NC-RETS
North Carolina Renewable Energy Tracking System

- User Training Guide -

NC-RETS
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NC-RETS User Guide

About the North Carolina Renewable Energy Tracking System (NC-RETS)

The North Carolina Utilities Commission established the North Carolina Renewable Energy Tracking System (NC-RETS) to issue and track renewable energy certificates (RECs) and energy efficiency certificates (EECs). N.C.'s electric utilities use NC-RETS to demonstrate compliance with the State's renewable energy portfolio standard. Renewable energy producers may register their facilities with the Commission. If approved, they can use NC-RETS to create certificates that meet the requirements of N.C.'s portfolio standard.

NC-RETS uses verifiable energy production data from participating facilities to create a digital certificate for each MWh (or thermal equivalent) generated from renewable energy. Electric power suppliers use NC-RETS to track the results of their energy efficiency and demand-side management customer programs. NC-RETS and all related energy production and customer program records are audited by the Public Staff of the North Carolina Utilities Commission. NC-RETS will integrate with all other renewable energy certificate tracking systems in the United States to allow for the import and export of certificates s to and from North Carolina.

- Public Reports
- North Carolina Utilities Commission

This User Guide outlines the steps for how to:

- Navigate the NC-RETS User Interface (UI)
- Register NC-RETS Accounts
- Register NC-RETS Projects
- Upload generation data
- Transfer Certificates
- Retire Certificates
- Manage Forward Certificate Transfers

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Account Navigation and Customization

This User Guide outlines the steps for how to navigate the NC-RETS User Interface and focuses on the following areas:

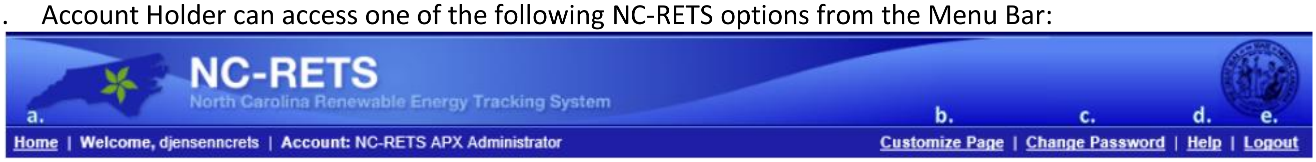
A. Navigate the Menu Bar and Account Dashboard
B. Customize Account Dashboard
C. Update Login Password

A. Navigate Menu Bar and Account Dashboard

NC-RETS Menu Bar

1. In the NC-RETS Account Dashboard (also known as Home Page), the Menu Bar is located on the top of the screen.

2. Account Holder can access one of the following NC-RETS options from the Menu Bar:



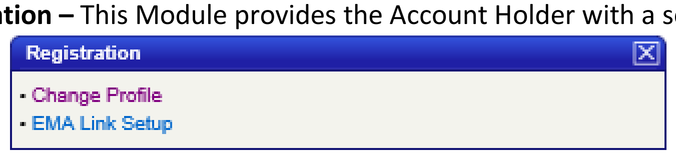
   a. **Home –** Takes Account Holder to the Dashboard screen.
   b. **Customize Dashboard –** Adjust Layout of Account Dashboard.
   c. **Change Password –** Update the password associated with the current Login ID.
   d. **Registry Help –** Displays NC-RETS Administrator contact information.
   e. **Logout –** Logs Account Holder out of system.

Navigate NC-RETS Account Dashboard

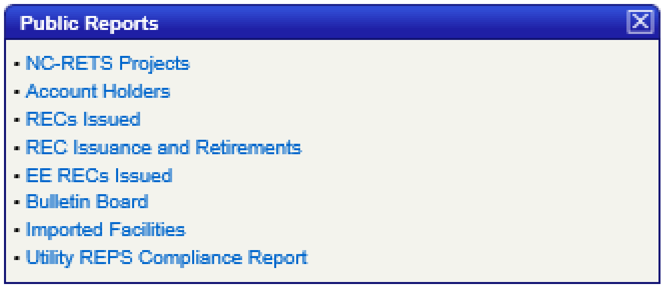
The NC-RETS account dashboard is organized with modules aligned in left and right columns. The modules can be hidden, added and arranged in the dashboard. Account Holders can use various modules to access specific account management tools and reports. The modules available in the account dashboard are based on account type.

1. The following modules are featured on the left-hand side of the Account Dashboard (Home Page) and please note, that the order below can be edited.

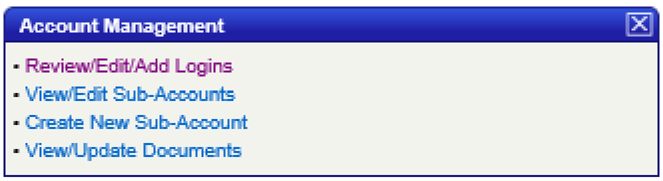
   a. Registration – This Module provides the Account Holder with a screen for updating account information.



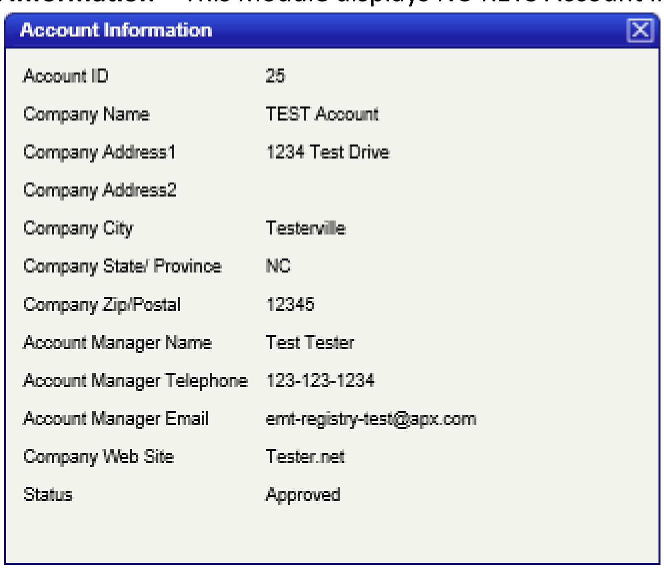
   b. Public Reports – This module displays publicly available NC-RETS reports.



c. **Account Management –** This Module allows Account Holder to manage logins and Sub-Accounts**.**



d. **Account Information –** This module displays NC-RETS Account information.



e. **Login Information –** This module displays the Account Holder's Login information.

Login Information

Login ID	30
Login Name	TESTER123
Contact Title	CFO
Contact Name	Test Tester
Contact Address (1)	1234 Test Drive
Contact Address (2)	
Contact City	Testerville
Contact State/Province	NORTH CAROLINA
Contact Zip/Postal	12345
Contact Country	US
Contact Telephone	123-123-1234
Contact E-mail	emt-registry-test@apx.com
Status	Approved

f. **Inbox –** This module displays incoming Credit transfers from another counter-party

Inbox

Certificate

	From	Quantity	Status	Initiation Date	Accept	Reject
☐	TestAPX	2	Pending	09/05/2018	Accept	Reject
☐	TestAPX	2	Pending	09/05/2018	Accept	Reject
☐	TestAPX	2	Pending	09/05/2018	Accept	Reject
☐	TestAPX	2	Pending	09/05/2018	Accept	Reject
☐	TestAPX	1	Pending	09/05/2018	Accept	Reject

Accept Selected | Reject Selected

Certificate Import

	From	Quantity	Initiation Date

Empty

More...

g. **Outbox** – This module displays outgoing Credit transfers to another account holder.

Outbox

	Certificate					
☐	To	Quantity	Status	Status	Initiation Date	Withdraw
☐	TestAPX	2	Pending	Pending	09/05/2018	Withdraw
☐	TestAPX	2	Pending	Pending	09/05/2018	Withdraw
☐	TestAPX	2	Pending	Pending	09/05/2018	Withdraw
☐	TestAPX	2	Pending	Pending	09/05/2018	Withdraw
☐	TestAPX	1	Pending	Pending	09/05/2018	Withdraw

Withdraw Selected

h. **Account Holder Reports –** This module displays specific account holder reports with data accessible to only the Account Holder.

Account Holder Reports

- My Event Log
- My Sub-Accounts
- My Certificate Transfers
- My Account Holder Registration History
- My Project Registration History
- My Generation Activity Log
- My Generation Report
- Compliance Report
- Non-NC REPS Retirement Report
- My Recurring Transfers
- Annual Attestations
- REC Pricing Report
- My Invoices

2. The following modules are featured on the right-hand side of the Account Dashboard (Home Page) and please note, that the order below can edited.

a. **Asset Management–** Used to View and Manage projects in the Account, including: Registering New Projects, Managing Existing Projects, Reviewing Generation Data and Uploading or Viewing all Project-specific Documents/Attestations.

Asset Management

Total Assets 4

NC-RETS ID	Project	NC-RETS Meter ID	Status	Reporting Entity	Reporting Unit ID	Project Type	Review Data /Self-Report	Annual Review Date	Copy	Documents/ Attestation
EFF314	Test Pump - TEST Programs		Approved	Self Reporting	NC314	EFF	DEC2017	04/01/2012	Copy	View/Update
GEN315	TEST Hydro - Hydro		Approved	Self Reporting	NC315	GEN	DEC2017	04/01/2012	Copy	View/Update
EFF835	Energy Efficiency - TEST01		Approved	Self Reporting	NC835	EFF	DEC2017	08/06/2014	Copy	View/Update
GEN1470	Energies - TEST		Approved	TEST Reporting Entity	NC315	GEN	No Data	09/21/2017	Copy	View/Update

Register New Project (Help Registering Project)

b. Message Notification – Complete list of recent messages related to account activity.

Message Notification - last 30 days

Total Messages 0

Message Type	Message	Receive Date
	No Records!	

More...

c. Account Status – This Module features all information related to REC inventory, including: Active, Retirement, Bulletin Board and Open Subaccount Allocation.

Account Status

Account Summary

Data Loaded Totals	
Total MWhs Pending Certificate Creation	0
Total Certificates Created	**402,899**

Account Activity

Certificates	
Active	1,983,040
Retirement	359,138
Bulletin Board	0

Open Sub-Accounts

Total Sub-Account 13

Sub-Account ID	Sub-Account Name	Sub-Account Name/Alias2	Type	Certificates
2026	2017 Folder for Compliance		Compliance	152,624
410	Energy Efficiency Credits		Active	11,800
317	General RECs		Active	1,767,460
1077	Poultry RECS		Active	33,079
133	Solar RECs		Active	15,795
450	Swine Renewable Credits		Active	2,282
960	2012 REC RETIRMEMENT FOR COMPLIANCE		Compliance	72,134
1124	2013 REC RETIREMENT FOR COMPLIANCE		Compliance	69,131
1505	2014 RECS UTILIZED FOR COMPLIANCE		Compliance	70,785
1723	2015 Compliance		Compliance	145,649
134	DefaultRET	NC GreenPower	Retirement	504
378	Solar Compliance		Compliance	447
822	Solar Compliance 2011		Compliance	488

Create New Sub-Account
View/Edit Sub-Accounts

d. Meter Data Loading (QRE Account Only) – The Meter Data Loading Module is the primary method for loading data into NC-RETS.

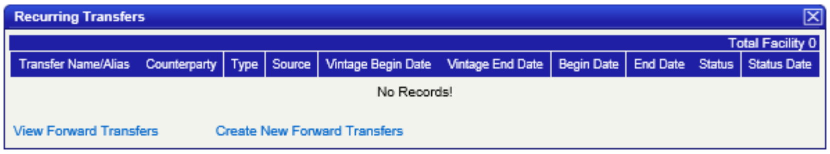
Meter Data Loading

Total Reporting Entity Unit 1

Reporting Entity Unit ID	NC-RETS ID	Project	Project Owner Company Name	Account Holder	State/Province	Last Upload Date
123456789	GEN580	TEST System - PV System	John & Ann Campbell	Test Renewable Energy Account	NC	2/6/2017 9:55:09 PM

Year: 2018 ◉ Generation ○ Adjustment
File to upload: Browse... Upload

e. **Recurring Transfers –** This Module shows information on existing Forward Transfers and the ability to create new a Forward Transfer.

