annual Hourly Comparison Spreadsheet; and
- WREGIS NERC e-Tag Summary Report (if not available, POUs may use the CA RPS e-Tag Summary Report111).

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110 The Energy Information Administration provides the following information regarding the definition of Ancillary Services: "Necessary services that must be provided in the generation and delivery of electricity. As defined by the Federal Energy Regulatory Commission, ancillary services include: coordination and scheduling services (load following, energy imbalance service, control of transmission congestion); automatic generation control (load frequency control and the economic dispatch of plants); contractual agreements (loss compensation service); and support of system integrity and security (reactive power, or spinning and operating reserves)."
http://www.eia.gov/cneaf/electricity/page/glossary.html

111 Although e-Tags are commonly referenced as "NERC e-Tags," the North American Electric Reliability Council (NERC) has transferred the e-Tag system to the North American Energy Standards Board

The Annual Hourly Comparison Spreadsheet must contain the following information:

- Date (for example, 01/01/2011; 01/02/2011, and so forth);
- Hour Ending (1; 2; 3 and so forth);
- E-Tags ID Number - this is the identification number for the final e-Tag schedule. In the case of multiple e-Tags per hour, report e-Tag information on its own row;
- Hourly Final Schedule - RPS facility's final hourly schedule volume as represented on e-Tag (reported in MWh – include four decimal points if converting from kWh);
- Hourly Meter Data –RPS facility's hourly meter data. This is the full output from the facility, (reported in MWh - include four decimal points if converting from kWh);
- Percent Share of Facility Output (%) – This is to report the procuring entity's percent share of the facility's generating capacity output. When reporting data from fixed volume contracts, use the values calculated in the "Fixed Amount Calculation" tab as the "Percent Share of Facility Output." For any contracting or power purchase agreement situations not captured in the spreadsheet, the percent share amount may need to be calculated outside of the spreadsheet. Contact staff to make calculations outside of this summary spreadsheet or to combine multiple reporting entities onto one reporting form (combined reporting will still require individual attestations from each POU);
- Eligible PCC 1 Volume Procured (MWh) - this is the amount of the Eligible PCC 1 Volume and is automatically calculated as the lesser of (Final Schedule*Percent Share of Final Schedule) and (Hourly Meter Data*Percent Share of Facility Output). Given the restrictions of matching within the WREGIS system, an entity may only match a whole MWh of an e-Tag schedule with the same amount of WREGIS certificates. To avoid stranding kWh of scheduled generation, the reported MWh quantities in the lesser of analysis includes four decimal points. The maximum amount of PCC 1 for a year that may be matched with e-Tags is the sum of this column. The sum of this column is calculated and displayed on the front page of the reporting spreadsheet. Amounts matched must include only actual generation amounts that were scheduled into a CBA as demonstrated on the final e-Tag schedule.
- Contract or Power Purchase Identification - this is the identification number or associated name assigned to the contract, power purchase or ownership agreement under which the power was purchased.

A WREGIS NERC e-Tag Summary Report is used to report e-Tag data.[112] The CA RPS e-Tag Summary Report is a spreadsheet with headers matching those in the WREGIS NERC e-Tag Summary Report and may be used by POUs in the first compliance period, if the WREGIS

(NAESB). NAESB's e-Tag information may be found at: http://www.naesb.org/weq/weq_jiswg_etag_1.8.asp. This *Guidebook* will refer to the electronic tagging information as e-Tags; however, it will refer to the "WREGIS NERC e-Tag Summary Report" as such because this remains the current name of the report. WREGIS intends to update the name "WREGIS NERC e-Tag Summary Report" to remove "NERC" but as of the writing of this report, the update in WREGIS has not occurred.

112 Some POUs may not have signed up for the WREGIS NERC e-Tag Service as this requirement was not specified for POUs in previous editions of the *RPS Guidebook*. However, POUs must now sign up for the WREGIS NERC e-Tagging service so that all 2014 vintage RECs are matched with e-Tags in WREGIS.

NERC e-Tag Summary Report is not available. If a third party is responsible for e-Tag import data on behalf of a POU and, as a result, the POU is unable to provide e-Tag data to the Energy Commission using WREGIS, the POU may use the CA RPS e-Tag Summary Report for reporting to the Energy Commission.[113]

WREGIS NERC e-Tag Summary Reports[114] include a list of all NERC e-Tags contained within the account for use in RPS retirements.[115] The following information is pulled from the e-Tags and included in the WREGIS NERC e-Tag Summary Report. The same information is required in the CA RPS e-Tag Summary Report:

- e-Tag Identification number (e-Tag Code);
- Start Date (date/time of energy flow during the query period);
- Stop Date (date/time of energy flow during the query period);
- Generator Name as listed on e-Tag– (Source – this should be the facility generating PCC 1 RECs) For the first compliance period only, if there is another source listed, the POU must provide a written explanation as to why this is the case and how staff can determine that the amount or percentage of the amount on the e-Tag is attributable to the specific RPS facility. Staff will evaluate the explanation to determine if the claim or a portion of the claim can be classified as PCC 1.For the second compliance period and forward, the source on the e-Tag must be the RPS-certified facility for which the PCC 1 claims are made.
- Load as listed on e-Tag (Load facility NERC registered as "Sink Point" aka Sink, Last Point of Delivery, POD) – note that the Load must be within a CBA;
- Load Control Area (LCA) as listed on e-Tag– Note that the LCA must represent generation scheduled into a CBA. LCAs that are not also CBAs or are not located in CBAs should not be included. Amounts that are associated with LCAs that cannot be determined to be the same as a CBA or located in a CBA will not be classified as PCC 1;
- Generator Control Area as listed on e-Tag (aka Generator Balancing Area – Note for PCC 1 claims, this must be the GCA or for the first compliance period, at a minimum, the BA where the RPS renewable energy resource is located);
- Total MWh on Tag for the time period (query period) as listed on e-Tag;

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113 If WREGIS functionality is changed to accommodate third parties matching and transferring of necessary –e-Tag data to allow POUs to provide the Energy Commission with a complete WREGIS NERC e-Tag Summary Report, the CA RPS e-Tag Summary Report should no longer be used for reporting e-Tag data. Until such a WREGIS functionality change is made, the CA RPS e-Tag Summary Report may be provided by POUs to report e-Tag data from third parties, when the e-Tag data are not available to POUs through WREGIS.

114 WREGIS may periodically update the headers used in the WREGIS NERC e-Tag Summary Report, and the changes are expected to be acceptable for California's RPS purposes. As a result, the headers included on the e-Tag Summary Report may periodically be updated to match WREGIS NERC e-Tag Summary Reports.

115 See the following link for WREGIS NERC e Tag TRAINING Slides: http://www.wecc.biz/WREGIS/Documents/WREGIS%20NERC%20e%20Tag%20TRAINING%20Slides.pdf

- Used MWh – this is the MWh amount of scheduled electricity used from the e-Tag and matched to WREGIS Certificates. The "Used MWh" amount should not be higher than the sum of the lesser of the hourly generation and hourly final schedule amounts for the timeframe on the e-Tag, but may include the accumulated kWh in. No more than what was generated by the RPS-certified facility and which met the final schedule should be matched per e-Tag.
- MWh remaining – this is the number of MWhs on the e-Tag not yet matched to WREGIS Certificates;
- Importing Entity (PSE from line of E-tag with "RPS ID" in the Miscellaneous token field);
- Miscellaneous Token Field RPS_ID (concatenation of up to 10 Miscellaneous token values all associated with the same line of the physical path) – note that for PCC 1, the RPS Identification number must be the matching number for the PCC1 source facility;
- Comments – if in WREGIS, WREGIS Certificate Serial Numbers.

Additional supporting documentation may be needed by staff during the verification process and may include:

- invoices
- contract information
- other supporting documentation as necessary

POUs should associate e-Tag data with WREGIS Certificates before or during retirement. When matching e-Tags using WREGIS, no more than the sum of the lesser of the hourly meter and schedule amount per e-Tag should be matched per e-Tag, as indicated in the NERC e-Tag Summary Report under the column "Used MWh." A WREGIS NERC e-Tag[116] Summary Report must be created and submitted to the Energy Commission, along with WREGIS Compliance Reports. Instructions for filing a WREGIS NERC e-Tag Summary Report are included in Appendix A: WREGIS Reporting Instructions. When third parties are responsible for e-Tag import data on behalf of a POU and, as a result, the POU is unable to provide e-tag data using WREGIS, the POU may use the CA RPS e-Tag Summary Report for reporting to the Energy Commission.

(3) Verification of Final Schedule Information for the Second Compliance Period and Forward

For POUs, beginning with RPS Compliance Period 2014-2016, if the generator name/ source point on the e-Tag is not that of the RPS-certified facility, the e-Tag documentation will not be accepted for PCC 1 classification. By narrowing the Generator Name/Source Point to the RPS-certified facility, staff is attempting to ensure that the amount claimed as PCC 1 is generated

116 Although e-Tags are commonly referenced as "NERC e-Tags," the North American Electric Reliability Council (NERC) has transferred the e-Tag system to the North American Energy Standards Board (NAESB). NAESB's e-Tag information may be found at http://www.naesb.org/weq/weq_jiswg_etag_1.8.asp. This *Guidebook* will refer to the electronic tagging information as e-Tags; however, this Guidebook will refer to the WREGIS NERC e-Tag Summary Report as such. It is likely that the title: WREGIS NERC e-Tag Summary Report will eventually be updated to remove NERC from the title.

solely by the facility. As described above, no more RECs will count as PCC 1 than the lesser of the hourly generation and hourly schedule amount.

POUs should register for the WREGIS NERC e-Tag service in order to facilitate and expedite the analysis of PCC 1 claims from RPS facilities scheduling electricity into a CBA. POUs, or entities providing delivery services on behalf of POUs, should sign up for this WREGIS service as soon as possible and no later than is required to have all necessary e-Tag information imported into WREGIS beginning January 1, 2014.[117]

POUs must provide sufficient documentation to demonstrate PCC 1 classification. If Energy Commission staff identifies RECs that were classified as PCC 1, but were not determined by Energy Commission staff to have met the requirements for PCC 1, for example the e-Tag did not specify the RPS-certified facility as the source, the REC amounts may be counted as PCC 2 or PCC 3, if adequate documentations is provided for such classifications in the RPS Verification and Compliance Report for POUs.

(4) Registration of the Facility as a "Source" Required by 2014

Energy Commission staff will evaluate WREGIS NERC e-tag Summary Report data to verify that the unique source as registered and reported on the NERC e-Tag is the RPS-certified facility associated with the matching RECs that are being claimed as PCC 1.

The owner of the RPS-certified facility shall register the facility as a unique Source with NERC. This Source shall be used on NERC e-tags for all eligible energy deliveries. Either the POU or the facility must provide the Energy Commission with the facility's NERC identification (Source point name), as formerly registered in the Transmission Services Information Network (TSIN), and any updated NERC identification registration source name information as registered in the OATI webRegistry system[118] when the facility applies for RPS certification.

For facilities that are already RPS-certified, the POUs must provide the unique Source name as registered under the NERC requirements described above for purposes of PCC 1 classification. POUs should include the Source point identification name in the static reporting spreadsheet. If Energy Commission staff needs information outside of the regular reporting periods, POUs must be prepared to provide the information as it becomes available.

2. Portfolio Content Category 2

POUs must satisfy the PCC 2 requirements specified in *Enforcement Procedures for the RPS for POUs* and provide Energy Commission staff with all necessary contractual and supporting documentation in order to claim electricity procurement as PCC 2.

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117 Until a change is made to WREGIS' e-Tag data functionality allowing third parties to transfer necessary e-Tag information to POUs in WREGIS, the CA RPS e-Tag Summary Report may be used to report e-Tag data.

118 The NERC identification is the Source point name, an alpha-numeric code the generator used to identify itself when it registered with the Transmission Services Information Network (TSIN). All POR/POD and Source/Sink data must be registered in the OATI webRegistry system.

a. General Contractual Requirements for POUs with PCC 2 Claims, Including Resale

Contractual documentation substantiating PCC 2 procurement claims, including documentation for the resale of PCC 2, must initially be provided by the reporting POU along with the CEC-RPS-POU and then as part of the annual reports and/or compliance reports, as necessary. Information must be sufficient to demonstrate that procurement classified as PCC 2 meets the requirements in the *Enforcement Procedures for the RPS for POUs*.

In the static reporting form, POUs must provide the name and identification numbers (EIA, EAO, etc., as known) of the facilities from which RECs are expected to be retired and used for RPS compliance. If electricity products will be purchased from a portfolio of assets, the POU should list all the RPS-certified facilities included in the assets. WREGIS certificates generated before the contract or ownership agreement execution date will not count as PCC 2.

b. Demonstration of incremental electricity used to Firm and Shape

The WREGIS NERC e-Tag Summary Report must be submitted with a POU's annual or compliance reports. If the e-Tags are not available in WREGIS, POUs may use the CA RPS e-Tag Summary Report through 2013.

As described above in Section VI.C.1.c: Facilities with First Point of Interconnection Outside a CBA - Scheduling Generation into a CBA- Scheduling Generation into a CBA, an E-Tag Summary Report with headers matching those in the WREGIS NERC e-Tag Summary Report must be provided, listing all e-Tags used for PCC 2 procurement claims. WREGIS NERC e-Tag Summary Reports include a list of all NERC e-Tags contained within the account for use in RPS retirements. The following information is pulled from the e-Tags and included in the NERC e-Tag Summary Report: [119] When third parties are responsible for e-Tag import data on behalf of a POU, and, as a result, the POU is unable to provide e-tag data using WREGIS, the CA RPS e-Tag Summary Report may be used for reporting.

- E-Tag Identification number (Schedule Name E-Tag Code);
- Start Date (date/time of energy flow during the query period);
- Stop Date (date/time of energy flow during the query period);
- Generator Name or more generic "Source Point" (sometimes also referred to as the Point of Receipt POR) – (note that for PCC 2, the source claims must meet the requirements specified in the *Enforcement Procedures for the RPS for POUs* ;
- Load (Load facility NERC registered as "Sink Point" aka Sink, Last Point of Delivery POD) – (note that the Load must be within a CBA);
- Load Control Area (LCA) – (note that the LCA must represent generation scheduled into a CBA. LCAs that are not also CBAs or are not located in CBAs should not be included. Amounts that are associated with LCAs that cannot be determined to be the same as a CBA or located in a CBA will not be classified as PCC 2);

119 WREGIS may periodically update the headers used in the WREGIS NERC e-Tag Summary Report, and the changes are expected to be acceptable for RPS purposes. As a result, the headers included on the e-Tag Summary Report may periodically be updated to match WREGIS NERE e-Tag Summary Reports.

- Generator Control Area (aka Generator Balancing Area) - ;
- Total MWh on Tag for the time period (query period);
- Used MWh – (the amount matched to WREGIS Certificates);
- MWh remaining – (the amount not yet matched to WREGIS Certificates);
- Importing Entity (PSE from line of E-tag with "RPS ID" in the Miscellaneous token field);
- Miscellaneous Token Field RPS_ID (concatenation of up to 10 Miscellaneous token values all associated with the same line of the physical path**.** Note that for PCC 2, one of the RPS Identification numbers must match the source facility being claimed for PCC 2).

The WREGIS NERC (or CA RPS) e-Tag Summary Reports will be used to make the initial assessment about the number of WREGIS Certificates claimed as PCC 2 procurement that have been matched with associated scheduled deliveries. For PCC 2, the amount eligible will be the lesser of the number of RECs and the number of MWhs in the final schedule as shown in the WREGIS e-Tag Summary Report, as aggregated on an annual basis.

Additional supporting documentation will be specified by staff during the verification process and is expected to include:

- invoices
- contract information
- other supporting documentation as necessary

POUs should associate e-Tag data with WREGIS Certificates. A WREGIS NERC e-Tag Summary Report must be created and submitted to the Energy Commission, along with WREGIS Compliance Reports. Instructions for filing a WREGIS NERC e-Tag Summary Report are included in Appendix A: WREGIS Reporting Instructions. When third parties are responsible for e-Tag import data on behalf of a POU and, as a result, the POU is unable to provide e-tag data using WREGIS, the POU may use the CA RPS e-Tag Summary Report for reporting to the Energy Commission.

3. Portfolio Content Category 3

Unbundled renewable energy credits and other electricity products procured from RPS-certified facilities located within the WECC transmission network that do not meet the requirements of either PCC 1 or PCC 2 fall within PCC 3.

As explained in Section V.C.2: Procurement Claims May Not Be Made Before the Contract Execution and/or Ownership Agreement Date , REC procurement claims may not be made before the contract execution date. This also applies to PCC 3. POUs should provide contractual documentation confirming that the REC vintage is not before the contract execution date.

PCC 3 claims will be determined based on REC claims (WREGIS and ITS, as applicable) and contract dates.

4. Process for Contesting and Correcting Erroneous Categorizations in the Verification Process

The process for contesting or correcting erroneous categorizations of PCC or other procurement claims is described above in Section V.D.4: POUs – Finalizing Verified Data.

In sum, Energy Commission staff will work with POU staff to attempt to resolve outstanding issues in advance of the public workshop to present the results of staff's analysis. However, issues that cannot be resolved in advance of the public workshop will be discussed at the workshop. Public comments will be considered in preparing the *Draft RPS Verification and Compliance Report for POUs*. Public comments will also be considered in the drafting of the *Final RPS Verification and Compliance Report for POUs*. After adoption of the *Final RPS Verification and Compliance Report for POUs,* compliance procedures will be followed in accordance with the *Enforcement Procedures for the RPS for POUs.*

VII. Retail Sellers' Procurement from POUs

A retail seller may claim RECs it has procured that are associated with deliveries of electricity by an eligible renewable energy resource to a POU, for purposes of satisfying the retail sellers' RPS procurement requirements, if the Energy Commission verifies the procurement and the following conditions[120]:

a) The POU has adopted and implemented a renewable energy resources procurement plan that complies with the RPS pursuant to Public Utilities Code Section 399.30; and

b) The POU is procuring sufficient eligible renewable energy resources to satisfy the target standard, and will not fail to satisfy the target standard in the event that the REC is sold to the retail seller.

The Energy Commission will take the following measures to verify that the retail seller may claim RECs procured from a POU:

a) Verify that the POU, to which deliveries of electricity from the RPS-certified facility were made, has adopted and implemented an RPS procurement plan.

b) Verify that the electrical generation associated with the RECs is from an electrical generation facility that has been certified for the RPS by the Energy Commission.

c) Verify that the POU has satisfied its RPS target for the compliance period for which the retail seller claimed the RECs.

The Energy Commission will verify the above conditions are satisfied only after the compliance period ends and the Energy Commission determines whether the POU has complied with the RPS procurement targets.

120 Public Utilities Code Section 399.25, Subdivision (d), and Public Utilities Code Section 399.31.

VIII. Administration

This section describes the protocol used by the Energy Commission to administer the RPS program. For the purposes of this section, RPS certification refers to all certification and precertification types, including aggregated units that the Energy Commission uses, and has used, as part of the RPS program. See Section IV.A: Certification Types for a list of all certification types offered by the Energy Commission,

A. General Provisions

1. Guidelines

This guidebook shall be known as the *Renewables Portfolio Standard Eligibility Guidebook* and may be referred to as the RPS guidelines or *RPS Guidebook*.

2. Authority

These RPS guidelines are adopted pursuant to Public Resources Code Section 25747, Subdivision (a), which directs the Energy Commission to adopt guidelines governing the programs authorized by Public Resources Code Sections 25740 through 25751, and portions of the RPS under Public Utilities Code Section 399.25. The guidelines adopted pursuant to this authority are exempt from the rulemaking requirements of the Administrative Procedures Act, as specified in Chapter 3.5 (commencing with Section 11340) of Division 3 of Title 2 of the Government Code. These RPS guidelines may be revised pursuant to Public Resources Code Section 25747, Subdivision (a).[121]

3. Interpretation

Nothing in these RPS guidelines shall be construed to abridge the powers or authority of the Energy Commission or any Energy Commission-designated committee as specified in Division 15 of the Public Resources Code, commencing with Section 25000, or Division 2 of Title 20 of the California Code of Regulations, commencing with Section 1001.

4. Effective Date

These RPS guidelines shall take effect once adopted by the Energy Commission at a publicly noticed business meeting pursuant to Public Resources Code Section 25747, Subdivision (a). The RPS guidelines may be given retroactive effect as specified by the Energy Commission and according to its statutory authority.

121 The RPS Guidelines were initially adopted pursuant to Public Utilities Code Section 383.5, Subdivision (h), which was subsequently amended and recast as Public Resources Code Section 25747, Subdivision (a), pursuant to Senate Bill 183 (stats. 2003, ch. 666).

5. Substantive Changes

The Energy Commission may make substantive changes to these RPS guidelines pursuant to Public Resources Code Section 25747, Subdivision (a). Substantive changes shall take effect once adopted by the Energy Commission at a publicly noticed business meeting with no fewer than 10 days public notice. Substantive changes include, but are not limited to, changes in the RPS eligibility or evaluation criteria.

6. Definitions

The terms defined below are used repeatedly throughout this guidebook. For reference a glossary of pertinent terms used in the program element guidebooks is provided at the end of this guidebook.

B. Renewables Portfolio Standard Certification

This section provides additional information on cancelation of RPS certification, audits, record retention, and use and disclosure of information and records by the Energy Commission.

1. Cancellation of RPS Certification

The Energy Commission, through its Executive Director, may cancel the RPS certification of any awardee that changes its basis for RPS certification eligibility under these RPS *guidelines* and no longer satisfies the requisite eligibility criteria. The Executive Director shall notify the awardee in writing of the basis for canceling the awardee's RPS certification and the effective date of the cancellation. The written notice required herein shall be given at least 15 days before the effective date of the cancellation to provide the awardee an opportunity to file a petition for reconsideration under Section VIII.C: Reconsideration of Certification.

2. Audits

The Energy Commission or its authorized agents may audit any awardee to verify the accuracy of any information included as part of an application for RPS certification or report required under these RPS *guidelines*. As part of an audit, an awardee may be required to provide the Energy Commission or its authorized agents with all information and records necessary to verify the accuracy of any information included in the awardee's applications or reports. An awardee may also be required to open its business records for on-site inspection and audit by the Energy Commission or its authorized agents to verify the accuracy of any information included in the awardee's applications and reports.

If an audit finds that an awardee has incorrectly stated or falsified information included on the awardee's applications or reports, the Energy Commission shall notify the awardee of its findings in writing within 30 days of completing the audit. Based on the audit results, the awardee's RPS certification may be cancelled pursuant to Subsection VIII.B.1: Cancellation of RPS Certification.

3. Record Retention

Awardees shall keep all records relating to and verifying the accuracy of any information included in an application for RPS certification or report submitted pursuant to these RPS *guidelines*. These records shall be kept for no fewer than three years after the end of the calendar year in which the awardee's RPS certification is approved or the report submitted pursuant to these RPS guidelines is submitted, whichever is longer. These records shall be made available to the Energy Commission or its authorized agents as part of any audit conducted pursuant to these RPS *guidelines*.

4. Use and Disclosure of Information and Records

The Energy Commission or its authorized agents may use any information or records submitted to the Energy Commission or obtained as part of any audit pursuant to these RPS *guidelines* to determine eligibility and compliance with the RPS *guidelines*, evaluate the RPS, or related Energy Commission program, and prepare necessary reports as required by law. The information and records include, but are not limited to, applications for RPS certification and any documentation submitted in support of said applications.

Information and records submitted pursuant to these RPS *guidelines* will be disclosed to other governmental entities and policing authorities for civil and criminal investigation and enforcement purposes. This information and records may also be disclosed to the public pursuant to the California Public Records Act (Government Code Section 6250, et seq.). Personal information, such as taxpayer identification or social security numbers, will not be disclosed to the public.

Information concerning the identity of awardees is public information and will be disclosed pursuant to the California Public Records Act. This information, along with other public information describing program participants, may be disclosed to members of the public to educate them and encourage further program participation. The information may be disclosed through the Energy Commission's website or other means, as the Energy Commission deems appropriate.

If, as part of any application for RPS certification, required report, or audit, the Energy Commission requires the awardee to provide copies of records that the awardee believes contain proprietary information entitled to protection under the California Public Records Act or other law, the awardee may request that such records be designated confidential pursuant to the Energy Commission's regulations for confidential designation, Title 20, California Code of Regulations, Section 2505.

C. Reconsideration of Certification

Pursuant to Public Resources Code Section 25747, applicants and awardees RPS certification may appeal the Energy Commission's denial, or revocation of RPS certification under these RPS *guidelines*. Appeals will be considered as provided in this section only upon a showing that factors other than those described in these guidelines were applied by the Energy Commission in denying, or revoking RPS certification.

1. Executive Director Reconsideration

An applicant or awardee may petition the Executive Director for reconsideration if their application for RPS certification was denied or their RPS certification revoked. The petition for reconsideration shall be in writing and shall be submitted, together with any supporting documentation, to the Office of the Executive Director at the following address within 30 days of the date of the notice of RPS certification denial or revocation.

California Energy Commission
Office of the Executive Director
1516 9th Street, MS-39
Sacramento, CA 95814-5512

The petition shall specify the basis for the appeal, state why the petitioner believes the RPS certification denial, or revocation is improper given the eligibility criteria for RPS certification, explain any supporting documentation filed with the petition, identify any legal authority or other basis supporting the petitioner's position, and identify the remedy sought.

Within 30 days of receiving a complete petition, the Office of the Executive Director shall issue a decision based on the petition and the written response of Energy Commission staff.

If petitioner disagrees with the decision of the Office of the Executive Director, the petitioner may appeal the decision to the Energy Commission in accordance with Section VIII.C.2: Energy Commission Appeals.

2. Energy Commission Appeals

Within 30 days of the date of the decision of the Office of the Executive Director, the appealing party may file a letter of appeal to the Energy Commission. The letter of appeal shall be submitted to the Energy Commission and processed as a request for investigation pursuant to the Energy Commission's regulations for complaints and investigations, Title 20, California Code of Regulations, Section 1230, et seq. The letter of appeal shall include the information specified in Title 20, California Code of Regulations, Section 1231 (b). In place of the information specified in Section 1231 (b)(2), (b)(4), and (b)(6), the letter of appeal shall identify the eligibility criteria in the *guidelines* that the appealing party believes were applied incorrectly in denying or revoking RPS certification. Energy Commission staff shall be designated the respondent in the letter of appeal.

In addition to the information required by Title 20, California Code of Regulations, Section 1231, the letter of appeal shall include a copy of the petition for reconsideration and all supporting documentation, and a copy of the written decision of the Office of the Executive Director.

An applicant or awardee seeking to file a petition for reconsideration or appeal pursuant to this section may contact the Public Adviser's Office for information on the filing process. The contact information for the Public Adviser's Office is:

California Energy Commission
Public Adviser's Office
1516 9th Street, MS-12
Sacramento, CA 95814-5512
email: PublicAdviser@energy.ca.gov

3. Fraud and Misrepresentation

The Executive Director may initiate an investigation of any awardee that Executive Director has reason to believe may have misstated, falsified, or misrepresented information in applying for RPS certification or reporting any information required by these *guidelines*. Based on the results of the investigation, the Executive Director may take any action deemed appropriate, including, but not limited to, cancellation of RPS certification, and, with the concurrence of the Energy Commission, recommending the Attorney General initiate an investigation and prosecution as appropriate under applicable law.

4. Extensions of Reporting Due Dates

The Executive Director may, if good cause exists, extend a due date for the submission of a report required under this guidebook.

Glossary of Terms

Aggregator — an entity responsible for planning, scheduling, accounting, billing, and settlement for energy deliveries for portfolios of sellers and/or buyers.

Appropriation — consistent with Water Code Section 1201, the right to use a specified quantity of water from any surface streams or other surface bodies of water, or from any subterranean streams flowing through known and definite channels.

Awardee – An individual or entity certified as RPS eligible, pursuant to these guidelines.

Balancing Authority — as defined in Public Utilities Code Section 399.12, Subdivision (b), to mean the responsible entity that integrates load-serving entity resource plans ahead of time, maintains load-interchange-generation balance within a balancing authority area, and supports interconnection frequency in real time.

Balancing Authority Area — as defined in Public Utilities Code Section 399.12, Subdivision (c), for purposes of the RPS, to mean the collection of generation, transmission, and loads within the metered boundaries of the area within which the balancing authority maintains the electrical load-resource balance.

Biodiesel — a renewable fuel derived in whole or in part from a biomass feedstock such as agricultural crops or agricultural wastes and residues, including but not limited to animal wastes, remains and tallow; food wastes, recycled cooking oils, and pure vegetable oils; or from an eligible solid waste conversion process using municipal solid waste.

Biogas — includes digester gas, landfill gas, and any gas derived from an eligible biomass feedstock.

Biomass — any organic material not derived from fossil fuels.

Biomethane — Landfill gas or digester gas.

California balancing authority — Defined as specified in the Energy Commission's regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities*, as adopted and consistent with Public Utilities Code Section 399.12, Subdivision (d).

Capacity — the maximum amount of electricity that a generating unit, power facility, or utility can produce under specified conditions. Capacity is measured in kilowatts or megawatts.

Central station facility — an electric generation facility that interconnects to the electricity transmission system.

Collaborative Staff — the staffs at the Energy Commission and the California Public Utilities Commission who have been designated as having special status to work collaboratively and participate in confidential deliberations concerning decision-making on the implementation of the RPS.

Commercial operations date (COD) — the date on which an electrical generation facility ceases to generate electricity for testing purposes and first generates electricity solely for the purpose of consumption by the facility or any customer or for sale to any procuring retail seller or POU; also referred to as commenced operation date in WREGIS.

Common carrier pipeline — a gas conveyance pipeline that is owned or operated by a utility or gas corporation, excluding a dedicated pipeline

Community choice aggregator — as defined in Public Utilities Code Section 331.1 refers to any of the following entities, if that entity is not within the jurisdiction of a local publicly owned electric utility that provided electrical service as of January 1, 2003: any city, county, or city and county whose governing board elects to combine the loads of its residents, businesses, and municipal facilities in a communitywide electricity buyers' program or any group of cities, counties, or cities and counties whose governing boards have elected to combine the loads of their programs, through the formation of a joint powers agency established under Chapter 5 (commencing with Section 6500) of Division 7 of Title 1 of the Government Code.

Competitive transition charge (CTC) — a charge authorized by the California Public Utilities Commission that is imposed on investor-owned utility (IOU) ratepayers (or customers that receive electricity distribution services from the IOU) to recover the costs of utility investments made on behalf of their former customers. The CTC is to be collected in a competitively neutral manner that does not increase rates for any customer class solely due to the existence of transition costs. (Public Utilities Code Section 367)

Conduit hydroelectric facility — as defined in Public Utilities Code Section 399.12, Subdivision (a), to mean a facility for the generation of electricity that uses only the hydroelectric potential of an existing pipe, ditch, flume, siphon, tunnel, canal, or other man-made conduit that is operated to distribute water for a beneficial use. The term "existing" is defined as built before January 1, 2008, the effective date of AB 809 (Chapter 684, Statutes 2007). If the conduit hydroelectric facility was built in a new pipe, ditch, flume, siphon, tunnel, canal, or other man-made conduit, the applicant for RPS eligibility may apply as a small hydroelectric facility.

The term "beneficial use" shall be defined consistent with the California Code of Regulations, Title 23, Sections 659 through 672, to include the following uses of water: domestic use, irrigation use, power use, municipal use, mining use, industrial use, fish and wildlife preservation and enhancement use, aquaculture use, recreational use, and heat control use.

Control Area — an electric power system or systems, bounded by interconnection metering and telemetry, capable of controlling generation to maintain its interchange schedule with other control areas and contributing to frequency regulation of the interconnection.
Conventional power source — as defined in Public Utilities Code Section 2805, refers to power derived from nuclear energy, the operation of a hydropower facility greater than 30 megawatts (MW), or the combustion of fossil fuels, unless cogeneration technology, as defined in Public Resources Code Section 25134, is employed in the production of such power.

Dedicated pipeline — for purposes of RPS eligibility of biomethane, refers to a gas conveyance pipeline that is not part of a common carrier pipeline system, that conveys biomethane from a specific biomethane producer to a specific electrical generation facility and to no other end users.

Digester gas — gas from the anaerobic digestion of organic wastes, including, but not limited to animal wastes, remains, tallow, and biosolids.

Distributed generation facility — a small-scale electricity generation facility that is interconnected to a distribution network and is generally 20 MW or smaller. Distributed generation facilities may serve on-site load or off-site load or both.

Distribution network — utility-controlled network of electrical lines that interconnect homes, buildings, and other customer locations to the electricity system. Some of the electricity customers may be customer-generators with electricity generation facilities that serve on-site, offsite, or both on-site and offsite electricity loads. The voltage of distribution lines varies by utility in California. For example, SCE's distribution network includes 66 kilovolt (kV) and 115 kV systems. However, SDG&E systems of 138 kV and 69 kV are considered transmission and they are controlled by the California ISO. Similarly, much of PG&E's 115 kV system is also considered transmission.

Diversion — consistent with Water Code Section 5100(b), the taking of water by gravity or pumping from a surface stream or subterranean stream flowing through a known and definite channel, or other body of surface water, into a canal, pipeline, or other conduit and includes impoundment of water in a reservoir.

Electric service provider — as defined in Public Utilities Code Section 218.3, refers an entity that offers electrical service to customers within the service territory of an electrical corporation but does not include an entity that offers electrical service solely to service customer load consistent with Public Utilities Code Section 218, Subdivision (b), and does not include an electrical corporation or a public agency that offers electrical service to residential and small commercial customers within its jurisdiction, or within the service territory of a local publicly owned electric utility. Electric service providers include the unregulated affiliates and subsidiaries of an electrical corporation.

Electrical corporations — Pacific Gas and Electric Company, San Diego Gas & Electric Company, Southern California Edison Company, PacifiCorp, Liberty Energy-California Pacific Electric Company (formerly Sierra Pacific Power Company), Bear Valley Electric Service (a division of Golden State Water Company), or other electrical corporations as defined by Public Utilities Code Section 218. Also referred to as "investor-owned utilities."

Eligible renewable energy resource — as defined in Public Utilities Code Section 399.12, Subdivision (e), to mean an electrical generating facility that meets the definition of "renewable electrical generation facility" in Public Resources Code Section 25741, and subject to the limitations of Public Utilities Code Section 399.12, Subdivision (e), and Section 399.12.5.

End-use customer (end user) — a residential, commercial, agricultural, or industrial electric customer who buys electricity to be consumed as a final product (not for resale).

Energy Commission – State Energy Resources Conservation and Development Commission. Also referred to as the California Energy Commission.

Existing long-term contract — a power purchase contract entered into with an IOU before September 26, 1996, that provides long-term fixed energy and/or capacity payments.

Facility — see "project."

Fixed energy payments — payments to a generator for energy delivered under a power purchase contract, which are based on a price per unit measure of electricity that was known or ascertainable at the time the contract was entered into. (Fixed energy payments cannot be based on market conditions, such as short-run avoided costs, since these conditions were not known or ascertainable at the time the power purchase contract was entered into).

Fossil fuel — fuel consisting of hydrocarbon constituents, including coal, petroleum, or natural gas, occurring in and extracted from underground deposits, and mixtures or byproducts of these hydrocarbon constituents.

Fuel cell — an advanced energy conversion device that combines hydrogen-bearing fuels with airborne oxygen in an electrochemical reaction to produce electricity very efficiently and with minimal environmental impact.

Geothermal — natural heat from within the earth, captured for production of electric power.

Grid — the electrical transmission and distribution system linking power plants to customers through high power transmission line service.

Green attributes — as defined by the California Public Utilities Commission (CPUC), "any and all credits, benefits, emissions reductions, offsets, and allowances, howsoever entitled, attributable to the generation from the Project, and its avoided emission of pollutants. Green Attributes include but are not limited to Renewable Energy Credits, as well as: (1) any avoided emission of pollutants to the air, soil or water such as sulfur oxides (SOx), nitrogen oxides (NOx), carbon monoxide (CO) and other pollutants; (2) any avoided emissions of carbon dioxide (CO2), methane (CH4), nitrous oxide, hydrofluorocarbons, perfluorocarbons, sulfur hexafluoride and other greenhouse gases (GHGs) that have been determined by the United Nations Intergovernmental Panel on Climate Change, or otherwise by law, to contribute to the actual or potential threat of altering the Earth's climate by trapping heat in the atmosphere;[122] (3) the reporting rights to these avoided emissions, such as Green Tag Reporting Rights. Green Tag Reporting Rights are the right of a Green Tag Purchaser to report the ownership of accumulated Green Tags in compliance with federal or state law, if applicable, and to a federal or state agency or any other party at the Green Tag Purchaser's discretion, and include without

122 Avoided emissions may or may not have any value for GHG compliance purposes. Although avoided emissions are included in the list of Green Attributes, this inclusion does not create any right to use those avoided emissions to comply with any GHG regulatory program.

limitation those Green Tag Reporting Rights accruing under Section 1605(b) of The Energy Policy Act of 1992 and any present or future federal, state, or local law, regulation or bill, and international or foreign emissions trading program. Green Tags are accumulated on a MWh basis and one Green Tag represents the Green Attributes associated with one (1) MWh of Energy. Green Attributes do not include (i) any energy, capacity, reliability or other power attributes from the Project, (ii) production tax credits associated with the construction or operation of the Project and other financial incentives in the form of credits, reductions, or allowances associated with the project that are applicable to a state or federal income taxation obligation, (iii) fuel-related subsidies or "tipping fees" that may be paid to Seller to accept certain fuels, or local subsidies received by the generator for the destruction of particular preexisting pollutants or the promotion of local environmental benefits, or (iv) emission reduction credits encumbered or used by the Project for compliance with local, state, or federal operating and/or air quality permits. If the Project is a biomass or biogas facility and Seller receives any tradable Green Attributes based on the greenhouse gas reduction benefits or other emission offsets attributed to its fuel usage, it shall provide Buyer with sufficient Green Attributes to ensure that there are zero net emissions associated with the production of electricity from the Project."[123]

Hydroelectric — a technology that produces electricity by using the kinetic energy of flowing or falling nonmarine water to turn a turbine generator. See "small hydroelectric."

Investor-owned utility (IOU) — synonymous with "electrical corporations" as defined herein.

For the *Renewables Portfolio Standard Eligibility Guidebook*, refers collectively to Pacific Gas and Electric Company, Southern California Edison Company, San Diego Gas & Electric Company, PacifiCorp, Liberty Energy-California Pacific Electric Company (formerly Sierra Pacific Power Company), and Bear Valley Electric Service (a division of Golden State Water Company).

Kilowatt (kW) — 1,000 watts. A unit of measure for the amount of electricity needed to operate given equipment. A typical home using central air conditioning and other equipment might have a demand of 4-6 kW on a hot summer afternoon.

Kilowatt hour (kWh) — the most commonly used unit of measure telling the amount of electricity consumed over time. It means one kilowatt of electricity supplied for one hour. A typical California household consumes about 500 kWh in an average month.

Landfill gas (LFG) — gas produced by the breakdown of organic matter in a landfill (composed primarily of methane and carbon dioxide) or the technology that uses this gas to produce power.

Local publicly owned electric utility — as defined in Public Utilities Code Section 224.3 to mean a municipality or municipal corporation operating as a "public utility" furnishing electric service as provided in Section 10001 of the Public Utilities Code, a municipal utility district furnishing electric service formed pursuant to Division 6 (commencing with Section 11501 of the Public

123 CPUC. Decision 08-08-028, Appendix A-2, Rulemaking 06-02-012. August 21, 2008.

Utilities Code), a public utility district furnishing electric services formed pursuant to the Public Utility District Act set forth in Division 7 (commencing with Section 15501 of the Public Utilities Code), an irrigation district furnishing electric services formed pursuant to the Irrigation District Law set forth in Division 11 (commencing with Section 20500) of the Water Code, or a joint powers authority that includes one or more of these agencies and that owns generation or transmission facilities, or furnishes electric services over its owner's or its member's electric distribution system.

Marketer — an agent for generation projects who markets power on behalf of the generator. The marketer may also arrange transmission, firming, or other ancillary services as needed. Though a marketer may perform many of the same functions as a broker, a marketer represents the generator while a broker acts as a middleman.

Megawatt (MW) — 1,000 kilowatts. One megawatt is about the amount of power to meet the peak demand of a large hotel.

Megawatt hour (MWh) — a unit of measure describing the amount of electricity consumed over time. It means one megawatt of electricity supplied for one hour. Two typical California households consume about a combined total of 1 MWh in an average month, one household consumes about 0.5 MWh.

Metered — the independent measurement with a standard meter of the electricity generated by a project or facility.

Multijurisdictional utility — for purposes of the Renewables Portfolio Standard, an electrical corporation with 60,000 or fewer customer accounts in California as of January 1, 2010, and that serves retail end-use customers outside California, is located in a control area that is not under the control of a California balancing authority, receives the majority of its electrical requirements from generating facilities located outside California, and is subject to the provisions of Public Utilities Code Section 399.17.

Municipal solid waste (MSW) —solid waste as defined in Public Resources Code Section 40191.

Municipal utility — a local publicly owned (customer-owned) electric utility that owns or operates electric facilities subject to the jurisdiction of a municipality, as opposed to the California Public Utilities Commission. Also referred to as "local publicly owned electric utility."

Nameplate Capacity — the maximum rated output of a generator, prime mover, or other electric power production equipment under specific conditions designated by the manufacturer.

NERC e-Tag — named for the North American Electric Reliability Corporation (NERC), the entity responsible for the implementation of the first energy tagging process, a NERC e-Tag is an electronic record that contains the details of a transaction to transfer electricity from a seller to a buyer where the electricity is scheduled for transmission across one or more balancing authority area boundaries.

Net metering — contractual agreement or tariff wherein the system owner/generator produces more electricity than is needed to serve the on-site electrical load, and the surplus electricity is supplied to the electrical distribution grid. The owner/generator's utility meter records the difference, or net, between what the utility supplies to the owner/generator and what the owner/generator supplies to the grid.

Ocean thermal — refers to technology that uses the temperature differences between deep and surface ocean water to produce electricity.

Ocean wave — refers to a technology that uses ocean waves to produce electricity.

On-site generation — See "Distributed Generation."

Photovoltaic (PV) — a technology that uses a semiconductor to convert sunlight directly into electricity.

Portfolio Content Category — Defined as specified in the Energy Commission's regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities*, as adopted. Generally, refers to one of three categories of electricity products procured from an eligible renewable energy resource.

Power purchase contract — an agreement for the purchase of electrical energy and/or capacity that may be structured to provide payments based on both fixed and/or variable factors.

Procure —as defined in Public Utilities Code Section 399.12, Subdivision (f), means to acquire through ownership or contract.

Procurement entity — as defined in Public Utilities Code Section 399.12, Subdivision (g), means any person or corporation authorized by the California Public Utilities Commission to enter into contracts to procure eligible renewable energy resources on behalf of customers of a retail seller pursuant to Public Utilities Section 399.13, Subdivision (f).

Project —for hydroelectric facilities under the Renewables Portfolio Standard Program, "project" refers to a group of one or more pieces of generating equipment and ancillary equipment necessary to interconnect to the transmission grid that is unequivocally separable from any other generating equipment or components. Two or more sets of generating equipment that are located within a one-mile radius of each other and are either 1) contiguous or 2) share common control or maintenance facilities and schedules shall constitute a single project, except in the following circumstances:

1) A conduit hydroelectric facility, certified as a conduit hydroelectric facility and not a small hydroelectric facility, may be considered a separate project even though the facility itself is part of a larger hydroelectric facility, provided that the larger hydroelectric facility commenced commercial operations prior to January 1, 2006, and the conduit hydroelectric facility commenced commercial operations on or after January 1, 2006, does not cause an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow, is separately metered to identify its generation, and is separately certified as RPS-eligible by the Energy Commission. A conduit

hydroelectric facility certified as a small hydroelectric facility may not be part of a larger project without considering the capacity of the entire project in the certification.

2) For a small hydroelectric generation unit with a nameplate capacity not exceeding 40 megawatts that is operated as part of a water supply or conveyance system, as defined in this guidebook, and generation from the facility was under contract to, or owned by, a retail seller or local publicly owned electric utility as of December 31, 2005, the turbine and generator of the hydroelectric generation unit shall constitute a project.

For all other electrical generation facilities under the Renewables Portfolio Standard Program, "project" refers to a group of one or more pieces of electrical generating equipment and ancillary equipment necessary to interconnect to the transmission grid that is unequivocally separable from any other electrical generating equipment or components.

Public information — any information in the Energy Commission's possession that is not subject to a request or determination of confidential designation pursuant to Title 20 of the California Code of Regulations, Section 2505 et seq., and may be disclosed pursuant to the California Public Records Act (Government Code Section 6250, et seq.) and the Information Practices Act (Civil Code Section 1798, et seq.).

Pumped hydroelectric — an energy storage technology consisting of two water reservoirs separated vertically; during off-peak hours, water is pumped from the lower reservoir to the upper reservoir, allowing the off-peak electrical energy to be stored indefinitely as gravitational energy in the upper reservoir. During peak hours, water from the upper reservoir may be released and passed through hydraulic turbines to generate electricity as needed.

Qualifying facility — a qualifying small power production facility eligible for certification pursuant to Section 292.207 of Title 18 of the Code of Federal Regulations.

Renewable — a power source other than a conventional power source within the meaning of Section 2805 of the Public Utilities Code. Section 2805 states: " 'Conventional power source' means power derived from nuclear energy or the operation of a hydropower facility greater than 30 megawatts or the combustion of fossil fuels, unless cogeneration technology, as defined in Section 25134 of the Public Resources Code, is employed in the production of such power."

Renewable Energy Certificate (REC) — as defined in Public Utilities Code Section 399.12, Subdivision (h)(1), to mean a certificate of proof, issued through the accounting system established by the Energy Commission pursuant to Section 399.25, that one unit of electricity was generated and delivered by an eligible renewable energy resource. As specified in Section 399.12, Subdivision (h)(2), a REC includes all renewable and environmental attributes associated with the production of electricity from an eligible renewable energy resource, except for an emissions reduction credit issued pursuant to Section 40709 of the Health and Safety Code and any credits or payments associated with the reduction of solid waste and treatment benefits created by the utilization of biomass or biogas fuels. As specified in Section 399.12, Subdivision (h)(3), electricity generated by an eligible renewable energy resource attributable to the use of

nonrenewable fuels, beyond a de minimis quantity, as determined by the Energy Commission, shall not result in the creation of a renewable energy credit.

As defined by the CPUC in Decision D.08-08-028, a renewable energy credit (REC) for compliance with the California Renewables Portfolio Standard (RPS) is "a certificate of proof, issued through the Western Renewable Generation Information System [sic], that one megawatt-hour of electricity was generated by an RPS-eligible renewable energy resource and delivered for consumption by California end-use retail customers. A REC includes all renewable and environmental attributes associated with the production of electricity from the eligible renewable energy resource, including any avoided emission of pollutants to the air, soil or water; any avoided emissions of carbon dioxide, methane, nitrous oxide, hydrofluorocarbons, perfluorocarbons, sulfur hexafluoride, or any other greenhouse gases that have been determined by the United Nations Intergovernmental Panel on Climate Change, or otherwise by law, to contribute to the actual or potential threat of global climate change;[124] and the reporting rights to these avoided emissions, such as Green Tag reporting rights.[125]

A REC does not include any emissions reduction credit issued pursuant to § 40709 of the Health and Safety Code or any credits or payments associated with the reduction of solid waste or treatment benefits created by the utilization of biomass or biogas fuels. A REC also does not include any energy, capacity, reliability or other power attributes of the generation; any tax credits or other financial incentives in the form of credits, reductions, or allowances associated with the generation that are applicable to a state or federal income taxation obligation; any fuel-related subsidies or "tipping fees" or local subsidies received by the generator for the destruction of particular preexisting pollutants or the promotion of local environmental benefits; or emission reduction credits (whether issued pursuant to § 40709 of the Health and Safety Code or any other authority) that are encumbered or used by the generator for compliance with local, state, or federal operating and/or air quality permits.

In accordance with Public Utilities Code Section 399.21, Subdivision (a)(4), no REC may be created based on any electricity generated pursuant to any contract with a California retail seller or a local publicly owned electric utility executed before January 1, 2005, unless the contract contains explicit terms and conditions specifying the ownership or disposition of the RECs. In accordance with Public Utilities Code Section 399.21, Subdivision (a)(4), a REC may not be created based on any electricity generated pursuant to a contract with a qualifying facility pursuant to the Public Utility Regulatory Policies Act of 1978 that was executed after January 1, 2005.

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124 "Avoided emissions may or may not have any value for GHG compliance purposes. Although avoided emissions are included in the definition of the REC, this definition does not create any right to use those avoided emissions to comply with any GHG regulatory program."

125 "Green Tag reporting rights are the right to report the ownership of accumulated Green Tags in compliance with federal or state law, if applicable, and to a federal or state agency or any other party and include without limitation those Green Tag reporting rights accruing under Section 1605(b) of the Energy Policy Act of 1992 and any present or future federal, state, or local law, regulation or bill, and international or foreign emissions trading program."

A REC cannot be created with respect to electricity generated by an eligible renewable energy resource attributable to the use of nonrenewable fuels, beyond a *de minimis* quantity as determined by the CEC."[126]

Renewable energy public goods charge — as defined in Public Resources Code Section 25741 Subdivision (c), to mean that portion of the nonbypassable system benefits charge required to be collected to fund renewable energy and to be transferred to the Renewable Resource Trust Fund pursuant to the Reliable Electric Service Investments Act (Article 15 [commencing with Section 399] of Chapter 2.3 of Part 1 of Division 1 of the Public Utilities Code).

Renewables Portfolio Standard (RPS) — refers to California's Renewables Portfolio Standard as established in Public Utilities Code Section 399.11, et seq. "Renewables portfolio standard" is defined in Public Utilities Code Section 399.12, Subdivision (i), to mean the specified percentage of electricity generated by eligible renewable energy resources that a retail seller or local publicly owned electric utility is required to procure pursuant to Public Utilities Code Section 399.11 et seq. Under the RPS, a retail seller or local publicly owned electric utility must increase its total procurement of eligible renewable energy resources so that 33 percent of its retail sales are procured from eligible energy resources no later than December 31, 2020.

Reporting Year — refers to a particular year within a compliance period for which the annual generation has already occurred and for which the RECs are being retired and used for RPS compliance. The reporting year is not the year in which the retired RECs are reported; it is the year for which the retired RECs are reported and, on an annual basis, represents the calendar year preceding the July 1 reporting due date.

Repower(ed) — generically refers to replacing a significant portion of the generating equipment at an existing facility.

Retail seller — as defined in Public Utilities Code Section 399.12, Subdivision (j), to mean an entity engaged in the retail sale of electricity to end-use customers located within the state. Retail sellers include electrical corporations, community choice aggregators, and electric service providers. Retail sellers do not include local publicly owned electric utilities (commonly referred to as municipal utilities), entities employing cogeneration technology or producing power consistent with Public Utilities Code Section 218(b), or the Department of Water Resources acting within its capacity pursuant to Division 27 of the Water Code (commencing with Section 80000).

Retire – to claim a renewable energy credit in the tracking system established by the Energy Commission pursuant to Public Utilities Code Section 399.25 (c) and thereby commit the renewable energy credit to be used for compliance with the RPS.

RPS Certification – Certification by the Energy Commission that an electrical generation facility is an eligible renewable energy resource for purposes of meeting the state's Renewables

126 CPUC. Decision 08-08-028, Rulemaking 06-02-012. August 21, 2008.

Portfolio Standard pursuant to Public Utilities Code Sections 399.11, et seq. and Public Resources Code Section 25741.

Self-generation — See "Distributed Generation."

Sewer gas — gas produced by the anaerobic decomposition of sewage.

Small hydroelectric — an electrical generation facility employing one or more hydroelectric turbine generators, the sum capacity of which does not exceed 30 megawatts, except in the case of efficiency improvements or conduit hydroelectric facilities as described below. Pursuant to Public Utilities Code Section 399.12, Subdivision (e)(1)(A), an existing small hydroelectric generation facility of 30 MW or less may be an eligible renewable energy resource only if a retail seller or local publicly owned electric utility owned or procured the electricity from the facility as of December 31, 2005. Pursuant to Public Utilities Code Section 399.12, Subdivision (e)(1)(A), a new small hydroelectric facility is not an eligible renewable energy resource for purposes of the RPS if it will cause an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow.

A small hydroelectric facility may exceed 30 megawatts if it is the result of efficiency improvements made to the facility after January 1, 2008, and the efficiency improvements do not cause an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow. The generating capacity of a conduit hydroelectric facility that is associated with or part of a small hydroelectric facility is not considered part of the generating capacity of the small hydroelectric facility, provided the small hydroelectric facility commenced commercial operations prior to January 1, 2006, and the conduit hydroelectric facility commenced commercial operations on or after January 1, 2006, does not cause an adverse impact on instream beneficial uses or cause a change in the volume or timing of streamflow, is separately metered to identify its generation, and is separately certified as RPS eligible by the Energy Commission.

The term “beneficial use” shall be defined consistent with the California Code Regulations, Title 23, Sections 659 through 672, to include the following uses of water: domestic use, irrigation use, power use, municipal use, mining use, industrial use, fish and wildlife preservation and enhancement use, aquaculture use, recreational use, and heat control use.

Solar thermal electric — the conversion of sunlight to heat and its concentration and use to power a generator to produce electricity.

Solid-fuel biomass — a biomass technology that uses solid fuel, such wood, agricultural waste, and other organic material that may be burned to produce electricity.

System operator — entity responsible for the efficient use and reliable operation of the transmission grid, or a local publicly owned electric utility that does not use a system operator.

Tidal current power — energy obtained by using the motion of the tides to run water turbines that drive electric generators.

Transmission system — an interconnected group of electric transmission lines and associated equipment to move or transfer electric energy in bulk between points of supply and consumption.

Water supply or conveyance system — the distribution of water through a tunnel, canal, pipeline, aqueduct, flume, ditch, and/or similarly constructed water conveyance that was initially built solely for the distribution of water for agricultural, municipal, or industrial consumption, and operated primarily for this purpose, and not primarily for the generation of electricity.

Watt — a unit of electrical power, equal to the power developed in a circuit by a current of one ampere flowing through a potential difference of one volt.

WECC interconnection — the substation where radial lines from a given power plant first interconnect to the WECC transmission system.

Western Electricity Coordinating Council (WECC) — formed on April 18, 2002, by the merger of the Western Systems Coordinating Council (WSCC), Southwest Regional Transmission Association (SWRTA), and Western Regional Transmission Association (WRTA). WECC is responsible for coordinating and promoting electric system reliability, assuring open and nondiscriminatory transmission access among members, and providing a forum for resolving transmission access disputes.

Wind power — energy from wind converted into mechanical energy and then electricity.

Western Renewable Energy Generation Information System (WREGIS) — the electronic system for tracking Renewable Energy Certificates (RECs) for the states and provinces in the WECC interconnection.

List of Acronyms and Abbreviations

AB	—	Assembly Bill
ARB	—	California Air Resources Board
BA	—	Balancing Authority
BANC	—	Balancing Authority of Northern California
CAISO	—	California ISO (Independent System Operator Corporation)
CBA	—	California balancing authority
CPUC	—	California Public Utilities Commission
EA	—	Enforcement Agency
ERFP	—	Existing Renewable Facilities Program
ESP	—	Electric Service Provider
e-Tag	—	Electronic tag created under the policies of the North American Reliability Corporation to document an energy interchange transaction
FERC	—	Federal Energy Regulatory Commission
GUID	—	WREGIS Generating Unit Identification Number
IID	—	Imperial Irrigation District
IOU	—	Investor-Owned Utility
ITS	—	Interim Tracking System
kWh	—	Kilowatt-hour
LADWP	—	Los Angeles Department of Water and Power
LFG	—	Landfill gas
LORS	—	Laws, ordinances, regulations, and standards
LSE	—	Load-serving Entity
MMBtu	—	1 million British thermal units
MSW	—	Municipal Solid Waste
MW	—	Megawatt
MWh	—	Megawatt-hour
NERC	—	North American Electric Reliability Corporation
OIR	—	Order Instituting Rulemaking
PBR	—	Portfolio Balance Requirements

PCC	—	Portfolio Content Category
PG&E	—	Pacific Gas and Electric Company
POU	—	Local Publicly Owned Electric Utility
PRC	—	California Public Resources Code
PUC	—	California Public Utilities Code
PURPA	—	Public Utilities Regulatory Policies Act of 1978
PV	—	Photovoltaic
QF	—	Qualifying Small Power Production Facility
QRE	—	Qualified Reporting Entity
REC	—	Renewable Energy Credit/Certificate
REP	—	Renewable Energy Program
RPS	—	Renewables Portfolio Standard
SB	—	Senate Bill
SCE	—	Southern California Edison Company
SDG&E	—	San Diego Gas and Electric Company
SGIP	—	Self Generation Incentive Program
SMJU	—	Small or Multijurisdictional Utility
SMUD	—	Sacramento Municipal Utility District
SWRCB	—	State Water Resources Control Board
TID	—	Turlock Irrigation District
TREC	—	Tradable Renewable Energy Credits/Certificates
WECC	—	Western Electricity Coordinating Council
WREGIS	—	Western Renewable Energy Generation Information System

Appendix A: WREGIS Reporting Instructions

I. Introduction

Retail sellers must use the Western Renewable Energy Generation Information System (WREGIS) to track and report their Renewables Portfolio Standard (RPS) procurement as part of California's RPS compliance, with the exception of test energy as noted in the *RPS Eligibility Guidebook, Seventh Edition*. Publicly owned electric utilities (POUs) must have applied for registration with WREGIS by October 2012, and must use WREGIS Certificates (also known as RECs) for RPS compliance. Information about registering with WREGIS can be found on the WREGIS website at www.wregis.org by selecting "Joining WREGIS." Training slides are available on the WREGIS website at: http://www.wecc.biz/WREGIS/Pages/Training.aspx. Contact the WREGIS Help Desk at 888-225-4213 for additional assistance.

A. Reporting WREGIS Certificates for 2011 and Thereafter

While the Energy Commission was developing requirements for tracking, reporting and verifying RECs pursuant to SB X1-2, the Energy Commission delayed the annual reporting requirement for reporting year 2011 (which would otherwise have been required to have been submitted by June 1, 2012). The Energy Commission advised load-serving entities not to retire RPS procurement for the 2011 reporting year or thereafter unless necessary to meet RPS retirement timing requirements. If such retirement was necessary to meet the 36 month retirement requirement, load serving entities were directed to contact Energy Commission staff before proceeding.

As defined in the glossary of terms of the *RPS Eligibility Guidebook*, "retire" means to claim a renewable energy credit (REC) in the tracking system established by the Energy Commission pursuant to the Public Utilities Code Section 399.25(c) and thereby commit the REC to be used for RPS compliance.

Although SB X1-2 established RPS compliance periods, the Energy Commission requires annual reporting. When the Energy Commission refers to a "reporting year," it is referring to a particular year within a compliance period for which the annual generation has already occurred and for which the RECs are being retired for RPS compliance. The reporting year is not the year in which the claims are reported; *it is the year for which retired REC claims are reported*, which on an annual basis, represents the calendar year immediately preceding the July 1 reporting due date.

See Section V.C. REC Retirement and Reporting Requirements for details regarding REC retirement and reporting.

II. Reporting for Retail Sellers and POUs

A. Initial Steps for Using WREGIS

Retail sellers and POUs must report annually to the Energy Commission on the number of RPS eligible RECs they retire for the RPS from each facility per month in the previous calendar year, as discussed above. In addition, information regarding energy scheduled into a California Balancing Authority (CBA) either from an RPS-certified facility not directly connected to a CBA or from a facility providing incremental electricity scheduled into a CBA to firm and shape renewable energy, both by reporting year. To prepare for reporting this information to the Energy Commission and the California Public Utilities Commission (CPUC) using WREGIS, each retail seller and POU should ensure it has have taken the following steps.

1) Complete and submit an Account Holder Disclosure Authorization release form authorizing WREGIS to release your company's RPS compliance information to the Energy Commission, and for retail sellers in addition to authorizing WREGIS to release information to the Energy Commission, you must also authorize WREGIS to release information to the CPUC. The WREGIS authorization form can be downloaded from the WREGIS website.

2) Create retirement subaccount(s) as follows:

   a) For retail sellers, create one CA RPS retirement subaccount for each reporting year.

   b) For POUs, create one CA RPS retirement subaccount for each Portfolio Content Category, for Count in Full, and for Historic Carryover, if applicable, for each reporting year (explained below).

   c) Coordinate with generators to ensure that all appropriate California RPS-eligible WREGIS Certificates are transferred to your WREGIS account for each reporting year.

   d) If you are retiring WREGIS Certificates for generation from facilities that are not directly connected to a CBA or are using incremental electricity scheduled into a CBA for firming and shaping, you must document schedule information to the Energy Commission (for POUs) or to the CPUC (for retail sellers) by submitting final e-Tag information.[1] For 2011-2013 RPS claims, POUs must use WREGIS to document final e-Tag scheduled information from facilities not directly connected to a CBA or facilities using incremental electricity scheduled into a CBA to firm and shape renewable energy, unless the WREGIS service was not used or available. POUs should submit final e-Tag scheduled information using the ITS (CEC-RPS-e-Tag Summary Report spreadsheet), if the data are not available in WREGIS e-Tag documentation.

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1 Public Utilities Code Sections 399.17; 399.18; and 399.30(h) provides exemptions to the Portfolio Balance Requirements (PBRs) for certain Small and Multi-Jurisdictional Utilities and POUs and there for the scheduled energy delivery requirements and PBR requirements do not apply.

Because WREGIS cannot pull e-Tag information from generation and schedules that occurred in the past, you must sign up for this service as soon as you know it will be needed. POUs must be signed up and using WREGIS to provide final e-Tag scheduled information in time for all claims with a 2014 vintage to have e-Tag data reported through WREGIS. You must apply with the WREGIS Administrator to begin using this service, which has a query run on the WECC Interchange Tool and is used to pull e-Tag information. To apply, send an email to the WREGIS Administrator (wregisadmin@wecc.biz) requesting to be added to the participant list for this service. You must provide a list of Purchasing Selling Entity codes belonging to your company that you will be using to receive e-Tag data.

Below are detailed instructions for using WREGIS to track and report RPS claims and e-Tag data for claims from facilities not directly connected to a CBA or facilities using incremental electricity for California RPS compliance. WREGIS Compliance Reports identify WREGIS Certificates that have been retired for RPS compliance.

As noted above, e-Tag information may not be available to all retail sellers and POUs in WREGIS. In those cases, e-Tag data may be reported using the ITS (CA RPS e-Tag Summary Report), but the *REC* must still be retired and reported using WREGIS.

The following instructions are provided for using WREGIS for RPS compliance:

1) Instructions for creating designated "CA RPS" retirement subaccounts
2) Instructions for retiring WREGIS Certificates into retirement subaccounts
3) Instructions for importing NERC e-Tags into your account –For users who must demonstrate final e-Tag schedule information as part of RPS compliance
4) Instructions for filing a State/Provincial/Voluntary Compliance Report using WREGIS
5) Instructions for Filing a NERC e-Tag Summary Report Using WREGIS

Reminder: For WREGIS Certificates created for generation that occurs before the facility's effective RPS-eligibility date, load serving entities may NOT count such Certificates for California's RPS. However, such Certificates may be transferred from load serving entities' retirement subaccount for another regulatory or voluntary compliance obligation or to another party for other purposes. WREGIS certificates created before the effective date of the facility's RPS eligibility will not be counted toward RPS compliance. Certificates tracked in WREGIS may not be reported using the Energy Commission's Interim Tracking System.

B. Instructions for Creating a Designated "CA RPS" Retirement Subaccount

1) Go to www.wregis.org and log in to your account by selecting the "WREGIS Login" button on the left hand side of the page.
2) Select "Create New Sub-Account" link from the "Open Sub-Accounts" module. Instructions for adding new subaccounts can be found at

http://www.wecc.biz/WREGIS/Pages/Training.aspx beginning on page 40[2] of WREGIS USER TRAINING Slides.

3) Select "Sub-Account Type", "Retirement." Enter required information. Retail sellers will retire all claims into one retirement subaccount with an ending RTSL. However, POUs will retire claims into retirement subaccounts based on historic carryover, count in full, and the various portfolio content category classifications as follows: HC10; PCC0; PCC1; PCC2; and/or PCC3. "HC10" refers to the retirement subaccount for RECs classified as historic carryover, "PCC0" refers to the retirement subaccount for RECs classified as count in full, "PCC1" refers to the retirement subaccount for RECs classified as Portfolio Content Category 1, "PCC2" refers to the retirement subaccount for RECs classified as Portfolio Content Category 2, and "PCC3" refers to the retirement subaccount for RECs classified as Portfolio Content Category 3. **For POUs that do not have the PBR requirements**, the following suffixes must be used for count in full REC, bundled REC and unbundled REC claims as appropriate: PCC0; BNDL; and TREC, respectively.

   For POUs, when naming your new retirement subaccount, except in the case of historic carryover, use the following naming format with one space between the calendar year, CA, RPS, and PCC suffix as follows: **YYYY CA RPS PCC**.

   Using the 2011 reporting year as an example, as applicable, the POU retirement subaccounts should be:

   2011 CA RPS PCC0

   2011 CA RPS PCC1

   2011 CA RPS PCC2

   2011 CA RPS PCC3

   The exception to the WREGIS retirement subaccount naming format described above is for POU's with historic carryover.[3] POU's with historic carryover do not need to name a reporting year in the beginning of the retirement subaccount name. When naming your new historic carryover retirement subaccount, use the following naming format with one space between CA, RPS, and suffix as follows: **CA RPS HC10**:

   CA RPS HC10

   Using the 2011 reporting year as an example, the POUs without PBR obligations, the retirement subaccounts should be:

   2011 CA RPS PCC0

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2 In the case this page number changes in the future, please contact the WREGIS Administrator for more information.

3 POUs must report historic carryover claims as described in the *Enforcement Procedures for the RPS for POUs,* by July 1, 2013, or 30 calendar days after the effective date of the regulations, whichever is later.

2011 CA RPS BNDL

2011 CA RPS TREC

For retail sellers using the 2011 reporting year as an example, the retirement subaccount name for retail sellers should be:

2011 CA RPS RTSL

Make sure that the button "Yes" is selected in the "Open" field.

4) Select "Create."

5) The new retirement subaccount will be added to the "Sub-Accounts Summary" and "Open Sub-Accounts" modules.

C. Instructions for Retiring WREGIS Certificates into Retirement Subaccounts

1) Go to www.wregis.org and log in to your account by selecting the "WREGIS Login" button on the left hand side of the page.

2) To retire a WREGIS Certificate for RPS compliance, you must retire the Certificate(s) by transferring them from your Active Subaccount to the appropriate Retirement Subaccount for that reporting year. Follow the instructions for a certificate transfer[4] in the WREGIS training slides http://www.wecc.biz/WREGIS/Pages/Training.aspx. You must select Forward Certificate Transfer,[5] Standing Order Transfer,[6] or One-Time Transfer, as appropriate.

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4 There are two (2) types of Certificate Transfers: One-Time Transfers and Recurring Transfers.

- **One-Time Transfers** allow the Account Holder to set-up and execute a specific transfer transaction only once per certificate or per batch(es) of certificates. One-Time transfers occur between two Sub-Accounts of the same Account Holder, or between two Account Holders. If between two Account Holders, the transfer may be executed immediately or the transfer can occur at an assigned future date.

The WREGIS Administrator recommends the use of One-Time Transfers for retiring certificates because retirements are permanent and cannot be reversed.

- **Recurring Transfers** include Forward Transfers and Standing Orders, which both allow an Account Holder to execute transfers over a specified period of time. There is no limit as to the number of Recurring Transfers an Account Holder can execute at any one time. Recurring Transfer transactions can be set-up to begin immediately, with the next certificate creation period or at an assigned future date. The end date for the recurring transfer is also chosen at set-up. Recurring transfers can occur between two Sub-Accounts belonging to the same Account Holder or between two Account Holders.

5 **A Forward Certificate Transfer** is a recurring transaction that requires the Transferor to be an Account Holder who has one or more Generating Units associated with the Account.

WREGIS Certificate trading is prohibited from two sorts of contracts (described below) and procurement from these two types of contracts must be counted toward the procuring retail sellers' or POUs RPS obligations.

Public Utilities Code 399.16 (a)(5) prohibits RECs from being created for electricity generated pursuant to any electricity purchase contract with a retail seller executed before January 1, 2005, unless the contract contains explicit terms and conditions specifying the ownership or disposition of those credits.

Similarly, Public Utilities Code 399.16 (a)(6) prohibits RECs from being created for electricity generated under any electricity purchase contract executed after January 1, 2005, pursuant to the federal Public Utility Regulatory Policies Act of 1978.

Therefore, WREGIS Certificates from these types of contracts may be retired immediately via a Forward Certificate Transfer if the facility is registered to your account.

If the facility is registered to a different account, that account holder may transfer all associated certificates to you via a Forward Certificate Transfer.

If the facility is registered to a different account, retail sellers or POUs may then set up a Standing Order Transfer to transfer these certificates into their retirement subaccount(s).

Forward Certificate Transfers and the Standing Order Transfers can ensure that procurement from these contracts is not traded and is counted toward the retail seller's or POU's RPS obligations. The Energy Commission may conduct audits to verify that these contracts comply with the law. Corrections to the generation amounts are still possible with these transfer arrangements and will likely result in future batch transfers into the retirement subaccounts be either higher or lower amounts to correct for any discrepancies.

For MJUs, certain facilities may use a "system resource" allocation approach, which has been defined under a multi-state protocol to determine how the costs, revenues, and generation associated with facilities are allocated to each state the MJU serves. This means that for many MJU facilities a certain percentage of procurement is allocated to each of the states, representing a state's share of the resource from the MJU's "total system resource" level (all of the MJU's resources from every state it serves). Because the portion of that facility's output that will serve California's load may not be known at the time the REC is created, RECs from these system resource facilities do not need to be automatically retired; however, the RECs allocated for California's RPS must eventually be retired in the MJU's retirement sub-account.

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6 **A Standing Order Transfer** is a recurring transfer that does not require the Transferor to be an Account Holder representing one or more Generating Units, but can be any Account Holder that has certificates in at least one (1) open Active Sub-Account.

For contracts that fall under PUC Sections 399.16(a)(5) and 399.16(b)(6) between retail sellers/POUs and facilities requiring e-Tag data to demonstrate RPS compliance, the generation must be matched with the associated NERC e-Tag to be able to demonstrate final e-Tag scheduled data before it can be retired.7 For that reason, certificates from facilities scheduling energy into a CBA may be retired through a One-Time Transfer after the associated NERC e-Tags are available in the obligated utility's account.[8]

3) For a One-Time Transfer, from the "Open Active Sub-Accounts" module, select an open, Active Sub-Account as the source of the transfer. Click on the certificate quantity field hyperlink, this will bring you to the "Certificates in Subaccount" screen.

   a) Identify the desired Generating Unit(s) and Generation Month(s) representing the certificates you wish to retire by checking the box(es) next to it. If needed enter the certificate quantity (number of certificates – fixed amount only) from the batch(es) that you wish to transfer to your CA RPS retirement subaccount Select the "Batch Transfer" at the top of the screen.

4) Click the "Retirement" radio button.

5) In the drop-down box of retirement subaccounts in the retirement section, select the retirement subaccount you created for a specific reporting year.

6) Under "Retirement Type," select the box next to "Used by the Account Holder for a State-Regulated Utility Renewable Portfolio Standard/Provincial Utility Portfolio Standard."

7) Under "Retirement Details," select "California" for "State/Province" and select the specific reporting year for "RPS Compliance Period."

8) Under "Reason," the options to select are "In-State Power/Province Resource" or "Out of State/Province Power Purchase." Because SB X1-2 distinguishes Certificates between facilities interconnected to a CBA and those not interconnected to a CBA, for purposes of SB X1-2 and until a potential change is made to the menu selections in WREGIS – the option "In-State Power Purchase" should be selected for contractual arrangements or ownership agreements with facilities interconnected (directly connected) to a CBA. The option "Out of State/Province Power Purchase" option should be selected for contractual arrangements or ownership agreements with facilities not interconnected (not directly connected) to a CBA. As noted below, and per the Energy Commission's *RPS Eligibility Guidebook*, for POUs using e-Tag data for compliance of PCC 1 – not directly connected to a CBA and therefore scheduled into a CBA and PCC 2 – using firmed and shaped electricity – these PCC 1 and PCC 2 claims must be verified with e-Tag data. In the case

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7 Additional functionality regarding the matching of NERC e-Tags to REC Certificates is expected to occur as a result of PCR 209, WREGIS change control request.
8 Information on retirement using NERC E-tags can be found at:
http://www.wecc.biz/WREGIS/Pages/Training.aspx

of an "Out of State/Province Power Resource – NERC E-Tag Required"[9] you will need to retire the associated e-Tags by selecting the "Get Tags" button. However, as explained in the Introduction above, the NERC e-Tag service is not always available in WREGIS for some parties. For the 2011 reporting years and going forward, you must use WREGIS to provide final e-Tag scheduled data for any month during which you participated in that service and the data is available in WREGIS, special exceptions are allowed for situations involving third parties.

a) When third parties are responsible for e-Tag import data on behalf of a POU and, therefore, the POU is unable to provide e-tag data using WREGIS, the CA RPS e-Tag Summary Report may be used for reporting.[10]

   Although in some cases the applicable deliveries may not be available in WREGIS, load serving entities must report any Out of State/Province Power Purchases using WREGIS, but in those cases you should select "Out of State/Province Power Resource – NERC E-Tag Not Available in WREGIS." If you are experiencing problems, please work with the WREGIS Administrator as soon as possible.

9) Select "Submit."

10) A pop-up box will appear informing you that a transfer to a retirement subaccount is final and asking if you would like to continue. After you have reviewed the information and are satisfied that it is correct, click "OK."

****File your WREGIS RPS Compliance Report by following the Instructions provided below after the Instructions for Importing NERC e-Tags into your Account.**

D. Instructions for importing e-Tags Into Your WREGIS Account

This section is only for users who must demonstrate final e-Tag schedule data for PCC1 and PCC2 claims as part of their RPS compliance. Please note that retail sellers should follow these instructions but submit their e-Tag Summary Reports to the CPUC instead of the Energy Commission. POUs must submit e-Tag data to the Energy Commission.

1) For the NERC e-Tags to be imported into WREGIS, the e-Tags must contain both the appropriate Purchasing-Selling Entity (PSE) code for the Load-Serving Entity to which the energy is scheduled, and the generator's RPS identification (ID) number.

2) The RPS ID number must be contained in the miscellaneous field on any line of the e-Tag Physical Path but only on one (1) line per e-Tag, with "RPS_ID" written (it must be

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9 Additional steps and instructions can be found at: http://www.wecc.biz/WREGIS/Pages/Training.aspx

10 If WREGIS functionality is changed to accommodate third parties matching and transferring of necessary –e-Tag data to allow POUs to provide the Energy Commission with a complete WREGIS NERC e-Tag Summary Report, the CA RPS e-Tag Summary Report should no longer be used for reporting e-Tag data. Until such a WREGIS functionality change is made, the CA RPS e-Tag Summary Report may be provided by POUs to report e-Tag data from third parties, which is not available to POUs through WREGIS.

in ALL CAPS and include the underscore, but do not include the quotation marks) in the "Token" column and the actual RPS ID number written in the "Value" column.

An example follows:

Misc (Token/Value)

RPS_ID	Actual RPS ID number and letter suffix

3) Because this information is checked using computer software, your NERC e-Tags will not be imported into the WREGIS system if all of the information is not entered accurately and in the proper fields.

4) The WREGIS Administrator adds Purchasing Selling Entity (PSE) Codes to your WREGIS account if you sent a request in writing (either mail or email) to the WREGIS Administrator. WREGIS will only pull NERC e-Tag data from the date the PSE codes were provided and subsequently added to your account by WREGIS staff on a going forward basis. You must include accurate PSE Codes in your request to demonstrate e-Tag data as part of your RPS compliance. These codes can be obtained from your scheduler.

5) Your scheduler must enter your RPS-eligible facilities' RPS identification number when scheduling energy delivery into California that you plan to match with WREGIS Certificates for retirement for RPS compliance. The RPS ID number is provided by the Energy Commission and is located on your facilities' certificate for eligibility and its cover letter. The RPS ID number can also be found on the Energy Commission's website at http://www.energy.ca.gov/portfolio/documents/list_RPS_certified.html.

6) Open Access Technology International will not pull tags without both a PSE code matching the WREGIS provided list and an RPS ID. WREGIS imports e-Tags into WREGIS Accounts by the 15th of each month for the previous month.

7) A monthly fee (currently $206 and subject to change) is required for a company's NERC e-Tag data to be imported into WREGIS. A one-time, set up fee may be applicable. WREGIS will add this charge to your monthly invoice after you have requested and been approved to use the WREGIS service for NERC e-Tags.

8) You must follow the WREGIS NERC e-Tag Training guidelines located on the WREGIS website at: http://www.wecc.biz/WREGIS/Pages/Training.aspx. If you do not see a PSE code on your account profile, WREGIS WILL NOT pull your NERC e-Tags. If your NERC e-Tags are not properly filled out by your schedulers, WREGIS WILL NOT pull

your NERC e-Tags and these energy deliveries will not be included in your WREGIS RPS Compliance Report.

9) The NERC e-Tags available in your account may be viewed in the "NERC e-Tag Summary Report" in the "Account Holder Reports" module. If you have requested the service but do not see any tags in your account, please check with your schedulers to ensure that the tagging guidelines have been followed. Please confirm that your NERC e-Tags are in your account before filing your State/Provincial/Voluntary Compliance Report.

10) Please contact your scheduler to ensure that all information is entered correctly on your NERC e-Tags. If you have any questions, contact the WREGIS staff at: wregisadmin@wecc.biz or 888-225-4213.

11) On an as requested basis you may be required to submit to the Energy Commission your "NERC e-Tag Summary Report" along with your "State/Provincial/Voluntary Compliance" Report. Please see the following instructions on Filing a State/Provincial/Voluntary Compliance Report and a NERC e-Tag Summary Report below for more detailed instructions on how to submit your NERC e-Tag Summary Report. Please confirm that your NERC e-Tags are in your account before filing your State/Provincial/Voluntary Compliance Report.

E. Instructions for Filing a State/Provincial/Voluntary Compliance Report Using WREGIS

State/Provincial/Voluntary Compliance Reports are due to the Energy Commission July 1 following the reporting year. For example, RPS reporting year 2014 shall be filed July 1, 2015. Please confirm that your NERC e-Tags are in your account before filing your State/Provincial/Voluntary Compliance Report.

1) Go to www.wregis.org and log in to your account by selecting the "WREGIS Login" button on the left hand side of the page.

2) Select the "State/Provincial/Voluntary Compliance Report" from the "Account Holder Reports" module on the left side of your screen.

3) Specify the retirement month and year. Use the drop-down boxes to select "From Month/Year" "To Month/Year." The month/year selected needs to be the month/year during which the certificates were retired, NOT the vintage month/year. This report filter pulls data from the date you retired the certificates, not the vintage (generation) dates on the certificates. For example, if it is March 2014 and you are retiring certificates with a vintage year in 2012 you would select From March 2014 to March 2014 to represent the retirement month and year.