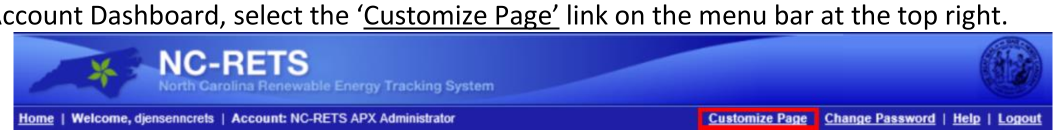


f. **Forward Transfers Inbox –** This Module is where pending Forward Transfers are displayed.

B. Customize Account Dashboard

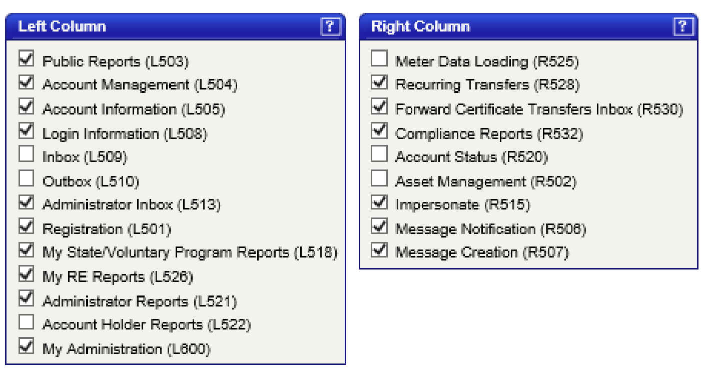
The NC-RETS Account Dashboard can be customized to move, add, or remove modules.

1. In the Account Dashboard, select the 'Customize Page' link on the menu bar at the top right.

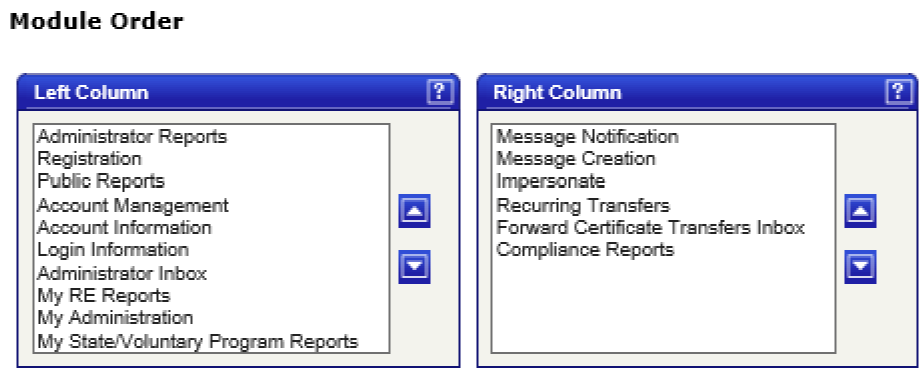


2. In the Display Modules section of the screen, check or uncheck the modules that are displayed on the User's Account Dashboard.

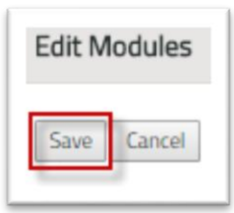
Display Modules



3. In the Module Order section of the screen, User can reorder how modules are displayed in the Account Dashboard by selecting the arrows to reorder the modules.



4. Select the [Save] button to save the changes to the Account Dashboard.



Note: Modules can only be reordered within the columns and cannot be moved from left to right or right to left.

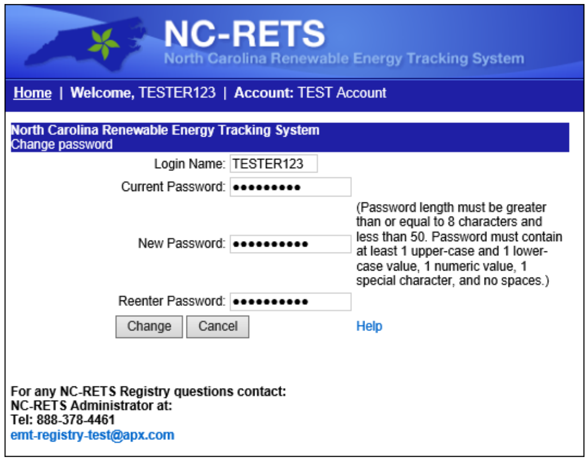
C. Change Password

Change Password: How to Change your own Password

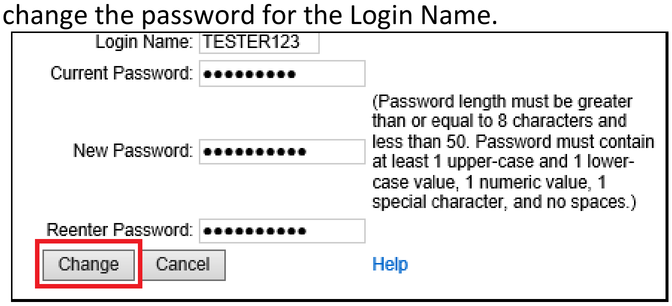
All NC-RETS Account Holders have the ability to change their login password.

1. From the Account Dashboard, Select the 'Change Password' link on the menu bar at the top right.

2. In the Password Change screen, enter the password in all the fields on the Password Change screen.



3. Select the [Change] button to change the password for the Login Name.



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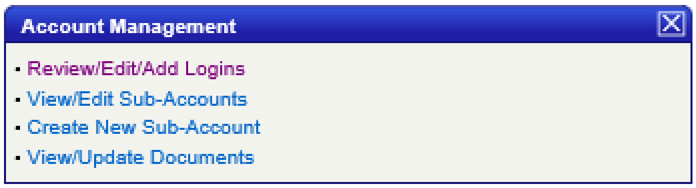
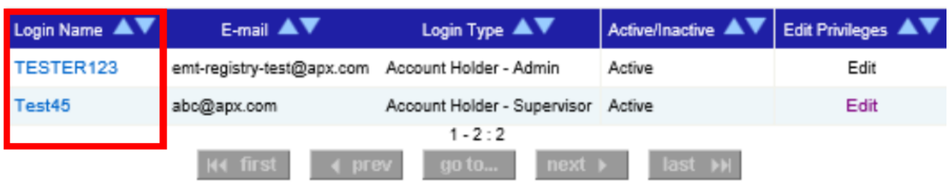
Change Passwords: Logins Assigned to the Account

The Account Manager can change the Password for a Supervisor or View-only login.

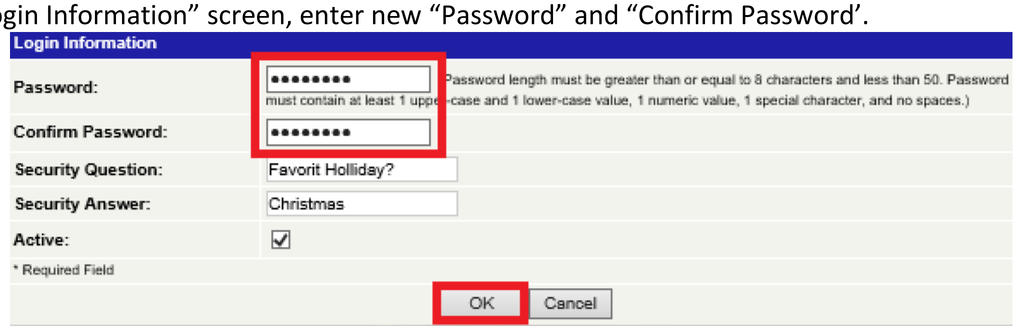
1. In the Account Dashboard, go to the Account Management module and selects the 'Review/Edit/Add Logins' hyperlink as shown below:



2. In the Login Management, select the hyperlink in the 'Login Name' Column



3. In the "Login Information" screen, enter new "Password" and "Confirm Password'.



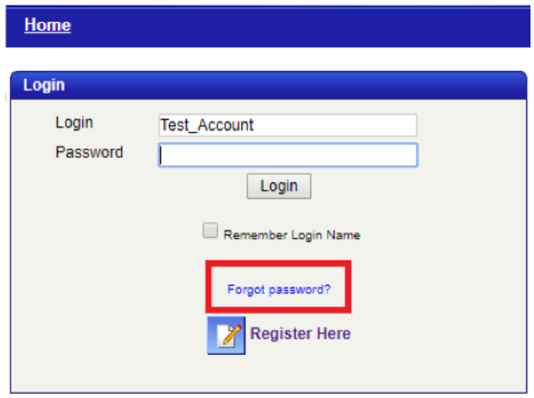
4. Select the [OK] button to deactivate login.

Note: The account manager will need to send the revised password to the owner of the login. They will be asked to change the password when logging in for the first time.

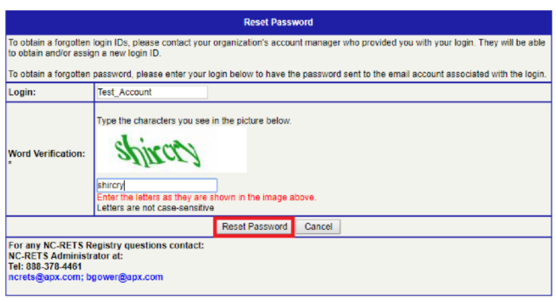
Change Passwords: Forgot Password

When a password is forgotten or misplaced, the user can update their own password using the 'Forgot Password?' link located on the Login screen

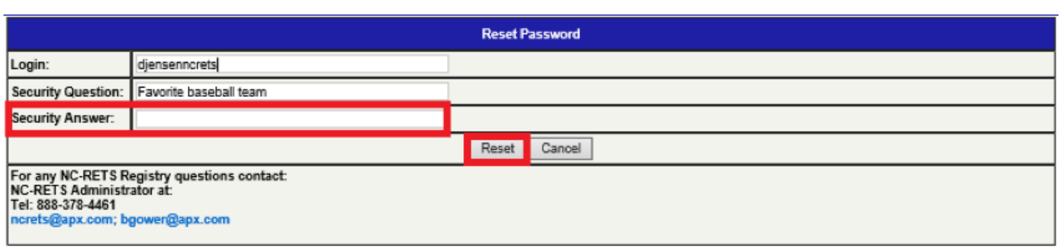
1. In the Login screen, select the 'Forgot Password?' link located.



2. Enter your Login, complete the Word Verification and press the [Reset Password] button



3. In the “Reset Password" screen, enter the "Security Answer" and select [Reset] to request a new password.



4. A new password will be sent to the email associated with the login.

NC-RETS Account Registration User Guide

Account Registration is the first step to participate in North Carolina Renewable Energy Tracking System (NC-RETS). Any person or entity wanting to participate in NC-RETS must establish an Account.

> **Note:** Users can only register projects and manage certificates if they first have an approved NC-RETS account.

Registrants will provide basic account registration information, such as Account Holder name, address and contact information, to the NC-RETS Administrator through a secure web-page on the NC-RETS website and agree to the Terms of Use.

The following information will guide you through the steps necessary to create an account in NC-RETS. The Registry Administrator is available to assist you throughout the registration process.

Please call 888-378-4461 or email NCRETS@apx.com

This User Guide outlines the steps for how to register a new NC-RETS Account and focuses on the following areas:

A. Account Registration Process Overview
B. Account Types
C. Register New Account
D. Activate Account
E. Manage Account Logins Manage Account Logins (for NC-RETS -Specific Contact)
F. Frequently Asked Questions

A. Account Registration Process Overview

Below is the Account Registration process overview:

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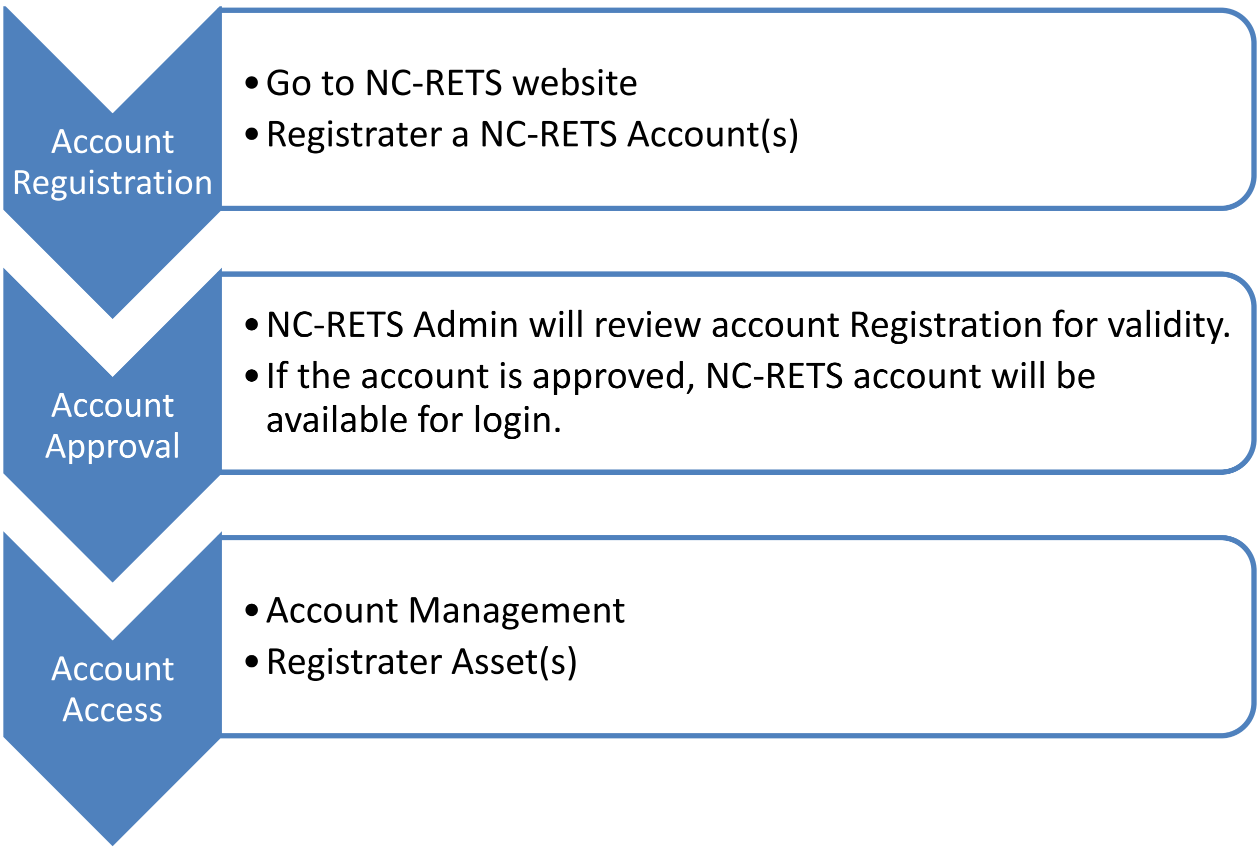


B. Account Types

Below are the different NC-RETS Account Types and functionality available for each account type:

- **North Carolina Electric Power Supplier**
    - This type of Account can hold, transfer (outgoing and incoming), and Retire Certificates.
    - A North Carolina Electric Power Supplier Account can also register and maintain Projects and have Certificates issued to it for its Projects, including energy efficiency and demand side management programs.
    - A North Carolina Electric Power Supplier Account is the only type of Account that can retire Certificates for compliance with NC's Portfolio Standard.
    - An organization that provides compliance services for another Electric Power Supplier is called a Utility Compliance Aggregator.
        - Only Electric Power Suppliers and Utility Compliance Aggregators are eligible to establish a North Carolina Electric Power Supplier Account.

- **General Account**
    - This type of Account can register Projects and have certificates issued to it for its Projects. (Before creating Certificates in NC-RETS, a Renewable Energy Facility must first register with the Commission).

- A General Account can hold, transfer, and Retire Certificates (for reasons other than compliance with NC's Portfolio Standard).

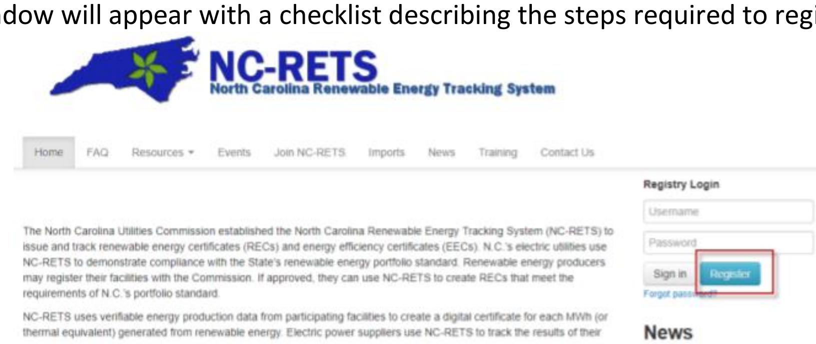
- **Qualified Reporting Entity:**
  - An Account Holder with a QRE Account is assigned to a Project and is responsible for providing energy production information such as monthly meter readings for that Project.
  - A QRE Account cannot hold Certificates.
  - The QRE uses its NC-RETS Account to upload meter reads or monthly settlement data for each Project to which it is assigned.
  - An Electric Power Supplier should have a QRE Account if it reads the production meter for Renewable Energy Facilities, or if it is a Balancing Authority

- **Program Auditor**
  - This type of Account will allow Commission and Public Staff to perform compliance review and auditing of program data as needed.

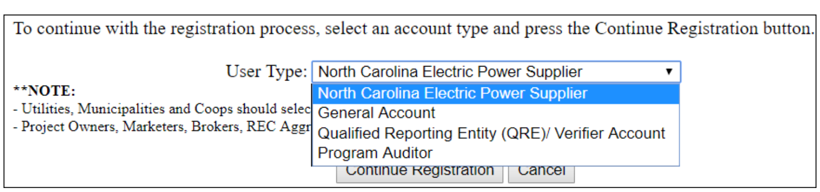
C. Register New Account

To register a new NC-RETS account, the following steps must be followed:

1. Go to http://www.ncrets.org/
2. Under the Registry Login box, select the [Register] button, as shown below:
   a. A pop-up window will appear with a checklist describing the steps required to register an account.



3. Choose the applicable "Account Type" from the menu and select [Continue Registration]
   a. More Information on Account Types can be found here



Note: Most new Account Holders will select General Account.

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4. Read and agree to [North Carolina Renewable Energy Tracking System (NC-RETS) Terms of Use.]
    a. Acceptance of the Terms of Use (TOU) must be completed by reviewing all terms; checking each section; and digitally signing the TOU and pressing the [I Agree] button. After selecting the 'Agree' button, the Name, Title, IP Address and timestamp will be recorded as the digital acceptance of the Terms of Use. Upon accepting the Terms of Use, the next screen shows the online New Account Application Form (Company Information, Account Manager Information and Login Information) which will need to be filled out for all required fields at a minimum.
5. Complete Account Application
    a. Complete all required fields, which are noted by an asterisk (*)

i. Company and Account Type:

Account Type:*	(●) North Carolina Electric Power Supplier	( ) General Account
Company Type:* (Select all that applies)	[x] Generating Project Owner/Representative	[ ] Thermal Project Owner/Representative
	[ ] Voluntary REC Aggregator	[ ] Utility Compliance Aggregator / Reporter
	[ ] Investor-Owned Utility	[ ] Municipal Utility
	[ ] Electric Membership Corporation	[ ] Federal Power Authority
	[ ] REC Aggregator / Marketer	

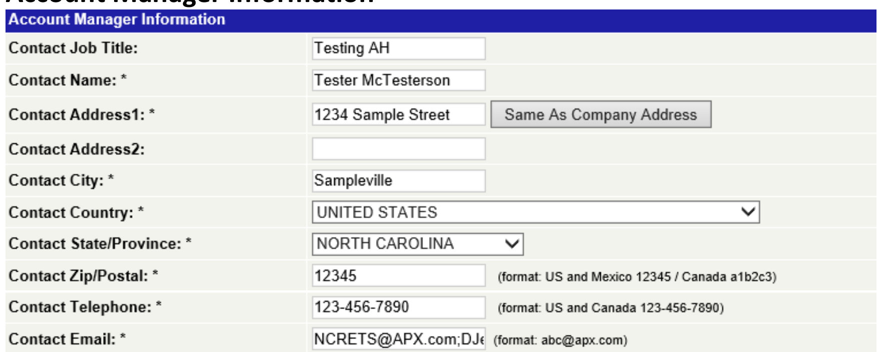
ii. Company Information

Company Information		
Company Name: *	Tester	
Company Address1: *	1234 Sample Street	
Company Address2:		
Company City: *	Sampleville	
Company Country: *	UNITED STATES	
Company State/Province: *	NORTH CAROLINA	
Company Zip/Postal: *	12345	(format: US and Mexico 12345 / Canada a1b2c3)
Company Web site URL:		(format: www.apx.com)
Prior Year Total Retail Load Served (MWh): *	2017	
Aggregated Utilities Count: *	1	
Aggregated Utilities: * Note: All electric power suppliers shall submit their previous year's retail sales data to NC-RETS by June 1st, with each electric power supplier's sales data provided separately. Use the 'Add' button to enter each electric power supplier's retail sales individually. The Total Retail Sales will be totaled in the read-only Prior Year Total Retail Load Served (MWh) field.	Electric Power Supplier	Prior Year's Retail Sales

iii. Billing Contact Information

Billing Contact Information		
Billing Contact Name:*	Test Tester	
Company Billing Address1:*	1234 Sample Street	Same As Company Address
Company Billing Address2:		
Company Billing City:*	Sampleville	
Company Billing Country:*	UNITED STATES	
Company Billing State/Province:*	NORTH CAROLINA	
Company Billing Zip/Postal:*	12345	(format: US and Mexico 12345 / Canada a1b2c3)
Billing Contact Telephone:*	123-456-7890	(format: US and Canada 123-456-7890)
Billing Contact Fax (if applicable):		(format: US and Canada 123-456-7890)
Billing Contact Email Address:*	NCRETS@APX.com	(format: abc@apx.com)

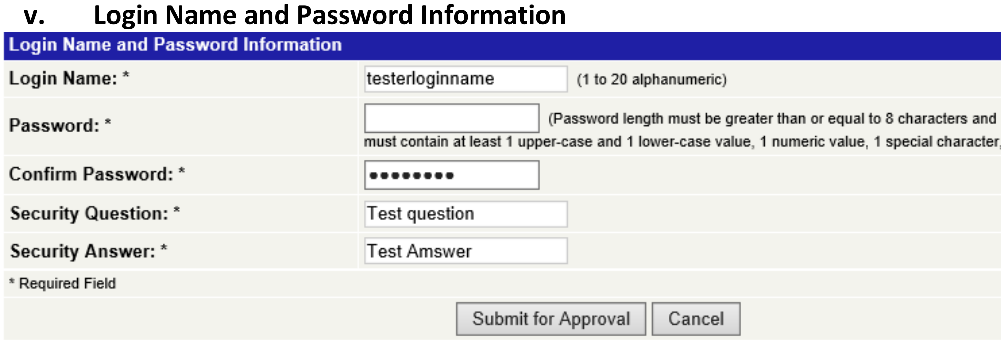
iv. Account Manager Information



Account Manager Information		
Contact Job Title:	Testing AH	
Contact Name: *	Tester McTesterson	
Contact Address1: *	1234 Sample Street	Same As Company Address
Contact Address2:		
Contact City: *	Sampleville	
Contact Country: *	UNITED STATES	
Contact State/Province: *	NORTH CAROLINA	
Contact Zip/Postal: *	12345	(format: US and Mexico 12345 / Canada a1b2c3)
Contact Telephone: *	123-456-7890	(format: US and Canada 123-456-7890)
Contact Email: *	NCRETS@APX.com;DJe	(format: abc@apx.com)

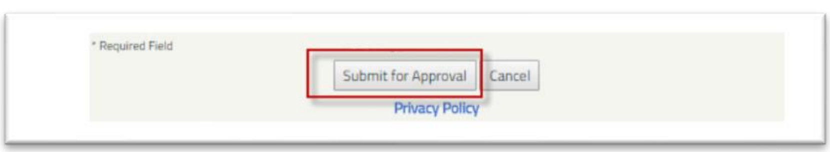
1. You must designate at least one person, but may designate two, who would receive e-mails regarding the status of NC-RETS invoices and payment
2. In the case of multiple e-mail contacts, they must be separated using a semicolon ";".
3. An individual e-mail address is required.

v. Login Name and Password Information



Login Name and Password Information		
Login Name: *	testerloginname	(1 to 20 alphanumeric)
Password: *		(Password length must be greater than or equal to 8 characters and must contain at least 1 upper-case and 1 lower-case value, 1 numeric value, 1 special character,
Confirm Password: *	••••••••	
Security Question: *	Test question	
Security Answer: *	Test Amswer	
* Required Field		
	Submit for Approval	Cancel

6. Select the [Submit for Approval] to Register the new account



7. Congratulations, you have completed the **first step** of the Account Registration process! The **final step** to activate your account must still be completed for your account to reach the NC-RETS Administrator.