4) Under "Retirement Subaccounts," select the retirement subaccounts that contain the WREGIS Certificates that you have retired to demonstrate compliance with the California RPS program for the reporting year[11] in question.

5) Under "Retirement Type," select "State/Provincial Portfolio Standards."

6) Double-check your report to ensure that all information is correct and complete.

7) Click the icon on the upper far right of your State/Provincial/Voluntary Compliance Report to "Export." This will open a pop-up screen titled "Report Export Request."

8) The report must be submitted electronically to the Energy Commission by July 1 for reports on the previous calendar year.

   a) Select "Email" radio button at the top of the pop-up window and "CSV" at the bottom by "Report Format." Enter the following contact information:

      RPSTrack@energy.state.ca.us

   b) Select "Email" radio button at the top of the pop-up window and "CSV" at the bottom by "Report Format." Enter the following contact information:

      Retail Sellers ONLY – also send reports to:

      rpscompliance@cpuc.ca.gov

   c) Select "Request" to submit.

You must also submit a signed WREGIS Attestation Form for Retail Sellers and for POUs. The template for the attestation is located on the Energy Commission's website and in Appendix B: Forms.

F. Instructions for Filing a NERC e-Tag Summary Report Using WREGIS:

On an as requested basis you may be required to submit to the Energy Commission your "NERC e-Tag Summary Report" along with your "State/Provincial/Voluntary Compliance

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11 Reporting year is a particular year within a compliance period for which the annual generation has already occurred and for which the RECs are being retired and used for RPS compliance. The reporting year is not the year in which the retired RECs are reported; *it is the year for which the retired RECs are reported* and, on an annual basis, represents the calendar year preceding the July 1 reporting due date. . Because RECs may be retired for RPS compliance within 36 months from the month and year of generation, RECs retired and reported for a particular year may have a different vintage year than the reporting year. However, RECs may not be counted for a reporting year, if the vintage year is later than the reporting year. For example, an entity may not retire and report generation for reporting year 2013 and include RECs with a 2014 vintage in that reporting year. Additionally, if RECs are procured after they have been generated, they may not be used for the RPS for reporting years earlier than the year of procurement. For example, entities purchasing 2013 RECs in 2014 and may not use them for the 2013 reporting year.

Report." Please confirm that your NERC e-Tags are in your account before filing your State/Provincial/Voluntary Compliance Report.

1) Go to www.wregis.org and log in to your account by selecting the "WREGIS Login" button on the left hand side of the page.

2) Select the "NERC e-Tag Summary Report" from the "Account Holder Reports" module on the left side of your screen.

3) Double-check your report to ensure that all information is correct and complete.

4) Click the icon on the upper far right of your NERC e-Tag Summary Report to "Export." This will open a pop-up screen titled "Report Export Request."

5) For POUs, the report must be submitted to the Energy Commission by July 1 for reports on the previous calendar year. For retail sellers, the report must be submitted electronically to the California Energy Commission and the California Public Utilities Commission by July 1 for reports on the previous calendar year.

   a) Select "Email" radio button at the top of the pop-up window and "CSV" at the bottom by "Report Format." POUs enter the following contact information:

      RPSTrack@energy.state.ca.us

   b) Select "Email" radio button at the top of the pop-up window and "CSV" at the bottom by "Report Format." Retail sellers enter the following contact information:

      rpscompliance@cpuc.ca.gov

   c) Select "Request" to submit.

Appendix B: Forms

Note: Current versions of these forms (downloadable) are available on-line at: [**http://www.energy.ca.gov/renewables/documents/index.html#rps**]

General Information

As part of the forms for RPS certification or precertification and the verification process general information about each facility and the person submitting the form will be collected. This information may include, but is not limited to:

- Applicant contact information
- Location and contact information for the facility
- Facility ownership, and contact information for the facility owner
- Facility identification used by other programs, such as EIA Plant ID, CEC Plant ID (a.k.a. CEC-1304, EAO QFER), and FERC QF ID

Certification Forms

- CEC-RPS-1, Application for RPS Certification or Precertification
- CEC-RPS-1-S1, Supplement 1 – Biopower
- CEC-RPS-1-S2, Supplement 2 – Hydroelectric
- CEC-RPS-1-S3, Supplement 3 – Facilities with a first point of interconnection to a non-California balancing authority outside California and facilities located outside the United States
- CEC-RPS-1-S4, Supplement 4 — Supplemental information and attestation for biomethane production facilities
- CEC-RPS-1-S5, Supplement 5 — Supplemental information and attestation for common carrier pipeline biomethane delivery entities
- CEC-RPS-2196, Existing biomethane supplemental information. Supplements 4 and 5 for the CEC-RPS-1 are also used to supplement this form
- CEC-RPS-3, Application for the Certification of Aggregated Units

Interim Tracking System

- CEC-RPS-TRACK, RPS Procurement and Attestation Form for reporting generation not available in WREGIS.
- CA RPS e-Tag Summary Report, For POUs only and in instances when the data are not available for use in WREGIS (in the case of third parties in WREGIS, for example) - Final Energy Schedule information for Portfolio Content Category 1 – NOT-directly connected to a CBA and for Portfolio Content Category 2 – incremental electricity, firmed and shaped.

General Reporting

- CEC-RPS-Hourly, For POUs only - Annual hourly meter and annual hourly final e-Tag schedule reporting.

- CEC-RPS-GEN, RPS Generation and Attestation Form for RPS-certified facilities. Required for facilities with generation not tracked in WREGIS for an entire calendar year. Once generation is fully tracked in WREGIS on an annual basis, the CEC-RPS-GEN form is required on an as requested basis.
- CEC-RPS-Multifuel, RPS Multifuel and Attestation Form for RPS-certified facilities using more than one fuel.
- CEC-RPS-Biomethane, RPS claims from RPS-certified facilities using biomethane
- CEC-RPS-POU, For POUs only - Form for Local Publicly Owned Electric Utilities (POUs) for static data, annual and compliance period reporting.
- CEC-RPS-HCO, For POUs only – Form for reporting historic carryover claims.

WREGIS

- WREGIS State/Provincial/Voluntary Compliance Report and WREGIS e-Tag Summary Report Attestation Form

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRECERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

INSTRUCTIONS

Please refer to the *RPS Eligibility Guidebook* for additional information for completing this form.

–All information on this form and on any attachments is subject to public disclosure–

Submit the completed and signed CEC-RPS-1 form to:

California Energy Commission
Attn: RPS Certification
1516 Ninth Street, MS-45
Sacramento, CA 95814

And submit the electronic, unsigned Excel file via email to: RPSTrack@energy.ca.gov

Excel File name and email subject line should be of the format:

RPS-1 [Certification or Precertification] of the [Facility Name], [RPS ID number if available]

Section I: Type of Certification Requested

1. Indicate whether the application is for:

► *Certification of a Precertified Facility* - applies to currently precertified facilities that are now commercially online, using a renewable fuel, and applying for certification.

► *Certification* - applies to commercially online facilities using a renewable fuel that seek eligibility for the RPS.

► *Amendment to a Certification* - applies to facilities already certified as eligible for the RPS that have undergone material changes since being certified (for example, change of ownership, size of facility, etc.). Facilities that do not notify the Energy Commission in a timely manner of material changes face revocation of the original certification.

► *Precertification** - applies to renewable facilities that are not yet commercially online using a renewable fuel and are seeking an initial evaluation as to the potential eligibility for the RPS.

► *Amendment to a Precertification** - applies to facilities already precertified as eligible for the RPS that have undergone material changes since being precertified (for example, change of ownership, size of facility, etc.). Facilities that do not notify the Energy Commission in a timely manner of material changes face revocation of the original precertification.

► *Limited Certification* - applies to facilities that were under contract with, or owned by, a retail seller or POU with the contract or ownership agreement having been originally executed prior to June 1, 2010, and not meeting the eligibility requirements of the current *RPS Eligibility Guidebook*. See section III of the *RPS Eligibility Guidebook* for more information.

**When completing this form for the precertification of a facility, complete the form as if the facility has commenced commercial operations and is operating as planned.*

Specify the RPS ID previously assigned to the facility, if any. If no RPS ID has been assigned to the facility by Energy Commission staff, leave this blank.

Section II: Facility Name and Location

2. Specify the name of the facility to be displayed on the RPS certificate. Also include all other current and prior names used by the facility for any other activities, such as Power Purchase Agreements, WREGIS, etc.

3. Provide the facility's physical location in the form of GPS coordinates in a latitude/longitude format similar to this example: 38 34'28.47"N 121 29'51.88"W and the street address (if available).

► If a full street address is not available, provide, at a minimum, the City, State, County, 9 Digit Zip Code, and Country portions of the facility's street address and provide a mailing address in question 6.

Section VI: Facility Operations

4. Specify the nameplate capacity of the electricity generating equipment, as defined in the *Overall Program Guidebook*. Theoretical limitations on maximum generation capacity based on the energy resource quality or availability, or any restrictions placed on the facility by government regulations or planned facility operations, should not be considered or reflected in the nameplate capacity. Facilities that generate electricity in direct current, such as solar photovoltaic, must report the equivalent nameplate capacity after conversion to alternating current.

5. Indicate the commercial operations date of the facility, as defined in the *Overall Program Guidebook*, and the date the facility first used renewable fuel, if different.

6. Identify the operations type of the facility as described in the *RPS Eligibility Guidebook*.

► *Prior operating facility* - Facility commenced commercial operations before January 1, 2005; for hydroelectric facilities this date is January 1, 2006.

► *New facility* - Facility commenced commercial operations on or after January 1, 2005; for hydroelectric facilities this date is January 1, 2006.

► *Repowered facility* - Facility was repowered or re-entered commercial operations after January 1, 2005. For hydroelectric facilities, this date is January 1, 2006. See the "Repowered Facilities" section of the *RPS Eligibility Guidebook* for additional information on repowered facilities.

► *Incremental generation* resulting from a project expansion or repowering after January 1, 2005. For hydroelectric facilities this date is January 1, 2006. See the section titled "Facilities With a First Point of Interconnection to a non-California Balancing Authority Outside California or Facilities Located Outside the U.S." in the *RPS Eligibility Guidebook* for more information about certifying incremental generation from a project expansion or repowering.

Section VII: Facility Resource Type

7. Indicate all energy source(s) used by the facility, including all renewable and nonrenewable energy sources, and complete the supplemental form indicated. Also specify the percent fuel usage at the facility for each fuel on an annual basis. For facilities using biodiesel, fuel cell, or RPS-eligible gas injected into a natural gas pipeline, please select only the fuel type used for electrical generation, complete the specified form, and provide the additional required information as applicable.

8. **For single-fuel facilities**, select "None, the facility does not use, and is unable to use, more than one energy resource in the generation process." **For multi-fuel facilities**, specify which of the listed eligible fuel measurement methodologies is used to determine the contribution of each fuel used by the facility. See Section II C, "Renewable Facilities Using Multiple Energy Resources," of the *RPS Eligibility Guidebook* for more information.

Section III: Application Contact Information

9. Applicant Information

Provide the name and contact information for the applicant. The applicant, along with the authorized officer/agent signing the attestation, is repsonsible for the accuracy of all information presented in this application and all other supporting documentation submitted with the application. The applicant is the primary point of contact for the facility and must be included in all correspondence. The applicant has the authority to make revisions to the application and supplemental documentation without the express consent of the authorized officer/agent. The applicant is also responsible for ensuring the continued compliance of the facility with the RPS requirements including the verification process.

10. Additional Authorized Persons

Specify the person completing the form if different from the applicant. This person will also have authority to make changes to the application without the express consent of the applicant or the authorized officer/agent.

List all additional persons authorized to make changes to this application. These persons have authority to make changes to the application without the express consent of the applicant or the authorized officer/agent.

Section IV: Facility Ownership and Contacts

11. Facility Owner

Indicate the facility owner and related contact information.

12. Facility Contact Information

Indicate the mailing address for the facility, if different from the facility location, or if no address exists for the facility location, along with other contact information for the facility.

Section VIII: Facility Identificaiton Numbers

13. Provide the following information on all WREGIS Generating Unit(s) (GU) associated with the facility:

    ► *WREGIS GU ID* - Specify the identification number assigned to a generating unit or facility by the WREGIS system of the format W####. The amount of numbers following the prefix "W" may vary.

    ► *Unit Nameplate Capacity (MW AC)* - Specify the nameplate capacity of the generating unit(s) represented by each WREGIS GU ID, in alternating current.

    ► *Type of GU* - Identify if the GU ID measures electricity as exported to the electricity grid, electricity used onsite, or electricity in another classification (attach a document explaining what is measured).

    ► *Multi-fuel GU ID* - Indicate if the GU ID is associated with more than one fuel type in the WREGIS system.

14. List the identification numbers associated with the facility for the following programs, if available.

EIA Plant ID:	All electricity generating facilities physically located in the United States that have a total nameplate capacity of 1 MW or more must submit data to the U.S. Energy Information Administration (EIA). The EIA assigns each reporting facility a "EIA Plant Identification Code". If the facility has reported to the EIA in the past and has an EIA Plant ID, provide that ID here.
CEC Plant ID:	If a facility is physically located in California and its nameplate capacity is greater than 1 MW, they must report annually to the Energy Commission's Electricity Analysis Office on the CEC 1304 form the data necessary for the Quarterly Fuel and Energy Report (QFER). If the facility has reported to the Energy Commission's EAO in the past, the EAO will have assigned the facility a "CEC Plant ID". If this is the case, provide the CEC Plant ID.
FERC QF ID:	If the facility is certified by the Federal Energy Regulatory Commission as a Qualifying Facility, it will have a FERC QF ID. Provide that ID here.

Section V: Facility Interconnection

15. Specify the balancing authority for the facility's first point of interconnection to the WECC and provide the resource ID assigned to the facility by the balancing authority.

Section VIII: Other Facility Information

16. If the facility has, is, or intends to participate in, or receive any benefits from, a net surplus generation program created pursuant to AB 920 for both the net surplus generation and the Renewable Energy Credits, select "Yes" and specify the program's start and end date. For planned future participation/receipt of benefits, select "Yes" and then specify the planned start and end dates. If no planned dates are available, enter "To Be Decided" in these date fields and include a notice of this to Energy Commission staff with the application when it is submitted.

17. If the facility was developed and awarded a power purchase contract under a 2002-2003 Interim RPS Procurement solicitation approved by the CPUC under Decision 02-08-071 and Decision 02-10-062, select "Yes." If "Yes" is selected, evidence of the power purchase contract MUST be included with this application.

Section IX: Information for Limited Certification Applicants

18. If the contract for electricity from the facility was executed prior to June 1, 2010, answer 'Yes' and enter the contract's information into the table. This includes: the name of the utility the contract is with, the execution date of the original contract, the date delivery first began, and the date all contracted deliveries were, or will be, finished. If the contract was not executed prior to June 1, 2010, answer 'No' and skip the rest of this section.

    ► *Utility* - The name the of the utility the contract is with.

    ► *Execution Date of Original Contract* - The date the contract for electricity from the facility was executed.

    ► *Contracted Deliveries* - The amount of deliveries contracted in MWh per year.

    ► *Date of First Deliveries* - The date delivery began.

    ► *Contractual Date of Final Delivery* - The date that deliveries will end, according to the contract.

19. If the contract for electricity from the facility was approved by the CPUC, answer 'Yes' and specify the advice letter number, advice letter filing date, as well as the CPUC resolution number and date.

20. If the contract for electricity from the facility was amended or modified after June 1, 2010 to increase the facility's nameplate capacity or expected generation, or substitute a different renewable energy source, answer 'Yes' and attach to the application a description of those amendments and modifications.

Section X: General Information

The Energy Commission reserves the right to request additional information to confirm or clarify information provided in this application, including any attachments. If a representative of a facility does not respond to the Energy Commission's request for an information update in a timely manner, the facility is at risk of losing its certification or precertification status as specified in the RPS guidebook.

The Energy Commission may conduct an audit to verify the accuracy of any information included as part of an application for RPS certification or precertification. As part of an audit, an applicant may be required to provide the Energy Commission with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications or reports. An applicant may also be required to open its business records for on-site inspection and audit by the Energy Commission or its authorized agents for purposes of verifying the accuracy of any information included in the applicant's applications and reports.

Representatives of certified or precertified facilities must notify the Energy Commission promptly of any changes in information previously submitted to the Energy Commission. Failure to do so may result in revocation of certification or precertification status. Any changes affecting the facility's certification status must be reported on an amended CEC-RPS-1 form. If there are any changes to the status of a facility's certification or precertification, the new information will be posted on the Energy Commission's website.

Section XI: Certification Attestation

The attestation must be signed by an authorized officer or agent of the facility owner, who has the authority to attest to the accuracy of the information provided and has read and understands the requirements specified in the *Overall Program Guidebook for the Renewable Energy Program* and the *Renewables Portfolio Standard Eligibility Guidebook*.

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the application if not corrected.

***REMINDER:* Some facilities have further submission requirements outlined below. Refer to the RPS Eligibility Guidebook for details.**

Technology/Characteristic	Additional Required Information	Supplemental Form
Biodiesel, Biogas, Biomass, Digester Gas, Fuel Cells Using Renewable Fuel, Landfill Gas, MSW Combustion, MSW Conversion, and Pipeline Biomethane	Yes	CEC-RPS-1.S1
Hydroelectric	Yes	CEC-RPS-1.S2
1st Point of Interconnection to a non-CBA Outside CA	Yes	CEC-RPS-1.S3
Repowered, incremental generation and Out-of-Country	Yes	N/A

Indicate any attached documents in addition to supplemental forms.

STATE OF CALIFORNIA CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRE-CERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 1 - BIOPOWER, INSTRUCTIONS

–All information on this form and on any attachments is subject to public disclosure–

Section I: Facility Information

Fields are automatically populated from information provided in CEC-RPS-1.

Section II: Specific Fuel Type

1. Indicate all fuel types used by the facility to generate electricity and complete specified sections.
2. Indicate if the fuel is produced offsite and specify the delivery method of the fuel.

Section III: Supplemental Questions for Biomass Fuels

3. List all types of biomass used at the facility, or in the production of the fuel used at the facility, the source of each biomass type, and an estimate of the monthly BTU content of the fuel, measured in MMBTUs averaged over a calendar year.
4. Applicant certifies that the facility's fuel sources, identified above, qualify as biomass as specified in the definition of biomass in the *Overall Program Guidebook.*

Section IV: Supplemental Questions for Hydrogen Fuels

5. List the origin of all hydrogen used at the facility, the producer of each hydrogen source, the production method of that source, and an estimate of the quantity of hydrogen provided from each source.
6. Applicant certifies that all hydrogen used at the facility is produced in a manner consistent with the *RPS Eligibility Guidebook* . If the hydrogen is produced from a biogas source, the biogas is procured in an eligible manner.

Section X must be completed by all producers of hydrogen

Section V: Supplemental Questions for Municipal Solid Waste Combustion Fuels

7. MSW Combustion facilities must be located in Stanislaus County California, and have commenced commercial operations before September 26, 1996, to be considered eligible for California's RPS. Documentation must be submitted to substantiate this claim.

Section VI: Supplemental Questions for Municipal Solid Waste Conversion Fuels

8. The applicant must indicate that the facility meets all the requirements listed in the Public Resources Code Section 25741, Subdivision (b)(3), and the *Renewables Portfolio Standard Eligibility Guidebook* , Fifth Edition. Documentation must be submitted to substantiate this claim.

Section VII: Supplemental Questions for Biomethane Fuels

9. List all biogas fuel production facilities used at the facility and the number of entities that handle the delivery of the gas.

   The applicant must certify that the facility's fuel sources, identified above, qualify as biogas as specified in the definition of biogas in the *Overall Program Guidebook.*

Section X must be completed by every producer of biogas.

Section VIII: Attestation for Facilities Using Biomethane Fuels

The attestation must be signed by an authorized officer or agent of the electrical generating facility owner, who has the authority to attest to the accuracy of the information provided and has read and understands the requirements specified in the *Overall Program Guidebook for the Renewable Energy Program* and the *Renewables Portfolio Standard Eligibility Guidebook* .

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the application if not corrected.

STATE OF CALIFORNIA CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRE-CERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 2 - HYDROELECTRIC, INSTRUCTIONS

–All information on this form and on any attachments is subject to public disclosure–

Section I: Facility Information

Fields are automatically populated from information provided in CEC-RPS-1.

Section II: Hydroelectric Resource

1. Indicate the type hydroelectric facility that will be used to generate electricity and complete specified sections. Complete only the section(s) applicable to this facility as specified in this table.

2. Indicate if the facility, as described in the CEC-RPS-1 application and all supplemental applications, complies with the definition of a project as defined in the *Overall Program Guidebook for the Renewable Energy Program*. All electricity generating equipment that could be considered part of this facility per the definition of a project in the *Overall Program Guidebook* is represented in this application as part of the facility.

Section III: New Hydroelectric Facilities

For new hydroelectric facilities, applicant certifies that the facility meets all the following requirements:

- The facility commenced commercial operations or was repowered on or after January 1, 2006.
- Capacity is 30 MW or less, with an exception for eligible energy efficiency improvements made after January 1,
- It is located inside California, has a first point of interconnection to a CBA, or satisfies the Facility With a First Point of Interconnection Outside California requirements.
- The facility does not cause an adverse impact on instream beneficial uses or cause a change in the volume or timing of stream flow.

For existing hydroelectric facilities, applicant certifies that the facility meets all the following requirements:

- The facility commenced commercial operations before January 1, 2006.
- Capacity is 30 MW or less, with an exception for eligible energy efficiency improvements made after January 1,
- It is located inside California, has a first point of interconnection to a CBA, or satisfies the Facility With a First Point of Interconnection Outside California requirements.

If the facility is a small hydroelectric facility that was under contract to, or owned by, a retail seller or local publicly owned utility as of December 31, 2005. Specify the retail seller of local publicly owned electric utility and attach documentation on the contract with, or ownership by, that utility.

If the facility is a conduit hydroelectric facility no additional information is needed.

Section IV: Conduit Hydroelectric Facilities

3. Indicate if the conduit hydroelectric facility uses only the hydroelectric potential from an existing conduit that was built before January 1, 2008?

Section V: Water Supply or Conveyance System Facilities

4. Applicant must certify that the facility meets all the following requirements:
   - The facility commenced commercial operations before January 1, 2006.
   - Nameplate capacity is 40 MW or less, with an exception for eligible energy efficiency improvements made after January 1, 2008.
   - The facility is located inside California, has a first point of interconnection to a CBA, or satisfies the "Facility With a First Point of Interconnection to a non-CBA Outside California" requirements.
   - The Facility is a small hydroelectric facility that was under contract to, or owned by, a retail seller or local publicly owned utility as of December 31, 2005.

     Specify the retail seller or local publicly owned utility and attach documentation on the contract with, or ownership by, the specified utility.

Section VI: Pumped Storage Hydroelectric Facilities

5. Applicant must certify that the facility meets **all** the following requirements:
   - The facility meets the RPS eligibility requirements for conduit hydroelectric, small hydroelectric, or incremental hydroelectric facilities as more fully described in the *Renewables Portfolio Standard Eligibility Guidebook*, **and**
   - The electricity, or energy resource, used to pump the water qualifies as RPS-eligible. (The amount of energy that may qualify for the RPS is the amount of electricity dispatched from the pumped storage facility.)

   A facility certified as RPS-eligible may include an electricity storage device if it does not conflict with other RPS-eligibility criteria, but the storage unit itself will not be separately certified.

Section VII: Incremental Hydroelectric Facilities

6. The applicant certified that the following is correct and the facility complies with all the requirements more fully described in the *Renewables Portfolio Standard Eligibility Guidebook*. RPS certification of the incremental increase in generation that results from efficiency improvements to a hydroelectric facility, regardless of the electrical output of the facility, is eligible for the RPS if **all** of the following conditions are met:
   - The facility is owned by a retail seller or a local publicly owned electric utility. Identify the specific utility.
   - The facility was operational before January 1, 2007.
   - The efficiency improvements are initiated on or after January 1, 2008, are not the result of routine maintenance activities and were not included in any resource plan sponsored by the facility owner before January 1, 2008.
   - The facility has, within the immediately preceding 15 years from the date the efficiency improvements are initiated, received certification from the State Water Resources Control Board (SWRCB) pursuant to Section 401 of the Clean Water Act (33 U.S.C. Sec. 1341), or has received certification from a regional board to which the SWRCB has delegated authority to issue certification, unless the facility is exempt from certification because there is no potential discharge into waters of the United States.
   - The incremental increase is the result of efficiency improvements from a retrofit, and the efficiency improvements do not result in an adverse impact on instream beneficial uses or cause a change in the volume or timing of stream flow.
   - All of the incremental increase in electricity generation resulting from the efficiency improvements must be demonstrated to result from a long-term financial commitment by the retail seller.

Section X: Supplemental Information

All applicants for hydroelectric facilities commencing, or planning to commence, commercial operations, repowered operations, or operations with efficiency improvements on or after January 1, 2006, must submit supporting documentation for the following points. Documents with relevant information for each point should be listed below including sections or pages of importance.

If any of the additional required information is unavailable at the time the pre-certification application is submitted, due to the facility's stage in development, the Energy Commission may accept a list of all information that will be available and submitted with the certification application, the date the documents or other information will be finalized, and a summary of the expected results, where applicable.

More information on the following sections can be found in the instructions section or in the *RPS Eligibility Guidebook*.

7. Source Water Description:

   The application must identify the source of the water for the hydroelectric project. The source must be characterized as surface, groundwater, or other (for example, recycled water). For surface water sources, a map at a scale of 1:24,000 must be provided. The map should also identify the location of the diversion point and all other facilities. In addition, a written description of the location of the diversion should be provided (county and nearest city) as well as the name of the body of water at the point of diversion. For groundwater, the location of the well(s) and conveyance facilities shall be identified on a map of 1:24,000 scale. The applicant must also specify how much water is used for each of the identified beneficial uses.

8. Water Rights:

All applicants must clearly establish their right to divert water by submitting all necessary information as well as all appropriate licenses or permits. Within California, this information must identify the permitted volume, rate, and timing of water diversions, the place of diversion, and beneficial uses. This may be achieved through submittal of the appropriate SWRCB appropriation permit or license, or the Statement of Water Diversion and Use filed with SWRCB. For diversions not subject to an appropriation permit or license, a copy of any Statement of Water Diversion and Use filed with SWRCB should be provided. Facilities located outside California must provide similar documentation of an existing water right for water diversion.

9. Hydrologic Data:

The applicant must submit appropriation and/or diversion data for the last five years or for the period of operation if the project has been operating less than five years. Information contained in any legally required reports may be used to meet this requirement if sufficient information is included in the report. For other projects, the hydrologic data submitted must be accompanied by a description of how the data is collected. Flow data shall be provided at the frequency set forth in the applicable water appropriation permit; for example, if the permit specifies minimum and maximum flows on a monthly basis, that is the level of information necessary to be submitted.

10. Other Permits:

The applicant must submit all other applicable permits, including those permits and exemptions issued by the Federal Energy Regulatory Commission (FERC).

11. Environmental Documentation:

The applicant must submit copies of any permits, agreements, contracts, or other requirements affecting the operation of the facility, especially those that affect the volume, rate, timing, temperature, turbidity, and dissolved oxygen content of the stream water before and after the points of diversion.

12. Capacity:

For small and conduit hydroelectric facilities, the applicant must demonstrate how the project will comply with the 30 MW nameplate capacity size limitations under the RPS and not cause an adverse impact on instream beneficial uses or a change in the volume or timing of stream flow. For this purpose, a facility may have an adverse impact on the instream beneficial uses if it causes an adverse change in the chemical, physical, or biological characteristics of water.

13. Efficiency Improvements:

Applicants seeking certification of small or conduit hydroelectric facilities that exceed 30 MW due to efficiency improvements must provide the following:

- Documentation showing when the existing small or conduit hydroelectric facility commenced commercial operations.
- Documentation describing the efficiency improvements and when they were initiated and completed.
- Documentation demonstrating that the efficiency improvements are not the result of routine maintenance.
- Documentation demonstrating that the efficiency improvements did not result in an adverse impact on instream beneficial uses or cause a change in the volume or timing of stream flow. For this purpose, an efficiency improvement could have an adverse impact on the instream beneficial uses if it causes an adverse change in the chemical, physical, or biological characteristics of water.

14. Incremental Hydroelectric Generation:

Applicants seeking certification of incremental hydroelectric generation due to efficiency improvements regardless of facility output are required to provide several additional items that are explained in detail in the RPS Guidebook under additional required information in Section II B 5: Hydroelectric Facilities.

Applicant's signed attestation on Form CEC-RPS-1 applies to the information provided herein.

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CERTIFICATION OR PRE-CERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 3 - FACILITIES WITH FIRST POINT OF INTERCONNECTION TO NON-CBA OUTSIDE CALIFORNIA, INSTRUCTIONS

–All information on this form and on any attachments is subject to public disclosure–

Section II: Facility Information

Fields are automatically populated from information provided in CEC-RPS-1.

Section III: Supplemental Questions for Facilities With a First Point of Interconnection to a Non-CBA Outside California Applications

1. Choose **One**	The applicant must certify that all the facility commenced commercial operations on or after January 1, 2005, and meets the RPS eligibility requirements as outlined in the *RPS Eligibility Guidebook*: ► Connected to the WECC transmission system. ► Does not cause or contribute to any violation of a California environmental quality standard or requirement within California, and meets all conditions in Item # 5 below (or has provided the necessary supplemental information). ► If located outside the United States, facility is developed and operated in a manner that is as protective of the environment as a similar facility located in California. ► Participates in WREGIS.
	Or, for RPS eligibility for facilities that meet the requirements above, with the exception that commercial operations commenced before January 1, 2005, applicant certifies that the facility meets at least one of the following requirements: ► The electricity is from incremental generation resulting from project expansion or repowering of the facility after January 1, 2005 ► A retail seller or local publicly owned electric utility procured electricity generated by the facility as of January 1, 2010. ● Identify the utility and attach documentation proving the identified retail seller or local publicly owned electric utility procured electricity generated by this facility as of January 1, 2010.

2. Provide the straight line distance from the facility to California in miles, rounded down to the nearest tenth of a mile.
3. What is the shortest driving time from the facility to California in hours rounded down to the nearest tenth of an hour.
4. Select the environmental areas in which the facility meets or exceeds the minimum requirements, select all that apply. Please attach a written explanation substantiating the claim that the project does not violate California LORS as required in the *Renewables Portfolio Standard Eligibility Guidebook*, including any documentation that is necessary to substantiate the applicant's assessment as required in the *Renewables Portfolio Standard Eligibility Guidebook*.

   For any environmental areas where the minimum requirement is not met, provide a detailed explanation showing how the facility will not cause or contribute to a violation of the area.
5. Write an explanation substantiating the claim that the project does not violate California LORS as required in the *RPS Eligibility Guidebook*. If additional space is needed, please attach separately.

Attach the documentation specified in the section entitled "Additional Required Information for Facilities With a First Point of Interconnection to a Non-CBA Outside California" in the *Renewables Portfolio Standard Eligibility Guidebook*.

Applicant's signed attestation on Form CEC-RPS-1 applies to the information provided herein.

STATE OF CALIFORNIA CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRE-CERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 4 - FUEL PRODUCTION FACILITY INFORMATION, INSTRUCTIONS

–All information on this form and on any attachments is subject to public disclosure–

Facility name and fuel production facility name are automatically populated from information provided in CEC-RPS-1.S1.

Provide the fuel production facility owner/operator, the address o the fuel production facility, the start and end dates of the fuel supply contract.

Indictate the type of biomethane being procured from this source and the delivery method (on-site, dedicated pipeline, common carrier pipeline.

Provide the quantity of fuel to be delivered under this contract in MMBtus/month and the date that gas was first delievered or used at the electrical generation facility applying ofr RPS-certification.

Provide the delivery point of the gas into the natural gas pipeline system, if applicable.

Fuel Production Facility Information Attestation

The attestation must be signed by an authorized officer or agent of the fuel production facility owner, who has the authority to attest to the accuracy of the information provided and has read and understands the requirements specified in the *Overall Program Guidebook for the Renewable Energy Program* and the *Renewables Portfolio Standard Eligibility Guidebook*.

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the

–All information on this form and on any attachments is subject to public disclosure–

Facility name and fuel production facility name are automatically populated from information provided in CEC-RPS-1.S1.

Provide the entity handling the delivery of the biomethane gas.

Provide the name of the entity delivering the gas at the point of reciept into the pipeline.

Provide the reciept point where the gas enters the pipeline and the delivery point where the gas exits the pipeline.

Provide the name of the entity receiving the gas at the delivery point.

Pipeline Biomethane Delivery Attestation for Certification Applications

The attestation must be signed by an authorized officer or agent of the fuel production facility owner, who has the authority to attest to the accuracy of the information provided and has read and understands the requirements specified in the *Overall Program Guidebook for the Renewable Energy Program* and the *Renewables Portfolio Standard Eligibility Guidebook*.

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the

STATE OF CALIFORNIA

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CERTIFICATION OR PRECERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

–All information on this form and on any attachments is subject to public disclosure–

For Energy Commission use ONLY:

Electronic copy received:		Analyst Review:	
Analyst Review:		Supplemental Review:	
RPS Program Lead:		LORS Analysis:	
Office Manager:		Other:	

Section I: Type of Certification Requested

1. Certification Type: _____ Previously Assigned RPS ID, if any: _____

Section II: Facility Name and Location

2. Name of Facility: _____

   Specify any additional names this facility is or has been known by:

   a) _____

   b) _____

3. Facility Location:

   GPS Coordinates (e.g. 38 34'28.47"N 121 29'51.88"W): _____

   Address: _____

   City: _____ County: _____

   State/Province: _____ Zip: _____ Country: _____

Section III: Facility Operations

4. Provide the total nameplate capacity of the facility (in megawatts, AC):

5. Specify commercial operations date: Date renewable fuel first used, if different:

6. Facility operations: _____

   For repowered and incremental:

   ► Specify date repowering/work began _____ ► Specify date repowering/work completed: _____

   ► For repowering, select method used to demonstrate compliance with the 80 percent investment threshold:

   ☐ Tax Records Methodology ☐ Replacement Value Methodology

Section IV: Facility Resource Information

7. Indicate all energy source(s) used by the facility and the percent of the facility's use of each fuel on an annual basis.

   Primary Resource: _____ *Annual Percent Used:* _____

   Secondary Resource: _____ *Annual Percent Used:* _____

   Additional Resource: _____ *Annual Percent Used:* _____

8. For facilities using multiple resources, please indicate which of the measurement methodologies described in the *RPS Eligibility Guidebook* will be used to account for **each** energy input or fuel's contribution to electricity generation:

   _____ *Actual plant efficiency:* _____

Section V: Application Contact Information

9. Application Information

Name of Applicant:

Title:

Company Name:

Address:

City: State: Zip: Country:

Phone: Fax: Email:

10. Additional Authorized Persons

Person completing the form if different from the applicant:

Phone: Email:

List all additional persons authorized to make changes to this application:

Name: Phone: Email:

Name: Phone: Email:

Name: Phone: Email:

Section VI: Facility Ownership and Contact Information

11. Facility Owner

Name of Owner:

Owner Address:

City: State: Zip: Country:

Phone: Fax: Email:

State or province in which facility owner/company is incorporated:

12. Facility Contact Information

Onsite Facility Contact Name:

Phone: Fax: Email:

Can mail be delivered to the facility address? ☐ Yes ☐ No* *If not, specify the facility mailing address:

Address:

City: State: Zip: Country:

Section VIII: Facility Identification Numbers

13. For a facility applying for **certification**, provide information for each WREGIS Generating Unit (GU) associated with the facility

WREGIS GU ID	Unit Capacity (MW AC)	Type of Generating Unit	Multi-fuel GU ID

WREGIS GU ID	Unit Capacity (MW AC)	Type of Generating Unit	Multi-fuel GU ID

14. Other identification numbers, if available:

EIA Plant ID: _____

CEC Plant ID (a.k.a. CEC 1304, EAO QFER): _____

FERC QF ID: _____

Section VII: Facility Interconnection

15. Specify the balancing authority area for the facility's first point of interconnection to the WECC:

☐ California Balancing Authority: _____ Resource ID, if any: _____

☐ Other: _____ Resource ID, if any: _____

Section IX: Other Facility Information:

16. Has the facility, currently or previously, participated in a net surplus generation program created pursuant to AB 920 for both the net surplus generation and the Renewable Energy Credits **or** are there any plans for the facility to participate in such a net surplus generation program in the future?

☐ No ☐ Yes ► Program start date: _____ ► Program termination date, if any: _____

17. Was the facility developed and awarded a power purchase contract under a 2002-2003 Interim RPS Procurement solicitation approved by the CPUC under Decision 02-08-071 and Decision 02-10-062?

☐ No ☐ Yes ► If yes, attach supporting documentation.

Section X: Information for Limited Certification Applicants

18. The contract or ownership agreement for electricity from the facility was executed prior to June 1, 2010, and the facility meets the eligibility rules in the *RPS Eligibility Guidebook* effective when the contract or agreement was executed.

☐ Yes, complete the following table ☐ No

Utility Counterparty	Execution Date of Original Contract	Contracted Deliveries (MWh/year)	Date of First Deliveries	Contractual Date of Final Delivery

19. For applicable utilities, was the contract approved by the CPUC?

☐ Yes, provide the information requested below. ☐ No

- Advice letter number: _____ • Advice letter filing date: _____
- CPUC resolution number: _____ • CPUC resolution date: _____

20. Was the contract amended or modified after June 1, 2010?

☐ No ☐ Yes, attach a description of the amendments or modifications to the contract.

Section XI: General Information

The Energy Commission reserves the right to request additional information to confirm or clarify information provided in this application, including any attachments. If a representative of a facility does not respond to the Energy Commission's request for an information update in a timely manner, the facility is at risk of losing its certification or precertification status as specified in the RPS guidebook.

The Energy Commission may conduct an audit to verify the accuracy of any information included as part of an application for RPS certification or precertification. As part of an audit, an applicant may be required to provide the Energy Commission with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications or reports. An applicant may also be required to open its business records for on-site inspection and audit by the Energy Commission or its authorized agents for purposes of verifying the accuracy of any information included in the applicant's applications and reports. Representatives of certified or precertified facilities must notify the Energy Commission promptly of any changes in information previously submitted to the Energy Commission. Failure to do so may result in revocation of certification or precertification status. Any changes affecting the facility's certification status must be reported on an amended CEC-RPS-1 form. If there are any changes to the status of a facility's certification or precertification, the new information will be posted on the Energy Commission's website.

Section XII: Attestation

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the application if not corrected.

Certification Attestation

I am an authorized officer or agent of the above-noted facility owner with authority to submit this application on the facility owner's behalf, and hereby submit this application on behalf of said facility owner for certification of the facility as a renewable facility eligible for California's RPS. I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook, and understand the provisions, eligibility criteria, and requirements of that guidebook and my responsibilities. I acknowledge that the receipt of any certification approval from the Energy Commission is conditioned on the facility owner's acceptance and satisfaction of all program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook. I further acknowledge that the Energy Commission may revise the Renewables Portfolio Standard Eligibility Guidebook in the future, and that it is my responsibility to remain informed of any changes that could affect my responsibilities in maintaining the certification or effect the certification of the facility. I declare under penalty of perjury that the information provided in this application and any supplemental forms and attachments is true and correct to the best of my knowledge and that I am authorized to submit this application on the facility owner's behalf.