   Note:. An account activation email will be sent to the email associated with the Account Manager. Please see Section D for instructions on how to activate a new NC-RETS account.

Account Review and Additional Required Doumentation

The NC-RETS Administrator will review the account application. You will not be permitted to log in until your account is approved. The Administrator will ask you to email additional information based on your account type. To expedite the Account Review Process, please email the administrator (NCRETS@apx.com) the following information and documents:

Please provide a detailed description of how you plan to use your account.

Your detailed description should address the following:

- *Do you have any accounts in any other Registries?*
  - *If so, which ones?*
- *Are you registering projects?*
  - *If Yes, please explain*
- *Are you purchasing* certificates*?*
  - *If Yes, please explain*
- *Are you selling/transferring* certificates*?*
  - *If Yes, please explain*
- *Are you Importing or Exporting* certificates*?*
  - *If Yes, please explain*
- *Confirmation whether your account will have any:*
  - *Omnibus Holdings:* Certificates *holdings for other users*
  - *Omnibus Retirements:* Certificates *retirements for other users*

**Please do not copy these questions with Yes/No answers. We are looking for complete information about your company, your relationship to the registered account, and how NC-RETS is serving your needs. Your answers are part of our audit process to determine you are a legitimate representative of the company you are registering and that you are opening the correct account type for how you need to use NC-RETS.

Please Provide the following documents:

1. *If you are an Agent, provide a signed* **Declaration of Agency**

2. *Appropriate approval document that you are authorized to register this account (e.g. board or member resolution authorizing the opening of the account on our registry; letter from Authorized Personnel authorizing you to operate this account).*

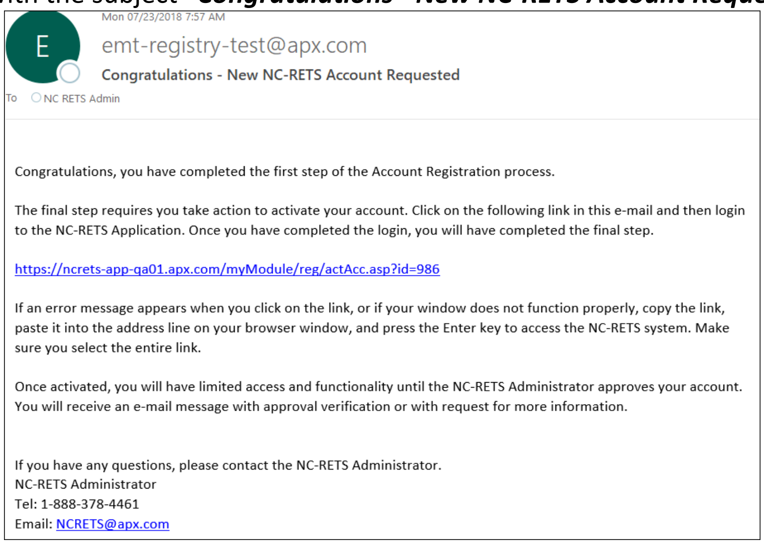
When the account application is approved, an email notification describing account approval will be sent to the designated Account Manager's email address provided in the New Account Application form. If materials are incomplete or additional information is required, the NCRETS Administrator will notify the Account Manager.

D. Activate Account

After a user registers an NC-RETS account, the user identified as the NC-RETS Account Manager takes the following steps to activate a new Account. If an email was not received after submitting the registration, check the spam or junk folder to see if the registry email was redirected.

To activate the new Account Registration, User identified as the NC-RETS Account Manager, takes the following steps:

1. Check for an email with the subject ***"Congratulations - New NC-RETS Account Requested"***



Mon 07/23/2018 7:57 AM

emt-registry-test@apx.com

Congratulations - New NC-RETS Account Requested

To NC RETS Admin

Congratulations, you have completed the first step of the Account Registration process.

The final step requires you take action to activate your account. Click on the following link in this e-mail and then login to the NC-RETS Application. Once you have completed the login, you will have completed the final step.

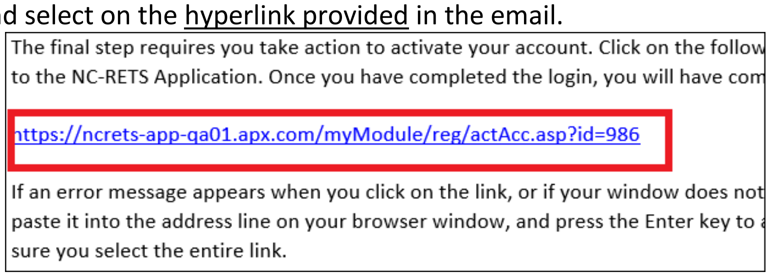
https://ncrets-app-qa01.apx.com/myModule/reg/actAcc.asp?id=986

If an error message appears when you click on the link, or if your window does not function properly, copy the link, paste it into the address line on your browser window, and press the Enter key to access the NC-RETS system. Make sure you select the entire link.

Once activated, you will have limited access and functionality until the NC-RETS Administrator approves your account. You will receive an e-mail message with approval verification or with request for more information.

If you have any questions, please contact the NC-RETS Administrator.
NC-RETS Administrator
Tel: 1-888-378-4461
Email: NCRETS@apx.com

2. Review the email and select on the hyperlink provided in the email.

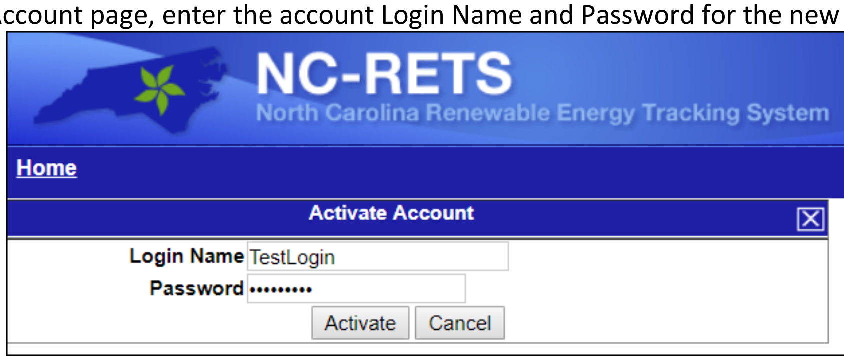


The final step requires you take action to activate your account. Click on the follow
to the NC-RETS Application. Once you have completed the login, you will have com

https://ncrets-app-qa01.apx.com/myModule/reg/actAcc.asp?id=986

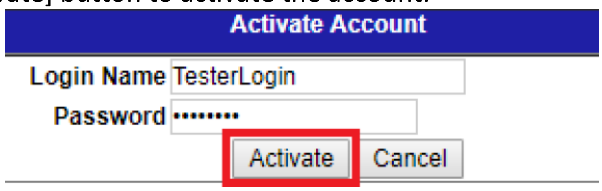
If an error message appears when you click on the link, or if your window does not
paste it into the address line on your browser window, and press the Enter key to
sure you select the entire link.

3. In the Activate Account page, enter the account Login Name and Password for the new account.



North Carolina Renewable Energy Tracking System

4. Select the [Activate] button to activate the account.



Note: At this point, the NC-RETS Administrator will be notified that an Account Registration has been activated. The NC-RETS Administrator will verify the account Registration and approve the NC-RETS account. Account Managers cannot log into their NC-RETS account until it has been approved by the Administrator.

If you have any questions, please contact the NC-RETS Administrator.
NC-RETS Administrator
Tel: 888-378-4461
Email: NCRETS@apx.com

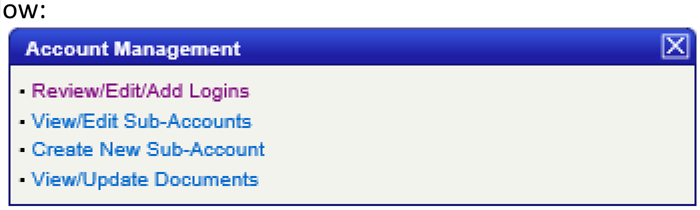
E. Manage Account Logins

The NC-RETS Account Manager is in charge of Logins for all users in their account. Only the Account Manager can add new logins, edit existing logins, and deactivate logins from their account.

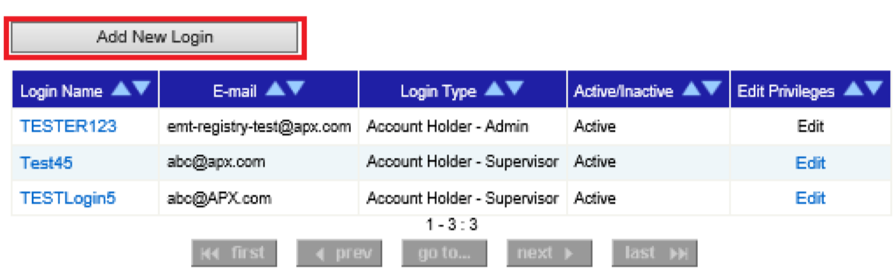
Note: Login sharing is prohibited and the Account Manager should create/manage individual logins for each person accessing the Account.

Add New Logins

1. In the Account Dashboard, go to the **Account Management** module and select the 'Review/Edit/Add Logins' hyperlink as shown below:

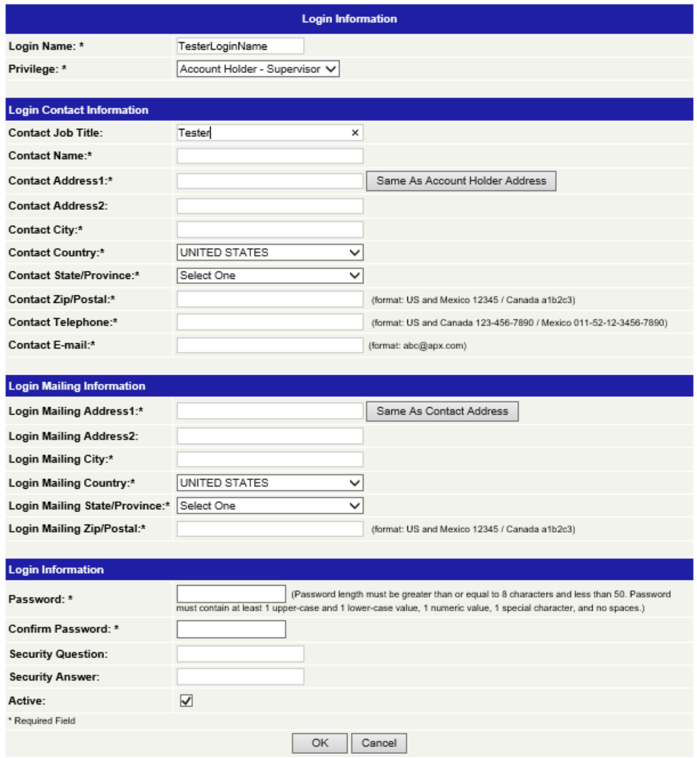


2. In the Account Management screen, select the 'Add New Login button.



Login Name	E-mail	Login Type	Active/Inactive	Edit Privileges
TESTER123	emt-registry-test@apx.com	Account Holder - Admin	Active	Edit
Test45	abc@apx.com	Account Holder - Supervisor	Active	Edit
TESTLogin5	abc@APX.com	Account Holder - Supervisor	Active	Edit

3. In the Login Information screen, enter data into the fields on the form and designate login privilege for assigned to the login.