Name of Facility: _____

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

Precertification Attestation

I am an authorized officer or agent of the above-noted proposed facility owner with authority to submit this application on the facility owner's behalf, and hereby submit this application on behalf of said facility owner for precertification of the facility as a renewable facility eligible for California's RPS. I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook, and understand the provisions, eligibility criteria, and requirements of that guidebook and my responsibilities. I acknowledge that the receipt of any precertification approval from the Energy Commission is conditioned on the facility owner's acceptance and satisfaction of all program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook, and does not guarantee the facility will be eligible for certification once it becomes operational. I further acknowledge that the Energy Commission may revise the Renewables Portfolio Standard Eligibility Guidebook in the future, and that it is my responsibility to remain informed of any changes that could affect my responsibilities in maintaining the precertification, effect the precertification of the facility, or affect any future attempt to certify the facility. I declare under penalty of perjury that the information provided in this application and any supplemental forms and attachments is true and correct to the best of my knowledge and that I am authorized to submit this application on the facility owner's behalf.

Name of Facility: _____

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRECERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 1 - BIOPOWER

–All information on this form and on any attachments is subject to public disclosure–

Section I: Facility Information

Name of Facility:		
Address:		GPS Coordinates:
City:		County:
State:	Zip:	Country:

Applicant's signed attestation on Form CEC-RPS-1 applies to the information provided herein.

Section II: Specific Fuel Type

1. Indicate all fuel types used by the facility to generate electricity and complete specified sections.

2. Is the fuel type used produced offsite? ☐ Yes ☐ No

   If yes, indicate the delivery method:

Section III: Supplemental Questions for Biomass Fuels

3. List all types of biomass used at the facility, or in the production of the fuel used at the facility, the biomass source (i.e. agriculture, construction, landscape, etc.), and an estimate of the average monthly BTU content of the fuel.

#	Type of Biomass	Source of the Biomass	MMBTU/Month
1			
2			
3			
4			

4. ☐ Applicant certifies that the facility's fuel sources, identified above, qualify as biomass as specified in the definition of biomass in the *Overall Program Guidebook.*

Section IV: Supplemental Questions for Hydrogen Fuels

5. List the origin of all hydrogen used at the facility, the producer of each hydrogen source, the production method of that source, and an estimate of the average monthly BTU content of the hydrogen provided from each source.

#	Hydrogen Origin	Hydrogen Producer	Production Method	Monthly Quantity
1				
2				
3				

6. ☐ Applicant certifies that all hydrogen used at the facility is produced in a manner consistent with the RPS Eligibility Guidebook. If the hydrogen is produced from a biomethane source, the biomethane is procured in an eligible manner.

Section X must be completed by all producers of hydrogen

Section V: Supplemental Questions for Municipal Solid Waste Combustion Fuels

7. ☐ Applicant certifies that the MSW Combustion facility meets **all** of the following criteria:

   ► Facility is located in Stanislaus County.

   ► Facility commenced commercial operations before to September 26, 1996.

   Applicant must attach documentation to this application demonstrating that the facility meets both of these requirements.

Section VI: Supplemental Questions for Municipal Solid Waste Conversion Fuels

8. ☐ Applicant certifies that the facility is eligible for the RPS and that: 1) it uses a two-step process to create energy whereby in the first step (gasification conversion) a non-combustion thermal process that consumes no excess oxygen is used to convert MSW into a clean burning gaseous or liquid fuel and then in the second step this clean-burning fuel is used to generate electricity, 2) it is located inside California, has a first point of interconnection to a CBA, or satisfies the Facilities With a First Point of Interconnection to a non-CBA Outside California requirements, and 3) the facility and conversion technology meet all of the following applicable criteria in accordance with Public Resources Code Section 25741, Subdivision (b)(3):

   a. The technology does not use air or oxygen in the conversion process, except ambient air to maintain temperature control.

   b. The technology produces no discharges of air contaminants or emissions, including greenhouse gases as defined in Section 42801.1 of the Health and Safety Code.

   c. The technology produces no discharges to surface or groundwaters of the state.

   d. The technology produces no hazardous wastes.

   e. To the maximum extent feasible, the technology removes all recyclable materials and marketable green waste compostable materials from the solid waste stream before the conversion process, and the owner or operator of the facility certifies that those materials will be recycled or composted.

   f. The facility at which the technology is used complies with all applicable laws, regulations, and ordinances.

   g. The technology meets any other conditions established by the Energy Commission.

   h. The facility certifies that any local agency sending solid waste to the facility diverted at least 30 percent of all solid waste it collects through solid waste reduction, recycling, and composting.

Applicant must attach documentation to this application demonstrating that the facility meets all of these requirements.

Section VII: Supplemental Questions for Biomethane Fuels

9. List all sources of biomethane used at the facility:

   ☐ Applicant certifies that the facility's fuel sources, identified below, qualify as biomethane as specified in the definition of biomethane in the RPS Eligibility Guidebook.

	Fuel Production Facility Name	Number of Delivery Entities
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		

	Fuel Production Facility Name	Number of Delivery Entities
14.		
15.		
16.		
17.		
18.		
19.		
20.		
21.		
22.		
23.		
24.		
25.		
26.		
27.		
28.		
29.		
30.		

Section VIII: Attestation For Biomethane

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the application if not corrected.

Certification and Pre-certification Attestation

I am an authorized officer or agent of the above-noted electricity generating facility owner with authority to submit this application on behalf of the above-noted facility owner. I attest on behalf of the facility owner that:

• The fuel described in the application and all supplemental applications, is being procured for applications for certification, or is planned to be procured for precertification, and the facility owner intends to continue to procure that fuel from the above fuel producer;

• The named fuel meets the RPS eligibility criteria for the generation of electricity from the fuel;

• The above facility owner has not sold, traded, given away, claimed, or otherwise disposed of any of the attributes that would prevent the resulting electricity from being compliant with the definition of green attributes" as defined in the Renewables Portfolio Standard Eligibility Guidebook nor will they do so for any fuel used to generate RPS eligible electricity; and,

• The electrical generation facility owner has not made, and will not make, for any fuel used to generate RPS-eligible electricity,any marketing, regulatory, or retail claim of GHG reductions from methane destruction without rightful ownership of the environmental attributed associated with the capture and destruction of the biomethane, and in full compliance with RPS statute.

I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook, and understand the provisions, eligibility criteria, and requirements of these guidebooks and my responsibilities. I acknowledge that the receipt of any certification or precertification approval from the Energy Commission is conditioned on the facility owner's acceptance and satisfaction of all program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook. I declare under penalty of perjury that the information provided in this application and any supplemental forms and attachments is true and correct to the best of my knowledge and that I am authorized to submit this application on the facility owner's behalf.

Name of Facility: _____

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRECERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 2 - HYDROELECTRIC

–All information on this form and on any attachments is subject to public disclosure–

Section I: Facility Information

Name of Facility:		
Address:		GPS Coordinates:
City:		County:
State:	Zip:	Country:

Applicant's signed attestation on Form CEC-RPS-1 applies to the information provided herein.

Section II: Hydroelectric Resource

1. Indicate the type of hydroelectric facility that will be used to generate electricity and complete specified sections.:

_____

2. The facility, as described in the CEC-RPS-1 application and all supplemental applications, complies with the definition of a project as defined in the *RPS Eligibility Guidebook for the Renewable Energy Program*. All electricity generating equipment that could be considered part of this facility per the definition of "project" in the *RPS Eligibility Guidebook* is represented in this application as part of the facility.

☐ Yes ☐ No

Section III: Hydroelectric Facilities Operations

☐ **New Facilities**

Applicant certifies that the facility meets all the following requirements:

- The facility commenced commercial operations or was repowered on or after January 1, 2006.
- Capacity is 30 MW or less, with an exception for eligible energy efficiency improvements made after January 1, 2008.
- It is located inside California, has a first point of interconnection to a CBA, or satisfies the Facility With a First Point of Interconnection to a non-CBA Outside California requirements.
- The facility does not cause an adverse impact on instream beneficial uses or cause a change in the volume or timing of stream flow.

- All new hydroelectric facilities must fill out Section VIII -

☐ **Existing Facilities**

Applicant certifies that the facility meets all the following requirements:

- Commenced commercial operations before January 1, 2006.
- Capacity is 30 MW or less, with an exception for eligible energy efficiency improvements made after January 1, 2008.
- Located in California, has a first point of interconnection to a CBA, or satisfies the Facility With a First Point of Interconnection to a non-CBA Outside California requirements.

Choose One:	☐ The facility is a conduit hydroelectric facility.
	☐ The facility is a small hydroelectric facility that was under contract to, or owned by, a retail seller or local publicly owned electric utility as of December 31, 2005. ► Specify the retail seller or local publicly owned electric utility: _____ ► Attach documentation on the contract with, or the ownership by, the above utility as of December 31, 2005.

Section IV: Conduit Hydroelectric Facilities

3. ☐ Applicant certifies that the conduit hydroelectric facility uses only the hydroelectric potential from an existing conduit that was built before January 1, 2008.

Section V: Existing Water Supply or Conveyance System Facilities

4. ☐ Applicant certifies that the facility meets all the following requirements:
   - The facility commenced commercial operations before January 1, 2006.
   - The unit has a nameplate capacity of 40 MW or less.
   - The facility was initially built solely for the distribution of water for agricultural, municipal, or industrial consumption, and operated primarily for this purpose, and not primarily for the generation of electricity.
   - The facility is located in California, has a first point of interconnection to a CBA, or satisfies the Facilities With a First Point of Interconnection to a non-CBA Outside California requirements.
   - The facility is a small hydroelectric facility that was under contract to, or owned by, a retail seller or local publicly electric owned utility as of December 31, 2005.

     Specify the retail seller or local publicly owned utility: _____

     Attach documentation on the contract with, or ownership by, the above utility.

Section VI: Pumped Storage Hydroelectric Facilities

5. ☐ Applicant certifies that the facility meets **all** of the following requirements:
   - The facility meets the RPS eligibility requirements for conduit hydroelectric, small hydroelectric, or incremental hydroelectric facilities as more fully described in the *Renewables Portfolio Standard Eligibility Guidebook* , **and**
   - The electricity used to pump the water qualifies as RPS-eligible. (The amount of energy that may qualify for the RPS is the amount of electricity dispatched from the pumped storage facility.)

   A facility certified as RPS-eligible may include an electricity storage device if it does not conflict with other RPS-eligibility criteria, but the storage unit itself will not be separately certified.

Section VII: Existing Incremental Hydroelectric Facilities

6. RPS certification of the incremental increase in generation that results from efficiency improvements to a hydroelectric facility, regardless of the electrical output of the facility, is eligible for the RPS if **all** of the following conditions are met:
   - The facility is owned by a retail seller or a local publicly owned electric utility.

     Specify utility: _____
   - The facility was operational before January 1, 2007.
   - The efficiency improvements are initiated on or after January 1, 2008, are not the result of routine maintenance activities and were not included in any resource plan sponsored by the facility owner before January 1, 2008.
   - The facility has, within the immediately preceding 15 years from the date the efficiency improvements are initiated, received certification from the State Water Resources Control Board (SWRCB) pursuant to Section 401 of the Clean Water Act (33 U.S.C. Sec. 1341), or has received certification from a regional board to which the SWRCB has delegated authority to issue certification, unless the facility is exempt from certification because there is no potential discharge into waters of the United States.
   - The incremental increase is the result of efficiency improvements from a retrofit, and the efficiency improvements do not result in an adverse impact on instream beneficial uses or cause a change in the volume or timing of stream flow.
   - All of the incremental increase in electricity generation resulting from the efficiency improvements must be demonstrated to result from a long-term financial commitment by the retail seller.

   ☐ Applicant certifies that that the incremental generation and facility comply with the above requirements as more fully described in the *Renewables Portfolio Standard Eligibility Guidebook.*

Section VIII: Supplemental Information For All New Hydroelectric Facilities

All applicants for hydroelectric facilities commencing, or planning to commence, commercial operations, repowered operations, or operations with efficiency improvements on or after January 1, 2006, must submit supporting documentation for the following points. Documents with relevant information for each point should be listed below including sections or pages of importance.

If any of the additional required information is unavailable at the time the pre-certification application is submitted, due to the facility's stage in development, the Energy Commission may accept a list of all information that will be available and submitted with the certification application, the date the documents or other information will be finalized, and a summary of the expected results, where applicable.

More information on the following sections can be found in the instructions section or in the RPS guidebook.

7. Source Water Description: *If supplemental documentation provided, indicate page number:* _____

8. Water Rights: *If supplemental documentation provided, indicate page number:* _____

9. Hydrologic Data: *If supplemental documentation provided, indicate page number:* _____

10. Other Permits: *If supplemental documentation provided, indicate page number:* _____

11. Environmental Documentation: *If supplemental documentation provided, indicate page number:* _____

12. Capacity: *If supplemental documentation provided, indicate page number:* _____

13. Efficiency Improvements: *If supplemental documentation provided, indicate page number:* _____

14. Incremental Hydroelectric Generation: *If supplemental documentation provided, indicate page number:* _____

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRECERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 3 - FACILITIES WITH FIRST POINT OF INTERCONNECTION TO NON-CBA OUTSIDE CALIFORNIA

–All information on this form and on any attachments is subject to public disclosure–

Section I: Facility Information

Name of Facility:		
Address:		GPS Coordinates:
City:		County:
State:	Zip:	Country:

Section II: Supplemental Questions for Facilities With a First Point of Interconnection to a Non-CBA Outside California Applications

1. Choose **One**

☐ Applicant certifies that the facility commenced commercial operations on or after January 1, 2005, and meets the RPS eligibility requirements as outlined in the *RPS Eligibility Guidebook*:

- ► Connected to the WECC transmission system.
- ► Does not cause or contribute to any violation of a California environmental quality standard or requirement within California, and meets all conditions in question 4 below (or has provided the necessary supplemental information).
- ► If located outside the United States, facility is developed and operated in a manner that is as protective of the environment as a similar facility located in California.
- ► Participates in WREGIS.

☐ For facilities that meet the requirements above, with the exception that commercial operations commenced before January 1, 2005, applicant certifies that the facility meets at least **one** of the following requirements: *(check all that apply)*

☐ The electricity is from incremental generation resulting from project expansion or repowering of the facility after January 1, 2005

► For all facilities, applicants must provide evidence that the incremental generation resulted (or will result) from a capital expenditure in the facility.

► For non-hydro facilities, the applicant must provide data on annual generation for the 36 months preceeding the facility expansion or repowering.

☐ A retail seller or local publicly owned electric utility procured electricity generated by the facility as of January 1, 2010.

Specify utility: _____

► Attach documentation demonstrating the identified retail seller or local publicly owned electric utility procured electricity generated by this facility as of January 1, 2010.

2. Provide the straight line distance from the facility to California (in miles): _____

3. Provide the shortest driving time from the facility to California (in hours): _____

4. Review the *RPS Eligibility Guidebook* and select all the environmental areas in which the facility meets or exceeds the minimum requirements:

	Environmental Area	Threshold or Minimum Distance from California Border
	Discrete Thresholds	
☐	Agricultural and Soil	2 miles
☐	Cultural Resources	Project viewshed/20 miles
☐	Geological Hazards	2 miles
☐	Land Use/Recreation	Project viewshed/20 miles
☐	Noise	2 miles
☐	Paleontological Resources	Project viewshed/1 mile
☐	Visual Resources	Project viewshed/20 miles
	Conditional Thresholds	
☐	Air Quality	10 miles, or greater if there is potential for transportation or other emissions to impact California air quality.
☐	Biological Resources	10 miles, unless the project has the potential to impact a California migratory bird or animal population.
☐	Public Health	10 miles, or greater if there is potential for project-related wildfire risk.
☐	Traffic and Transportation	20 miles, or greater if the project could impact California air travel or traffic on California highways.
☐	Transmission System Safety and Nuisance	2 miles, although if the transmission line interconnection extends into California, the facility would be considered in state and an environmental review pursuant to the California Environmental Quality Act would be required.
☐	Waste Management / Hazardous Materials Handling	No distance limit if California disposal site is used or materials are transported through California.
☐	Water Resources	2 miles, or further distance if project has the potential to impact a drainage flowing into California.

5. Write an explanation substantiating the claim that the project does not violate California LORS as required in the *RPS Eligibility Guidebook*. If additional space is needed, please attach separately.

► Include any documentation that is necessary to substantiate the applicant's assessment as required in the RPS Eligibility Guidebook.

Attach the documentation specified in the section entitled "Additional Required Information for Facilities With a First Point of Interconnection to a Non-CBA Outside California" in the *Renewables Portfolio Standard Eligibility Guidebook*.

Applicant's signed attestation on Form CEC-RPS-1 applies to the information provided herein.

STATE OF CALIFORNIA CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRECERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 4 - FUEL PRODUCTION FACILITY INFORMATION

–All information on this form and on any attachments is subject to public disclosure–

Name of Facility applying for RPS Certificiation:		
Fuel Production Facility Name:		
Fuel Production Facility Owner/Operator:		
Address:		
City:	State:	Zip:
Start date of fuel supply contract:	End date of fuel supply contract:	
Type of Biomethane:	Delivery Method:	
Quantity of fuel under this contract (MMBtu/month)	Date of first delivery, or use, of gas:	
Fuel production facility owner:		
Delivery point to the natural gas pipeline system, if applicable:		

Fuel Production Facility Information Attestation For Certification Applications

I am an authorized officer or agent of the above-noted fuel production facility owner, and hereby attest on behalf of the above noted fuel production facility owner that:

• The fuel indicated consists solely of an RPS eligible fuel as defined in the California Energy Commission's Renewables Portfolio Standard Eligibility Guidebook and constitutes an RPS eligible renewable fuel pursuant to the Renewables Portfolio Standard Eligibility Guidebook;

• The produced fuel has been sold for use in the facility applying for RPS certification and the above fuel producer has not sold, traded, given away, claimed, or otherwise disposed of any of the attributes separate from the fuel that would prevent the resulting electricity from being compliant with the definition of "green attributes" as defined in the Renewables Portfolio Standard Eligibility Guidebook, nor will they do so for any fuel used to generate RPS eligible electricity; and,

• The production facility owner has not made, and will not make, for any fuel used to generate RPS-eligible electricity, any marketing, regulatory, or retail claim of GHG reductions from methane destruction without rightful ownership of the environmental attributed associated with the capture and destruction of the biomethane, and in full compliance with RPS statute.

I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook and understand the provisions, eligibility criteria, and requirements of that guidebook and my responsibilities. I acknowledge that the receipt of any certification approval from the Energy Commission for the above facility applying for RPS certification is conditioned on the fuel production facility owner's acceptance and satisfaction of all applicable program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook. I declare under penalty of perjury that the information provided is true and correct to the best of my knowledge and that I am authorized to submit this attestation on the fuel production facility owner's behalf.

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

Fuel Production Facility Information Attestation for Precertification Applications

I am an authorized officer or agent of the above-noted fuel production facility owner, and hereby attest on behalf of the above noted fuel production facility owner that

• The fuel indicated consists, or will consist, solely of a RPS eligible fuel as defined in the California Energy Commission's Renewables Portfolio Standard Eligibility Guidebook and constitutes an RPS eligible renewable fuel pursuant to the Renewables Portfolio Standard Eligibility Guidebook;

• The produced fuel has been sold, or is planned to be sold, for use in the facility applying for RPS precertification;

• The above fuel producer will not sell, trade, give away, claim, or otherwise dispose of any of the attributes separate from the fuel that would prevent the resulting electricity from being compliant with the definition of "green attributes" as defined in the Renewables Portfolio Standard Eligibility Guidebook, nor will they do so for any fuel that will be used to generate electricity that will be claimed for the RPS; and,

• The production facility owner has not made, and will not make, for any fuel used to generate RPS-eligible electricity, any marketing, regulatory, or retail claim of GHG reductions from methane destruction without rightful ownership of the environmental attributed associated with the capture and destruction of the biomethane, and in full compliance with RPS statute.

I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook and understand the provisions, eligibility criteria, and requirements of that guidebook and my responsibilities. I acknowledge that the receipt of any precertification approval from the Energy Commission for the above facility applying for RPS precertification is conditioned on the fuel production facility owner's acceptance and satisfaction of all applicable program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook, and does not guarantee the facility will be eligible for certification once it becomes operational. I declare under penalty of perjury that the information provided is true and correct to the best of my knowledge and that I am authorized to submit this attestation on the fuel production facility owner's behalf.

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

STATE OF CALIFORNIA CALIFORNIA ENERGY COMMISSION

CERTIFICATION OR PRECERTIFICATION OF INDIVIDUAL FACILITIES

CEC-RPS-1 (Revised 04/13)

CERTIFICATION SUPPLEMENT 5 - BIOMETHANE DELIVERY ENTITIES

–All information on this form and on any attachments is subject to public disclosure–

Name of Facility applying for RPS Certificiation:

Fuel Production Facility Name:

Biomethane Delivering Entity:

Entity delivering the gas to the receipt point:

Receipt point: Delivery point:

Receiving entity at the delivery point:

Pipeline Biomethane Delivery Attestation for Certification Applications

I am an authorized officer or agent of the above-noted pipeline biomethane delivering entity, and hereby attest on behalf of the above-noted entity that renewable pipeline biomethane, as defined in the California Energy Commission's Renewables Portfolio Standard Eligibility Guidebook, from the named fuel production facility, has been delivered, and will continue to be delivered, for the term of the delivery contract, from the named entity at the above receipt point to the named receiving entity at the above delivery point, in an eligible manner as described by the Renewables Portfolio Standard Eligibility Guidebook. I also attest that the above delivery entity has not sold, traded, given away, claimed, or otherwise disposed of any of the attributes separate from the pipeline biomethane that would prevent the resulting electricity from being compliant with the definition of “green attributes” as defined in the Renewables Portfolio Standard Eligibility Guidebook, nor will they do so for any pipeline biomethane used to generate RPS eligible electricity. I attest that the delivering entity has not made, and will not make, for any fuel used to generate RPS-eligible electricity, any marketing, regulatory, or retail claim of GHG reductions from methane destruction without rightful ownership of the environmental attributed associated with the capture and destruction of the biomethane, and in full compliance with RPS statute. I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook and understand the provisions, eligibility criteria, and requirements of these guidebooks and my responsibilities. I acknowledge that receipt of any certification approval from the Energy Commission for the above facility applying for RPS certification is conditioned on the owner of the delivering entity’s acceptance and satisfaction of all applicable program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook. I declare under penalty of perjury that the information provided is true and correct to the best of my knowledge and that I am authorized to submit this attestation on the delivery entity owner’s behalf.

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

Pipeline Biomethane Delivery Attestation for Precertification Applications

I am an authorized officer or agent of the above-noted pipeline biomethane delivering entity and hereby attest on behalf of the above-noted entity that renewable pipeline biomethane, as defined in the California Energy Commission's Renewables Portfolio Standard Eligibility Guidebook, from the named fuel production facility, is planned to be delivered, and to continue to be deliver, for the term of the delivery contract, from the named entity at the above receipt point to the named receiving entity at the above delivery point, in an eligible manner as described by the Renewables Portfolio Standard Eligibility Guidebook. I also attest that the above delivery entity will not sell, trade, give away, claim, or otherwise dispose of any of the attributes separate from the pipeline biomethane that would prevent the resulting electricity from being compliant with the definition of “green attributes” as defined in the Renewables Portfolio Standard Eligibility Guidebook, nor will they do so for any pipeline biomethane used to generate electricity that will be claimed for the RPS. I attest that the delivering entity has not made, and will not make, for any fuel used to generate RPS-eligible electricity, any marketing, regulatory, or retail claim of GHG reductions from methane destruction without rightful ownership of the environmental attributed associated with the capture and destruction of the biomethane, and in full compliance with RPS statute. I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook and understand the provisions, eligibility criteria, and requirements of these guidebooks and my responsibilities. I acknowledge that receipt of any certification approval from the Energy Commission for the above facility applying for RPS certification is conditioned on the owner of the delivering entity’s acceptance and satisfaction of all applicable program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook , and does not guarantee the facility will be eligible for certification once it becomes operational. I declare under penalty of perjury that the information provided is true and correct to the best of my knowledge and that I am authorized to submit this attestation on the delivery entity owner’s behalf.

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

EXISTING BIOMETHANE SUPLEMENTAL INFORMATION

CEC-RPS-2196 (Revised 04/13)

INSTRUCTIONS

Please refer to the *RPS Eligibility Guidebook* for additional information for completing this form.

–All information on this form and on any attachments is subject to public disclosure–

Submit the completed and signed CEC-RPS-1 form to:

California Energy Commission
Attn: RPS Certification
1516 Ninth Street, MS-45
Sacramento, CA 95814

And submit the electronic, unsigned Excel file via email to: RPSTrack@energy.ca.gov

Excel File name and email subject line should be of the format:

RPS-2196 of the [Facility Name], [RPS ID number if available]

Section I: Existing RPS-Certified Facility Information

1. Specify the RPS ID previously assigned to the facility, if any. If no RPS ID has been assigned to the facility by Energy Commission staff, leave this blank.

Section II: Facility Name and Location

2. Specify the name of the facility to be displayed on the RPS certificate. Also include all other current and prior names used by the facility for any other activities, such as Power Purchase Agreements, WREGIS, etc.

3. Provide the facility's physical location in the form of GPS coordinates in a latitude/longitude format similar to this example: 38 34'28.47"N 121 29'51.88"W and the street address (if available).

Section III: Facility Operations

4. Indicate the commercial operations date of the facility, as defined in the *Overall Program Guidebook*, and the date the facility first used renewable fuel, if different.

Section IV: Resource Measurement Methodology

5. **For single-fuel facilities**, select "None, the facility does not use, and is unable to use, more than one energy resource in the generation process." **For multi-fuel facilities**, specify which of the listed eligible fuel measurement methodologies is used to determine the contribution of each fuel used by the facility. See Section II C, "Renewable Facilities Using Multiple Energy Resources," of the *RPS Eligibility Guidebook* for more information.

Section V: Facility Ownership and Contacts

6. Facility Owner

Indicate the facility owner and related contact information.

Section VI: Facility Identificaiton Numbers

7. Provide the following information on all WREGIS Generating Unit(s) (GU) associated with the facility:

   ► *WREGIS GU ID* - Specify the identification number assigned to a generating unit or facility by the WREGIS system of the format W####. The amount of numbers following the prefix "W" may vary.

   ► *Unit Nameplate Capacity (MW AC)* - Specify the nameplate capacity of the generating unit(s) represented by each WREGIS GU ID, in alternating current.

   ► *Type of GU* - Identify if the GU ID measures electricity as exported to the electricity grid, electricity used onsite, or electricity in another classification (attach a document explaining what is measured).

   ► *Multi-fuel GU ID* - Indicate if the GU ID is associated with more than one fuel type in the WREGIS system.

Section VII: Facility Interconnection

8. Specify the balancing authority for the facility's first point of interconnection to the WECC and provide the resource ID assigned to the facility by the balancing authority.

Section VIII: Supplemental Questions for Biomethane Fuels

9. If ALL source contracts requested by this form and its supplementals has been supplied to the Energy Commission in a prior data request, select "Yes".

10. List all biogas fuel production facilities used at the facility and the number of entities that handle the delivery of the gas.

    The applicant must certify that the facility's fuel sources, identified above, qualify as biogas as specified in the definition of biogas in the *Overall Program Guidebook.*

Section IX: General Information

The Energy Commission reserves the right to request additional information to confirm or clarify information provided in this form, including any attachments. If a representative of a facility does not respond to the Energy Commission's request for an information update in a timely manner, the facility is at risk of losing its certification status as specified in the RPS guidebook.

The Energy Commission may conduct an audit to verify the accuracy of any information included as part of an application for RPS certification. As part of an audit, an applicant may be required to provide the Energy Commission with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications or reports. An applicant may also be required to open its business records for on-site inspection and audit by the Energy Commission or its authorized agents for purposes of verifying the accuracy of any information included in the applicant's applications and reports.

Representatives of certified facilities must notify the Energy Commission promptly of any changes in information previously submitted to the Energy Commission. Failure to do so may result in revocation of certification status. Any changes affecting the facility's certification status must be reported on an amended CEC-RPS-1 form. If there are any changes to the status of a facility's certification, the new information will be posted on the Energy Commission's website.

Section X: Existing Biomethane Facility Attestation

The attestation must be signed by an authorized officer or agent of the facility owner, who has the authority to attest to the accuracy of the information provided and has read and understands the requirements specified in the *Overall Program Guidebook for the Renewable Energy Program* and the *Renewables Portfolio Standard Eligibility Guidebook*.

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the application if not corrected.

Indicate any attached documents in addition to supplemental forms.

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

EXISTING BIOMETHANE SUPLEMENTAL INFORMATION

CEC-RPS-2196 (Revised 04/13)

FUEL PRODUCTION FACILITY INFORMATION, INSTRUCTIONS

–All information on this form and on any attachments is subject to public disclosure–

Facility name and fuel production facility name are automatically populated from information provided in CEC-RPS-1.S1.

Provide the fuel production facility owner/operator, the address o the fuel production facility, the start and end dates of the fuel supply contract.

Indictate the type of biomethane being procured from this source and the delivery method (on-site, dedicated pipeline, common carrier pipeline.

Provide the quantity of fuel to be delivered under this contract in MMBtus/month and the date that gas was first delievered or used at the electrical generation facility applying ofr RPS-certification.

Provide the delivery point of the gas into the natural gas pipeline system, if applicable.

Fuel Production Facility Information Attestation For Existing Biomethane Facilities

The attestation must be signed by an authorized officer or agent of the fuel production facility owner, who has the authority to attest to the accuracy of the information provided and has read and understands the requirements specified in the *Overall Program Guidebook for the Renewable Energy Program* and the *Renewables Portfolio Standard Eligibility Guidebook*.

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the application if not corrected.

–All information on this form and on any attachments is subject to public disclosure–

Facility name and fuel production facility name are automatically populated from information provided in CEC-RPS-1.S1.

Provide the entity handling the delivery of the biomethane gas.

Provide the name of the entity delivering the gas at the point of reciept into the pipeline.

Provide the reciept point where the gas enters the pipeline and the delivery point where the gas exits the pipeline.

Provide the name of the entity receiving the gas at the delivery point.

Pipeline Biomethane Delivery Attestation for Existing Biomethane Facilities

The attestation must be signed by an authorized officer or agent of the fuel production facility owner, who has the authority to attest to the accuracy of the information provided and has read and understands the requirements specified in the *Overall Program Guidebook for the Renewable Energy Program* and the *Renewables Portfolio Standard Eligibility Guidebook*.

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the application if not corrected.

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EXISTING BIOMETHANE SUPPLEMENTAL INFORMATION

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–All information on this form and on any attachments is subject to public disclosure–

Section I: Existing RPS-Certified Facility Information

1. Previously Assigned RPS ID, if any: _____

Section II: Facility Name and Location

2. Name of Facility: _____
3. Facility Location:

   GPS Coordinates (e.g. 38 34'28.47"N 121 29'51.88"W): _____

Section III: Facility Operations

4. Specify commercial operations date: Date renewable fuel first used, if different:

Section IV: Resource Measurement Methodology

5. For facilities using multiple resources, please indicate which of the measurement methodologies described in the *RPS Eligibility Guidebook* will be used to account for **each** energy input or fuel's contribution to electricity generation:

   _____ *Actual plant efficiency:* _____

Section V: Facility Ownership and Contact Information

6. Name of Facility Owner:

Section VI: Facility Identification Numbers

7. Provide information for each WREGIS Generating Unit (GU) associated with the facility:

WREGIS GU ID	Unit Capacity (MW AC)	Type of Generating Unit	Multi-fuel GU ID

WREGIS GU ID	Unit Capacity (MW AC)	Type of Generating Unit	Multi-fuel GU ID

Section VII: Facility Interconnection

8. Specify the balancing authority area for the facility's first point of interconnection to the WECC:

   ☐ California Balancing Authority: _____ Resource ID, if any: _____

   ☐ Other: _____ Resource ID, if any: _____

Section VIII: Supplemental Questions for Biomethane Fuels

9. Have you provided the Energy Commission with **ALL** of the biomethane procurement contracts for this facility in a prior data request?

   ☐ Yes ☐ No, I will provide **ALL** of the biomethane procurement contracts with this application.

10. List all sources of biomethane used at the facility:

    ☐ Applicant certifies that the facility's fuel sources, identified below, qualify as biomethane as specified in the definition of biomethane in the RPS Eligibility Guidebook.

	Fuel Production Facility Name	Number of Delivery Entities
1.		
2.		
3.		
4.		
5.		

	Fuel Production Facility Name	Number of Delivery Entities
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		
15.		
16.		
17.		
18.		
19.		
20.		
21.		
22.		
23.		
24.		
25.		
26.		
27.		
28.		
29.		
30.		

Section IX: General Information

The Energy Commission reserves the right to request additional information to confirm or clarify information provided in this form, including any attachments. If a representative of a facility does not respond to the Energy Commission's request for an information update in a timely manner, the facility is at risk of losing its certification status as specified in the RPS guidebook.

The Energy Commission may conduct an audit to verify the accuracy of any information included as part of an application for RPS certification. As part of an audit, an applicant may be required to provide the Energy Commission with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications or reports. An applicant may also be required to open its business records for on-site inspection and audit by the Energy Commission or its authorized agents for purposes of verifying the accuracy of any information included in the applicant's applications and reports.

Representatives of certified facilities must notify the Energy Commission promptly of any changes in information previously submitted to the Energy Commission. Failure to do so may result in revocation of certification status. Any changes affecting the facility's certification status must be reported on an amended CEC-RPS-1 form. If there are any changes to the status of a facility's certification, the new information will be posted on the Energy Commission's website.

Section X: Attestation For Existing Biomethane Facilities

Applications for certification must include a signed Certification Attestation, while applications for precertification must include a signed Precertification Attestation. Failure to supply an original of the proper signed attestation will prevent Energy Commission staff from reviewing the application and may result in denial of the application. Similarly, submission of an application with both attestations signed will also prevent Energy Commission staff from reviewing the application and may result in denial of the application if not corrected.

I am an authorized officer or agent of the above-noted facility owner with authority to submit this supplemental information revising a previous certification or application for certification on the facility owner's behalf, and hereby submit this form on behalf of said facility owner to supplement an existing certification or application for certification of the facility as a renewable facility eligible for California's RPS. I attest on behalf of the facility owner that:

• The fuel described in the application and all supplemental applications, is being procured for applications for certification, or is planned to be procured for precertification, and the facility owner intends to continue to procure that fuel from the above fuel producer;

• The named fuel meets the RPS eligibility criteria for the generation of electricity from the fuel;

• The above facility owner has not sold, traded, given away, claimed, or otherwise disposed of any of the attributes that would prevent the resulting electricity from being compliant with the definition of green attributes" as defined in the Renewables Portfolio Standard Eligibility Guidebook nor will they do so for any fuel used to generate RPS eligible electricity; and,

• The electrical generation facility owner has not made, and will not make, for any fuel used to generate RPS-eligible electricity,any marketing, regulatory, or retail claim of GHG reductions from methane destruction without rightful ownership of the environmental attributed associated with the capture and destruction of the biomethane, and in full compliance with RPS statute.

I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook, and understand the provisions, eligibility criteria, and requirements of that guidebook and my responsibilities. I acknowledge that both the receipt of any RPS certification approval from the Energy Commission and the continuing compliance with the RPS requirements for the above electrical is conditioned on the facility owner's acceptance and satisfaction of all program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook. I further acknowledge that the Energy Commission may revise the Renewables Portfolio Standard Eligibility Guidebook in the future, and that it is my responsibility to remain informed of any changes that could affect my responsibilities in maintaining the certification or effect the certification of the facility. I declare under penalty of perjury that the information provided in this form and any supplemental forms and attachments is true and correct to the best of my knowledge and that I am authorized to submit this form on the facility owner's behalf.

Name of Facility: _____

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

EXISTING BIOMETHANE SUPPLEMENTAL INFORMATION

CEC-RPS-2196.P (Revised 04/13)

FUEL PRODUCTION FACILITY INFORMATION

–All information on this form and on any attachments is subject to public disclosure–

Name of Facility applying for RPS Certificiation:		
Fuel Production Facility Name:		
Fuel Production Facility Owner/Operator:		
Address:		
City:	State:	Zip:
Start date of fuel supply contract:	End date of fuel supply contract:	
Type of Biomethane:	Delivery Method:	
Quantity of fuel under this contract (MMBtu/month):	Date of first delivery, or use, of gas:	
Fuel production facility owner:		
Delivery point to the natural gas pipeline system, if applicable:		

Fuel Production Facility Information Attestation For Existing Biomethane Facilities

I am an authorized officer or agent of the above-noted fuel production facility owner, and hereby attest on behalf of the above noted fuel production facility owner that:

• The fuel indicated consists solely of an RPS eligible fuel as defined in the California Energy Commission's Renewables Portfolio Standard Eligibility Guidebook and constitutes an RPS eligible renewable fuel pursuant to the Renewables Portfolio Standard Eligibility Guidebook;

• The produced fuel has been sold for use in the facility that has applied or received RPS certification and the above fuel producer has not sold, traded, given away, claimed, or otherwise disposed of any of the attributes separate from the fuel that would prevent the resulting electricity from being compliant with the definition of "green attributes" as defined in the Renewables Portfolio Standard Eligibility Guidebook, nor will they do so for any fuel used to generate RPS eligible electricity; and,

• The production facility owner has not made, and will not make, for any fuel used to generate RPS-eligible electricity, any marketing, regulatory, or retail claim of GHG reductions from methane destruction without rightful ownership of the environmental attributed associated with the capture and destruction of the biomethane, and in full compliance with RPS statute.

I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook and understand the provisions, eligibility criteria, and requirements of that guidebook and my responsibilities. I acknowledge that both the receipt of any RPS certification approval from the Energy Commission and the continuing compliance with the RPS requirements for the above electrical generation facility is conditioned on the fuel production facility owner's acceptance and satisfaction of all applicable program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook. I declare under penalty of perjury that the information provided is true and correct to the best of my knowledge and that I am authorized to submit this attestation on the fuel production facility owner's behalf.

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

STATE OF CALIFORNIA CALIFORNIA ENERGY COMMISSION

EXISTING BIOMETHANE SUPPLEMENTAL INFORMATION

CEC-RPS-2196.D (Revised 04/13)

BIOMETHANE DELIVERY ENTITIES

–All information on this form and on any attachments is subject to public disclosure–

Name of Facility applying for RPS Certificiation:	
Fuel Production Facility Name:	
Biomethane Delivering Entity:	
Entity delivering the gas to the receipt point:	
Receipt point:	Delivery point:
Receiving entity at the delivery point:	

Pipeline Biomethane Delivery Attestation for Existing Biomethane Facilities

I am an authorized officer or agent of the above-noted pipeline biomethane delivering entity, and hereby attest on behalf of the above-noted entity that renewable pipeline biomethane, as defined in the California Energy Commission's Renewables Portfolio Standard Eligibility Guidebook, from the named fuel production facility, has been delivered, and will continue to be delivered, for the term of the delivery contract, from the named entity at the above receipt point to the named receiving entity at the above delivery point, in an eligible manner as described by the Renewables Portfolio Standard Eligibility Guidebook. I also attest that the above delivery entity has not sold, traded, given away, claimed, or otherwise disposed of any of the attributes separate from the pipeline biomethane that would prevent the resulting electricity from being compliant with the definition of “green attributes” as defined in the Renewables Portfolio Standard Eligibility Guidebook, nor will they do so for any pipeline biomethane used to generate RPS eligible electricity. I attest that the delivering entity has not made, and will not make, for any fuel used to generate RPS-eligible electricity, any marketing, regulatory, or retail claim of GHG reductions from methane destruction without rightful ownership of the environmental attributed associated with the capture and destruction of the biomethane, and in full compliance with RPS statute. I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook and understand the provisions, eligibility criteria, and requirements of these guidebooks and my responsibilities. I acknowledge that both the receipt of any RPS certification approval from the Energy Commission and the continuing compliance with the RPS requirements is conditioned on the owner of the delivering entity’s acceptance and satisfaction of all applicable program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook. I declare under penalty of perjury that the information provided is true and correct to the best of my knowledge and that I am authorized to submit this attestation on the deliverv entitv owner’s behalf.

Authorized Officer/Agent: _____

Officer Title: _____ Company: _____

Signature: _____ Date Signed: _____

Please refer to the RPS Eligibility Guidebook and the Overall Program Guidebook for additional information for completing this form.

–All information on this form and on any attachments is subject to public disclosure–

Submit the completed and signed CEC-RPS-3 form to:

California Energy Commission

Attn: RPS Certification

1516 Ninth Street, MS-45

Sacramento, CA 95814

And submit the electonic, unsigned Excel file via email to: RPSTrack@energy.ca.gov

Excel filename and e-mail subject line should be of the format:

RPS-3 Aggregated Application of the [Aggregated Unit Name], [RPS ID number if available]

Tab 2 Aggregator Information

Section I: Type of Certification Requested

1. Indicate whether the application is for:

   First Time Application for Aggregation - Applies to aggregated units that are on-line, seeking certification for the RPS, and have not previously submitted an application.

   Amendment to Application for Aggregation - Applies to aggregated units already certified as eligible for the RPS that have undergone material changes since being certified (for example, addition of facilities to the aggregated unit, change of ownership or size of any facility in the unit, etc.). Aggregated units that do not notify the Energy Commission in a timely manner of material changes risk disqualification.

Specify the certification number (or RPS ID) previously assigned to the aggregated unit, if any. If no certification number has been assigned to the aggregated unit by Energy Commission staff, please leave this blank.

Section II: Applicant Information

2. Application Information

Provide the name and contact information for the applicant. The applicant, along with the authorized officer/agent signing the attestation, is responsible for the accuracy of all information presented in this application and all other supporting documentation submitted with the application. The applicant has the authority to make revisions to the application and supplemental documentation without the express consent of the authorized officer/agent. The applicant is also responsible for ensuring the continued compliance of the facility with the RPS requirements including the verification process.

3. Additional Authorized Persons

Specify the person completing the form if different from the applicant. This person will have authority to make changes to the application during the review process without the express consent of the applicant or the authorized office/agent.

List all additional persons authorized to make changes to this application, these persons have authority to make changes to the application during the review process without the express consent of the applicant or the authorized office/agent.

For more information see Section III in the RPS guidebook.

Section III: Aggregated Unit Information

4. Provide the name of the aggregated unit and specify any other names used by the aggregated unit, presently and in the past. If the aggregated unit is registered in WREGIS under a different name, no matter how similar, the name used in the WREGIS system must be provided.
5. Specify the year the individual facilities were first aggregated into a single aggregated unit for the California RPS.
6. Specify the current total nameplate capacity of the aggregated unit in kilowatts of alternating current and the number of facilities in the aggregated unit at the time of appilcation.
7. Specify the WREGIS Generating Unit Identification Number (WREGIS GU ID) used by the aggregated unit and the date the unit registration was approved by WREGIS. No aggregated unit can be represented by more than a single WREGIS GU ID.
8. Indicate whether the facilities in the aggregated unit will be using a solar photovoltaic or wind resource. Only facilities using solar photovoltaic or wind resources are eligible to participate in the California RPS as part of an aggregated unit. All facilities in an aggregated unit must use the same resource.

For more information see Section III in the RPS guidebook.

Section IV: General Information

The Energy Commission reserves the right to request additional information to confirm or clarify information provided in this application including any attachments. If a representative of an aggregated unit does not respond to the Energy Commission's request for information in a timely manner the aggregated unit is at risk of losing its certification status.

The Energy Commission may conduct an audit to verify the accuracy of any information included as part of an application for RPS certification or precertification. As part of an audit, an applicant may be required to provide the Energy Commission with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications or reports. An applicant may also be required to open its business records for on-site inspection and audit by the Energy Commission or its authorized agents for purposes of verifying the accuracy of any information included in the applicant's applications and reports.

Representatives of certified aggregated units must notify the Energy Commission promptly of any changes in information previously submitted to the Energy Commission. Failure to do so may result in the revocation of certification status for the entire aggregated unit. Any changes affecting the certification status of the aggregated units must be reported on an amended CEC-RPS-3 form. If there are any changes to the status of a facility's certification, the new information will be posted on the Energy Commission's website.

Section V: Aggregated unit Attestation

The attestation must be signed by an authorized officer or agent of the facility owner, who has the authority to attest to the accuracy of the information provided and has read and understands the requirements specified in the *Overall Program Guidebook for the Renewable Energy Program* and the *Renewables Portfolio Standard Eligibility Guidebook*.

Tab 3 Individual Facility Information

All facilities ever listed as a member of an aggregated unit must be included in this application and associated with the correct RPS ID suffix, even if the facility is no longer an active member of the aggregated unit.

Section VI: Facility Identification and Aggregate Status

A. Assigned RPS ID

This column lists the RPS ID assigned to the aggregated unit with the suffix assigned to each facility. This field is automatically populated, be sure to match each facility with its existing RPS ID. For amended certification applications, this column will take the form of "#####R-####A."
First time applications for aggregated units should be submitted without an assigned RPS ID for the aggregated unit. Only the facility specific suffix will be automatically populated. Energy Commission staff will assign an RPS ID to the aggregated unit upon receipt of a completed application for the certification of the aggregated unit. For first time applications this column will be of the form "####A."

B. Facility Name

Specify the name under which each facility will be certified.

C. Facility Status in Aggregated Unit

Specify whether the facility is an active member of the aggregated unit or an inactive member.

Active - Generation from this facility is being tracked as part of the aggregated unit, the certification will include this facility.

Inactive - Generation from this facility is not being tracked as part of the aggregated unit, the certification will not include this facility.

D. Type of Evaluation Requested

Certification (Cert.) - Applies to renewable facilities that are on-line who wish to establish eligibility for the RPS.

Amended Certification - Applies to facilities already certified as eligible for the RPS that have undergone material changes since being certified (for example, change of ownership, size of facility, etc.). Facilities that do not notify the Energy Commission in a timely manner of material changes risk disqualification.

Certification of a Precertified Facility - Applies to faciilties that have been precertified in the past and are now commercially online and applying for certification.

Precertification (Precert.)* - Applies to renewable facilieis that are not yet online and wish to receive an initial evaluation as to the potential eligibilty for the RPS.

*Amended Precertification** - Applies to facilities already precertified as eligible for the RPS that have undergone material changes since being precertified (for example, change of ownership, size of facility, etc.). Facilities that do not notify the Energy Commission in a timely manner of material changes face disqualification.

**When completing this form for precertification, complete the form as if the facility has commenced operations and is operating as currently planned.*

E. Eligibility Date as Part of this Aggregated Unit

Specify the eligiblity date as part of this aggregated unit, if unknown leave blank. For first time aggregated unit applications or facilities being added to the aggregated unit application, this field should be left blank; Energy Commission Staff will assign this information.

F. Identification Numbers Used by the Facility

List any previously used RPS ID if any (list only if the RPS ID is different than the assigned RPS ID, if the facility was previously assigned an RPS ID as part of this aggregated unit the facility should be listed in the same line of the application as it was previously listed).

Internal ID, assigned by aggregator

Other (Please attach documentation explaining this identification number if any is provided.)

Section VII: Facility Operations

G. Operations Date (mm-dd-yyyy)

Enter the date the facility was interconnected to the electricity grid and began serving all or part of the onsite needs of the host. If these dates are different provide the later of the two dates.

H. Date of Entry into Agregated Unit (mm-dd-yyyy)

Please specify date the facility's generation was first tracked as part of the aggregated unit.

I. Nameplate Capacity

Indicate the nameplate capacity of the facility in kilowatts (kW) of alternating current.

Section VIII: Other Facility Information

J. Ratepayer Funded Programs

Indicate whether the facility ever received benefits from a rate-payer funded incentive program or plans to receive funds from a rate-payer funded incentive program. Yes or no.

Identify the program from which the facility received funding, NSGP, ERP, SGIP, CSI, Other SB 1 Program, or other. If funding was received from more than one program, indicate this program in an attachment.

If funding was received from another SB 1 program or other ratepayer funded program not listed, specify the program in the "Other" field and attach additional information as necessary.

K. Is This Facility Participating in a Net Metering Tariff?

Indicate whether the facility is participating in a net metering tariff. Yes or no.

L. Does This Facility Satistify All Metering Requirements?

Participation in the Renewables Portfolio Standard requires each facility to report eligible generation based on a meter with an independently verified accuracy rating of 2 percent or higher accuracy. Indicate whether or not the facility meets this requirement. Yes or no.

Section IX: Facility Location and Contact Information

M. Facility Address (or specific physical location)

Indicate the street address or other physical address for the facility, including the city, state, and complete nine digit zipcode. If no physical address exists, provide the GPS coordinates.

N. Facility Contact Information

The facility contact is the contact person for any questions about the technical information about the facility submitted in the application for certification. Please include name, title, company name, address, phone number, and e-mail address.

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

CERTIFICATION OF AGGREGATED UNITS

CEC-RPS-3 (Revised 04/13)

TAB 2

Please refer to the RPS Eligibility Guidebook and the Overall Program Guidebook for additional information for completing this form.

–All information on this form and on any attachments is subject to public disclosure–

Section I: Type of Certification Requested

1. Choose One

☐ First Time Application for Aggregation ☐ Amendment to Application for Aggregation

Previously Assigned Certification Number, if any: _____

Section II: Applicant Information

2. Application Information

Name of Applicant:

Title:

Company Name:

Applicant Phone:

Fax:

E-Mail (for all correspondence):

Address:

City:

State/Province:

Zip:

Country:

3. Additional Authorized Persons

List all additional persons authorized to make changes to this application:

Name:	Phone:	Email:
Name:	Phone:	Email:
Name:	Phone:	Email:

Section III: Aggregated Unit Information

4. Name of Aggregated Generation Unit: _____

► Specify any additional names or previously used names:

5. Year the aggregated unit was created:

6. Total nameplate capacity of facilities currently operating in the aggregated unit (in kilowatts AC _____

► Total capacity of all active facilities in aggregated unit: _____

► Number of facilities currently operating in the unit: _____

► Number of all active facilities in aggregated unit:

7. WREGIS Information: WREGIS GU ID: Date registered in WREGIS:

8. Indicate the single energy resource used by all facilities in the aggregated unit: ☐ Photovoltaic ☐ Wind

☐

STATE OF CALIFORNIA

CALIFORNIA ENERGY COMMISSION

CERTIFICATION OF AGGREGATED UNITS

CEC-RPS-3 (Revised 04/13)

TAB 2

Section IV: General Information

The Energy Commission reserves the right to request additional information to confirm or clarify information provided in this application including any attachments. If a representative of an aggregated unit does not respond to the Energy Commission's request for information in a timely manner the aggregated unit is at risk of losing its certification status.

The Energy Commission may conduct an audit to verify the accuracy of any information included as part of an application for RPS certification or precertification. As part of an audit, an applicant may be required to provide the Energy Commission with any and all information and records necessary to verify the accuracy of any information included in the awardee's applications or reports. An applicant may also be required to open its business records for on-site inspection and audit by the Energy Commission or its authorized agents for purposes of verifying the accuracy of any information included in the applicant's applications and reports.

Representatives of certified aggregated units must notify the Energy Commission promptly of any changes in information previously submitted to the Energy Commission. Failure to do so may result in the revocation of certification status for the entire aggregated unit. Any changes affecting the certification status of the aggregated units must be reported on an amended CEC-RPS-3 form. If there are any changes to the status of a facility's certification, the new information will be posted on the Energy Commission's website.

Section VI: Aggregated Unit Attestation

I am an authorized officer or agent of the above-noted aggregated unit, consisting of the facilities listed in Tab 3, with authority to submit this application on the behalf of the individual facility owners, and hereby submit this application on behalf of said facility owners for certification or precertification, as specified in Tab 3, of these facilities as a renewable electrical generation facility eligible for California's RPS. I have read the above information as well as the Renewables Portfolio Standard Eligibility Guidebook and understand the provisions, eligibility criteria, and requirements of these guidebooks and my responsibilities. I acknowledge that the receipt of any certification approval from the Energy Commission is conditioned on the acceptance and satisfaction of all program requirements as set forth in the Renewables Portfolio Standard Eligibility Guidebook by each facility owner. I further acknowledge that the Energy Commission may revise the Renewables Portfolio Standard Eligibility Guidebook in the future, and that it is my responsibility to remain informed of any changes that could affect my responsibilities in maintaining the certification or precertification of the facilities in this aggregated unity or the effect certification or precertification of the facilities in this aggregated unit. I declare under penalty of perjury that the information provided in this application, any supplemental information, and attachments is true and correct to the best of my knowledge and that I am authorized to submit this application on behalf of the facility owners.

Name of Aggregated Unit: _____

Authorized Officer/Agent: _____

Officer Title: _____

Signature: _____ Date Signed: _____

☐ The Following are Attached: a) _____

b) _____

Submit the completed and signed CEC-RPS-3 form to:

California Energy Commission

Attn: RPS Certification

1516 Ninth Street, MS-45

Sacramento, CA 95814

And submit the electronic, unsigned Excel file via email to: RPSTrack@energy.ca.gov

Excel filename and e-mail subject line should be of the format:

RPS-3 Aggregated Application of the [Aggregated Unit Name], [RPS ID number if available]

For Energy Commission use ONLY:

Electronic copy received:		Analyst Review:	
Analyst Review:		Supplemental Review:	
RPS Program Lead:		LORS Analysis:	
Office Manager:		Other:	

STATE OF CALIFORNIA
CERTIFICATION OF AGGREGATED UNITS
CEC-RPS-3 (Revised 04/13)
TAB 3

CALIFORNIA ENERGY COMMISSION

–All information on this form and on any attachments is subject to public disclosure–

Please print and submit only the pages with completed information.

NOTE: Form may only be used to certify aggregated unit

For Energy Commission use ONLY:

Electronic copy received: _____ Analyst Review: _____

Analyst Review: _____ Supplemental Review: _____

RPS Program Lead: _____ LORS Analysis: _____

Office Manager: _____ Other: _____

Aggregated RPS ID: _____

Applicant Contact Information *(to be used for all correspondence)*

Name: _____ **Title:** _____

Address: _____ **City, State, Zip:** _____

Phone: _____ **Email:** _____

	Section VI: Facility Identification and Aggregate Status								Section VII: Facility Operations			Section VIII: Other Facility Information		
	A	B	C	D	E	F			G	H	I	J		
Line	Assigned RPS ID	Facility Name	Facility Status in Aggregated unit	Original or Amended Certification or Precertification	Eligibility Date as Part of this Aggregated Unit (mm/dd/yyyy)	Previously used RPS ID if any (List only if the ID is different than the assigned RPS ID)	Internal ID, Assigned By Aggregator	Other ID Numbers (Please explain)	Operation Date	Date of Entry to Aggregated Unit	Nameplate Capacity in Alternating Current (kW)	Has the facility received benefits from a rate-payer funded incentive program?		
												Yes/No	Specify Program	If Other, Identify Utility or Program, as applicable
1			Choose One	Choose One								Choose One	Choose One	
2			Choose One	Choose One								Choose One	Choose One	
3			Choose One	Choose One								Choose One	Choose One	
4			Choose One	Choose One								Choose One	Choose One	
5			Choose One	Choose One								Choose One	Choose One	
6			Choose One	Choose One								Choose One	Choose One	
7			Choose One	Choose One								Choose One	Choose One	
8			Choose One	Choose One								Choose One	Choose One	
9			Choose One	Choose One								Choose One	Choose One	
10			Choose One	Choose One								Choose One	Choose One	
11			Choose One	Choose One								Choose One	Choose One	
12			Choose One	Choose One								Choose One	Choose One	
13			Choose One	Choose One								Choose One	Choose One	
14			Choose One	Choose One								Choose One	Choose One	
15			Choose One	Choose One								Choose One	Choose One	
16			Choose One	Choose One								Choose One	Choose One	
17			Choose One	Choose One								Choose One	Choose One	
18			Choose One	Choose One								Choose One	Choose One	
19			Choose One	Choose One								Choose One	Choose One	
20			Choose One	Choose One								Choose One	Choose One	
21			Choose One	Choose One								Choose One	Choose One	
22			Choose One	Choose One								Choose One	Choose One	
23			Choose One	Choose One								Choose One	Choose One	
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25			Choose One	Choose One								Choose One	Choose One	
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31			Choose One	Choose One								Choose One	Choose One	
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33			Choose One	Choose One								Choose One	Choose One	
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35			Choose One	Choose One								Choose One	Choose One	

STATE OF CALIFORNIA
CERTIFICATION OF AGGREGATED UNITS
CEC-RPS-3 (Revised 04/13)
TAB 3

CALIFORNIA ENERGY COMMISSION

–All information on this form and on any attachments is subject to public disclosure–

Please print and submit only the pages with completed information.

NOTE: Form may only be used to certify aggregated unit

For Energy Commission use ONLY:

Electronic copy received: _____ Analyst Review: _____

Analyst Review: _____ Supplemental Review: _____

RPS Program Lead: _____ LORS Analysis: _____

Office Manager: _____ Other: _____

Aggregated RPS ID: _____

Applicant Contact Information *(to be used for all correspondence)*

Name: _____ **Title:** _____

Address: _____ **City, State, Zip:** _____

Phone: _____ **Email:** _____

Section VIII: Other Facility Information		Section IX: Facility Location and Contact Information										
K	L	M				N						
		Facility Location				Facility Contact Information						
Is this facility Participating in a net metering tariff?	Does This Facility Satisfy all Metering Requirements?	Physical Address	City	State	Nine Digit Zip Code	Owner	Mailing Address	City	State	Zip	Phone	Email
Choose One	Choose One											
Choose One	Choose One											
Choose One	Choose One										

(TO BE COMPLETED BY LOAD SERVING ENTITIES)
REPORT TO THE CALIFORNIA ENERGY COMMISSION
RPS Procurement Claims from
RPS-Certified Electrical Generation Facilities

GENERAL INSTRUCTIONS

Please enter the name of the load serving entity represented on this form and the reporting year covered by this report. For purposes of this form, the term "facility" means the RPS-certified electrical generation facility.

Entity Name	
Reporting Year Covered in this Report	

This form may be used by load serving entities (retail sellers or POUs) to report RPS procurement claims of electricity products from RPS-certified electrical generation facilities using the Interim Tracking System (ITS) as specified in the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition* , Section V. B. 3. Transitioning from ITS to WREGIS. This form may not be used to report RPS procurement claims for generation that is tracked and reported through WREGIS. Complete Schedule 1 and verify that the identified RPS procurement claims are from RPS-certified electrical generation facilities and that such procurement claims are not tracked and reported through WREGIS. Energy Commission staff may request additional information from load serving entities to verify the generation and RPS procurement claims of electricity products reported in this form. If requested, an authorized officer or agent of the load serving entity must submit additional information.

E-mail the completed file to the address shown below. Then print out the file, sign the attestation, and mail the package to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.ca.gov

Renewable Energy Office
Attn: Interim Tracking
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5512

This report is due on July 1st of each year. For 2011 and 2012 data, follow the reporting instructions due dates in the Energy Commission's *RPS Eligibility Guidebook, Seventh Edition* and specified in the regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* , as adopted by the Energy Commission.

(TO BE COMPLETED BY LOAD SERVING ENTITIES)
REPORT TO THE CALIFORNIA ENERGY COMMISSION
RPS Procurement Claims from
RPS-Certified Electrical Generation Facilities

Schedule 1 - RPS Procurement Claims

INSTRUCTIONS: List the load serving entity's monthly procurement claims of electricity products from each RPS-certified electrical generation facility for each month of the calendar year covered in this report as specified in the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition,* Section V. B. 3. "Transitioning from ITS to WREGIS." When completing this form, use one row to report the monthly procurement claim amount for each identified RPS-certified electrical generation facility. If a facility has multiple generation units, each with its own WREGIS Identification Number, and the generation from each unit is disaggregated and reported using the unit-specific WREGIS ID, provide the monthly procurement claim amount from each unit. Do not include negative procurement amounts.

FOOTNOTES

1	RPS ID	Enter the California Energy Commission RPS certification number for the RPS-certified electrical generation facility.
2	EIA Plant ID	Enter the Energy Information Administration identification number for the RPS-certified electrical generation facility, if available.
3	WREGIS ID	Enter the Western Renewable Energy Generation Information System Generating Unit Identification number for the RPS-certified electrical generation facility, if a WREGIS ID has been obtained for the facility. If an RPS-certified electrical generation facility has multiple generating units, each with its own WREGIS ID, and the procurement claim from each unit is reported using the unit-specific WREGIS ID, report the monthly procurement claim from each unit on a separate row using the unit-specific WREGIS ID.
4	Facility Name	Enter the name of the RPS-certified electrical generation facility.
5	Fuel Type	Choose the fuel type of the RPS-certified electrical generation facility.
6	RPS Electricity Product Code	**For POUs subject to the PBR**, choose the applicable electricity product classification code: Historic Carryover (HC10), Count in Full (PCC0) or Portfolio Content Category classification PCC1, PCC2, or PCC3. **For POUs not subject to the PBR**, choose either Count in Full (PCC0), Bundled RECs (BNDL), or Unbundled RECs (TREC), as applicable. **For retail sellers**, do not choose an electricity product classification; always select Retail Seller (RTSL) for each claim -- the CPUC classifies electricity products for retail sellers. *(Note: this portion of the form may be revised, as necessary, to be consistent with the Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities, as adopted by the Energy Commission.)*
7	Vintage Year	Enter the vintage year in which the renewable electricity was generated.
8	Vintage Month	Choose the month of the year in which the renewable electricity was generated.

9	Monthly Procurement Claim (MWh)	Enter the total monthly procurement claim amount for the RPS-certified electrical generation facility. Enter the amount in MWh rounded to the nearest ten-thousandth (for example, 8.1234 MWh). If an RPS-certified electrical generation facility has multiple generating units, each with its own WREGIS ID, and the procurement claim from each unit is reported using the unit-specific WREGIS ID, enter the monthly procurement claim from each unit on a separate row using the unit-specific WREGIS ID as described in Footnote 3.
10	E-Tag ID	As applicable, enter the e-Tag Identification number (e-Tag Code) for scheduled energy that is matched with PCC1 and/or PCC2 RPS claims from the generation unit of the generator that are not interconnected to a CBA or by the generation unit of the generator using substitute energy to firm and shape energy. (Note: this portion of the form may be revised, as necessary, to be consistent with the *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* , as adopted by the Energy Commission.)

Schedule 1: TO BE COMPLETED BY LOAD SERVING ENTITIES

Report to the California Energy Commission

Report of RPS Procurement Claims from RPS-Certified Electrical Generation Facilities

RPS PROCUREMENT CLAIMS FROM RPS-CERTIFIED ELECTRICAL GENERATION FACILITIES

RPS ID[1]	EIA Plant ID[2]	WREGIS ID[3]	Facility Name[4]	Fuel Type[5]	RPS Electricity Product Code[6]	Vintage Year[7]	Vintage Month[8]	Monthly Procurement Claim (MWh)[9]	E-Tag ID[10]

(TO BE COMPLETED BY LOAD SERVING ENTITIES)
REPORT TO THE CALIFORNIA ENERGY COMMISSION
RPS Procurement Claims from
RPS-Certified Electrical Generation Facilities

I am an authorized officer or agent of the load serving entity, as noted below, and hereby submit this report and attest to the following on behalf of said entity:

1) I am an authorized officer or agent of the load serving entity, as noted below and for which this report was prepared, and have authority to submit this report on behalf of said entity;
2) The information and data provided in this report, including information provided in Schedule 1 of this report, are submitted to the California Energy Commission for use in verifying the load serving entity's procurement claims of electricity products from the RPS-certified electrical generation facilities as identified in this report for purposes of the RPS and in accordance with the Energy Commission's *Renewables Portfolio Standard Eligibility Guidebook;*
3) To the best of my knowledge, none of the procurement claims identified in Schedule 1 of this report, nor any of the Renewable Energy Certificates, as defined in the *Renewables Portfolio Standard Eligibility Guidebook*, associated with the electricity generation for such claims, have been or will be used more than once to satisfy RPS procurement requirements or voluntary contributions;
4) I have read the *Renewables Portfolio Standard Eligibility Guidebook* and understand the provisions, eligibility criteria, and requirements of that guidebook and my responsibilities under the guidebook, including my responsibilities to provide additional information for RPS verification purposes if requested by the Energy Commission; and
5) I declare under penalty of perjury that the information and data provided in this report, including the information provided in Schedule 1 of the report, is true and correct to the best of my knowledge.

Signed: _____ **Dated:** _____

Name of Officer or Agent:_____

Authorized Officer or Agent of Load Serving Entity	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
Load Serving Entity	
Entity Name:	
Street Address:	
City, State, Zip Code	

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) REPORT to the CALIFORNIA ENERGY COMMISSION CA RPS e-Tag SUMMARY REPORT

GENERAL INSTRUCTIONS

Please enter the following information:

Name of Local Publicly Owned Electric Utility	
Name of Individual Completing Form	
Calendar Year Covered by this Report	

This form shall be used by a local publicly owned electric utility (POU) to report e-Tag information as specified in the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition* , Section VI. C. 1. c. Facilities with First Point of Interconnection Outside a California Balancing Authority (CBA) - Scheduling Generation into a CBA and Section VI. C. 2. b. Demonstration of incremental electricity used to Firm and Shape.
This form is to be used only when WREGIS e-Tag data is not available to the POU for reporting using WREGIS. In some cases, a POU may need to coordinate with third party importers to provide the required data. Confirm that the identified e-Tag data is not available to the POU for reporting using WREGIS and then complete Schedules 2 and/or 3 of the form, as applicable. The Energy Commission intends to ask for supplemental documentation to this filing for this report including, but not limited to, individual e-Tags, to verify e-Tag information and RPS procurement claims of electricity products listed in this report. If requested by the Energy Commission, an authorized officer or agent of the POU must submit additional information.

E-mail the electronic file of the completed report to the address shown below. Then print out the completed report, sign the attestation, and mail the report and any attachments to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.ca.gov
Renewable Energy Office
Attn: RPS Verification
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5512

This report is due on July 1st of each year for retirements made for the previous reporting year. For 2011 and 2012 data, follow the reporting instructions and due dates specified in the Energy Commission's *RPS Eligibility Guidebook, Seventh Edition,* and regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* .

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) REPORT to the CALIFORNIA ENERGY COMMISSION CA RPS e-Tag SUMMARY REPORT

Schedule 2 - PCC 1 - Not directly connected to a CBA e-Tag Summary

INSTRUCTIONS: List the POU's e-Tag information for the e-Tags used to demonstrate the final schedule data for Portfolio Content Category 1 (PCC 1) REC claims from facilities not directly connected to a California Balancing Authority (CBA).

FOOTNOTES

1	E-Tag ID	Enter the e-Tag Identification number (e-Tag Code).
2	Start Date	Enter the start date/time of electricity flow during the period covered on the e-Tag as a "short date" formatted mm/dd/yyyy (for example, 01/01/2011).
3	Stop Date	Enter the stop date/time of electricity flow during the period covered on the e-Tag as a "short date" formatted mm/dd/yyyy (for example, 01/01/2011).
4	Generator Name	Enter the Generator (Source) name as listed on the e-Tag. For PCC 1, the Generator Name represents the generation facility and should be the RPS-certified electrical generation facility generating the RECs. For the first compliance period only, if there is another source listed, the POU must provide a written explanation as to why this is the case and also how staff may determine that the amount or percentage of the amount on the e-Tag is attributable to the specific RPS-certified electrical generation facility. Staff will evaluate the explanation to determine if the claim or a portion of the claim should be classified as PCC 1. For the second compliance period and thereafter, the source on the e-Tag must be the RPS-certified electrical generation facility from which the PCC 1 claims are made. By 2014, all facilities not directly connected to a CBA, and for which there are PCC 1 claims, must be registered as a unique source with the North American Energy Standards Board (NAESB). OATI is the NAESB chosen system administrator. For questions on how to register data in OATI webRegistery, contact OATI Support at 736.201.2020 or support@oati.net. In order to verify PCC 1 claims, the Energy Commission must have the facility's NAESB identification (source point name).
5	Load	Enter the Load as listed on e-Tag. This naming convention represents the NAESB (formerly NERC) registered "sink point" (aka Sink, Last Point of Delivery, POD) of the PSE listed on the last segment of the Physical Path. The Load must be within a CBA.
6	Load Control Area	Enter the Load Control Area (LCA) as listed on e-Tag. Note that the LCA must represent generation scheduled into a CBA. LCAs that are not also CBAs or are not located in CBAs should not be included.

7	Generator Control Area	Enter the Generator Control Area (GCA) (aka Generator Balancing Area) as listed on e-Tag. Note that for PCC 1 claims, this must be the GCA or, for the first compliance period only, the Balancing Authority, where the RPS-certified electrical generation facility is located.
8	Load Serving Entity (PSE Sink)	Enter the Importing Entity listed on the e-Tag. This is the Purchasing-Selling Entity (PSE) from the line of e-Tag with the "RPS ID" in the Miscellaneous token field. The importing entity, for the purposes of WREGIS, is the entity importing tags into the WREGIS account, not necessarily the importer of the energy.
9	Total MWh on Tag	Enter the final total MWh as listed on e-Tag.
10	Used MWh	Enter the Used MWh. This is the MWh amount of scheduled electricity used from the e-Tag and matched to RECs. The "used MWh" amount should not be higher than the sum of the lesser of the hourly generation and hourly final schedule amounts for the timeframe on the e-Tag, but may account for the aggregation of fractional MWh from the hourly scheduling data.
11	MWh Remaining	Enter the MWh remaining on the e-Tag. This is the number of MWh on the e-Tag not yet matched to RECs. The amount remaining may represent electricity scheduled that does not count as PCC 1 eligible and, therefore, should not be used/matched. If the amount remaining is zero, enter zero.
12	Miscellaneous Field	Enter the Miscellaneous token field RPS ID numbers, which may be a concatenation of up to 10 Miscellaneous token values all associated with the same line of the physical path. The RPS ID number of the facility for which the PCC 1 RECs are being claimed must be listed in the miscellaneous field of the e-Tag.
13	WREGIS Certificate Serial Numbers	Enter the Certificate Serial Number of the WREGIS Certificate with which the e-Tag is matched and retired. If there are no WREGIS Certificates and the claims are being reported using the CEC-RPS-Track form, the Certificate Serial Number does not apply and may be left blank.
14	Optional Comments	Comments are optional, but may be helpful, particularly in cases in which there is aggregation of fractional MWh from the hourly scheduling data used to match WREGIS Certificates.

Schedule 3 - PCC 2 Incremental Electricity e-Tag Summary

INSTRUCTIONS: List the POU's e-Tag information for e-Tags used to demonstrate the final schedule data for PCC 2 REC claims.

FOOTNOTES

1	NERC Tag ID	Enter the e-Tag Identification number (e-Tag Code).
2	Start Date	Enter the start date/time of electricity flow during the period covered on the e-Tag as a "short date" formatted mm/dd/yyyy (for example, 01/01/2011).

3	Stop Date	Enter the stop date/time of electricity flow during the period covered on the e-Tag as a "short date" formatted mm/dd/yyyy (for example, 01/01/2011).
4	Generator Name	Enter the Generator (Source) name as listed on the e-Tag.
5	Load	Enter the Load as listed on e-Tag. This naming convention represents the load facility's NERC registered "sink point" (aka Sink, Last Point of Delivery, POD). The Load must be within a CBA.
6	Load Control Area	Enter the Load Control Area (LCA) as listed on e-Tag. Note that the LCA must represent generation scheduled into a CBA. LCAs that are not also CBAs or are not located in CBAs should not be included.
7	Generator Control Area	Enter the Generator Control Area (aka Generator Balancing Area) as listed on e-Tag.
8	Load Serving Entity (PSE Sink)	Enter the Importing Entity listed on the e-Tag. This is the Purchasing-Selling Entity (PSE) from the line of e-Tag with the "RPS ID" in the Miscellaneous token field. The importing entity for the purposes of WREGIS is the entity importing tags into the WREGIS account, not necessarily the importer of the energy.
9	Total MWh on Tag	Enter the final total MWh on e-Tag.
10	Used MWh	Enter the Used MWh. This is the MWh amount of scheduled electricity used from the e-Tag and matched to RECs.
11	MWh Remaining	Enter the MWh remaining on the e-Tag. This is the number of MWh on the e-Tag not yet matched to RECs. If the amount remaining is zero, enter zero.
12	Miscellaneous Field	Enter the Miscellaneous token field RPS ID numbers, which may be a concatenation of up to 10 Miscellaneous token values all associated with the same line of the physical path. The RPS ID number of the facility, or facilities, for which the PCC 2 RECs are being claimed must be listed in the miscellaneous field of the e-Tag.
13	RPS ID	Enter the California Energy Commission RPS certification number for the RPS-certified electrical generation facility for which the e-Tag is matched. While there may be multiple RPS certification numbers listed in the miscellaneous field, the POU must indicate the specific facility for which the particular e-Tag is being used. If splitting the e-Tag between more than one facility, all RPS certification numbers must be listed along with the specified MWh amount per facility. The total amount allocated must not exceed the MWh amount of electricity delivered into a CBA per the e-Tag. Details regarding the use of more than one RPS-certified facility per one e-Tag may be provided in the Optional Comments field.
14	Optional Comments	Comments are optional but may be particularly useful in the case of one e-Tag being split between more than one RPS-certified facility for purposes of the RPS.

Schedule 2: TO BE COMPLETED BY LOCA

Report of e-Tag Data to the C

List of e-Tags used in PCC 1 Pro

E-Tag ID[1]	Start Date[2]	Stop Date[3]	Generator Name[4]	Load[5]	Load Control Area[6]	Generator Control Area[7]	Total MWh on Tag[8]

L PUBLICLY OWNED ELECTRIC UTILITIES

alifornia Energy Commission

curement - Scheduled into a CBA

Used MWh[9]	MWh Remaining[10]	Load Serving Entity (PSE Sink)[11]	Miscellaneous Field[12]	WREGIS Certificate Serial Numbers[13]	Optional Comments[14]

Schedule 3: TO BE COMPLETED BY LOCAL PU
Report of e-Tag Data to the Califo
List of e-Tags used in PCC 2 Procurem

E-Tag ID[1]	Start Date[2]	Stop Date[3]	Generator Name[4]	Load[5]	Load Control Area[6]

BLICLY OWNED ELECTRIC UTILITIES

rnia Energy Commission

ent - Incremental Electricity

Generator Control Area[7]	Load Serving Entity (PSE Sink)[8]	Total MWh on Tag[9]	Used MWh[10]	MWh Remaining[11]	Miscellaneous Field[12]

RPS ID[13]	**Optional Comments[14]**

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES)
REPORT to the CALIFORNIA ENERGY COMMISSION
CA RPS e-Tag SUMMARY REPORT
ATTESTATION FORM

I am an authorized officer or agent of the local publicly owned electric utility (POU) noted below, and hereby submit this report and attest to the following on behalf of said POU:

1) I am an authorized officer or agent of the POU for which this report was prepared, and have authority to submit this report on behalf of the POU;
2) The information and data provided in this report, including information provided in Schedule 2 and/or Schedule 3 of this report and in any other supporting documents submitted with this report, are submitted to the California Energy Commission in accordance with the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition,* for use in verifying the POU's procurement claims of electricity products represented by the e-Tag identification numbers provided in this report for purposes of the Renewables Portfolio Standard (RPS);
3) To the best of my knowledge, none of the electricity generation scheduled into a California Balancing Authority to support the procurement claims represented by the e-Tag identification numbers provided in Schedule 2 and/or Schedule 3 of this report, has been or will be used to support other procurement claims to satisfy RPS procurement requirements;
4) I have read the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition,* and understand the provisions, eligibility criteria, and requirements of the guidebook, including my responsibilities under the guidebook to provide additional information for RPS verification purposes if requested by the Energy Commission; and
5) I declare under penalty of perjury that the information and data provided in this report, including the information provided in Schedule 2 and/or Schedule 3 of the report and in any other supporting documents submitted with the report and listed below, are true and correct to the best of my knowledge.

Signed: _____ **Dated:** _____

Authorized Officer or Agent of POU Signing Attestation	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
POU	
Entity Name:	
Street Address:	
City, State, Zip Code	

List of Supporting Documentation Attached to This Report	
1.	
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(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) REPORT TO THE CALIFORNIA ENERGY COMMISSION Report of Scheduled into a CBA - PCC 1 Claims Annual Hourly Comparison Spreadsheet for POU RPS Claims

GENERAL INSTRUCTIONS

Enter the name of the local publicly owned electric utility (POU) and the calendar year covered by this report, as well as the name, RPS ID, and WREGIS Generating Unit (GU) ID number(s) of the RPS-certified electrical generation facility for which the data in this report applies. A preliminary estimate of the sum of eligible PCC 1 volume will be calculated and pulled automatically from Schedule 4 of this report and displayed below. For purposes of this report, the term "facility" means the RPS-certified electrical generation facility.

POU Name	
Reporting Year	
RPS-Certified Facility Name	
RPS ID Number	
WREGIS GU ID Number(s)	
Preliminary Estimate of Eligible PCC 1 (MWh)	0

This form shall be used by a POU to report hourly meter data for the facility and hourly final e-Tag schedule data as specified in the *Renewables Portfolio Standard Eligibility Guidebook* , Seventh Edition, Section VI. C. 1. Portfolio Content Category 1. Because of the amount of data required for this analysis, complete one form per WREGIS GU ID per calendar year for facilities with multiple WREGIS GU IDs that have separate meters. Complete one form per facility per calendar year for facilities with only one WREGIS GU ID or for facilities with multiple WREGIS GU IDs that share one meter. If there are multiple e-Tags per hour, insert rows as necessary to list all e-Tags associated with each hour. If the POU has a fixed volume contract, the POU may use the provided "Fixed Volume Calculation" tab. The Fixed Volume Calculation tab calculates the percent share of the facility output in the final column of the tab which must be manually copied into the "Percent Share of Facility Output" column of Schedule 4. Complete Schedule 4 with all relevant hourly meter and final e-Tag schedule information.
E-mail the electronic copy of this completed report to the address shown below. Then print out the completed report, sign the attestation, and mail the attestation and any attachments to the address

California Energy Commission
e-mail: RPSTrack@energy.ca.gov
Renewable Energy Office
Attn: RPS Verification
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5512

This report is required when a POU makes a PCC1 procurement claim from facilities that are NOT directly interconnected to a California Balancing Authority (CBA).

This report is due on July 1st of each year for retirements made for the previous reporting year. For 2011 and 2012 data, follow the reporting instruction due dates in the Energy Commission's *Renewables Portfolio Standard Eligibility Guidebook* , Seventh Edition, and specified in the regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* .