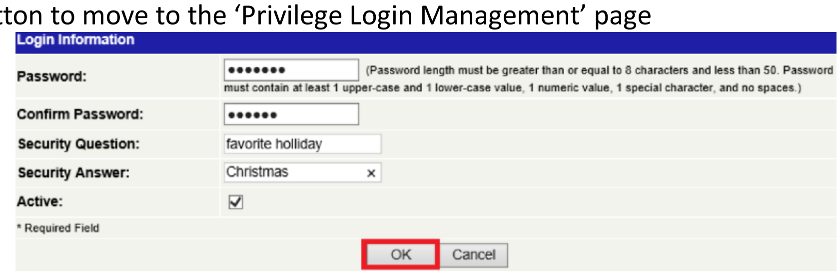
Login Information	
Login Name: *	TesterLoginName
Privilege: *	Account Holder - Supervisor
Login Contact Information	
Contact Job Title:	Tester
Contact Name:*	
Contact Address1:*	Same As Account Holder Address
Contact Address2:	
Contact City:*	
Contact Country:*	UNITED STATES
Contact State/Province:*	Select One
Contact Zip/Postal:*	(format: US and Mexico 12345 / Canada a1b2c3)
Contact Telephone:*	(format: US and Canada 123-456-7890 / Mexico 011-52-12-3456-7890)
Contact E-mail:*	(format: abc@apx.com)
Login Mailing Information	
Login Mailing Address1:*	Same As Contact Address
Login Mailing Address2:	
Login Mailing City:*	
Login Mailing Country:*	UNITED STATES
Login Mailing State/Province:*	Select One
Login Mailing Zip/Postal:*	(format: US and Mexico 12345 / Canada a1b2c3)
Login Information	
Password: *	(Password length must be greater than or equal to 8 characters and less than 50. Password must contain at least 1 upper-case and 1 lower-case value, 1 numeric value, 1 special character, and no spaces.)
Confirm Password: *	
Security Question:	
Security Answer:	
Active:	☑

* Required Field

OK Cancel

a. Privilege Description
   i. Account Holder – Supervisor: User is permitted to registry projects and manage certificates
   ii. Account Holder - View Only: User is only permitted to view account reports
b. Login Contact Information
   i. Unique Name Required
   ii. Contact Address can be unique or same as account holder
c. Login Mailing Information
   i. Mailing address can be the as the Contact Address
d. Login Information
   i. Password
   ii. Security Question and Answer
   iii. Check off Active

4. Select the [OK] button to move to the 'Privilege Login Management' page

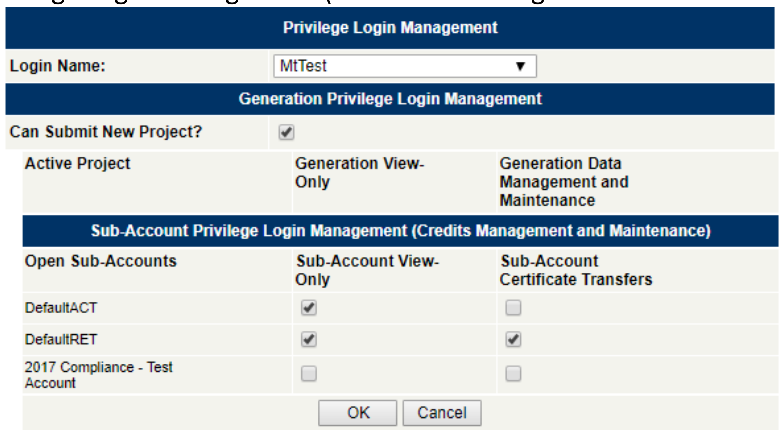


Login Information	
Password:	••••••• (Password length must be greater than or equal to 8 characters and less than 50. Password must contain at least 1 upper-case and 1 lower-case value, 1 numeric value, 1 special character, and no spaces.)
Confirm Password:	••••••
Security Question:	favorite holliday
Security Answer:	Christmas
Active:	☑

* Required Field

OK Cancel

5. Establish permissions for new User by selecting applicable checkboxes in following two sections:
   a. Generation Privilege Login Management
   b. Sub-Account Privilege Login Management (Certificate Management and Maintenance)

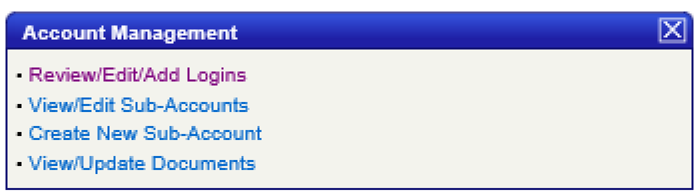


6. Select [Ok] to finalize information and new login will be created

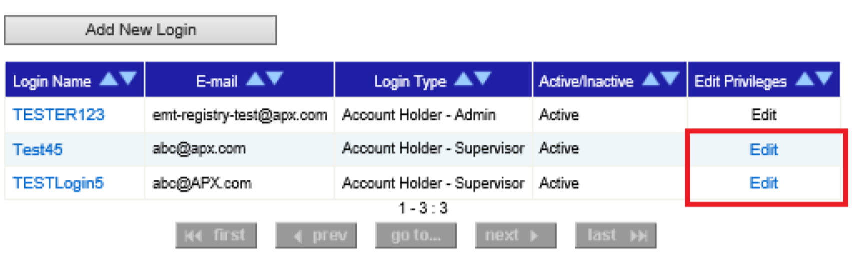
   Note: New Account Holders will be prompted to change the password after initial login after logging in with the password provided by the Account Manager that created the login.

Editing Privileges

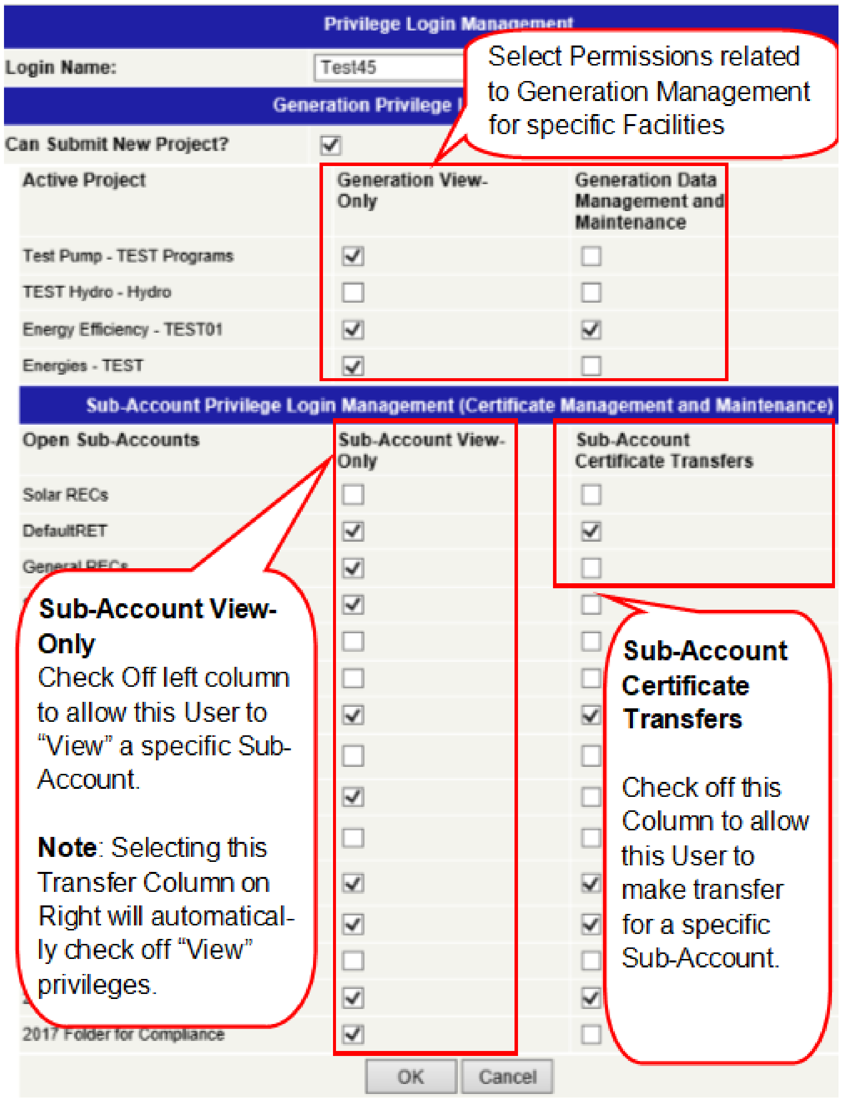
1. In the Account Dashboard, go to the Account Management module and select the 'Review/Edit/Add Logins' hyperlink as shown below:



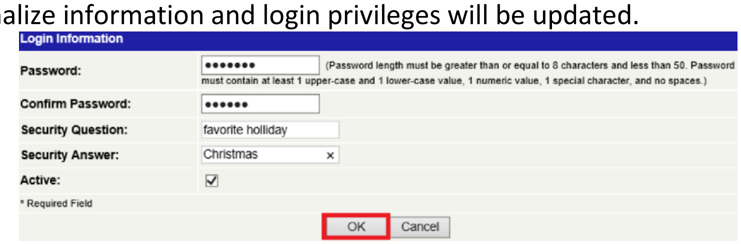
2. In the Login Management, select the 'Edit' hyperlink for a login.



3. Edit the privileges by Selecting/Deselecting the applicable options.



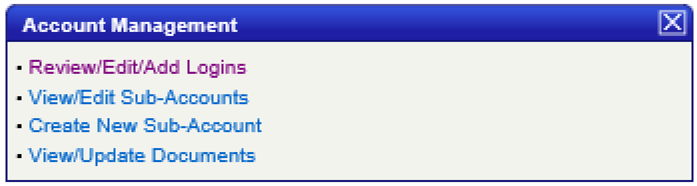
4. Select the [OK] to finalize information and login privileges will be updated.



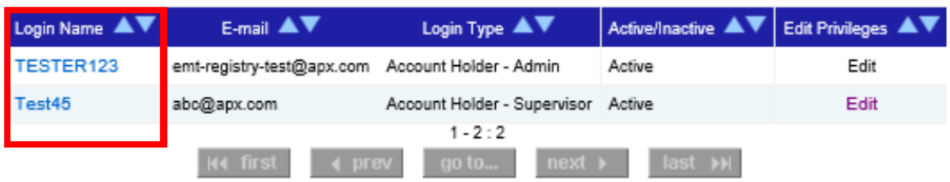
Deactivate a Login

Only the Account Manager can deactivate a Login

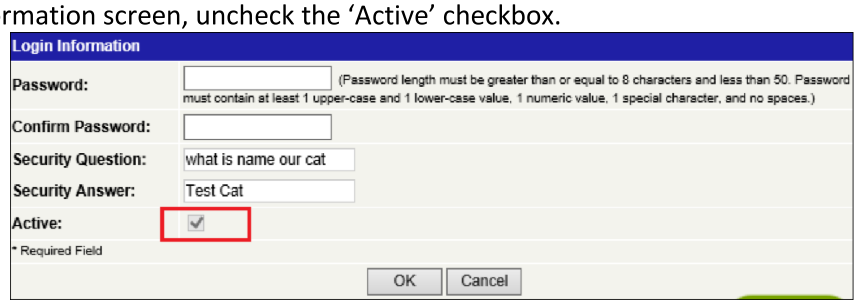
1. In the Account Dashboard, go to the Account Management module and selects the '<u>Review/Edit/Add Logins</u>' hyperlink as shown below:



2. In the Login Management, select the hyperlink in the 'Login Name' Column



3. In the Login Information screen, uncheck the 'Active' checkbox.



4. Select the [OK] button to deactivate login.

F. Frequently Asked Questions

1. **Where can I find my Account/Company ID?**
    - Under the Account Information module, Users can see the Company ID/Account ID.