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) REPORT TO THE CALIFORNIA ENERGY COMMISSION Report of Scheduled into a CBA - PCC 1 Claims Annual Hourly Comparison Spreadsheet for POU RPS Claims

Schedule 4 - Annual Hourly Meter and Final e-Tag Schedule Summary Spreadsheet

INSTRUCTIONS: Enter all necessary annual hourly meter data for the facility and annual hourly final e-Tag schedule data as specified in the *Renewables Portfolio Standard Eligibility Guidebook*, Seventh Edition, Section VI. C. 1. c., Portfolio Content Category 1. When completing this form, use one row to report facility meter and final e-Tag schedule data for each hour and for each e-Tag. Complete one CEC-RPS-HOURLY form per WREGIS GU ID per calendar year for facilities with multiple WREGIS GU IDs that have separate meters. Complete one CEC-RPS-HOURLY form per facility per calendar year for facilities with only one WREGIS GU ID or for facilities with multiple WREGIS GU IDs that share one

FOOTNOTES

1	Date	Enter the date of the generation as a "short date" formatted mm/dd/yyyy (for example, 01/01/2011)
2	Hour Ending	Enter the hour ending for each hour as a whole number, 1 through 24.
3	E-Tag ID Number	Enter the e-Tag Identification number (e-Tag Code) for the e-Tag representing the final schedule. If there are multiple e-Tags in an hour, include each e-Tag on a separate row. Staff will match the e-Tag ID Number with the WREGIS Compliance Report and/or the RPS Track claims, where the e-Tag ID Number is also listed.
4	Hourly Final Schedule (MWh)	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of the hourly volume from the e-Tag provided in the previous field.
5	Hourly Meter Data (MWh)	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of the full output from the facility in each hour. There should only be one MWh amount per hour. If there are multiple e-Tags, the hourly meter data should be the same for each e-Tag listed in that hour of generation.
6	Percent Share of Final Schedule (%)	Enter the POU's percent share of the schedule represented on the e-Tag. If this is 100%, enter 100%.
7	Percent Share of Facility Generation Output (%)	Enter the POU's percent share of the facility's output. If this is 100%, enter 100%. When reporting data from fixed volume contracts, use the values calculated in the "Fixed Volume Calculation" sheet (Column E) as the "Percent Share of Facility Output." Use the same value for each e-Tag within each hour. For any contracting situations not captured in this spreadsheet, the percent share amount may need to be calculated outside the spreadsheet. Contact staff if you need to make calculations outside this summary spreadsheet or if you need to combine multiple reporting entities on one reporting form (although any such combined reporting will still require individual attestations from each POU).

8	Contract ID	Enter the contract, power purchase, or ownership agreement ID number that was generated in the Static Contract Info tab of the Compliance Report Form for POUs.
9	Preliminary Estimate of Eligible PCC 1 Volume (MWh)	This field is automatically calculated as the lesser of (Final Schedule*Percent Share of Final Schedule) and (Hourly Meter Data*Percent Share of Facility Output). Given the restrictions of matching within the WREGIS system, an entity can only match a whole MWh of an e-Tag schedule with the same amount of WREGIS certificates. To avoid stranding kWh of scheduled generation, the reported MWh quantities in the "lesser of" analysis includes four decimal points. The maximum amount of PCC 1 for a year that may be matched with e-Tags is the sum of this column. The sum of this column is calculated and displayed on the front page of this report as the "Preliminary Estimate of Eligible PCC 1 Volume." Amounts matched must include only actual generation amounts that were scheduled into a California Balancing Authority as demonstrated on the final e-Tag schedule.

Fixed Amount Calculation Spreadsheet

INSTRUCTIONS: This spreadsheet is to be used by POUs that have contracted for fixed amounts of electricity from a facility in each hour to calculate the POU's percent share of the facility's output. Enter all necessary annual hourly facility meter data and annual hourly fixed amounts. Only include data for one facility and one year. After the data is entered, the spreadsheet calculates the percent share of facility output. Copy these results from the "Percent Share of Facility Generation Output" column and paste them into the "Percent Share of Facility Generation Output" column in Schedule 4. Be careful to match the data for each hour on this spreadsheet to the same hour on Schedule 4.

NOTE: The calculations performed by this spreadsheet may not apply to a POU's unique circumstances. Therefore, POUs have the option to perform this calculation in a separate workbook, provided that the workbook is submitted to the Energy Commission with this report and all other materials required for verification are attested to on the attestation form.

FOOTNOTES

1	Date	Enter the date of the generation as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011
2	Hour Ending	Enter the hour ending for each hour as a whole number, 1 through 24.
3	Hourly Meter Data (MWh)	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of the facility's meter data for this hour. This is the full output from the facility. There should only be one MWh amount per hour, and only one row per hour, regardless of the number of e-Tags.
4	Hourly Fixed Volume (MWh)	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh),of the fixed volume of electricity contracted for with the facility.
5	Percent Share of Facility Generation Output (%)	This field is calculated automatically from the hourly generation and hourly fixed volume data.

Schedule 4: TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES

PCC 1 Claims from RPS-Certified Facilities NOT interconnected to a CBA Summary Spreadsheet

Annual Hourly Meter and Final e-Tag Data Comparison Spreadsheet

Date[1]	Hour Ending[2]	E-Tag ID Number[3]	Hourly Final Schedule (MWh)[4]	Hourly Meter Data (MWh)[5]	Percent Share of Final Schedule (%)[6]	Percent Share of Facility Generation Output (%)[7]	Contract ID[8]	Preliminary Estimate of Eligible PCC 1 Volume (MWh)[9]

Optional *As Applicable* Fixed Volume Calculation Sheet

Date[1]	Hour Ending[2]	Hourly Meter Data (MWh)[3]	Hourly Fixed Volume (MWh)[4]	Percent Share of Facility Generation Output (%)[5]
				0.00%
				0.00%
				0.00%

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES)
REPORT TO THE CALIFORNIA ENERGY COMMISSION
Report of Scheduled into a CBA - PCC 1 Claims
Annual Hourly Comparison Spreadsheet for POU RPS Claims
ATTESTATION FORM

I am an authorized officer or agent of the local publicly owned electric utility (POU) noted below, and hereby submit this report and attest to the following on behalf of said POU:

1) I am an authorized officer or agent of the POU for which this report was prepared, and have authority to submit this report on behalf of the POU;
2) The information and data provided in this report, including information provided in Schedule 4 of this report and in any other supporting documents submitted with this report, are submitted to the California Energy Commission, in accordance with the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition,* for use in verifying the POU's procurement claims of electricity products represented by the e-Tag identification numbers provided in this report for purposes of the Renewables Portfolio Standard (RPS)*;*
3) To the best of my knowledge, none of the electricity generation scheduled into a California Balancing Authority to support the procurement claims represented by the e-Tag identification numbers provided in Schedule 4 of this report has been or will be used to support other procurement claims to satisfy RPS procurement requirements;
4) I have read the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition,* and understand the provisions, eligibility criteria, and requirements of the guidebook, including my responsibilities under the guidebook to provide additional information for RPS verification purposes if requested by the Energy Commission; and
5) I declare under penalty of perjury that the information and data provided in this report, including the information provided in Schedule 4 of the report and in any other supporting documents submitted with the report and listed below, are true and correct to the best of my knowledge.

Authorized Officer or Agent of POU Signing Attestation	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
POU	
Entity Name:	
Street Address:	
City, State, Zip Code	

List of Supporting Documentation Attached to This Report	
1.	
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(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION

Report of Generation for California RPS-Certified Electrical Generation Facilities

GENERAL INSTRUCTIONS

Please enter the name of the entity that owns all of the RPS-certified electrical generation facilities identified and reported on this form, and the calendar year covered by this report. For purposes of this form, the term "facility" means the RPS-certified electrical generation facility.

Entity Name	
Calendar Year Covered in this Report	

Generation from an RPS-certified electrical generation facility that was not tracked in WREGIS for the entire calendar year covered in this report and/or generation from a facility that was RPS-certified on its own behalf for the entire calendar year must complete Schedule 5 by providing the facility's total monthly generation amounts for each month of the calendar year covered in this report. An RPS-certified electrical generation facility that was certified by a load serving entity on the facility's behalf is not required to complete Schedule 5 unless requested by Energy Commission staff to do so. This form may be used to report generation from multiple RPS-certified electrical generation facilities owned by the same entity. This form may also be used to report generation information for multiple generating units at the same RPS-certified electrical generation facility.

Energy Commission staff may request that additional annual generation data be provided for any RPS-certified electrical generation facility. If requested, an authorized officer or agent of the RPS-certified electrical generation facility must complete and submit this form or additional information.

E-mail the completed file for this form to the address shown below. Then print out the file, sign the attestation, and mail the package to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.ca.gov

Renewable Energy Office
Attn: Interim Tracking
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5512

This report is due on July 1st of each year for the previous calendar year. For 2011 and 2012 data, the CEC-RPS-Gen forms are due 90 days after the adoption date of the *Seventh Edition of the RPS Eligibility Guidebook.*

(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION
Report of Generation for California RPS-Certified Electrical Generation Facilities

Schedule 5 - Generation From RPS-Certified Electrical Generation Facilities

INSTRUCTIONS: Please provide the total monthly generation for each RPS-certified electrical generation facility for each month of the subject calendar year. The total monthly generation of each RPS-certified electrical generation facility must be the amount as verified by the load serving entity or third party meter read. When completing this form, use one row to report the total monthly generation for each RPS-certified electrical generation facility. If an RPS-certified electrical generation facility has multiple generation units, each with its own WREGIS ID, and the generation from each unit is disaggregated and reported by WREGIS ID for each unit, provide the monthly generation for each unit in Schedule 5. Use a separate row to report the monthly generation amount from each unit of the RPS-certified electrical generation facility with its own WREGIS ID.

FOOTNOTES

1	Facility Name	Enter the name of the RPS-certified electrical generation facility.
2	Primary Fuel Type	Enter the fuel type of the RPS-certified electrical generation facility.
3	RPS ID	Enter the California Energy Commission RPS Certification number for the RPS-certified electrical generation facility.
4	EIA Plant ID	Enter the Energy Information Administration identification number for the RPS-certified electrical generation facility, if available.
5	WREGIS ID	Enter the Western Renewable Energy Generation Information System Generating Unit Identification number for the RPS-certified electrical generation facility, if a WREGIS ID has been obtained for the facility. If an RPS-certified electrical generation facility has multiple generating units, each with its own WREGIS ID, and the generation from each unit is reported using the unit-specific WREGIS ID, report the monthly generation for each unit on a separate row using the unit-specific WREGIS ID.
6	Year	Enter the year covered in this report during which the renewable electricity was generated by the RPS-certified electrical generation facility.
7	Month	Choose the month of the year in which the renewable electricity was generated by the RPS-certified electrical generation facility.
8	Monthly Generation (MWh)	Enter the total monthly electricity generation amount of the RPS-certified electrical generation facility in MWh rounded to the nearest ten-thousandth (for example, 8.1234 MWh). If an RPS-certified electrical generation facility has multiple generating units, each with its own WREGIS ID, enter the monthly generation for each unit on a separate row using the unit-specific WREGIS ID as described in Footnote 5.

Schedule 5: TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY

Report of Generation to the California Energy Commission

GENERATION FROM RPS-CERTIFIED ELECTRICAL GENERATION FACILITIES

Facility Name[1]	Primary Fuel Type[2]	RPS ID[3]	EIA Plant ID[4]	WREGIS ID[5]	Year[6]	Month[7]	Monthly Generation (MWh)[8]
	Choose One					Choose One	
	Choose One					Choose One	
	Choose One					Choose One	
	Choose One					Choose One	
	Choose One					Choose One	
	Choose One					Choose One	
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(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION
Report of Generation for
California RPS-Certified Electrical Generation Facilities
ATTESTATION FORM

I am an authorized officer or agent of the entity that owns the RPS-certified electrical generation facility(ies), as noted below, and hereby submit this report and attest to the following on behalf of said entity:

1) I am an authorized officer or agent of the entity that owns the RPS-certified electrical generation facility(ies), as noted below and for which this report was prepared, and have authority to submit this report on behalf of said entity;
2) The information and data provided in this report, including information provided in Schedule 5 of this report, are submitted to the California Energy Commission for use in verifying the electricity generation by and procurement from the RPS-certified electrical generation facility(ies) for purposes of the RPS and in accordance with the Energy Commission's *Renewables Portfolio Standard Eligibility Guidebook*;
3) The electricity generated by the RPS-certified electrical generation facility(ies) as identified in Schedule 5 of this report has been sold once and only once by the entity that owns the RPS-certified electrical generation facility(ies);
4) To the best of my knowledge, none of the electricity generated by the RPS-certified electrical generation facility(ies) and identified in Schedule 5 of this report, nor any of the Renewable Energy Certificates, as defined in the *Renewables Portfolio Standard Eligibility Guidebook*, associated with electricity generation have been or will be used, sold, retired, claimed, or represented as part of electricity generation more than once to satisfy RPS procurement requirements or voluntary contributions;
5) I have read the *Renewables Portfolio Standard Eligibility Guidebook* and understand the provisions, eligibility criteria, and requirements of the guidebook and my responsibilities under the guidebook, including my responsibilities to provide additional information for RPS verification purposes if requested by the Energy Commission; and
6) I declare under penalty of perjury that the information and data provided in this report, including the information and data provided in Schedule 5 of the report, is true and correct to the best of my knowledge.

Signed:_____ **Dated:**_____

Name of Officer or Agent: _____

Authorized Officer or Agent of Entity That Owns RPS-Certified Electrical Generation Facility(ies)	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
Entity That Owns RPS-Certified Electrical Generation Facility(ies)	
Entity Name:	
Street Address:	
City, State, Zip Code	

(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION
Report of Fuel Use for California RPS-Certified Electrical Generation Facilities Using Multiple Fuels

GENERAL INSTRUCTIONS

Please enter the name of the entity that owns all of the RPS-certified electrical generation facilities identified and reported on this form, and the calendar year covered by this report. For purposes of this form, the term "facility" means the RPS-certified electrical generation facility.

Entity Name	
Calendar Year Covered in this Report	

An RPS-certified electrical generation facility that uses nonrenewable fuels to generate electricity is required to complete Schedule 6 by providing the facility's total monthly generation amounts and monthly energy inputs, measured in BTUs, for each fuel used at the facility for the previous calendar year. This form may be used to provide fuel use data information for multiple generating units at the same RPS-certified electrical generation facility or multiple electric generating facilities, if owned by the same entity.

Energy Commission staff may request additional fuel use data be provided for any RPS-certified electrical generation facility. If requested, an authorized officer or agent of the RPS-certified electrical generation facility must complete and submit this form or additional information.

E-mail the completed file for this form to the address shown below. Then print the file, sign the attestation as appropriate, and mail the package to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.state.ca.us

Renewable Energy Office
Attn: Interim Tracking
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5512

This report is due on March 31st of each year for the previous calendar year.

(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION
Report of Fuel Use for
California RPS-Certified Electrical
Generation Facilities Using Multiple Fuels

Schedule 6 - Fuel Use Reporting Spreadsheet

INSTRUCTIONS: Enter the monthly generation amounts and monthly energy input, measured in BTUs, for each fuel used at the RPS-certified electrical generation facility for each month of the calendar year. When completing this form use one row to report the total monthly generation and monthly energy input of each fuel for the RPS-certified electrical generation facility. Please include any use of electricity from the grid as a fuel, converting MWhs to MMBtus using the following equation: Monthly MMBtu = 3.413*(Monthly MWh From Grid). If an RPS-certified electrical generation facility has multiple generation units, each with its own WREGIS ID, and the generation from each unit is disaggregated and reported using the WREGIS ID for each unit, provide the monthly generation and monthly energy input of each fuel used by each unit. Use a separate row to report the monthly generation and monthly energy input of each fuel used by each unit with its own WREGIS ID.

FOOTNOTES

1	RPS ID	Enter the California Energy Commission RPS Certification number for the RPS-certified electrical generation facility.
2	EIA Plant ID	Enter the Energy Information Administration identification number for the RPS-certified electrical generation facility, if available.
3	WREGIS ID	Enter the Western Renewable Energy Generation Information System Generating Unit Identification number for the RPS-certified electrical generation fa cility, if a WREGIS ID has been obtained for the facility. If an RPS-certified electrical generation facility has multiple generating units, each with its own WREGIS ID, and the generation from each unit is reported using the unit-specific WREGIS ID, report the monthly generation and monthly energy input of each fuel used by each unit on a separate row using the unit-specific WREGIS ID.
4	Facility Name	Enter the name of the RPS-certified electrical generation facility.
5	Year	Enter the vintage year in which the renewable electricity was generated by the RPS-certified electrical generation facility.
6	Month	Choose the month of the year in which the renewable electricity was generated by the RPS-certified electrical generation facility.
7	Monthly Generation MWh	Enter the total monthly generation amount from the RPS-certified electrical generation facility in MWh rounded to the nearest ten-thousandth (for example, 8.1234 MWh). If an RPS-certified electrical generation facility has multiple generating units, each with its own WREGIS ID, report the monthly generation and monthly energy input of each fuel used by each unit on a separate row using the unit-specific WREGIS ID as described in footnote 3.
8	Primary Fuel Type	Choose the type of primary fuel used from the drop-down options. If other, please specify.

9	Monthly Primary MMBtu	Enter the total monthly energy input, measured in MMBTU, of primary fuel used.
10	Secondary Fuel Type	Choose the type of secondary fuel used from the drop-down options. If other, please specify.
11	Monthly Secondary MMBtu	Enter the total monthly energy input, measured in MMBTU, of secondary fuel used.
12	Tertiary Fuel Type	Choose the type of tertiary fuel used from the drop-down options. If other, please specify.
13	Monthly Tertiary MMBtu	Enter the total monthly energy input, measured in MMBTU, of tertiary fuel used.
14	Quaternary Fuel Type	Choose the type of quaternary fuel used from the drop-down options. If other, please specify.
15	Monthly Quaternary MMBtu	Enter the total monthly energy input, measured in MMBTU, of quaternary fuel used.

Schedule 6: TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY

Report of Fuel Use to the California Energy Commission

FUEL USE BY RPS-CERTIFIED ELECTRICAL GENERATION FACILITY USING MULTIPLE FUELS

RPS ID[1]	EIA Plant ID[2]	WREGIS ID[3]	Facility Name[4]	Year[5]	Month[6]	Monthly Generation MWh[7]	Primary Fuel Type[8]	Monthly Primary MMBtu[9]	Secondary Fuel Type[10]	Monthly Secondary MMBtu[11]	Tertiary Fuel Type[12]	Monthly Tertiary MMBtu[13]	Quaternary Fuel Type[14]	Monthly Quaternary MMBtu[15]
					Choose One		Choose One		Choose One		Choose One		Choose One	
					Choose One		Choose One		Choose One		Choose One		Choose One	
					Choose One		Choose One		Choose One		Choose One		Choose One	
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(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION
Report of Fuel Use for California RPS-Certified Electrical Generation Facilities Using Multiple Fuels

I am an authorized officer or agent of the entity that owns the RPS-certified electrical generation facility(ies), as noted below, and hereby submit this report and attest to the following on behalf of said entity:

1) I am an authorized officer or agent of the entity that owns the RPS-certified electrical generation facility(ies), as noted below and for which this report was prepared, and have authority to submit this report on behalf of said entity;
2) The information and data provided in this report, including information provided in Schedule 6 of this report, is submitted to the California Energy Commission for use in verifying the electricity generation by and procurement from the RPS-certified electrical generation facility(ies) for purposes of the RPS and in accordance with the Energy Commission's *Renewables Portfolio Standard Eligibility Guidebook*;
3) The electricity generated by the RPS-certified electrical generation facility(ies) as identified in Schedule 6 of this report has been sold once and only once by the entity that owns the RPS-certified electrical generation facility(ies);
4) To the best of my knowledge, none of the electricity generated by the RPS-certified electrical generation facility(ies) as identified in Schedule 6 of this report, nor any of the Renewable Energy Certificates, as defined in the *Renewables Portfolio Standard Eligibility Guidebook*, associated with electricity generation have been or will be used, sold, retired, claimed, or represented as part of electricity generation more than once to satisfy RPS procurement requirements or voluntary contributions;
5) I have read the *Renewables Portfolio Standard Eligibility Guidebook* and understand the provisions, eligibility criteria, and requirements of the guidebook and my responsibilities under the guidebook, including my responsibilities to provide additional information for RPS verification purposes if requested by the Energy Commission; and
6) I declare under penalty of perjury that the information and data provided in this report, including the information provided in Schedule 6 of the report, is true and correct to the best of my knowledge.

Signed: _____ **Dated:** _____

Name of Officer or Agent: _____

Authorized Officer or Agent of Entity That Owns RPS-Certified Electrical Generation Facility(ies)	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
Entity That Owns RPS-Certified Electrical Generation Facility(ies)	
Entity Name:	
Stree Address:	
City, State, Zip Code	

(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION
Biomethane Use for
RPS-Certified Electrical Generation Facilities

GENERAL INSTRUCTIONS

Please enter the name of the entity that owns the RPS-certified electrical generation facility covered by this report, the name of the RPS-certified electrical generation facility, if different, the RPS certification number of the facility, the Energy Information Administration Plant ID of the facility, if available, and the calendar year covered by this report. For the purposes of this form, the term "facility" shall refer to the RPS-certified electrical generation facility and the term "source" shall refer to the biomethane fuel production facility.

Entity Name	
Facility Name	
RPS Certification Number	
EIA Plant ID	
Calendar Year Covered by This Report	

This form may be used to report information for only one RPS-certified electrical generation facility. If an entity owns multiple RPS-certified electrical generation facilities that use biomethane, the entity must report information for each facility using a separate form.

Complete Schedules 7, 8, 9, and 10 with all relevant information for the RPS-certified electrical generation facility. Energy Commission staff may request that additional information be provided for the RPS-certified electrical generation facility. If requested, an authorized officer or agent of the entity that owns the RPS-certified electrical generation facility must provide the additional information. E-mail the completed file to the address shown below. Then print the file, sign the attestation as appropriate, and mail the package to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.ca.gov

Renewable Energy Office
Attn: Interim Tracking
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5512

This report is due on March 31st of each year for the previous calendar year.

(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION
Biomethane Use for RPS-Certified Electrical Generation Facilities

Schedule 7 - Delivery Path Summary Spreadsheet

INSTRUCTIONS: Enter delivery path information for the biomethane used by the RPS-certified electrical generation facility covered by this report.

FOOTNOTES

1	Delivery Path	Each delivery path is composed of a series of pipeline segments. This field is used to indicate which path each segment is part of. If there is only one delivery path, enter "1" into this field for each segment. Number the paths sequentially. (e.g. One delivery path was used for January to April and was composed of 4 segments. Another delivery path was used from May to December and was composed of 5 segments. In this case, this field would be "1" for the first four rows and "2" for the next five rows.)
2	Segment	Each delivery path is composed of a series of pipeline segments. List and number these segments in order from the injection point of the biomethane at the source to the final delivery at the generator.
3	Delivery Path Is Valid From - Start Date & End Date	Enter the date that this delivery path started being used and the date that it stopped being used.
4	POR Entity	Enter the name of the entity that holds ownership of the gas at the point of receipt (POR).
5	Pipeline Name	Enter the name of the pipeline that this segment of the delivery path is covered by.
6	POD Entity	Enter the name of the entity that holds ownership of the gas at the point of delivery

Schedule 8 - Transport Contract Summary Spreadsheet

INSTRUCTIONS: Enter the required information for the delivery contracts used by the generator covered by this report. Only include data for one facility on each report.

FOOTNOTES

1	POR Entity	Enter the name of the entity that holds ownership of the gas at the point of receipt (POR).
2	POR Name	Enter the name of the POR, the point where the gas enters the pipeline.
3	POR Meter Number	Enter the number or ID of the pipeline meter at the POR. This is used to identify the POR on pipeline nomination reports and other documents.
4	Pipeline Name	Enter the name of the pipeline that this segment of the delivery path is covered by.
5	POD Name	Enter the name of the point of delivery (POD), the point where the gas exits the pipeline, either into another pipeline, storage, or at the RPS-certified electrical generation facility.
6	POD Meter Number	Enter the number or ID of the pipeline meter at the POD. This is used to identify the POD on pipeline nomination reports and other documents.
7	POD Entity	Enter the name of the entity that holds ownership of the gas at the POD.
8	Contract Number	Enter the contract number for the transport contract that covers this segment of the delivery path.
9	Contract Effective Date	Enter the date the transport contract became effective. If the contract is renewed monthly, and there has been no change of terms, provide the earliest date.

10	Contract Expiration Date	Enter the date the transport contract will expire. If the contract is renewed monthly, and there has been no change of terms, provide the most recent expiration date.
11	TMDQ MMBtu	Enter the maximum daily quantity that can be transported through the pipeline according to this contract. If the contract does not specify a maximum daily quantity, enter "N/A".

Schedule 9 - Fuel Use Summary Spreadsheet

INSTRUCTIONS: Enter the monthly fuel invoice, injection meter, and total fuel use quantities in MMBtus and the monthly total generation of the RPS-certified electrical generation facility.

FOOTNOTES

1	WREGIS ID	Enter the Western Renewable Energy Generation Information System Generating Unit (WREGIS) Identification number for the RPS-certified electrical generation facility, if WREGIS has assigned a WREGIS ID. If a facility has multiple generating units, each with its own WREGIS ID, and the generation from each unit is reported using the unit-specific WREGIS ID, report the monthly generation for each unit using the unit-specific WREGIS ID.
2	Source Name	Enter the name of the biomethane production facility or plant.
3	Year	Enter the calendar year covered by this report.
4	Month	Choose the month of the year for which the information is reported.
5	Monthly Generation (MWh)	Enter the total monthly generation amount in MWh for the RPS-certified electrical generation facility. If a facility has multiple generating units, and generation from each unit is reported using the unit-specific WREGIS ID, specify the monthly generation for each unit on a separate row using the unit-specific WREGIS ID number.
6	Invoiced MMBtu	Enter the monthly invoice totals for biomethane purchases. For facilities with multiple generating units, each with separate WREGIS ID numbers, enter the monthly amount for the entire facility.
7	Injected MMBtu	Enter the monthly amount of biomethane injected into the pipeline system by the biomethane source according to the pipeline meter data. For facilities with multiple generating units, each with separate WREGIS ID numbers, enter the monthly amount for the entire facility.
8	Delivered MMBtu	Enter the final amount of biomethane delivered to the generator. For facilities with multiple generating units, each with separate WREGIS ID numbers, enter the monthly amount for the entire facility.
9	Total Fuel Use MMBtu	Enter the total amount of fuel used at the RPS-certified electrical generation facility according to the pipeline meter at the facility. If a facility has multiple generating units, each with its own WREGIS ID number, and generation from each unit is reported using the unit-specific WREGIS ID, specify the amount of fuel used by each unit.

Schedule 10 - Fuel Delivery Summary Spreadsheet

INSTRUCTIONS: Enter the monthly receipt and delivery quantities of gas in MMBtus for each pipeline segment and month.

FOOTNOTES

1	Source Name	Enter the name of the biomethane production facility or plant.
2	Pipeline Name	Enter the name of the pipeline that this segment of the delivery path is covered by.
3	Year	Enter the calendar year covered by this report.
4	Month	Choose the month of the year for which the information is reported.
5	Received MMBtu	Enter the monthly amount of biomethane received into the pipeline from the biomethane source that is nominated to the electricity generating facility according to the pipeline nomination reports.
6	Delivered MMBtu	Enter the monthly amount of biomethane delivered by the pipeline into another pipeline, gas carrier, or to the RPS-certified electrical generation facility.

Schedule 7: TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY

Delivery Path Summary Spreadsheet

Pipeline Delivery Paths

Delivery Path[1]	Segment[2]	Delivery Path Is Valid From…[3]		POR Entity[4]	Pipeline Name[5]	POD Entity[6]
		Start Date	End Date			

Schedule 8: TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY

Transport Contract Summary Spreadsheet

Pipeline Transport Contracts

POR Entity[1]	POR Name[2]	POR Meter Number[3]	Pipeline Name[4]	POD Name[5]	POD Meter Number[6]	POD Entity[7]	Contract Number[8]	Contract Effective Date[9]	Contract Expiration Date[10]	TMDQ MMBtu[11]

Schedule 9: TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY

Fuel Use Summary Spreadsheet

BIOMETHANE USE BY RPS-CERTIFIED ELECTRICAL GENERATION FACILITY

WREGIS ID[1]	Source Name[2]	Year[3]	Month[4]	Monthly Net Generation (MWh)[5]	Invoiced MMBtu[6]	Injected MMBtu[7]	Delivered MMBtu[8]	Total Fuel Use MMBtu[9]
			Choose One					
			Choose One					
			Choose One					
			Choose One					
			Choose One					
			Choose One					
			Choose One					
			Choose One					
			Choose One					
			Choose One					
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			Choose One					
			Choose One					

Schedule 10: TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY

Fuel Delivery Summary

BIOMETHANE USE BY RPS-CERTIFIED ELECTRICAL GENERATION FACILITY

Source Name[1]	Pipeline Name[2]	Year[3]	Month[4]	Received MMBtu[5]	Delivered MMBtu[6]
			Choose One		
			Choose One		
			Choose One		

(TO BE COMPLETED BY AN OFFICER OR AGENT OF THE FACILITY)
REPORT to the CALIFORNIA ENERGY COMMISSION
Biomethane Use for RPS-Certified Electrical Generation Facilities

I am an authorized officer or agent of the entity that owns the RPS-certified electrical generation facility, as noted below, and hereby submit this report and attest to the following on behalf of said entity:

1) I am an authorized officer or agent of the entity that owns the RPS-certified electrical generation facility, as noted below and for which this report was prepared, and have authority to submit this report on behalf of said company;
2) The information and data provided in this report is submitted to the California Energy Commission for use in verifying the quantities of biomethane used by the RPS-certified electrical generation facility noted below, the corresponding amount of electricity generated by the RPS-certified electrical generation facility, and the delivery path(s) used to deliver the biomethane to the RPS-certified electrical generation facility, for purposes of the RPS and in accordance with the Energy Commission's *Renewables Portfolio Standard Eligibility Guidebook*;
3) The RPS-certified electrical generation facility for which this report was prepared is the final and sole owner of all biomethane fuel identified in this report;
4) The biomethane fuel identified in this report and its delivery to the RPS-certified electrical generation facility satisfies all the requirements for biomethane as described in the *Renewables Portfolio Standard Eligibility Guidebook*;
5) To the best of my knowledge, none of the electricity generated by the RPS-certified electrical generation facility as identified in this report, nor any of the renewable energy certificates, as defined in the *Renewables Portfolio Standard Eligibility Guidebook,* associated with electricity generation, has been or will be used, sold, retired, claimed, or represented as part of electricity generation more than once to satisfy RPS procurement requirements or voluntary contributions;
6) I have read the *Renewables Portfolio Standard Eligibility Guidebook* and understand the provisions, eligibility criteria, and requirements of the guidebook and my responsibilities under the guidebook, including my responsibilities to provide additional information for RPS verification purposes, if requested by the Energy Commission.
7) I declare under penalty of perjury that the information and data provided in this report is true and correct to the best of my knowledge.

Signed: _____ **Dated:** _____

Name of Officer or Agent: _____

Title of Officer of Agent: _____

Authorized Officer or Agent of Entity That Owns RPS-Certified Electrical Generation Facility	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
Entity That Owns RPS-Certified Electrical Generation Facility	
Entity Name:	
Street Address:	
City, State, Zip Code:	

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) COMPLIANCE REPORT to the CALIFORNIA ENERGY COMMISSION ON THE RENEWABLES PORTFOLIO STANDARD PROGRAM

Enter the name of the Local Publicly Owned Electric Utility (POU) submitting this report and the Reporting Year(s) covered by the report. POUs that meet the criteria in subsections 3204 (a)(8) or 3204 (a)(9) of the *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* should not complete this form.

POU	
Reporting Year(s) Covered in Report	

Reporting for the Renewables Portfolio Standard Program (RPS), by tab:

Static Contract Information: For reports submitted in 2013, complete with information from contracts and ownership agreements executed on or before December 31, 2012. For reports submitted in 2014 and thereafter, complete with information from contracts and ownership agreements executed in the previous calendar year.

Annual Report Accounting: Complete and update annually for previous and forecasted years.

Compliance Period Accounting: Complete at the end of each compliance period.

E-mail the electronic file of the completed report to the address shown below. Then print out the file, sign the attestation, and mail the report and any attachments to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.ca.gov
Renewable Energy Office
Attn: RPS Verification
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5555

This report is due on July 1st of each year for retirements made for the previous reporting year. The report for 2011 and 2012 data is due within 30 calendar days of the effective date of the regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* .

Energy Commission staff may request additional information from the POU to verify the generation and RPS procurement claims of electricity products reported in this report. If requested, an authorized officer or agent of the POU must submit additional information.

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) COMPLIANCE REPORT to the CALIFORNIA ENERGY COMMISSION ON THE RENEWABLES PORTFOLIO STANDARD PROGRAM

Static Contract Information Tab

Instructions - List all executed renewable energy contracts or ownership agreements. If the contract or ownership agreement is amended to change any of the information reported on the static contract information tab or the contracted RPS facilities information tab, complete a new row for the amended contract. The information reported on this spreadsheet should be classified by expected portfolio content category. If you expect multiple categories of electricity products from a single contract or ownership agreement, please indicate "yes" under each expected category. Actual portfolio content category classification for electricity products will be verified by the Energy Commission after it has been reported using the Interim Tracking System and/or WREGIS Compliance Reports. If you need additional rows, highlight the bottom row for the appropriate category, right-click and select "Insert." Provide supporting documentation, such as a copy of the contract with confidential information redacted, documenting any data reported here.

FOOTNOTES

1	Contract ID	The Energy Commission will assign an automatically generated ID number to track each contract and ownership agreement. The contract ID number is generated using the POU name entered on the title page tab and the reporting year entered on the static contract info tab.
2	Reporting Year	Enter the calendar year in which contract information is first reported in this spreadsheet. For example, a contract that was executed in 2005 would first be reported for the 2011 reporting year, so "2011" would be entered in this field. A contract that was executed in 2012 would first be reported for the 2012 reporting year, so "2012" would be entered in this field.
3	Amendment to Previously Reported Contract?	Select "Yes" or "No" from the drop down list to indicate whether this contract was amended from a contract previously reported to the Energy Commission for the RPS. If the contract is being reported to the Energy Commission's RPS program for the first time, enrter "No."
4	Contract ID of Previously Reported Contract	If the contract has been amended from a contract previously reported to the Energy Commission's RPS program, enter the Contract ID (see footnote 1) of the previously reported contract. If the contract is new and/or being reported for the first time, leave blank.
5	Portfolio Content Category	Select "Yes" or "No" from the drop down list in each column to indicate whether you plan to classify electricity products from the contract in each category. A contract may have associated electricity products classified in more than one category.
6	Seller or Utility Owned	Indicate the wholesale seller of electricity products under the contract. If electrcity products are from a facility owned by the POU, state "Utility Owned." If purchased from a load-serving entity or third party, state the name of the load-serving entity or third party.

7	Contract Execution Date	Indicate the date the contract was originally executed as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011. If the facility is owned by the POU, indicate the date the ownership agreement was originally executed or when ownership began.
8	For pre-January 1, 2005, Does the Contract Specify the Ownership of the RECs?	Public Utilities Code Section 399.21, Subdivision (a)(4) states that RECs may not be created for electricity generated pursuant to any electricity purchase contract with a retail seller or POU executed before January 1, 2005, unless the contract contains explicit terms and conditions specifying the ownership or disposition of those RECs. The law requires procurement under those contracts to be tracked through WREGIS and counted toward the RPS procurement requirement of the retail seller or POU purchasing the electricity. Energy Commission staff must track facilities subject to this requirement to ensure that the RECs are not traded and/or claimed by other reporting entities. If there is a contract execution date before January 1, 2005, select "Yes" or "No" from the drop down list to indicate whether the contract contains explicit terms and conditions specifying the ownership or disposition of the RECs. For a contract that does not contain explicit terms and conditions specifying the ownership or disposition of the RECs, these RECs must be used for the RPS by the contracting POU.
9	Contract Start Date	Indicate the first date that electricity product(s) were or will be procured by the POU as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011. If the facility is owned by the POU, enter the date that electricity product(s) were or will be procured by the POU.
10	Contract End Date	State the final procurement date of the electricity product(s) being procured under the contract/agreement as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011.
11	Type of Ownership or Contract Arrangement	Select one of the following from the drop down list: - Full electrical output - Full electrical output during contract - Percent share of electrical output during contract - Fixed amount of facility's electrical output during contract - Incremental generation - full amount of facility's electrical output - Incremental generation - partial amount of facility's electrical output - Other Provide comments in "Notes" column, as needed, to explain contracting, ownership or other facilitiy arrangements.
12	Contract Amount of Annual Total Generation Procured/ Contract Percentage of Annual Total Generation Procured	Complete only one of these columns per contract. Enter the annual amount or percentage of total generation procured under the current contract/agreement (if amount, enter in MWh, rounded to the nearest ten-thousandth - for example, 8.1234 MWh). If fixed amount, enter total contractual fixed amount (annually if applicable) and provide additional explanations in the notes section as necessary. Explain in "Notes" section if volume or percent amount changes annually and provide annual specific amounts per calendar year or total amount contracted for over multiple years – list the years. If the amount is a percent share of the output, indicate the percent share and explain in detail in the "Notes" field.

13	Contract Termination Date, if Applicable	If the contract is terminated before the contract end date, enter the termination date as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011. If contract has not been terminated before the end date, leave blank.
14	Bundled purchase by POU?	Select "Yes" or "No" from the drop down list.
15	Scheduling Coordinator	If applicable, indicate the scheduling coordinator as detailed within the scheduling agreement or procurement contract. If more than one party is designated as a schedule coordinator, please list the primary scheduling coordinator first and add additional scheduling coordinators separated by a comma. If there is no scheduling coordinator, enter N/A.
16	Resale Agreement	Select "Yes" or "No" from the drop down list to indicate if contract is a resale agreement.
17	PCC 1 Initial Qualification	Select one of the following from the drop down list and provide supporting documentation with confidential information redacted. Energy Commission is working to obtain interconnection information for RPS-Certified facilities, but until this information is available, POUs must provide it when making PCC 1 claims. "Interconnected to CBA" refers to a facility that has its first point of interconnection within the metered boundaries of a California Balancing Authority (CBA) Area. "Interconnected to Distribution System" refers to a facility that has its first point of interconnection to an electricity distribution system used to serve end users within the metered boundaries of a California Balancing Authority Area. "Scheduled into CBA" refers to electricity products from a facility that is not directly connected to a CBA and that has generation scheduled on an hourly or subhourly basis into a CBA without substituting electricity from another source. "Dynamic Transfer into CBA" refers to electricity products subject to an agreement between a CBA and the Balancing Authority in which the facility is located to dynamically transfer electricity from the facility into the CBA Area.
18	Incremental to POU	If contract includes PCC 2 Incremental, contract/agreement execution date must be on or after contract date for the associated renewable energy. Select "Yes" or "No" from the drop down list to indicate whether the contract for substitute energy was executed on or after the contract/agreement execution date for the associated renewable energy. If the contract does not include PCC 2 incremental, select "N/A."
19	Notes	Include any additional information about the contract, including information on any amendments to the contract. If a contract has been submitted to RPS Energy Commission staff, indicate that the contract has already been submitted. You are not requried to submit the contract again. Provide other helpful notes as appropriate.

Contracted RPS Facilities Information Tab

Instructions - List all applicable facility information for the corresponding contracts listed in the Static Contract Info tab. Note - a new row must be completed for each RPS ID number and WREGIS ID number under a contract. Only one RPS ID number and WREGIS ID number may be entered per row.