Account Information	
Account ID	25
Company Name	TEST Account
Company Address1	1234 Test Drive
Company Address2	
Company City	Testerville
Company State/ Province	NC
Company Zip/Postal	12345
Account Manager Name	Test Tester

2. I just activated my account. Why am I having issues logging into my account?

- Account Managers will not be able to log into their NC-RETS account until the System Administrator reviews and approves the NC-RETS account.

3. Where is my activation email?

- Activation emails are sent to the email address entered in the NC-RETS-Specific Contact Info section of account registration. Additionally, please check in the spam folder. Lastly, contact the NC-RETS administrator if the issue persists.

4. What type of account should I select to register?

- See section on Account Types

5. What provisions are there for Account Holders or other interested parties to communicate with APX and appropriate Electric Reliability Division staff members regarding NC-RETS system operations and any proposed system changes or improvements?

- Entities are encouraged to communicate about any NC-RETS issues by contacting APX. APX discusses all NC-RETS substantive and policy issues with the Commission Staff. Please call 888-378-4461 or email NCRETS@APX.com

6. What information is public?

- The North Carolina Renewable Energy Tracking System strikes a balance between respecting the privacy of certain account holders and providing the public with complete Registry transparency. As a result, NC-RETS provides a number of publicly accessible reports that provide comprehensive information about the renewable projects without requiring account holders to disclose their presence or their credit inventory. The Public Reports provide comprehensive information about all renewable energy projects.

7. When a new user sets up an account and selects a QRE, does the QRE also receive an email notification of this new user?

- No, but APX will add this feature in a Post Launch software update. In the interim, the QRE will access their Meter Data Loading module which will dynamically update when new projects claim a QRE.

NC-RETS Project Registration User Guide

Account Holders can only register NC-RETS projects if they have an approved NC-RETS account. A Project is not approved until it is reviewed and validated by the NC-RETS Administrator. The following information will guide you through the steps necessary to register a Project in your North Carolina Renewable Energy Tracking System (NC-RETS) account.

To register a Generating Unit Facility or a Storage Facility as a Project, the owner or the Responsible Party must:

- Have submitted an application that has been approved by the North Carolina Utilities Commission, pursuant to the Commission's Rule R8-66, see www.ncuc.net.
- Have an approved Account in NC-RETS
- Submit a completed online registration form containing information related to the characteristics of the Generating Unit

This User Guide outlines the steps for how to register a new project in NC-RETS and focuses on the following areas:

A. NC-RETS Project Registration Process Overview
B. Apply for Certification with NCUC
C. Detailed Project Registration instructions
D. Uploading Document/Attestations for a NC-RETS Project
E. Frequently Asked Questions (FAQs)

A. NC-RETS Project Registration Process Overview

Below is a high level description of the NC-RETS Project Registration process:

Appy with NCUC	• Apply to register the facility with the Commission. (See NC General Statutes 62-133.8.) • Recieve Docket number
Register Project	• Log into NC-RETS account • Register the facility as an NCRETS Project
Upload Documentation	• Submit any required documentation and/or affidavits proving eligibility using the Document/Attestation upload screen.
Project Approval	• NC-RETS administrator reviews and approves project

B. Apply for certification with North Carolina Utilities Commission (NCUC)

If your facility meets the definition of a renewable energy facility whose output can be used to comply with NC's renewable energy portfolio standard, you should apply to register the facility with the Commission. (See NC General Statutes 62- 133.8.) The Commission's Rules R8-66 explain the filing requirements. The rules can be found at the Commission's web site via this link:
http://www.ncuc.net/ncrules/rulstoc.htm

After you make the submittal, the Commission will assign it a docket number. The Public Staff of the Commission will review the filing and forward the Commission a recommendation within 10 business days. You can discuss the Public Staff's review by contacting at the Public Staff 919-733-2267

Finally, the Commission will issue a final order either approving or rejecting the application. Once a facility has an order approving registration with the Commission, the facility owner can contact NC-RETS to register the facility in NC-RETS as a project and begin to create renewable energy certificates.

NC-RETS
North Carolina Renewable Energy Tracking System

C. Registering a NC-RETS Project

To Register a new NC-RETS project, User takes the following steps:

1. In the Account Dashboard, locate the **Asset Management** module.

2. Under the **Asset Management** module, Select on the Register New Project hyperlink as pictured below:

Asset Management

Total Assets 4

NC-RETS ID	Project	NC-RETS Meter ID	Status	Reporting Entity	Reporting Unit ID	Project Type	Review Data /Self-Report	Annual Review Date	Copy	Documents/ Attestation
EFF314	Test Pump - TEST Programs		Approved	Self Reporting	NC314	EFF	DEC2017	04/01/2012	Copy	View/Update
GEN315	TEST Hydro - Hydro		Approved	Self Reporting	NC315	GEN	DEC2017	04/01/2012	Copy	View/Update
EFF835	Energy Efficiency - TEST01		Approved	Self Reporting	NC835	EFF	DEC2017	08/06/2014	Copy	View/Update
GEN1470	Energies - TEST		Approved	TEST Reporting Entity	NC315	GEN	No Data	09/21/2017	Copy	View/Update

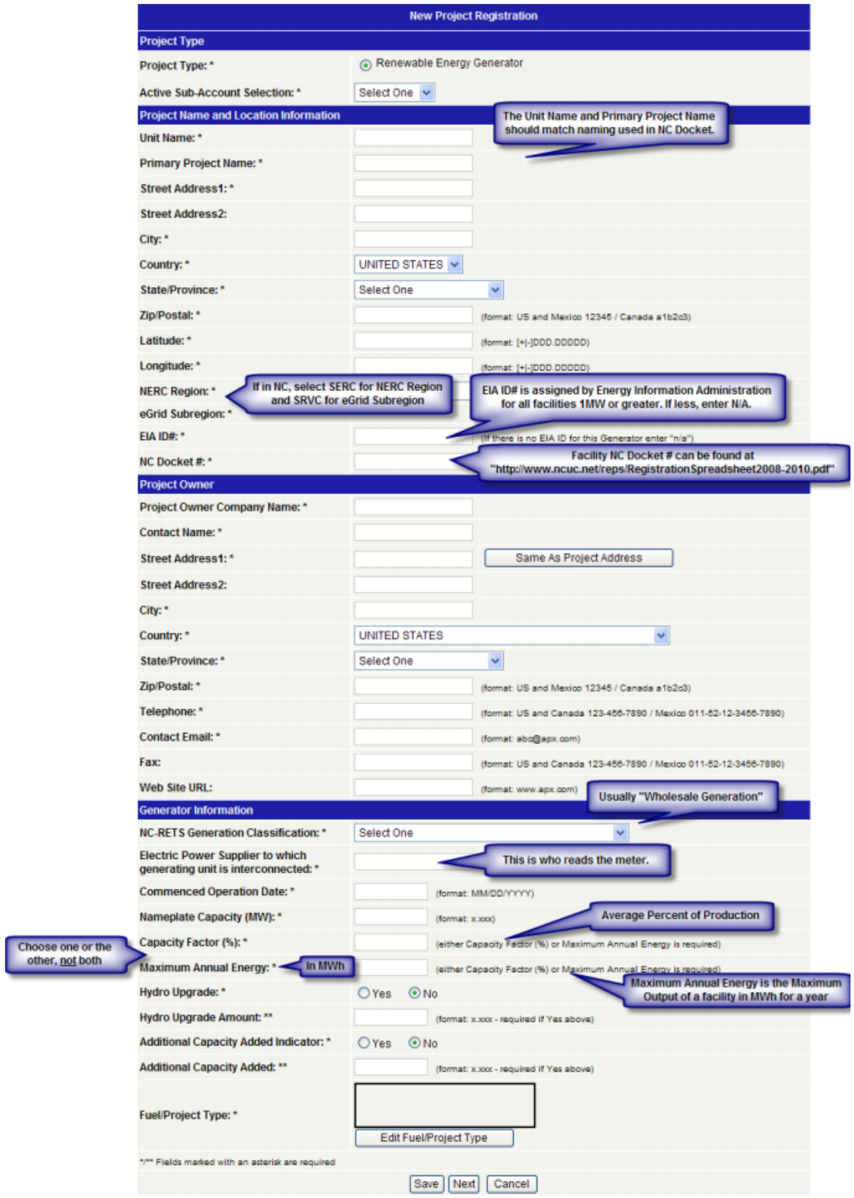
Register New Project (Help Registering Project)

3. You are then taken to Page 1 of a 3-page registration process. (see screenshot of Page 1 below)
    1. **The NC Docket filed with the Commission, as part of the Commission Renewable Facility Registration, should be the main source of information for filling out the details below.**
    2. Here is a link to the NC Docket database: https://starw1.ncuc.net/NCUC/page/Dockets/portal.aspx

4. Complete the first page of project registration by selecting the [Next] button and then go to the next page.

   Note: You can select the “Save” button to save entered data and return at a later time to finish the registration

North Carolina Renewable Energy Tracking System



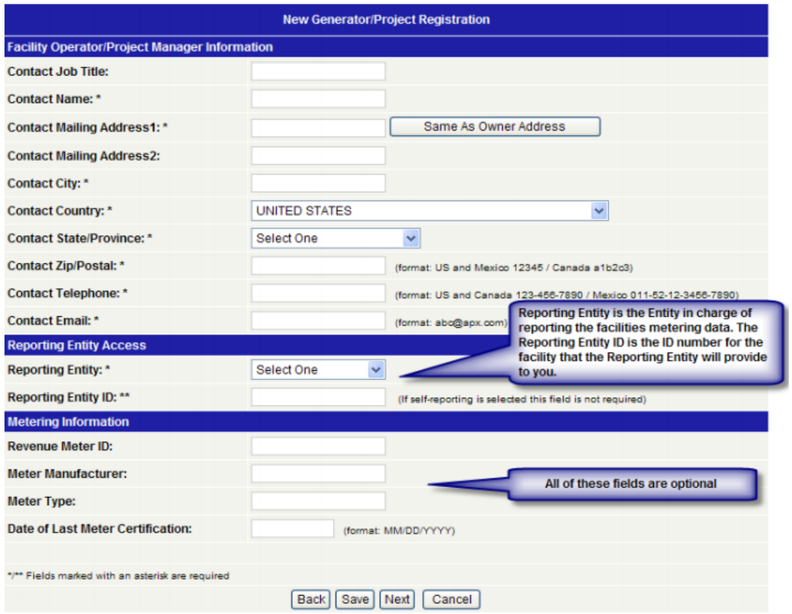
5. In the second page of Project registration, the Account Holder provides details about the Facility Operator, Reporting Entity, and Metering Information.

6. Select the [Next] button to move to the final page of Generator/Project Registration.

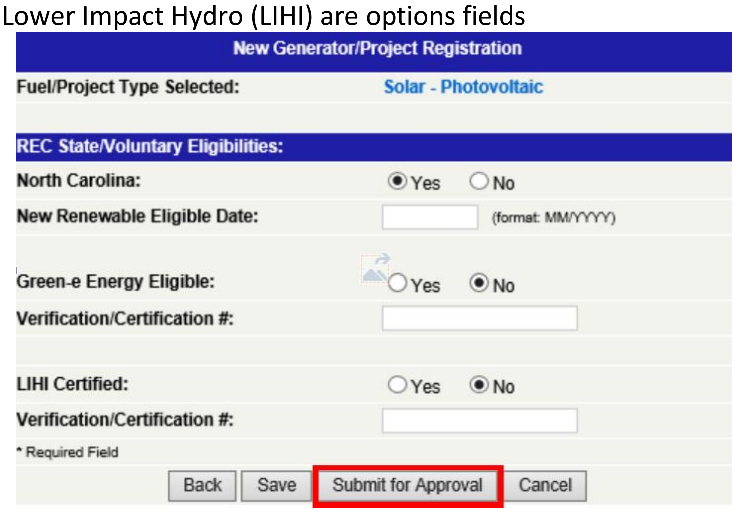
   Note: If needed, you can select on the [Back] button to return to the previous registration page.

NC-RETS

North Carolina Renewable Energy Tracking System



7. The final page of the *New Generator/Project Registration* is about certificate eligibility. Review/Update information and Select [Submit for Approval].
    1. North Carolina Eligibility Defaulted to "Yes"
    2. New Renewable Eligible Date should be set according to the Docket filing (Generally matches Commercial Operating Date)
    3. Green-e and Lower Impact Hydro (LIHI) are options fields



8. The Project Registration will now be sent to the Registry Administrator, and an email notification will be sent to the email address of the Account Manager.

    Note: A NC-RETS ID will be created once the Project registration is submitted. The Designated Representative can view the NC-RETS ID by going back to the **Asset Management** module. Projects will be in a 'Pending' status until the Registry Administrator reviews and approves the Project registration.

D. Uploading Documents/Attestations for an NC-RETS Project

Once a new Project has been registered, the Designated Representative will need to submit any required documentation and/or affidavits proving eligibility for issuance.

Documents to submit include proof of title and/or additional documentation proving the Account Holder is either the owner of the Generating Unit Facility or Storage Facility or has the owner's permission to act as the Responsible Party for such Generating Unit Facility or Storage Facility and register it in NC-RETS in order to receive credits

The NC-RETS Administrator will review the submitted documentation and may require additional documentation to be submitted before a Generating Unit Facility or a Storage Facility is accepted as a Project.

To Upload Documents for a new NC-RETS project, User takes the following steps:

1. In the Account Dashboard, locate **Project Management** module.

2. Under the **Project Management** module, locate the project that needs documents uploaded.

3. Select the View/Update Link under the Documents/Attestation Column to access

Asset Management

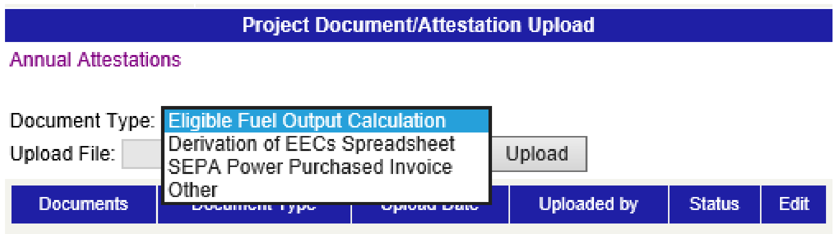
Total Assets 4

NC-RETS ID	Project	NC-RETS Meter ID	Status	Reporting Entity	Reporting Unit ID	Project Type	Review Data /Self-Report	Annual Review Date	Copy	Documents/ Attestation
EFF314	Test Pump - TEST Programs		Approved	Self Reporting	NC314	EFF	DEC2017	04/01/2012	Copy	View/Update
GEN315	TEST Hydro - Hydro		Approved	Self Reporting	NC315	GEN	DEC2017	04/01/2012	Copy	View/Update
EFF835	Energy Efficiency - TEST01		Approved	Self Reporting	NC835	EFF	DEC2017	08/06/2014	Copy	View/Update
GEN1470	Energies - TEST		Approved	TEST Reporting Entity	NC315	GEN	No Data	09/21/2017	Copy	View/Update

Register New Project (Help Registering Project)

4. On this screen, the Designated Representative will do the following:

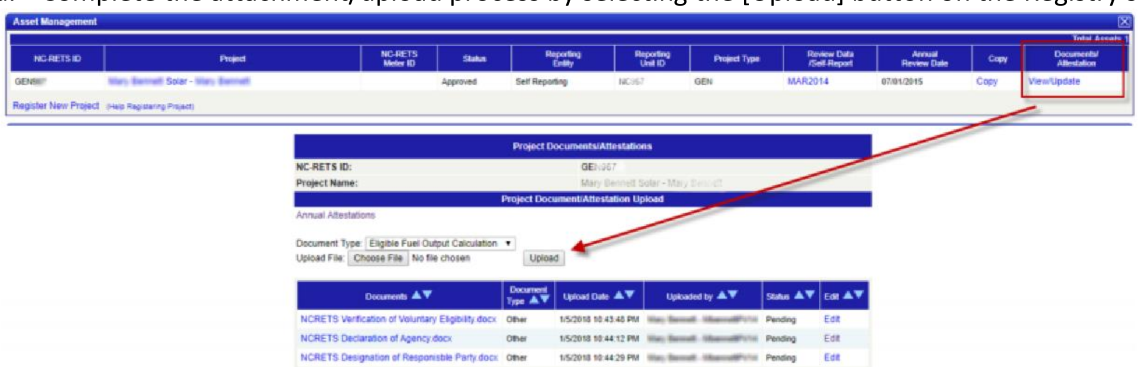
   a. Select from a list of Document types from the available drop-down.
      - *Eligible Fuel Output Calculation*
      - *Derivation of EEC Spreadsheet*
      - *SEPA Power Purchase Invoice .*
      - *Other*



b. Select the [Browse] button to locate the document from a local file directory

c. Once the document is chosen, select [Open] from the Windows screen.

d. Complete the attachment/upload process by selecting the [Upload] button on the Registry screen.



5. Repeat the steps above for each document, which needs to be attached to the Project record.

6. The NC-RETS Administrator will review the submitted documentation and may require additional documentation to be submitted before accepting.

Note: NC-RETS Projects are validated almost exclusively using the NCUC Order and other documents in the docket.

E. Frequently Asked Questions

1. **How long does it take to get a project approved?**
   - NC-RETS Project approvals are dependent on the project characteristics and the availability of supporing documentation.

2. **Can I create a forward transfer after my project has been registered?**
   - Account Managers can only create Forward Certificate Transfers for Approved NC-RETS projects.

3. **Why does my project registration show Pending status?**
   - All NC-RETS projects will go to a 'Pending' status after a User registers the project. User will need to work with State Regulatory Agency from the respective state programs to apply for state certification. Once the project is approved in NC-RETS, the project status will show "Approved."

4. **Who can register an energy efficiency, demand-side management or SEPA project?**
   - Only North Carolina electric utilities or utility aggregators can track their energy efficiency programs, demand-side management programs, or SEPA purchases in NC-RETS.

5. **Can a Project's details be changed once they are "Approved"?**
   - Only the Project Owner contact details, Facility Operator contact details and QRE can be changed by the project owner once the project is approved. All other details can only be changed by the NC RETS Administrator.

6. **Should Projects enter their MW data as AC or DC when they registered?**
   - AC, although NC-RETS does not specifically state that requirement.

7. **If you have registered a facility with the North Carolina Utilities Commission, do you still have to register with NC RETS?**
   - Yes. (See Commission Rules R8-66 for information on how to register with the Commission.)

8. **What is the oldest metering data that can be used to create a NC Certificate ?**
   - The earliest date allowed for energy production to create a certificate is January 1, 2008. NC-RETS will permit Generation data for new projects to be back loaded two years.

9. **How do I register my renewable energy facility with the NC Utilities Commission?**
   - If your facility meets the definition of a renewable energy facility whose output can be used to comply with NC's renewable energy portfolio standard, you should apply to register the facility with the Commission. (See NC General Statutes 62-133.8.) The Commission's Rules R8-66 explain the filing requirements. The rules can be found at the Commission's web site via this link: http://www.ncuc.net/ncrules/rulstoc.htm

- After you make the submittal, the Commission will assign it a docket number. The Public Staff of the Commission will review the filing and forward the Commission a recommendation within 10 business days. You can discuss the Public Staff's review by contacting the Public Staff at 919-733-2267
- Finally, the Commission will issue a final order either approving or rejecting the application. Once a facility has an order approving registration with the Commission, the facility owner can contact NC-RETS to register the facility in NC-RETS as a project and begin to create renewable energy certificates.

NC-RETS Generation Data Loading User Guide

Generation data in MIRECS can either be self-reported or uploaded by an approved Qualified Reporting Entity (QRE).

This User Guide outlines the steps for how to report generation data to NC-RETS and focuses on the following areas:

A. Self-Report Generation Data
B. Report Generation Data by an Independent Verifier
C. Approving Generation
D. Feasibility Failures

A. Self-Report Generation Data

A Self-Reporting Project is a Renewable Energy Facility or utility sponsored energy efficiency or demand-side management project for which the owner self- reports its output or energy savings. This includes:

1) a customer-sited Renewable Energy Facility interconnected behind an Electric Power Supplier's meter that has either
    a. A meter that meets ANSI standards and complies with Commission Rule R8-13, or
    b. another industry-accepted, auditable and accurate metering, controls and verification system;
2) inverter based solar facilities of 10 kW or less;
3) solar thermal facilities; and
4) combined heat and power facilities.

Self-Reporting Projects transmit their production data to the NC-RETS Administrator via the Self-Reporting Interface pursuant to Section 5.7 of the NCRETS Operating Procedures.

A Self-Reporting Project must enter actual cumulative meter readings measured in kWh / MWh or Btu (which will be converted to MWh) and the date of the meter reading via the Self-Reporting Interface. Actual cumulative meter readings must be entered no less frequently than annually.

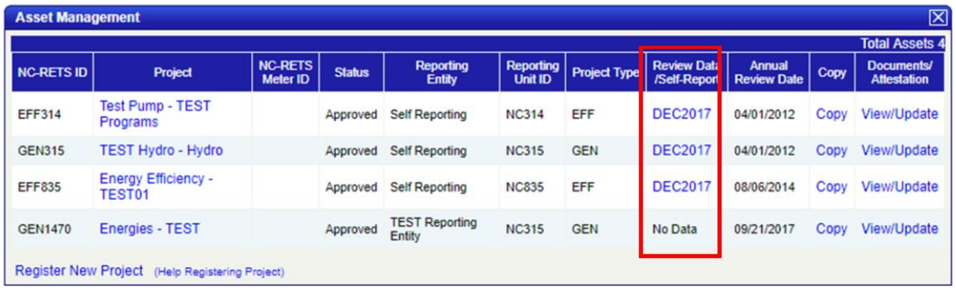
If a Self-Reporting Project chooses to report data in cumulative over the course of multiple months (for example, 01/2018-06/2018), it can do so by uploading the data for the most recent vintage month (06/2018) and providing evidence of the monthly breakdown quantity to the NC-RETS Administrator.

Self-Reporting Projects that do not enter meter readings via the Self-Reporting Interface as required will receive a reminder notice by email from the NC-RETS Administrator. Self-Reporting Projects risk having their project de-activated in NC-RETS if they do not provide meter readings at least annually.

For projects that are qualified to self-report generation data in NC-RETS, User takes the following steps:

1. In the Account Dashboard, locate the **Asset Management** module.

2. Under the **Asset Management** module, select the corresponding hyperlinked month and year under the Modify Generation/Emissions column.