FOOTNOTES

1	Contract ID	Select the appropriate contract ID number from the drop down list of numbers generated in the Static Contract Information tab.
2	RPS ID	If more than one RPS ID number is associated with the RPS-certified facility under contract, complete one row per RPS ID number.
3	Facility Name	If electricity products will be purchased from one facility, indicate the name of the facility. If electricity products will be purchased from a portfolio of assets, list all the facilities included in the asset. If the facilities included in the asset are unknown, indicate unknown.
4	WREGIS ID	If more than one WREGIS ID number is associated with the RPS-certified facility under contract, complete one row per WREGIS ID number.
5	County	Indicate the county where the facility is located. If the facility is located outside of the United States, or if incremental electricity is provided from system power purchases, enter N/A.
6	State	Indicate the state where the facility is located. If the facility is located outside of the United States, please enter the country where the facility is located. If incremental electricity is provided from system power purchases indicate "system power purchases."
7	Facility Eligibility Date	Indicate the RPS-eligibility date for the facility, as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011, as indicated on the RPS eligibility certificate issued by the Energy Commission. If this is yet to be determined, indicate TBD. The eligibility date, or beginning on date, is the date upon which the Energy Commission deems the first application for a facility received. Generation is typically eligible beginning with the month containing this beginning on date. See Section IV B 3: Eligibility Date, of the *RPS Eligibility Guidebook, Seventh Edition*, for additional information.
8	Facility Online Date	Enter the commercial online date for the facility as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011.
9	Renewable Technology On-line Date	Enter the date when the facility came online using a renewable fuel or technology, if different from the commercial online date, as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011.
10	Facility Source Name - as registered with webRegistry	For facilities not directly connected to a CBA that will be scheduling into a CBA to classify electricity products as PCC 1, enter the facility's source name, as registered with OATI's webRegistry. For all other facilities, enter N/A.
11	Notes	Include any additional information about the facility, as needed.

Annual RPS Report Accounting Tab

Instructions - POUs that meet the criteria of Public Utilities Code section 399.30 (j) **DO NOT** complete this tab. The Annual Report Accounting tab should be completed every year to show the actual retail sales and RPS procurement retired for the reporting year(s). Forecasted data should be replaced with actual data as necessary, and forecasts may be updated to reflect new information. When forecasted data is replaced with actual data, please ensure that the column heading colors are updated to reflect the changes. Cells in white will automatically populate and do not require POU input. Cells under dark blue column headers contain forecasted data.

FOOTNOTES

1	Pre-June 1, 2010 Category 1 RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the compliance period that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (a) of the regulations.
2	Pre-June 1, 2010 Category 2 RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the compliance period that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (b) of the regulations.
3	Pre-June 1, 2010 Category 3 RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the compliance period that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (c) of the regulations.

RPS Compliance Period Accounting Tab

Instructions - POUs that meet the criteria of Public Utilities Code section 399.30 (j) **DO NOT** complete this tab. The Compliance Period Accounting tab should be completed at the end of each compliance period to show optional compliance measures, historic carryover and excess procurement applied toward the RPS procurement requirements for the compliance period, as well as excess procurement accumulated during the compliance period. POUs must also indicate how many MWh in each category will be applied toward the RPS procurement target for the compliance period. Cells in white will automatically populate and do not require POU input.

FOOTNOTES

1	Historic Carryover Applied	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of verified historic carryover to be applied toward RPS procurement requirements for the compliance period. If historic carryover has not been verified at the time of reporting, enter the number of MWh of estimated historic carryover for the compliance period.
2	Applied to Target	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), from each listed category to be applied to the RPS procurement target, for the purposes of calculating the portfolio balance requirements and excess procurement. Portfolio Content Category 3 electricity products cannot be counted as excess procurement, so all Category 3 RECs up to the Category 3 balance limitation must be entered in this column.
3	Pre-June 1, 2010 Category 1 RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the compliance period that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (a) of the regulations.
4	Pre-June 1, 2010 Category 2 RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the compliance period that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (b) of the regulations.
5	Pre-June 1, 2010 Category 3 RECs Retired	This row shows the application of RECs retired to meet the RPS procurement requirements for the compliance period that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (c) of the regulations. Category 3 cannot be counted as excess procurement, so all pre-June 1, 2010, Category 3 RECs must be applied to the target.
6	Total Historic Carryover	Enter the total number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of historic carryover verified by the Energy Commission. If historic carryover has not been verified at the time of reporting, enter the number of MWh of estimated historic carryover.
7	Excess Procurement Calculation	Allocate the Excess RECs Eligible among the applicable categories. The number of MWhs allocated to each category may not exceed the "potential excess" for that category shown in cells E34-E39.

8	Short-Term RECs	Enter the total number of MWh , rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired during the compliance period that meet the criteria of subsection 3202 (a)(1) or subsection 3202 (a)(3) of the regulations and that were procured from contracts of less than 10 years.

List of Narratives to be Attached

Instructions - Select "Yes" or "No" from the drop down list if the listed narrative will be included with the CEC-RPS-POU Compliance Report.

399.30 (j) POU Eligibility Tab

Instructions - Only POUs that meet the criteria of Public Utilities Code section 399.30 (j) should complete this tab. This tab is used to help demonstrate that the POU meets those criteria.

FOOTNOTES

1	Qualifying Hydroelectric Generation (MWh)	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of generation from a facility that meets the following criteria: 1. The facility is located within California; 2. The facility is owned and operated by the POU; 3. The facility is a hydroelectric facility but does not meet the definition of a renewable electrical generation facility and is not RPS certified based on the definition of a renewable electrical generation facility.
2	Electricity Demand (MWh)	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of electricity demand. Electricity demand is the consumption of electricity by all end-use customers and their tenants, including but not limited to the POU itself.

399.30 (j) POU Compliance Tab

Instructions - Only POUs that meet the criteria of Public Utilities Code section 399.30 (j) should complete this tab. The 399.30 (j) Compliance tab should be completed every year to show the actual electricity demand and qualifying hydroelectric generation for the reporting year(s). Forecasted data should be replaced with actual data as necessary, and forecasts may be updated to reflect new information. When forecasted data is replaced with actual data, ensure that the column heading colors are updated to reflect the changes. A POU must also indicate historic carryover and optional compliance measures applied, as well as calculate excess procurement for the compliance period, if applicable. Cells in white will automatically populate and do not require POU input. Cells under dark blue column headers contain forecasted data.

FOOTNOTES

1	Pre-June 1, 2010 Category 1 RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the reporting year that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (a) of the regulations.

2	Pre-June 1, 2010 Category 2 RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the reporting year that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (b) of the regulations.
3	Pre-June 1, 2010 Category 3 RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the reporting year that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (c) of the regulations.
4	Historic Carryover Applied	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of verified historic carryover to be applied toward RPS procurement requirements for the reporting year. If historic carryover has not been verified at the time of reporting, enter the number of MWh of estimated historic carryover for the reporting year.
5	Portfolio Balance Requirements, for the Calculation of Excess Procurement Only (MWh)	This determination of the portfolio balance requirements will be used only calculate excess procurement. A POU that meets the criteria of Public Utilities Code section 399.30 (j) is exempt from meeting the portfolio balance requirements.
6	Applied to Target	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), from each listed category to be applied to the RPS procurement target, for the purposes of calculating the excess procurement. Portfolio Content Category 3 electricity products cannot be counted as excess procurement, so all Category 3 RECs up to the Category 3 balance limitation must be entered in this column.
7	Pre-June 1, 2010 Category 3 RECs Retired	This row shows the application of RECs retired to meet the RPS procurement requirements for the reporting year that meet both the criteria in subsection 3202 (a)(3) of the regulations and the criteria in subsection 3203 (c) of the regulations. Category 3 cannot be counted as excess procurement, so all pre-June 1, 2010, Category 3 RECs must be applied to the target.
8	Excess Procurement Calculation	Allocate the Excess RECs Eligible among the applicable categories. The number of MWhs allocated to each category may not exceed the "potential excess" for that category shown in cells E34-E39.
9	Short-Term RECs	Enter the total number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired during the reporting year that meet the criteria of subsection 3202 (a)(1) or subsection 3202 (a)(3) of the regulations and that were procured from contracts of less than 10 years.
10	Total Historic Carryover	Enter the total number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of historic carryover verified by the Energy Commission. If historic carryover has not been verified at the time of reporting, enter the number of MWh of estimated historic carryover.

Contract ID[1]	Reporting Year[2]	Amendment to Previously Reported Contract?[3]	Contract ID of Previously Reported Contract[4]	Portfolio Content Category[5]					Seller or Utility Owned[6]	Contract Execution Date[7]
				0	1	2 - Ren	2 - Inc	3		

For pre-January 1, 2005, Does the Contract Specify the Ownership of the RECs?[8]	Contract Start Date[9]	Contract End Date[10]	Type of Ownership or Contract Arrangement[11]	Contract Amount of Annual Total Generation Procured (MWh)[12]	Contract Percentage of Annual Total Generation Procured[12]	Contract Termination Date[13]

Bundled purchase by POU?[14]	Scheduling Coordinator[15]	Resale Agreement?[16]	PCC 1 Initial Qualification[17]	Incremental to POU?[18]	Notes[19]

Contract ID[1]	RPS ID[2]	Facility Name[3]	WREGIS ID[4]	County[5]	State[6]	Facility Eligibility Date[7]	Facility Online Date[8]	Renewable Technology On-line Date[9]

Facility Source Name - as registered with webRegistry[10]	Notes[11]

Annual RPS Report: Accounting

	Input Required
	Actual Data
	Forecasted Data

	Compliance Period 1		
	Actual		**Forecasted**
Annual RPS Procurement and Percentages (MWh)	**2011**	**2012**	**2013**
Annual Retail Sales			
Annual RPS Procurement Retired	0.0000	0.0000	0.0000
Soft Targets	20.00%	20.00%	20.00%
Annual RPS Procurement Percentage	0.00%	0.00%	0.00%

	Compliance Period 1		
Procurement Target (MWh)	**2011**	**2012**	**2013**
Procurement Target	0.0000		
Category 0 RECs Retired			
Category 1 RECs Retired			
Pre-June 1, 2010 Category 1 RECs Retired[1]			
Category 2 RECs Retired			
Pre-June 1, 2010 Category 2 RECs Retired[2]			
Category 3 RECs Retired			
Pre-June 1, 2010 Category 3 RECs Retired[3]			
Soft Targets	20.00%	20.00%	20.00%
RECs Retired as Percentage of Retail Sales	0.00%	0.00%	0.00%
Forecasted Total RECs Retired (Compliance Period)	**0.0000**		

RPS Compliance Period Report: Accounting

To be completed at the end of each compliance period.

	Input Required
	Actual Data
	Forecasted Data

	Compliance Period 1		
	Actual		
Annual RPS Procurement and Percentages (MWh)	**2011**	**2012**	**2013**
Annual Retail Sales	0.0000	0.0000	0.0000
Annual RPS Procurement Retired	0.0000	0.0000	0.0000
Soft Targets	20.00%	20.00%	20.00%
Annual RPS Retirement Percentage	0.00%	0.00%	0.00%
Total RECs Procured (Compliance Period)	**0.0000**		

	Compliance Period 1		
Procurement Target (MWh)	**2011**	**2012**	**2013**
Procurement Target	**0.0000**		
Category 0 RECs Retired	0.0000	0.0000	0.0000
Category 1 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 1 RECs Retired	0.0000	0.0000	0.0000
Category 2 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 2 RECs Retired	0.0000	0.0000	0.0000
Category 3 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 3 RECs Retired	0.0000	0.0000	0.0000
Sum	**0.0000**		
Historic Carryover Applied[1]			
Total RECs Retired (Compliance Period)	**0.0000**		

	Compliance Period 1		
Portfolio Balance Requirements (MWh)	**Total Retired**	**Applied to Target[2]**	**Potential Excess**
Category 0 RECs Retired	0.0000	0.0000	0.0000
Historic Carryover Applied	0.0000	0.0000	0.0000
Category 1 RECs Retired*	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 1 RECs Retired	0.0000	0.0000	0.0000
Category 2 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 2 RECs Retired	0.0000	0.0000	0.0000
Category 3 RECs Retired**	0.0000	0.0000	n/a
Pre-June 1, 2010 Category 3 RECs Retired	0.0000	0.0000	n/a
Total RECs applied to the Target* **	**0.0000**		
Category 1 Balance Requirement	0.0000		
Category 3 Balance Limitation	0.0000		
Disallowed Category 3 RECs	0.0000		

*The Category 1 RECs applied to the target will be flagged if the number is less than the Category 1 Balance Requirement (line 43).

**The Category 3 RECs applied to the target will be flagged if the number is more than the Category 3 Balance Limitation (line 44).

***The sum of the total RECs applied to the Target will be flagged if it exceeds the Procurement Target (line 20)

Additional Procurement	**Starting Balance**	**Applied to Current Compliance Period**	**Accumulated in Current Compliance Period**	**Remaining Balance**
Total Excess Procurement	**0.0000**	**0.0000**	**0.0000**	**0.0000**
Excess Category 0 RECs	0.0000	0.0000	0.0000	0.0000
Excess Category 1 RECs	0.0000	0.0000	0.0000	0.0000
Excess Pre-June 1, 2010 Cat. 1 RECs	0.0000	0.0000	0.0000	0.0000
Excess Category 2 RECs	0.0000	0.0000	0.0000	0.0000
Excess Pre-June 1, 2010 Cat. 2 RECs	0.0000	0.0000	0.0000	0.0000
Total Historic Carryover[6]		0.0000	n/a	0.0000

	Compliance Period 1		
RPS Procurement Enforcement (MWh)	**2011**	**2012**	**2013**
Deficit of RECs Necessary to Meet Target	0.0000		
Deficit of RECs Necessary to Meet PCC 1 Portfolio Balance Requirement	0.0000		

	Compliance Period 1
Excess Procurement Calculation (MWh)[7]	
Total RECS retired, less disallowed PCC 3	0.0000
Procurement Target	0.0000
Potential Excess	0.0000
Short-Term RECs[8]	
Excess RECs Eligible	**0.0000**
Excess Category 0 RECs	
Excess Category 1 RECs	
Excess Pre-June 1, 2010 Category 1 RECs	
Excess Category 2 RECs	
Excess Pre-June 1, 2010 Category 2 RECs	

Other Optional Compliance	**Yes/No**
Cost Limitations	
Delay of Timely Compliance	
Reduction of PCC 1	

List of Narratives to be Attached

Frequency	Narrative*	Attached to 2011 Report (Y/N)	Attached to 2012 Report (Y/N)	Attached to 2013 Report (Y/N)
Annual	Public goods funds collected; description of programs, expenditures, and expected or actual results.(Section 3207(c)(2)(G))			
Annual	Explanation of any potential delay of timely compliance events. (Section 3207(c)(2)(H))			
Annual	Explanation of actions taken or planned to minimize impacts of delay. (Section 3207(c)(2)(H))			
Annual	Demonstration of Reasonable Progress for actions taken. (Section 3207(c)(3))			
Annual	Demonstration of Reasonable Progress for actions planned. (Section 3207(c)(4))			
As needed	Documentation justifying application of adopted optional compliance measures			
As needed	Documentation providing applied cost limitation in dollars expended during the compliance period, estimated total cost to meet RPS procurement requirements in dollars expended during the compliance period, and POU actions taken in response to meeting or exceeding the cost limitation. (Section 3207(d)(6)(A))			

*Note. If the narrative information was previously provided to the Energy Commission in an existing report, the POU may reference the narrative information by identifying the name, submittal date, and page number of the existing report, and including a copy of each page of the report that is referenced.

POU Eligibility for Section 399.30(j)

Use this form is to determine the eligibility of a POU for the alternative compliance obligation of Public Utilities Code section 399.30(j).

This form is due October 31, 2013, for eligibility for Compliance Period 1 (2011-2013) and 90 calendar days after the end of the previous compliance period to determine eligibility for each subsequent compliance period.

Does the POU provide electric services to a local government that is both a city and county of California?	

For each of the seven calendar years immediately preceding the first calendar year of the compliance period, provide the following information:

	Qualifying Hydroelectric Generation (MWh)[1]	Electricity Demand (MWh)[2]
2004		
2005		
2006		
2007		
2008		
2009		
2010		
TOTAL	0.0000	0.0000
Average	0.00%	

RPS Annual Compliance Report for POUs meeting the criteria of Public Utilities Code section 399.30 (j)

To be completed annually.

	Input Required
	Actual Data
	Forecasted Data

Annual RPS Procurement Target (MWh)	2011	2012	2013
Current Year Total Electricity Demand	0.0000	0.0000	0.0000
Current Year Qualifying Hydroelectric Generation	0.0000	0.0000	0.0000
Electricity Demand Not Met by Hydroelectric	0.0000	0.0000	0.0000
Soft Target	20.00%	20.00%	20.00%
Annual RPS Procurement Target	**0.0000**	**0.0000**	**0.0000**

RECs Retired (MWh)	2011	2012	2013
Category 0 RECs Retired	0.0000	0.0000	0.0000
Category 1 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 1 RECs Retired[1]	0.0000	0.0000	0.0000
Category 2 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 2 RECs Retired[2]	0.0000	0.0000	0.0000
Category 3 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 3 RECs Retired[3]	0.0000	0.0000	0.0000
Historic Carryover Applied[4]			
Total RECs Retired (Compliance Period)	**0.0000**	**0.0000**	**0.0000**
Procurement Target	**0.0000**	**0.0000**	**0.0000**

RPS Procurement Enforcement (MWh)	2011	2012	2013
Deficit of RECs Necessary to Meet Target	0.0000	0.0000	0.0000

Other Optional Compliance Measures Applied	Yes/No
Cost Limitations	
Delay of Timely Compliance	

	2011		
Portfolio Balance Requirements, for the calculation of Excess Procurement only (MWh)[5]	**Total Retired**	**Applied to Target[6]**	**Potential Excess**
Category 0 RECs Retired	0.0000	0.0000	0.0000
Historic Carryover Applied	0.0000	0.0000	0.0000
Category 1 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 1 RECs Retired	0.0000	0.0000	0.0000
Category 2 RECs Retired	0.0000	0.0000	0.0000
Pre-June 1, 2010 Category 2 RECs Retired	0.0000	0.0000	0.0000
Category 3 RECs Retired*	0.0000	0.0000	n/a
Pre-June 1, 2010 Category 3 RECs Retired[7]	0.0000	0.0000	n/a
Total RECs applied to the Target**	**0.0000**		
Category 3 Balance Limitation	0.0000		
Disallowed Category 3 RECs	0.0000		

*The Category 3 RECs applied to the target will be flagged if the number is more than the Category 3 Balance Limitation (line 46).
**The sum of the total RECs applied to the target will be flagged if they exceed the Procurement Target (line 13).

	2011	2012	2013
Excess Procurement Calculation (MWh)[8]			
Total RECS retired, less disallowed PCC 3	0.0000	0.0000	0.0000
Procurement Target	0.0000	0.0000	0.0000
Potential Excess	0.0000	0.0000	0.0000
Short-Term RECs[9]			
Excess RECs Eligible	**0.0000**	**0.0000**	**0.0000**
Excess Category 0 RECs			
Excess Category 1 RECs			
Excess Pre-June 1, 2010 Category 1 RECs			
Excess Category 2 RECs			
Excess Pre-June 1, 2010 Category 2 RECs			

Additional Procurement	Starting Balance	Applied to Current Compliance Period	Accumulated in Current Compliance Period
Total Excess Procurement	**0.0000**	**0.0000**	**0.0000**
Excess Category 0 RECs	0.0000	0.0000	0.0000
Excess Category 1 RECs	0.0000	0.0000	0.0000
Excess Pre-June 1, 2010 Category 1 RECs	0.0000	0.0000	0.0000
Excess Category 2 RECs	0.0000	0.0000	0.0000
Excess Pre-June 1, 2010 Category 2 RECs	0.0000	0.0000	0.0000
Total Historic Carryover[10]		0.0000	n/a

2012			2013	
Total Retired	**Applied to Target[6]**	**Potential Excess**	**Total Retired**	**Applied to Target[6]**
0.0000	0.0000	0.0000	0.0000	0.0000
0.0000	0.0000	0.0000	0.0000	0.0000
0.0000	0.0000	0.0000	0.0000	0.0000
0.0000	0.0000	0.0000	0.0000	0.0000
0.0000	0.0000	0.0000	0.0000	0.0000
0.0000	0.0000	0.0000	0.0000	0.0000
0.0000	0.0000	n/a	0.0000	0.0000
0.0000	0.0000	n/a	0.0000	0.0000
	0.0000			**0.0000**
	0.0000			0.0000
	0.0000			0.0000

Remaining Balance
0.0000
0.0000
0.0000
0.0000
0.0000
0.0000
0.0000

Potential Excess
0.0000
0.0000
0.0000
0.0000
0.0000
0.0000
n/a
n/a

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) COMPLIANCE REPORT to the CALIFORNIA ENERGY COMMISSION ON THE RENEWABLES PORTFOLIO STANDARD PROGRAM ATTESTATION FORM

I am an authorized officer or agent of the local publicly owned electric utility (POU), as noted below, and hereby submit this report and attest to the following on behalf of the POU:

1) I am an authorized officer or agent of the POU for which this report was prepared, and have authority to submit this report on behalf of the POU;
2) The information and data provided in this report, including information provided in any supporting documents submitted with the report, are submitted to the California Energy Commission in accordance with the *Renewables Portfolio Standard Eligibility Guidebook* for use in verifying the POU's procurement claims of electricity products from RPS-certified electrical generation facilities for purposes of the Renewables Portfolio Standard (RPS) *;*
3) To the best of my knowledge, none of the electricity generation for procurement claims identified in this report, nor any of the Renewable Energy Certificates, as defined in the *Renewables Portfolio Standard Eligibility Guidebook*, Seventh Edition, associated with the electricity generation for such claims, have been or will be used more than once to satisfy RPS procurement requirements or requirements of other renewable energy regulatory or market programs;
4) I have read the *Renewables Portfolio Standard Eligibility Guidebook* and understand the provisions, eligibility criteria, and requirements of the guidebook, including my responsibilities under the guidebook to provide additional information for RPS verification purposes if requested by the Energy Commission; and
5) I declare under penalty of perjury that the information and data provided in this report, including information provided in any supporting documents submitted with the report and listed below, are true and correct to the best of my knowledge.

Signed: _____ Dated: _____

List of Supporting Documents, if Any:_____

Authorized Officer or Agent of POU Signing Attestation	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
POU	
Entity Name:	
Street Address:	
City, State, Zip Code	
Year POU Established	
No. of CA End-Use Retail Customer Accts.	

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) COMPLIANCE REPORT TO THE CALIFORNIA ENERGY COMMISSION ON THE RENEWABLES PORTFOLIO STANDARD PROGRAM FOR POUs THAT MEET THE CRITERIA OF SECTION 3204 (a)(8) OR SECTION 3204 (a)(9)

Enter the name of the Local Publicly Owned Electric Utility (POU) submitting this report and the Reporting Year(s) covered by the report. POUs that meet the criteria in subsections 3204 (a)(8) or 3204 (a)(9) of the *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* should not complete this form.

POU	
Reporting Year(s) Covered in Report	

Reporting for the Renewables Portfolio Standard Program (RPS), by tab:

Static Contract Information: For reports submitted in 2013, complete with information from contracts and ownership agreements executed on or before December 31, 2012. For reports submitted in 2014 and thereafter, complete with information from contracts and ownership agreements executed in the previous calendar year.

Annual Report Accounting: Complete and update annually for previous and forecasted years.

Compliance Period Accounting: Complete at the end of each compliance period.

E-mail the electronic file of the completed report to the address shown below. Then print out the file, sign the attestation, and mail the report and any attachments to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.ca.gov
Renewable Energy Office
Attn: RPS Verification
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5555

This report is due on July 1st of each year for retirements made for the previous reporting year. The report for 2011 and 2012 data is due within 30 calendar days of the effective date of the regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* .

Energy Commission staff may request additional information from the POU to verify the generation and RPS procurement claims of electricity products reported in this report. If requested, an authorized officer or agent of the POU must submit additional information.

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) COMPLIANCE REPORT TO THE CALIFORNIA ENERGY COMMISSION ON THE RENEWABLES PORTFOLIO STANDARD PROGRAM FOR POUs THAT MEET THE CRITERIA OF SECTION 3204 (a)(8) OR SECTION 3204 (a)(9)

Static Contract Information Tab

Static contract information tab instructions - List all executed renewable energy contracts or ownership agreements. If the contract or ownership agreement is amended to change any of the information reported on the static contract information tab or the contracted RPS facilities information tab, complete a new row for the amended contract. The information reported on this spreadsheet should be classified by expected portfolio content category. If you expect multiple categories of electricity products from a single contract or ownership agreement, please indicate "yes" under each expected category. Actual portfolio content category classification for electricity products will be verified by the Energy Commission after it has been reported using the Interim Tracking System and/or WREGIS Compliance Reports. If you need additional rows, highlight the bottom row for the appropriate category, right-click and select "Insert." Provide supporting documentation, such as a copy of the contract with confidential information redacted, documenting any data reported here.

FOOTNOTES

1	Contract ID	This is an automatically generated ID number that will be used by Energy Commission staff to track each contract and ownership agreement. The contract ID number is generated using the POU name entered on the title page tab and the reporting year entered on the static contract info tab.
2	Reporting Year	Enter the calendar year in which contract information is first reported in this spreadsheet. For example, a contract that was executed in 2005 would first be reported for the 2011 reporting year, so "2011" would be entered in this field. A contract that was executed in 2012 would first be reported for the 2012 reporting year, so "2012" would be entered in this field.
3	Amendment to Previously Reported Contract?	Answer "yes" or "no" to indicate whether this contract was amended from a contract previously reported to the Energy Commission for the RPS. If the contract is being reported to the Energy Commission's RPS program for the first time, indicate "no."
4	Contract ID of Previously Reported Contract	If the contract has been amended from a contract previously reported to the Energy Commission's RPS program, enter the Contract ID (see footnote 1) of the previously reported contract. If the contract is new and/or being reported for the first time, leave blank.

5	Portfolio Content Category	POUs that meet the criteria of subsection 3204 (a)(8) or 3204 (a)(9) of the regulations are exempt from the portfolio balance requirements and are not required to classify their retired RECs in PCC 1, 2, or 3. Therefore, these POUs should select "yes" only for PCC 0.
6	Seller or Utility Owned	Indicate the wholesale seller of electricity products under the contract. If electrcity products are from a facility owned by the POU, state "utility owned." If purchased from a load-serving entity or third party, state the name of the load-serving entity or third party.
7	Contract Execution Date	Indicate the date the contract was originally executed. If the facility is owned by the POU, indicate the date the ownership agreement was originally executed or when ownership began.
8	For pre-January 1, 2005, Does the Contract Specify the Ownership of the RECs?	Public Utilities Code Section 399.21, Subdivision (a)(4) states that RECs may not be created for electricity generated pursuant to any electricity purchase contract with a retail seller or POU executed before January 1, 2005, unless the contract contains explicit terms and conditions specifying the ownership or disposition of those RECs. The law requires procurement under those contracts to be tracked through WREGIS and counted toward the RPS procurement requirement of the retail seller or POU purchasing the electricity. Energy Commission staff must track facilities falling under this requirement to ensure that the RECs are not traded and/or claimed by other reporting entities. If there is a contract execution date before January 1, 2005, choose yes or no to indicate if the contract contains explicit terms and conditions specifying the ownership or dispositions on the RECs. For a contract that does not contain explicit terms and conditions specifying the ownership or disposition of the RECs, these RECs must be used for the RPS by the contracting POU.
9	Contract Start Date	Indicate the first date that electricity products were or will be procured by the POU. If the facility is owned by the POU, enter the date that electricity products were or will be procured by the POU.

10	Contract End Date	State the final procurement date of the product(s) being procured under the contract/agreement. If the date is unknown, enter "unknown."
11	Type of Ownership or Contract Arrangement	•Full electrical output •Full electrical output during contract •Percent share of electrical output during contract •Fixed amount of facility's electrical output during contract •Incremental generation - full amount of facility's electrical output •Incremental generation - partial amount of facility's electrical output •Other Select one of the above options from the drop-down list. Provide comments in "Notes" column, as needed, to explain contracting, ownership or other facilitiy arrangements.
12	Contract Amount of Annual Total Generation Procured/ Contract Percentage of Annual Total Generation Procured	Complete only one of these columns per contract. Enter the annual amount or percentage of total generation procured under the current contract/agreement (if amount, enter in MWh, rounded to the nearest ten-thousandth -- for example, 8.1234 MWh). If fixed amount, enter total contractual fixed amount (annually if applicable) and provide additional explanations in the notes section as necessary. Explain in "Notes" column if volume or percent amount changes annually and provide annual specific amounts per calendar year or total amount contracted for over multiple years – list out the years. If the amount is a percent share of the output, indicate the percent share and explain in detail in the "Notes" column.
13	Contract Termination Date, if Applicable	If the contract is terminated before the contract end date, please enter the termination date. If contract has not been terminated before the end date, leave blank.
14	Scheduling Coordinator	If applicable, indicate the scheduling coordinator as detailed within the scheduling agreement or procurement contract. If more than one party is designated as a schedule coordinator, please list the primary scheduling coordinator first and add additional scheduling coordinators separated by a comma. If there is no scheduling coordinator, enter N/A.

15	Resale Agreement?	Choose "yes" or "no" to indicate if contract is a resale agreement.
16	PCC 1 Initial Qualification	Indicate one of the following and provide supporting documentation with confidential information redacted. Energy Commission is working to obtain interconnection information for RPS-Certified facilities, but until this information is available, POUs must provide it when making PCC 1 claims. "Interconnected to CBA" refers to a facility that has its first point of interconnection within the metered boundaries of a California Balancing Authority (CBA) Area. "Interconnected to Distribution System" refers to a facility that has its first point of interconnection to an electricity distribution system used to serve end users within the metered boundaries of a California Balancing Authority Area. "Scheduled into CBA" refers to electricity products from a facility that is not directly connected to a CBA and that has generation scheduled on an hourly or subhourly basis into a CBA without substituting electricity from another source. "Dynamic Transfer into CBA" refers to electricity products subject to an agreement between a CBA and the Balancing Authority in which the facility is located to dynamically transfer electricity from the facility into the CBA Area.
17	Incremental to POU?	If contract includes PCC 2 Incremental, contract/agreement execution date must be on or after contract date for the associated renewable energy. Choose yes or no to indicate whether the contract for substitute energy was executed on or after the contract/agreement execution date for the associated renewable energy. If the contract does not include PCC 2 incremental, select "N/A."
18	Notes	Include any additional information about the contract, including information on any amendments to the contract. If a contract has been submitted to Energy Commission staff, indicate that the contract has already been submitted. You are not requried to submit the contract again. Provide other helpful notes as appropriate.

Contracted RPS Facilities Information Tab

Static contract information tab instructions - List all applicable facility information for the corresponding contracts listed in the Static Contract Info tab. Note - a new row must be completed for each RPS ID number and WREGIS ID number under a contract. Only one RPS ID number and WREGIS ID number may be entered per row.

Contracted RPS Facilities Information Tab Footnotes		
1	Contract ID	Select the appropriate contract ID number from the list of numbers generated in the Static Contract Information tab.
2	RPS ID	If more than one RPS ID number is associated with the RPS-certified facility under contract, complete one row per RPS ID number.
3	Facility Name	If electricity products will be purchased from one facility, indicate the name of the facility. If electricity products will be purchased from a portfolio of assets, list all the facilities included in the asset. If the facilities included in the asset are unknown, indicate unknown.
4	WREGIS ID	If more than one WREGIS ID number is associated with the RPS-certified facility under contract, complete one row per WREGIS ID number.
5	County	Indicate the county where the facility is located. If the facility is located outside of the United States, or if incremental electricity is provided from system power purchases, enter N/A.
6	State	Indicate the state where the facility is located. If the facility is located outside of the United States, please enter the country where the facility is located. If incremental electricity is provided from system power purchases indicate "system power purchases."

7	Facility Eligibility Date	Indicate the RPS-eligibility date for the facility, as indicated on the RPS eligibility certificate issued by the Energy Commission. If this is yet to be determined, indicate TBD. The eligibility date, or beginning on date, is the date upon which the Energy Commission deems the first application for a facility received. Generation is typically eligible back to the month containing this beginning on date. See Section IV B 3: Eligibility Date, of the *RPS Eligibility Guidebook, Seventh Edition*, for additional information.
8	Facility Online Date	Enter the commercial online date for the facility.
9	Renewable Technology Online Date	Enter the date when the facility came online using a renewable fuel or technology, if different from the commercial online date.
10	For Facilities NOT Interconnected to a CBA, Facility Source Name - as Registered with webRegistry	For facilities not directly connected to a California Balancing Authority (CBA) that will be scheduling into a CBA to classify electricity products as PCC 1, enter the facility's source name, as registered with OATI's webRegistry. For all other facilities, enter N/A.
11	Notes	Include any additional information about the facility, as needed.

Annual Report Accounting Tab

Instructions - The Annual Report Accounting tab should be completed every year to show the actual retail sales and RPS procurement retired for the reporting year(s). Forecasted data should be replaced with actual data as necessary, and forecasts may be updated to reflect new information. When forecasted data is replaced with actual data, please ensure that the column heading colors are updated to reflect the changes. Cells in white will automatically populate and do not require POU input. Cells under dark blue column headers contain forecasted data.

Annual Report AccountingTab Footnotes		
1	Bundled RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of Renewable Energy Credits (RECs) retired to meet the RPS procurement requirements for the compliance period that do not meet the criteria in subsection 3202 (a)(2) of the regulations and were procured bundled by the POU.
2	Unbundled RECs Retired	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired to meet the RPS procurement requirements for the compliance period that do not meet the criteria in subsection 3202 (a)(2) of the regulations and were not procured bundled by the POU.

Compliance Period Accounting Tab

Instructions - The Compliance Period Accounting tab should be completed at the end of each compliance period to show optional compliance measures, historic carryover and excess procurement applied toward the RPS procurement requirements for the compliance period, as well as excess procurement accumulated during the compliance period. POUs must also indicate how many MWh in each category will be applied toward the RPS procurement target for the compliance period. Cells in white will automatically populate and do not require POU input.

Compliance Period AccountingTab Footnotes		
1	Bundled RECs Retired	This field shows the number of RECs retired to meet the RPS procurement requirements for the compliance period that do not meet the criteria in subsection 3202 (a)(2) of the regulations and were procured bundled by the POU.
2	Unbundled RECs Retired	This field shows the number of RECs retired to meet the RPS procurement requirements for the compliance period that do not meet the criteria in subsection 3202 (a)(2) of the regulations and were not procured bundled by the POU.
3	Historic Carryover Applied	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of verified historic carryover to be applied toward RPS procurement requirements for the compliance period. If historic carryover has not been verified at the time of reporting, enter the estimated historic carryover you would like to apply toward the RPS procurement requirements for the compliance period.
4	Applied to Target	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), from each listed category to be applied to the RPS procurement target, for the purposes of calculating excess procurement. Unbundled RECs cannot be counted as excess procurement, so all unbundled RECs up to the unbundled RECs percentage limitation must be entered in this column.
5	Excess Procurement Calculation	Allocate the Excess RECs Eligible among the applicable categories. The number of MWhs allocated to each category may not exceed the "potential excess" for that category shown in cells E33-E35.
6	Short-Term RECs	Enter the total number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of RECs retired during the compliance period that do not meet the criteria of subsection 3202 (a)(2) of the regulations and that were procured from contracts of less than 10 years.
7	Total Historic Carryover	Enter the total number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of historic carryover verified by the Energy Commission. If historic carryover has not been verified at the time of reporting, enter the estimated historic carryover.

List of Narratives to be Attached

Instructions - Indicate as Yes or No if the listed narrative will be included with the CEC-RPS-POU Compliance Report.

Contract ID[1]	Reporting Year[2]	Amendment to Previously Reported Contract?[3]	Contract ID of Previously Reported Contract[4]	Portfolio Content Category[5]					Seller or Utility Owned[6]	Contract Execution Date[7]
				0	1	2 - Ren	2 - Inc	3		

For pre-January 1, 2005, Does the Contract Specify the Ownership of the RECs?[8]	Contract Start Date[9]	Contract End Date[10]	Type of Ownership or Contract Arrangement[11]	Contract Amount of Annual Total Generation Procured (MWh)[12]	Contract Percentage of Annual Total Generation Procured[12]	Contract Termination Date[13]

Bundled purchase by POU?[14]	Scheduling Coordinator[15]	Resale Agreement?[16]	PCC 1 Initial Qualification[17]	Incremental to POU?[18]	Notes[19]

Contract ID[1]	RPS ID[2]	Facility Name[3]	WREGIS ID[4]	County[5]	State[6]	Facility Eligibility Date[7]	Facility Online Date[8]	Renewable Technology On-line Date[9]

Facility Source Name - as registered with webRegistry[10]	Notes[11]

Annual RPS Report: Accounting

	Input Required
	Actual Data
	Forecasted Data

	Compliance Period 1		
	Actual		**Forecasted**
Annual RPS Procurement and Percentages (MWh)	**2011**	**2012**	**2013**
Annual Retail Sales			
Annual RPS Procurement Retired	0.0000	0.0000	0.0000
Soft Targets	20.00%	20.00%	20.00%
Annual RPS Procurement Percentage	0.00%	0.00%	0.00%

	Compliance Period 1		
Procurement Target (MWh)	**2011**	**2012**	**2013**
Procurement Target		0.0000	
Category 0 RECs Retired			
Bundled RECs Retired[1]			
Unbundled RECs Retired[2]			
Soft Targets	20.00%	20.00%	20.00%
RECs Retired as Percentage of Retail Sales	0.00%	0.00%	0.00%
Forecasted Total RECs Retired (Compliance Period)		**0.0000**	

RPS Compliance Period Report

To be completed at the end of each compliance period.

	Input Required
	Actual Data
	Forecasted Data

	Compliance Period 1		
	Actual		Forecast
Annual RPS Procurement and Percentages (MWh)	**2011**	**2012**	**2013**
Annual Retail Sales	0.0000	0.0000	0.0000
Annual RPS Procurement Retired	0.0000	0.0000	0.0000
Soft Targets	20.00%	20.00%	20.00%
Annual RPS Retirement Percentage	0.00%	0.00%	0.00%
Total RECs Procured (Compliance Period)	**0.0000**		

	Compliance Period 1		
Procurement Target (MWh)	**2011**	**2012**	**2013**
Procurement Target	0.0000		
Category 0 RECs Retired	0.0000	0.0000	0.0000
Bundled RECs Retired[1]	0.0000	0.0000	0.0000
Unbundled RECs Retired[2]	0.0000	0.0000	0.0000
Sum	**0.0000**		
Historic Carryover Applied[3]			
Total RECs Retired (Compliance Period)	**0.0000**		
Soft Targets	20.00%	20.00%	20.00%
RECs **Retired** as Percentage of Retail Sales	0.00%	0.00%	0.00%

	Compliance Period 1		
RECs Applied to Target (MWh)	**Total Retired**	**Applied to Target[4]**	**Potential Excess**
Category 0 RECs Retired	0.0000		0.0000
Historic Carryover applied	0.0000		0.0000
Bundled RECs Retired	0.0000		0.0000
Unbundled RECs Retired*	0.0000		n/a
Total RECs applied to the Target**	**0.0000**		

*The unbundled RECs applied to the target will be flagged if the number exceeds the unbundled RECs percentage limitation in cell I36.
**The sum of the total RECs applied to the Target will be flagged if they exceed the Procurement Target (line 20)

Additional Procurement	Starting Balance	Applied to Current Compliance Period	Accumulated in Current Compliance Period
Total Excess Procurement	**0.0000**	**0.0000**	**0.0000**
Excess Category 0 RECs	0.0000	0.0000	0.0000
Excess Bundled RECs	0.0000	0.0000	0.0000
Total Historic Carryover[7]		0.0000	n/a

	Compliance Period 1		
RPS Procurement Enforcement (MWh)	**2011**	**2012**	**2013**
Deficit of RECs Necessary to Meet Target	0.0000		

	Compliance Period 1
Excess Procurement Calculation (MWh)[5]	
Total RECS retired	0.0000
Procurement Target	0.0000
Potential Excess	0.0000
Unbundled RECs Percentage Limitation	0.0000
Unbundled RECs not eligible for excess procurement	0.0000
Short-Term RECs[6]	
Excess RECs Eligible	**0.0000**
Excess Category 0 RECs	
Excess Bundled RECs	

Other Optional Compliance Measures Applied	Yes/No
Cost Limitations	
Delay of Timely Compliance	
Reduction of PCC 1	

Remaining Balance
0.0000
0.0000
0.0000
0.0000

List of Narratives to be Attached

Frequency	Narrative*	Attached to 2011 Report (Y/N)	Attached to 2012 Report (Y/N)	Attached to 2013 Report (Y/N)
Annual	Public goods funds collected; description of programs, expenditures, and expected or actual results.(Section 3207(c)(2)(G))			
Annual	Explanation of any potential delay of timely compliance events. (Section 3207(c)(2)(H))			
Annual	Explanation of actions taken or planned to minimize impacts of delay. (Section 3207(c)(2)(H))			
Annual	Demonstration of Reasonable Progress for actions taken. (Section 3207(c)(3))			
Annual	Demonstration of Reasonable Progress for actions planned. (Section 3207(c)(4))			
As needed	Documentation justifying application of adopted optional compliance measures			
As needed	Documentation providing applied cost limitation in dollars expended during the compliance period, estimated total cost to meet RPS procurement requirements in dollars expended during the compliance period, and POU actions taken in response to meeting or exceeding the cost limitation. (Section 3207(d)(6)(A))			

*Note. If the narrative information was previously provided to the Energy Commission in an existing report, the POU may reference the narrative information by identifying the name, submittal date, and page number of the existing report, and including a copy of each page of the report that is referenced.

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES) COMPLIANCE REPORT TO THE CALIFORNIA ENERGY COMMISSION ON THE RENEWABLES PORTFOLIO STANDARD PROGRAM FOR POUs THAT MEET THE CRITERIA OF SECTION 3204 (a)(8) OR SECTION 3204 (a)(9) ATTESTATION FORM

I am an authorized officer or agent of the local publicly owned electric utility (POU), as noted below, and hereby submit this report and attest to the following on behalf of the POU:

1) I am an authorized officer or agent of the POU for which this report was prepared, and have authority to submit this report on behalf of the POU;
2) The information and data provided in this report, including information provided in any supporting documents submitted with the report, are submitted to the California Energy Commission in accordance with the *Renewables Portfolio Standard Eligibility Guidebook* for use in verifying the POU's procurement claims of electricity products from RPS-certified electrical generation facilities for purposes of the Renewables Portfolio Standard (RPS) *;*
3) To the best of my knowledge, none of the electricity generation for procurement claims identified in this report, nor any of the Renewable Energy Certificates, as defined in the *Renewables Portfolio Standard Eligibility Guidebook*, Seventh Edition, associated with the electricity generation for such claims, have been or will be used more than once to satisfy RPS procurement requirements or requirements of other renewable energy regulatory or market programs;
4) I have read the *Renewables Portfolio Standard Eligibility Guidebook* and understand the provisions, eligibility criteria, and requirements of the guidebook, including my responsibilities under the guidebook to provide additional information for RPS verification purposes if requested by the Energy Commission; and
5) I declare under penalty of perjury that the information and data provided in this report, including information provided in any supporting documents submitted with the report and listed below, are true and correct to the best of my knowledge.

Signed: _____ Dated: _____

List of Supporting Documents, if Any:_____

Authorized Officer or Agent of POU Signing Attestation	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
POU	
Entity Name:	
Street Address:	
City, State, Zip Code	
Year POU Established	
No. of CA End-Use Retail Customer Accts.	

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES)
REPORT TO THE CALIFORNIA ENERGY COMMISSION
Report of Historic Carryover for California RPS

GENERAL INSTRUCTIONS

Please enter the name of the Local Publicly Owned Electric Utility (POU) covered by this report.

POU Name	

E-mail the electronic file of the completed report to the address shown below. Then print out the completed report, sign the attestation, and mail the report and any attachments to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.ca.gov
Renewable Energy Office
Attn: RPS Verification
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5512

POUs that have adopted rules allowing for historic carryover must submit this report within 90 calendar days after the effective date of the regulations for *Enforcement Procedures for the Renewable Portfolio Standard for Local Publicly Owned Electric Utilities* .

Energy Commission staff may request additional information from POUs to verify the generation and RPS procurement claims of electricity products reported in this report. If requested, an authorized officer or agent of the POU must submit additional information.

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES)
REPORT TO THE CALIFORNIA ENERGY COMMISSION
Report of Historic Carryover for California RPS

Static Contract Information Tab

INSTRUCTIONS: List all executed renewable energy contracts or ownership agreements associated with electricity products being claimed as historic carryover as well as those being applied toward 2004-2010 annual procurement targets without being claimed as historic carryover. If the contract or ownership agreement is amended to change any of the information reported on the static contract information tab or the contracted RPS-certified facilities information tab, complete a new row for the amended contract. The information reported on this spreadsheet should be classified by expected Portfolio Content Category (PCC). If you expect multiple categories of electricity products from a single contract or ownership agreement, please indicate "yes" under each expected category. Actual PCC classification for electricity products will be verified by the Energy Commission after it has been reported using the Interim Tracking System and/or WREGIS Compliance Reports. If you need additional rows, highlight the bottom row for the appropriate category, right-click and select "Insert." Provide supporting documentation, such as a copy of the contract with confidential information redacted, documenting any data reported here.

FOOTNOTES

1	Contract ID	The Energy Commission will assign an automatically generated ID number to track each contract and ownership agreement. The contract ID number is generated using the POU name entered on the title page tab and the reporting year entered on the static contract info tab.
2	Portfolio Content Category	Select "Yes" or "No" from the drop down list in each column to indicate whether you plan to classify electricity products from the contract in each category. A contract may have associated electricity products classified in more than one category.
3	Seller or Utility Owned	Indicate the wholesale seller of electricity products under the contract. If electrcity products are from a facility owned by the POU, state "Utility Owned." If purchased from a load-serving entity or third party, state the name of the load-serving entity or third party.
4	Contract Execution Date	Indicate the date the contract was originally executed as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011. If the facility is owned by the POU, indicate the date the ownership agreement was originally executed or when ownership began.

5	For pre-January 1, 2005, Does the Contract Specify the Ownership of the RECs?	Public Utilities Code Section 399.21, Subdivision (a)(4) states that RECs may not be created for electricity generated pursuant to any electricity purchase contract with a retail seller or POU executed before January 1, 2005, unless the contract contains explicit terms and conditions specifying the ownership or disposition of those RECs. The law requires procurement under those contracts to be tracked through WREGIS and counted toward the RPS procurement requirement of the retail seller or POU purchasing the electricity. Energy Commission staff must track facilities subject to this requirement to ensure that the RECs are not traded and/or claimed by other reporting entities. If there is a contract execution date before January 1, 2005, select "Yes" or "No" from the drop down list to indicate whether the contract contains explicit terms and conditions specifying the ownership or disposition of the RECs. For a contract that does not contain explicit terms and conditions specifying the ownership or disposition of the RECs, these RECs must be used for the RPS by the contracting POU.
6	Contract Start Date	Indicate the first date that electricity product(s) were or will be procured by the POU as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011. If the facility is owned by the POU, enter the date that electricity product(s) were or will be procured by the POU.
7	Contract End Date	State the final procurement date of the electricity product(s) being procured under the contract/agreement as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011.
8	Type of Ownership or Contract Arrangement	Select one of the following from the drop down list: - Full electrical output - Full electrical output during contract - Percent share of electrical output during contract - Fixed amount of facility's electrical output during contract - Incremental generation - full amount of facility's electrical output - Incremental generation - partial amount of facility's electrical output - Other Provide comments in "Notes" column, as needed, to explain contracting, ownership or other facilitiy arrangements.
9	Contract Amount of Annual Total Generation Procured/ Contract Percentage of Annual Total Generation Procured	Complete only one of these columns per contract. Enter the annual amount or percentage of total generation procured under the current contract/agreement (if amount, enter in MWh, rounded to the nearest ten-thousandth - for example, 8.1234 MWh). If fixed amount, enter total contractual fixed amount (annually if applicable) and provide additional explanations in the "Notes" field as necessary. Explain in "Notes" field if volume or percent amount changes annually and provide annual specific amounts per calendar year or total amount contracted for over multiple years – list the years. If the amount is a percent share of the output, indicate the percent share and explain in detail in the "Notes" field.
10	Contract Termination Date, if Applicable	If the contract is terminated before the contract end date, enter the termination date as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011. If the contract has not been terminated before the end date, leave blank.

11	Scheduling Coordinator	If applicable, indicate the scheduling coordinator as detailed within the scheduling agreement or procurement contract. If more than one party is designated as a schedule coordinator, please list the primary scheduling coordinator first and add additional scheduling coordinators separated by a comma. If there is no scheduling coordinator, enter N/A.
12	Resale Agreement	Select "Yes" or "No" from the dropdown to indicate if contract is a resale agreement.
13	PCC 1 Initial Qualification	Select one of the following from the drop down list and provide supporting documentation with confidential information redacted. If you do not intend to classify electricity products from this contract as PCC 1, select "NA." Energy Commission is working to obtain interconnection information for RPS-Certified facilities, but until this information is available, POUs must provide it when making PCC 1 claims. "Interconnected to CBA" refers to a facility that has its first point of interconnection within the metered boundaries of a California Balancing Authority (CBA) Area. "Interconnected to Distribution System" refers to a facility that has its first point of interconnection to an electricity distribution system used to serve end users within the metered boundaries of a California Balancing Authority Area. "Scheduled into CBA" refers to electricity products from a facility that is not directly connected to a CBA and that has generation scheduled on an hourly or subhourly basis into a CBA without substituting electricity from another source. "Dynamic Transfer into CBA" refers to electricity products subject to an agreement between a CBA and the Balancing Authority in which the facility is located to dynamically transfer electricity from the facility into the CBA Area.
14	Incremental to POU?	If contract includes PCC 2 Incremental, contract/agreement execution date must be on or after contract date for the associated renewable energy. Select "Yes" or "No" from the drop down list to indicate whether the contract for substitute energy was executed on or after the contract/agreement execution date for the associated renewable energy. If the contract does not include PCC 2 incremental, select "N/A."
15	Under what RPS Eligibility Guidebook was the Contract Signed?	Indicate the adoption date of the RPS guidebook edition the contract or ownership agreement was signed for this facility. Guidebook adoption Date: / For contracts signed before: April 21, 2004 / May 19, 2004 May 19, 2004 / August 11, 2004 August 11, 2004 / May 21, 2005 May 21, 2005 / April 26, 2006 April 26, 2006 / March 14, 2007 March 14, 2007 / December 19, 2007 December 19, 2007 / December 15, 2010 December 15, 2010 / January 1, 2011

16	Does the facility meet the eligibilty requirements under the edition of the RPS Eligibility Guidebook indicated?	The POU imust demonstrate that the facility indicated is eligible under the edition of the *RPS Eligibility Guidebook* in place at the time the PPA or ownership agreement was signed. Evidence of compliance may include: 1. A previously issued RPS certification by the Energy Commission under the guidebook in place when the PPA or ownership agreement was signed. The RPS ID for the facility will suffice. 2. A current RPS certification by the Energy Commission under a different guidebook with all supplemental information required by the edition of the RPS Eligibility Guidebook in place when the PPA or ownership agreement was signed. Requires the RPS ID for the facility and the supplemental information required by the edition in place when the PPA or ownership agreement was signed. 3. For facilities that have never applied for RPS certification, an unsigned CEC-RPS-1 form under the current *RPS Eligibility Guidebook* with the necessary supporting documentation required by the edition of the RPS Eligibility Guidebook in place when the PPA or ownership agreement was
17	Notes	Include any additional information about the contract, including information on any amendments to the contract. If a contract has been submitted to RPS Energy Commission staff, indicate that the contract has already been submitted. You are not requried to submit the contract again unless requested to do so by the Energy Commission. Provide other helpful notes as appropriate.

Contracted RPS Facilities Information Tab

INSTRUCTIONS: List all applicable facility information for the corresponding contracts listed in the Static Contract Info tab. Note - a new row must be completed for each RPS ID number and WREGIS Generating Unit (GU) ID number under a contract. Only one RPS ID number and WREGIS GU ID number may be entered per row.

FOOTNOTES

1	Contract ID	Select the appropriate contract ID number from the drop down list of numbers generated in the Static Contract Information tab.
2	RPS ID	If more than one RPS ID number is associated with the RPS-certified facility under contract, complete one row per RPS ID number.
3	Facility Name	If electricity products will be purchased from one facility, indicate the name of the facility. If electricity products will be purchased from a portfolio of assets, list all the facilities included in the asset. If the facilities included in the asset are unknown, indicate unknown.
4	WREGIS GU ID	If more than one WREGIS GU ID number is associated with the RPS-certified facility under contract, complete one row per WREGIS GU ID

5	County	Indicate the county where the facility is located. If the facility is located outside of the United States, or if incremental electricity is provided from system power purchases, enter N/A.
6	State	Indicate the state where the facility is located. If the facility is located outside of the United States, enter the country where the facility is located. If incremental electricity is provided from system power purchases, indicate "system power purchases."
7	Facility Eligibility Date	Indicate the RPS-eligibility date for the facility, as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011, as indicated on the RPS eligibility certificate issued by the Energy Commission. If this is yet to be determined, indicate TBD. The eligibility date, or beginning on date, is the date upon which the Energy Commission deems the first application for a facility received. Generation is typically eligible beginning with the month containing this beginning on date. See Section IV B 3: Eligibility Date, of the *RPS Eligibility Guidebook, Seventh Edition* , for additional information.
8	Facility Online Date	Enter the commercial online date for the facility as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011.
9	Renewable Technology On-line Date	Enter the date when the facility came online using a renewable fuel or technology, if different from the commercial online date, as a "short date" formatted mm/dd/yyyy, for example, 01/01/2011.
10	Facility Source Name - as registered with webRegistry	For facilities not directly connected to a CBA that will be scheduling into a CBA to classify electricity products as PCC 1, enter the facility's source name, as registered with OATI's webRegistry. For all other facilities, enter N/A.
11	Notes	Include any additional information about the facility, as needed.

Procurement Detail

INSTRUCTIONS: Enter annual procurement by facility used to calculate historic carryover, including electricity products that will contribute toward the annual procurement target but will not count as historic carryover. Cells in white will automatically populate and do not require POU input.

FOOTNOTES

1	Year	Complete one row per facility per calendar year in which you procured electricity products that you are claiming as historic carryover or that will contribute toward the annual procurement target to calculate historic carryover.
2	Actual MWh	Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of Renewable Energy Credits (RECs) retired per RPS-certified facility per year.

Accounting

INSTRUCTIONS: Enter the number of MWh, rounded to the nearest ten-thousandth (for example, 8.1234 MWh), of retail sales for the year 2001 and the years 2003-2010. This tab will use the retail sales information, as well as data from the Procurement Detail tab to calculate the 2003 baseline, the annual and incremental procurement targets, and the estimated surplus procurement to be claimed as historic carryover. Cells in white will automatically populate and do not require POU input.

FOOTNOTES

		Calculation	Notes
1	2001 Total Retail Sales	User supplied data	Pursuant to the *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* , the **2003 Baseline Procurement Amount** for the POUs is calculated using the equation in footnote 4 below.
2	2001 RPS Eligible Procurement		
3	2003 Total Retail Sales		
4	2003 Baseline Procurement Amount	$2003\ Baseline\ Procurement = \frac{2001\ RPS\ Eligible\ Procurment}{2001\ Total\ Retail\ Sales} \times 2003\ Total\ Retail\ Sales + 1\%\ of\ 2001\ Total\ Retail\ Sales$	
5	Total RPS Eligible Procurement	Data from "Procurement" tab	This line equals Total RPS Eligible Procurement from the procurement tab calculated per year.
6	Annual Procurement Target (APT)	Prior to 2010: Prior year Line 7 + Line 8 2010: 20% of 2010 retail sales	The annual procurement target is capped at 20%.
7	Incremental Procurement Target (IPT)	Prior to 2010: 1% of line 5 {Y-1} 2010: none	For all years prior to 2010, IPT is equal to 1% of the previous year's retail sales. For 2010, there is no IPT.
8	Procurement Surplus/ (Deficit)	Line 6 - Line 7	
9	Actual Procurement Percentage	Prior to 2010: Line 6 / Line 5 {Y-1} 2010 : Line 6 / Line 5	For all years before to 2010, Actual Procurement Percentage is based on the prior year's retail sales (current year RPS Procurement/Prior Year Retail Sales). For 2010, the calculation is 2010 Procurement/2010 Retail Sales.
10	Surplus/(Deficit) for 2004-2010	This cell computes a total surplus/deficit amount for the entirety of the RPS 20% Program for 2004-2010.	

Report of Historic Carryover for California RPS

CEC-RPS-HCO (Revised 10/2013)

Contract ID[1]	Portfolio Content Category[2]					Seller or Utility Owned[3]	Contract Execution Date[4]	For pre-January 1, 2005, Does the Contract Specify the Ownership of the RECs?[5]	Contract Start Date[6]	Contract End Date[7]
	0	1	2 - Ren	2 - Inc	3					

Type of Ownership or Contract Arrangement[8]	Contract Amount of Annual Total Generation Procured (MWh)[9]	Contract Percentage of Annual Total Generation Procured[9]	Contract Termination Date, if Applicable[10]	Bundled purchase by POU? (Yes/No)	Scheduling Coordinator[11]	Resale Agreement?[12]

PCC 1 Initial Qualification[13]	Incremental to POU?[14]	Under what RPS Eligibility Guidebook was the Contract Signed?[15]	Does the facility meet the eligibilty requirements under the edition of the RPS Eligibility Guidebook indicated?[16]	Notes[17]

Report of Historic Carryover for California RPS

CEC-RPS-HCO (Revised 10/2013)

Contract ID[1]	RPS ID[2]	Facility Name[3]	WREGIS GU ID[4]	County[5]	State[6]	Facility Eligibility Date[7]	Facility Online Date[8]	Renewable Technology On-line Date[9]

Facility Source Name - as registered with webRegistry[10]	Notes[11]

TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES

RPS Historic Carryover Report: Procurement Detail

INSTRUCTIONS: Enter historic carryover information for each facility for years 2001 to 2010.

Procurement Summary	
Total RPS Eligible Procurement	
Year	**Actual MWh**
2001	0
2003	0
2004	0
2005	0
2006	0
2007	0
2008	0
2009	0
2010	0

Facility Name	RPS ID	Year[1]	Actual MWh[2]

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES)
RPS Historic Carryover Report: Accounting

INSTRUCTIONS: Enter total retail sales information.

Input Required

RPS Baseline Calculation	(MWh)
2001 Total Retail Sales[1]	
2001 RPS Eligible Procurement[2]	0.0000
2003 Total Retail Sales[3]	
2003 Baseline Procurement Amount[4]	0.0000

RPS Procurement and Targets (Actual MWh)						
Year	Retail Sales	Total RPS Eligible Procurement[5]	Annual Procurement Target (APT)[6]	Incremental Procurement Target (IPT)[7]	Procurement Surplus/(Deficit)[8]	Actual Procurement Percentage[9]
2003	0.0000	0.0000	0.0000	N/A	N/A	0.0%
2004		0.0000	0.0000	0.0000	0.0000	0.0%
2005		0.0000	0.0000	0.0000	0.0000	0.0%
2006		0.0000	0.0000	0.0000	0.0000	0.0%
2007		0.0000	0.0000	0.0000	0.0000	0.0%
2008		0.0000	0.0000	0.0000	0.0000	0.0%
2009		0.0000	0.0000	0.0000	0.0000	0.0%
2010		0.0000	0.0000	N/A	0.0000	0.0%

Surplus/(Deficit) for 2004-2010[10]
0.0000

(TO BE COMPLETED BY LOCAL PUBLICLY OWNED ELECTRIC UTILITIES)
REPORT to the CALIFORNIA ENERGY COMMISSION
Report of Historic Carryover for California RPS

I am an authorized officer or agent of the local publicly owned electric utility (POU), as noted below, and hereby submit this report and attest to the following on behalf of said POU:

1) I am an authorized officer or agent of the POU for which this report was prepared, and have authority to submit this report on behalf of the POU;
2) The information and data provided in this report, including information provided in any supporting documents submitted with the report, are submitted to the California Energy Commission in accordance with the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition,* for use in verifying the POU's procurement claims of electricity products from the RPS-certified electrical generation facilities for purposes of the Renewables Portfolio Standard (RPS)*;*
3) To the best of my knowledge, none of the electricity generation for procurement claims identified in this report, nor any of the Renewable Energy Certificates, as defined in the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition*, associated with the electricity generation for such claims, have been or will be used more than once to satisfy RPS procurement requirements or requirements of other renewable energy regulatory or market programs;
4) I have read the *Renewables Portfolio Standard Eligibility Guidebook, Seventh Edition,* and understand the provisions, eligibility criteria, and requirements of the guidebook, including my responsibilities under the guidebook to provide additional information for RPS verification purposes if requested by the Energy Commission; and
5) I declare under penalty of perjury that the information and data provided in this report, including the information provided in any supporting documents submitted with the report and listed below, is true and correct to the best of my knowledge.

Signed: _____ Dated: _____

Authorized Officer or Agent of POU signing Attestation	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
POU	
Entity Name:	
Street Address:	
City, State, Zip Code:	

List of Supporting Documentation Attached to This Report	
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(TO BE COMPLETED BY LOAD SERVING ENTITIES)
REPORT TO THE CALIFORNIA ENERGY COMMISSION
WREGIS State/Provincial/Voluntary Compliance Report and
WREGIS e-Tag Summary Report
ATTESTATION FORM

GENERAL INSTRUCTIONS

Load serving entities must submit this attestation form with each WREGIS State/Provincial/Voluntary Compliance Report (WREGIS Compliance Report). This attestation form also applies to POUs associated WREGIS NERC e-Tag Summary Reports to demonstrate final e-Tag schedule data for PCC1 and PCC2 claims. The WREGIS Compliance Report and, for POUs, associated WREGIS e-Tag Summary Report, must be submitted to the Energy Commission as specified in Appendix A: WREGIS Reporting Instructions of the Energy Commission's *Renewables Portfolio Standard Eligibility Guidebook* .

Please enter the name of the load serving entity represented on this attestation form, the reporting year covered by this attestation form, and title(s) of the WREGIS Compliance Report and associated WREGIS e-Tag Summary Report, as applicable, covered by this attestation form.

Retail sellers should submit only one WREGIS Compliance Report per reporting year (for example, 2011 CA RPS RTSL). Any associated WREGIS e-Tag Summary Reports for retail sellers must be sent to the California Public Utilities Commission, as explained in Appendix A: WREGIS Reporting Instructions, of the *Renewables Portfolio Standard Eligibility Guidebook* .

For POUs, one attestation form may be submitted to cover the WREGIS Compliance Report and the associated WREGIS e-Tag Summary Report. When entering the title(s) of the reports, include all reports covered by the attestation form. For example, if a POU has retired procurement into four separate WREGIS retirement subaccounts for reporting year 2011, the WREGIS Compliance Report for each retirement subaccount should be identified in the box below. In this example, the titles of the WREGIS Compliance Reports would be 2011 RPS CA PCC0, 2011 CA RPS PCC1, 2011 CA RPS PCC2, and 2011 CAP RPS PCC3. If the POU had PCC1 and PCC2 procurement claims in 2011 requiring supporting e-Tag documentation, and this information is contained in the WREGIS e-Tag Summary Report, the POU should also identify the "WREGIS e-Tag Summary Report" in the box below.

For POUs with WREGIS retirement subaccounts created and submitted to the Energy Commission by a representative organization, such as the Southern California Public Power Authority or Northern California Power Agency, provide the name of each retirement subaccount(s) provided on behalf of the POU. The POU (not the representative organization) must complete and submit the attestation for WREGIS Compliance Reports and WREGIS e-Tag Summary Reports submitted on its behalf. Additional information may be required for the Energy Commission to distinguish one POU WREGIS Compliance Report from another when multiple WREGIS Compliance Reports are submitted on behalf of various POUs and the retirement subaccounts do not indicate which POU the reports represent.

E-mail the completed file to the address shown below. Then print out the file, sign the attestation, and mail the package to the address shown below:

California Energy Commission
e-mail: RPSTrack@energy.ca.gov
Renewable Energy Office
Attn: Interim Tracking
California Energy Commission
1516 9th Street, MS-45
Sacramento, CA 95814-5512

This attestation is due on July 1st of each year. For 2011 and 2012 data, follow the reporting instructions due dates in the Energy Commission's *Renewables Portfolio Standard Eligibility Guidebook* , Seventh Edition and specified in the regulations for *Enforcement Procedures for the Renewables Portfolio Standard for Local Publicly Owned Electric Utilities* , as adopted by the Energy

(TO BE COMPLETED BY LOAD SERVING ENTITIES)
REPORT TO THE CALIFORNIA ENERGY COMMISSION
WREGIS State/Provincial/Voluntary Compliance Report and
WREGIS e-Tag Summary Report
ATTESTATION FORM

Reporting Year Covered in this Report	
Title(s) of WREGIS Compliance Report(s) and WREGIS e-Tag Summary Report(s) as applicable	

I am an authorized officer or agent of the Load Serving Entity, as noted below, and am authorized to submit or have submitted the WREGIS State/Provincial/Voluntary Compliance Report (WREGIS Compliance Report) and associated WREGIS NERC e-Tag Summary Report (WREGIS e-Tag Summary Report) for said entity to the California Energy Commission and to attest to the following on behalf of said entity:

1) I am an authorized officer or agent of the Load Serving Entity, as noted below, and have authorized WREGIS to submit the WREGIS Compliance Report and any associated WREGIS e-Tag Summary Report for said entity to the California Energy Commission;

2) The information and data provided in the Load Serving Entity's WREGIS Compliance Report and any associated WREGIS e-Tag Summary Report is submitted to the California Energy Commission for use to verify the Load Serving Entity's procurement claims of electricity products from RPS-certified electrical generation facilities for purposes of the RPS and in accordance with the Energy Commission's *Renewables Portfolio Standard Eligibility Guidebook* ;

3) I have reviewed the Load Serving Entity's WREGIS Compliance Report and any associated WREGIS e-Tag Summary Report, and to the best of my knowledge, none of the procurement claims identified in the WREGIS Compliance Report or any associated WREGIS e-Tag Summary Report, nor any of the Renewable Energy Certificates, as defined in the *Renewables Portfolio Standard Eligibility Guidebook* , associated with the electricity generation for such procurement claims, have been or will be used more than once to satisfy RPS procurement requirements or voluntary contributions;

4) I have read the *Renewables Portfolio Standard Eligibility Guidebook* and understand the provisions, eligibility criteria, and requirements of the guidebook and my responsibilities under the guidebook, including my responsibilities to provide additional information for RPS verification purposes if requested by the Energy Commission.

5) I declare under penalty of perjury that the information provided in this attestation and in the Load Serving Entity's WREGIS Compliance Report and any associated WREGIS e-Tag Summary Report is true and correct to the best of my knowledge.

Signed: _____ **Dated:** _____

Name of Officer or Agent: _____

Authorized Officer or Agent of Load Serving Entity	
Name:	
Title:	
Phone:	
E-mail:	
Fax:	
Load Serving Entity	
Entity Name:	
Street Address:	
City, State, Zip Code	

Appendix C: Statutory History of the RPS

Below is a list of bills enacted into law that made changes to RPS statutes or impacted the RPS to some degree.

- **Senate Bill 1038**.[1] The pertinent provisions of SB 1038 were formerly codified in Public Utilities Code Sections 383.5 and 445, but are now codified in Public Resources Code Sections 25740 through 25751 as a result of Senate Bill 183 (Chapter 666, Statutes of 2003).
- **Senate Bill 1078**[2] established the Renewables Portfolio Standard. The pertinent provisions of SB 1078 are codified in Public Utilities Code Section 399.11 through 399.15. This law was subsequently amended to add Sections 399.16, 399.17, and 399.12.5 under Senate Bill 67 (Chapter 731, Statutes of 2003), Assembly Bill 200 (Chapter 5, Statutes of 2005), and Assembly Bill 2189 (Chapter 747, Statutes of 2006), respectively.
- **Senate Bill 1250**[3] amends pertinent provisions in Public Resources Code Sections 25740 through 25751.
- **Senate Bill 107**[4] amends pertinent provisions in Public Resources Code Sections 25740 through 25751 and Public Utilities Code Sections 399.11 through 399.16.
- **Senate Bill 1036**,[5] passed in October 2007, repeals the provisions for awarding SEPs and requires the Energy Commission to terminate production incentives awarded as of January 1, 2002, unless the facility began generating electricity by January 1, 2007.
- **Assembly Bill 1969**[6] added Public Utilities Code (PUC) Section 399.20, authorizing tariffs and standard contracts for the purchase of eligible renewable generation from public water and wastewater customers. In July 2007, the CPUC implemented AB 1969, creating a feed-in tariff (FIT) up to 1.5 megawatt (MW), and expanded the FIT to cover nonwater and wastewater customers in the Pacific Gas & Electric (PG&E) and Southern California Edison (SCE) territories.[7] All generation procured under this program counts towards the RPS target.
- **Assembly Bill 3048**[8] and **Senate Bill 380**[9] were passed into law in 2008. AB 3048 addresses the RPS eligibility of existing renewable generation owned by or under contract with a local publicly owned electric utility (POU), and SB 380 expands feed-in tariffs for small renewable generators in the service territories of the large IOUs and raised the program cap from 250 MW to 500 MW.

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1 SB 1038, Chapter 515, Statutes of 2002.
2 SB 1078, Chapter 516, Statutes of 2002.
3 SB 1250, Chapter 512, Statutes of 2006.
4 SB 107, Chapter 464, Statutes of 2006.
5 SB 1036, Chapter 685, Statutes of 2007. SB 1036 amends pertinent provisions in Public Resources Code Sections 25740 through 25751.
6 Assembly Bill 1969 (Chapter 731, Statutes of 2006).
7 CPUC Decision 07-07-027.
8 AB 3048, Chapter 558, Statutes of 2008. AB 3048 amends pertinent provisions in Public Resources Code 25741 and 25742 and Public Utilities Code Sections 399.12 and 399.12.5.
9 SB 380, Chapter 544, Statutes of 2008. SB 380 amends Section 399.20 of the Public Utilities Code.

- **Assembly Bill 1351**[10] was signed into law in 2009. AB 1351 requires that hydroelectric facilities must be owned by a retail seller or publicly owned electric utility for their incremental generation due to eligible efficiency improvements to count as eligible for the RPS. AB 1351 also expands eligibility for such facilities located outside California.
- **Assembly Bill 920**,[11] signed into law in 2009, requires electric utilities to develop a tariff to compensate wind and solar net energy metering customers for electricity they produce in excess of their on-site load at the end of a 12-month period (net surplus generation). An eligible customer-generator with a facility no more than 1 megawatt in capacity that elects to participate in the tariff will be compensated by the utility for the facility's net surplus generation at a rate determined by the CPUC. The utility may count this surplus generation toward its RPS obligation.
- **Senate Bill 32**,[12] signed into law in 2009, further modifies Public Utilities Code 399.20. It expands the eligible project size of the feed-in tariff from 1.5 MW to 3 MW in size, raises the program cap from 500 MW to 750 MW, and requires the municipal utilities to comply with this statute. SB 32 must be implemented through a CPUC proceeding before projects can utilize the new tariff.
- **Senate Bill 1247**,[13] signed into law on September 29, 2010, as an urgency bill, modifies Public Utilities Code Section 399.12.5. SB 1247 ensures that for a hydroelectric generation facility certified as of January 1, 2010, its RPS eligibility will not be revoked if the facility causes a change in the volume or timing of streamflow that is required by license conditions approved pursuant to the Federal Power Act (Chapter 12 (commencing with Section 791a) of Title 16 of the United States Code) on or after January 1, 2010.
- **Assembly Bill 1954**,[14] Signed into law on September 29, 2010, directs the Energy Commission to set the de minimis quantity of nonrenewable fuels that may be used for each renewable technology at no more than 2 percent, but permits the Energy Commission to adjust this de minimis quantity to a maximum of 5 percent for individual facilities if certain conditions are satisfied as specified in AB 1954.
- **Senate Bill X1-2**,[15] signed into law on April 12, 2011, as part of the First Extraordinary Session, establishes the California Renewable Energy Resources Act and modifies provisions

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10 AB 1351, Chapter 525, Statutes of 2009. AB 1351 amends Section 399.12.5 of the Public Utilities Code.
11 AB 920, Chapter 376, Statutes of 2009. AB 920 amends Section 2827 of the Public Utilities Code. The CPUC must adopt a net surplus electricity compensation rate before this law can be further implemented.
12 SB 32, Chapter 328, Statutes of 2009. SB 32 amends section 399.20 of, and adds section 387.6 to the Public Utilities Code.
13 SB 1247, Chapter 488, Statutes of 2010. SB 1247 amends Section 399.12.5 of the Public Utilities Code.
14 AB 1954, Chapter 460, Statutes of 2010. AB 1954 amends Section 399.2.5 and 399.12 of the Public Utilities Code.
15 SB X1-2, Chapter 1, Statutes of 2011. SB X1-2 adds Section 705 to the Fish and Game Code, amends Sections 25740, 25740.5, 25741, 25742, 25746, 25747, and 25751 of, adds Section 25519.5 to, and adds and repeals Section 25741.5 of, the Public Resources Code, and amends Sections 399.11, 399.12, 399.20, and 454.5 of, amends, renumbers, and adds Sections 399.13 and 399.16 of, adds Sections 399.18, 399.19, 399.26, 399.30, 399.31, and 1005.1 to, adds Article 11 (commencing with Section 910) to Chapter 4 of Part 1 of Division 1 of, repeals Section 387 of, and repeals and adds Sections 399.14, 399.15, and 399.17 of, the Public Utilities Code.

in Public Resources Code 25740 through 25751 and Public Utilities Code Sections 399.11 through 399.20 to advance the state's RPS goal to at least 33 percent of total retail sales of electricity in California by December 31, 2020, and to expand the same RPS goals to the publicly owned electric utilities as to the retail sellers. SB X1-2 makes other changes to the RPS, including replacing the annual procurement targets with compliance periods, replacing the market price referent (MPR) with new cost containment provisions, and creating renewable energy product categories with specific procurement requirements for each compliance period.

- **Assembly Bill 2196**,[16] signed into law on September 27, 2012, amends Section 25741 of the Public Resources Code and adds Section 399.12.6 to the Public Utilities Code. AB 2196 revises the requirements for renewable electrical generation facilities that use landfill gas, digester gas, or another renewable fuel delivered to the facility through a common carrier pipeline, and establishes conditions for the transactions for the procurement of such fuel, including the source of the fuel and delivery method. AB 2196 also establishes new eligibility requirements for facilities using biomethane under contracts initially executed on or after March 29, 2012, or for quantities of biomethane associated with contract amendments executed on or after March 29, 2012.

16 Assembly Bill 2196 (Chapter 605, Statutes of 2012) amends Section 25741 of the Public Resources Code and adds Section 399.12.6 to the Public Utilities Code.

Appendix D: Summary of Reporting Requirements and Deadlines

Applicable Groups	Requirement	Time Constraints	Benefit	Reference	Form	Responsible party
All Facilities	Precertification	Prior to COD	Eligibility Date	IV	CEC-RPS-1	Facility owner or agent
All Facilities	Amended Precertification	Within 90 days of the change	Retain original eligibility date	IV.B.7	CEC-RPS-1	Facility owner or agent
All Facilities	Certification	After the COD for the facility	Become RPS certified	IV	CEC-RPS-1	Facility owner or agent
All Facilities	Amended Certification	Within 90 days of the change	Retain certification original eligibility date	IV.B.7	CEC-RPS-1	Facility owner or agent
Utility Certified Facilities	Certification	Within 90 days of Contract Expiration, or by the adoption date of this guidebook	Retain certification	IV.A.5	CEC-RPS-1	Facility owner or agent
Utility Certified Facilities	Supplemental Certification information	To be specified	Retain Utility Certification	IV.A.5	N/A	Contracting Utility
Aggregated Units	Precertification and Certification	After the creation of the aggregated unit, or 90 days after the change	Certify or precertify the facilities within the unit	IV.A.2	CEC-RPS-3	Aggregator
Existing Hydroelectric Generation Unit Operated as Part of a Water Supply or Conveyance System	Certification	Apply no later than 90 days after the adoption of the guidebook	Extend eligibility back to January 1, 2011	IV.B.3	CEC-RPS-1	Facility owner or agent
Facilities Serving POU	Certification	Must have applied by October 1, 2012 or by December 31, 2013 if under contract with or approved by a POU for its RPS before June 1, 2010	Extend eligibility back to January 1, 2011	IV.B.3	CEC-RPS-1	Facility owner or agent

Applicable Groups	Requirement	Time Constraints	Benefit	Reference	Form	Responsible party
Biomethane Facilities	Certification, Amended Certification and Precertification	Submit additional required information within 90 days of the adoption of the guidebook	Avoid a reset of the eligibility date if the biomethane suspension prevented compliance with the 90 day requirements for certification or amended certification	IV.B.3	CEC-RPS-2196	Facility owner or agent
Suspended Facilities	Resolution of an eligibility question	Within 1 year of the suspension date	Retain RPS certification or precertification	IV.B.6	Varies	Facility owner or agent
RPS-Certified Facilities	Annual generation reporting, if entire annual data is not available in WREGIS or otherwise as requested.	July 1st of Each Year, for the previous calendar year. For 2011 and 2012 generation data, CEC-RPS-Gen forms are due July 1, 2013 or ninety days after the adoption date of the *Seventh Edition* of the *RPS Eligibility Guidebook*, whichever is later.	Required	V.B.1	CEC-RPS-GEN	Facility owner or agent. If retail seller or POU owned, form must be submitted by retail seller or POU.
Multifuel Facilities	Fuel Use Reporting	On, or before, March 31 each year	Retain certification	III.B.4	CEC-RPS-Multi	Facility owner or agent
Biomethane Facilities	Biomethane Reporting	On, or before, March 31 each year	Retain certification	II.C.6	CEC-RPS-Biomethane	Facility owner or agent
POUs	Historic Carryover Report	30 days after the effective date of the POU regulations, whichever is later	To apply historic carryover to a POU's RPS procurement target.	V.B.5.b	CEC-RPS-Track, WREGIS Report; WREGIS Attestation; POU Compliance Spreadsheet; and supporting documentation	POU

Applicable Groups	Requirement	Time Constraints	Benefit	Reference	Form	Responsible party
POUs	POU Compliance Report – Static Contract Information	As soon as possible after adoption of the guidebook and POU Regulations; or by September 1, 2013 or 30 days after the effective date of the POU regulations whichever is later.	Required	V.B.5.b & V.B.5.c	POU Compliance Spreadsheet and supporting documentation	POU
POUs	POU – RPS Compliance Reporting	Reporting for 2011 and 2012, by September 1, 2013 or 30 days after the effective date of the POU regulations whichever is later; Reporting for 2013 forward, July 1 of the following year.	Required	V.B.5.b & V.B.5.c	POU Compliance Spreadsheet and supporting documentation	POU
POUs	RPS Retired REC reporting and supporting documentation	Reporting for 2011 and 2012, by September 1, 2013 or 30 days after the effective date of the POU regulations whichever is later; Reporting for 2013 forward, July 1 of the following year.	Required	V.B.5.b & V.B.5.c	WREGIS Report; CEC-RPS Track. CEC-RPS e-Tag Report; CEC-RPS-Hourly; and e-Tags as requested.	POU
Retail Sellers	RPS Retired REC reporting	For RECs retired for 2011 reporting year, July 1, 2013 or 90 days after adoption of the guidebook, whichever is later; For RECs retired for 2012 reporting year, 120 days after adoption of the guidebook; For 2013 forward, July 1 of the following year.	Required	V.B.5.a	WREGIS Report; WREGIS Attestation; RPS Track	Retail Seller

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