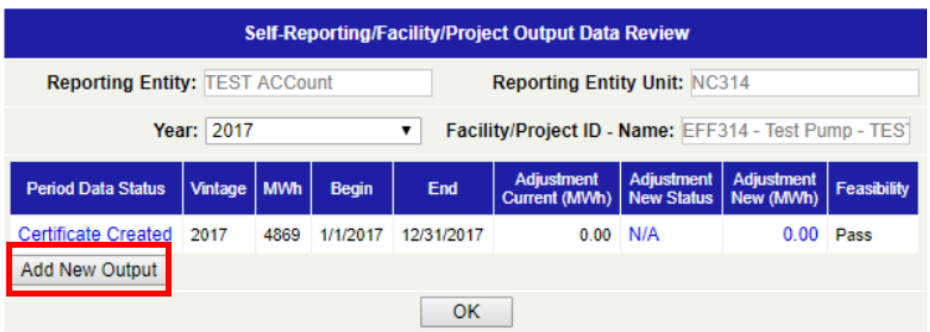
Asset Management

Total Assets 4

NC-RETS ID	Project	NC-RETS Meter ID	Status	Reporting Entity	Reporting Unit ID	Project Type	Review Data /Self-Report	Annual Review Date	Copy	Documents/ Attestation
EFF314	Test Pump - TEST Programs		Approved	Self Reporting	NC314	EFF	DEC2017	04/01/2012	Copy	View/Update
GEN315	TEST Hydro - Hydro		Approved	Self Reporting	NC315	GEN	DEC2017	04/01/2012	Copy	View/Update
EFF835	Energy Efficiency - TEST01		Approved	Self Reporting	NC835	EFF	DEC2017	08/06/2014	Copy	View/Update
GEN1470	Energies - TEST		Approved	TEST Reporting Entity	NC315	GEN	No Data	09/21/2017	Copy	View/Update

Register New Project (Help Registering Project)

3. From the *Self-Reporting/Facility/Project Output Data Review* screen, *select* [Add New Output] button to self-report data.



Self-Reporting/Facility/Project Output Data Review

Reporting Entity: TEST ACCount Reporting Entity Unit: NC314

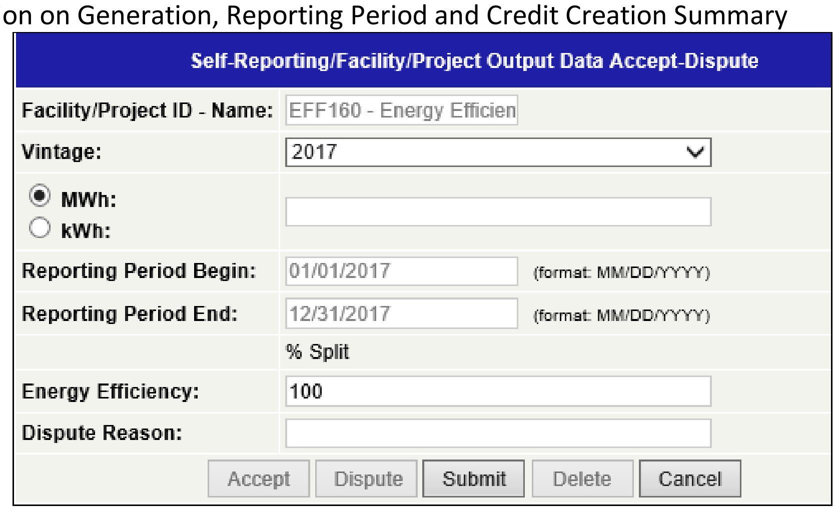
Year: 2017 Facility/Project ID - Name: EFF314 - Test Pump - TES

Period Data Status	Vintage	MWh	Begin	End	Adjustment Current (MWh)	Adjustment New Status	Adjustment New (MWh)	Feasibility
Certificate Created	2017	4869	1/1/2017	12/31/2017	0.00	N/A	0.00	Pass

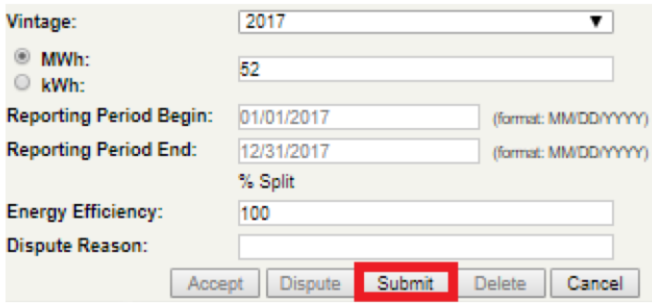
Add New Output

OK

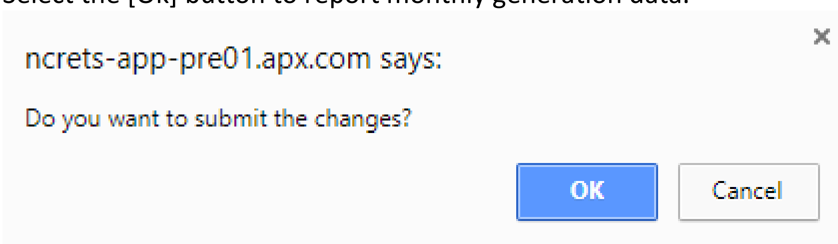
4. Enter information on Generation, Reporting Period and Credit Creation Summary



5. Verify details of entry and Select Submit



6. Select the [Ok] button to report monthly generation data.



Note: After generation data has been reported for a project, the data will be set to *'NC-RETS Accepted'* if it is ready to be approved by the Account Holder or *'NC-RETS Pending'* after failing the Engineering Feasibility test. The Account Holder will be notified when data has been loaded and is ready to be approved. The Account Holder must login to their data review screen and approve the data before their certificates will be issued.

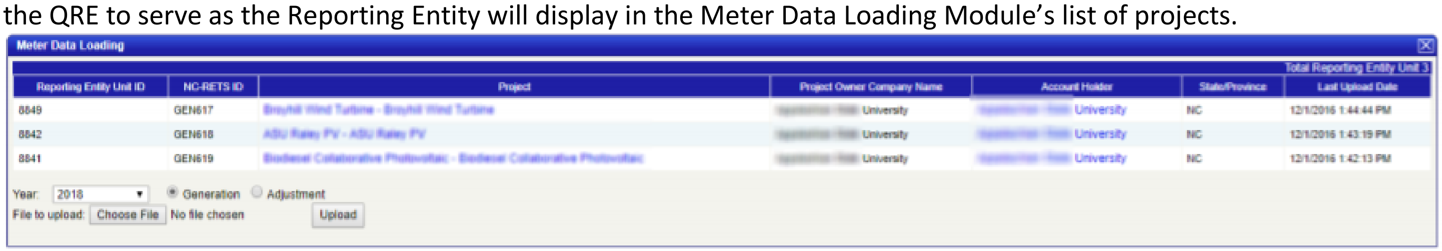
B. Report Generation Data by a Qualified Reporting Entity (QRE)

A QRE is a Balancing Authority, an Electric Power Supplier, or a federal or municipal power agency. They provide production data to NC-RETS for Renewable Energy Facilities at least monthly. A Balancing Authority provides data consistent with its monthly settlements process. Other QREs provide data from routine meter readings.

Once the Qualified Reporting Entity (QRE) is selected and the project is approved in NC-RETS, the QRE begins uploading monthly generation data for projects. To upload NC-RETS generation data, the QRE takes the following steps:

Meter Data Loading Module

The Meter Data Loading Module is the primary method for loading data into NC-RETS. This option allows the QRE to upload a Meter Data file in .csv format into their Account's Meter Data Loading Module. Only projects that have elected the QRE to serve as the Reporting Entity will display in the Meter Data Loading Module's list of projects.

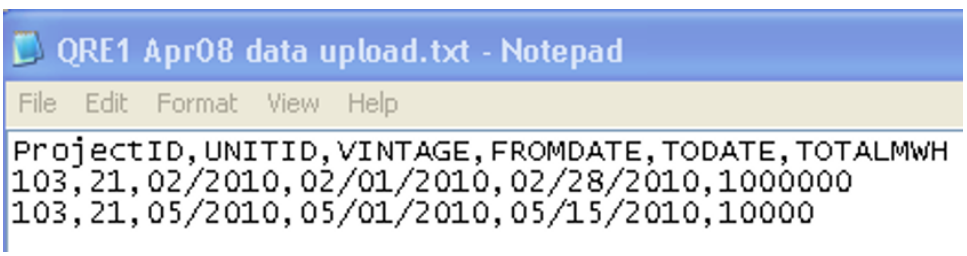


To upload NC-RETS generation data, the QRE takes the following steps:

Create the file

1. Create a .TXT or .CSV monthly file for Generation Data Upload. The fields in the Generation Data Batch Upload must contain:
    a. PROJECTID
        i. NC-RETS identifier for the Project assigned by NC-RETS upon Project approval.
    b. REPORTINGENTITYID
        i. Unique identifier for the Project assigned by its QRE from the QRE's internal systems.
    c. VINTAGE
        i. Month and year of production, formatted as MM/YYYY for any month in the current reporting period
    d. FROMDATE
        i. Begin month-day-year of production output period formatted as MM/DD/YYYY
    e. TODATE
        i. End month-day-year of production output period formatted as MM/DD/YYYY
    f. TOTALMWH
        i. Total MWhs for reporting period, with three spaces beyond the decimal

2. The following example shows a conforming input file.
PROJECTID,REPORTINGENTITYID,VINTAGE,FROMDATE,TODATE, TOTALMWH
114,2A58A68,08/2018,08/01/2018,08/31/2018,100

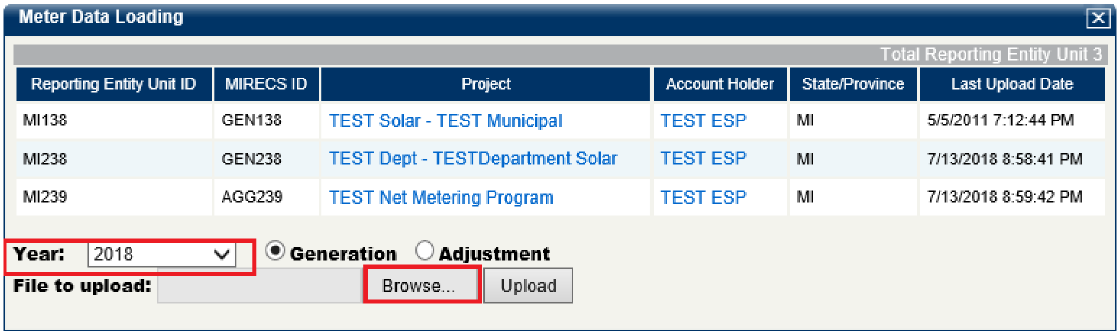


3. Null Values may be omitted for some the fields in the file.
    a. For example, the following line indicates the last field is null:
    b. 1,2,01/2018,01/01/2018,01/31/2018,100,,

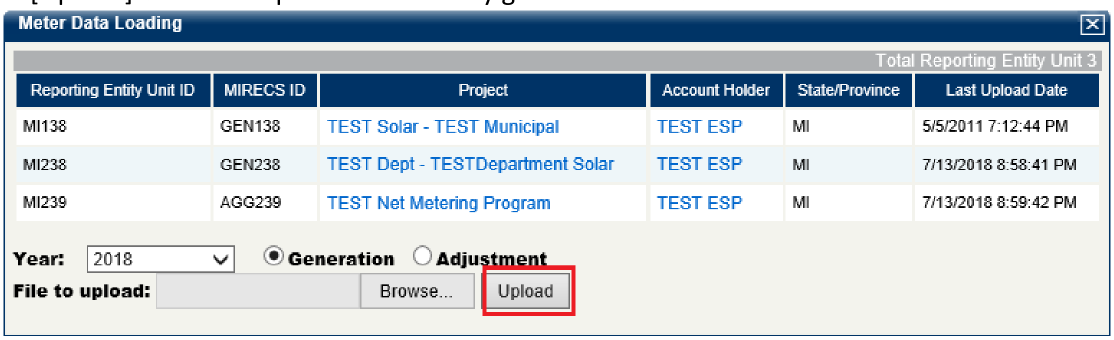
Note: The monthly generation data file may contain multiple projects. MWh data can be loaded out to the thousandth decimal place. Any fractional MWh data will be carried over and applied to the subsequent generation month.

Load the File

4. Go to the **Meter Data Loading** module, under the Year drop-down, select the year, and select the [Browse...] button to locate the file.

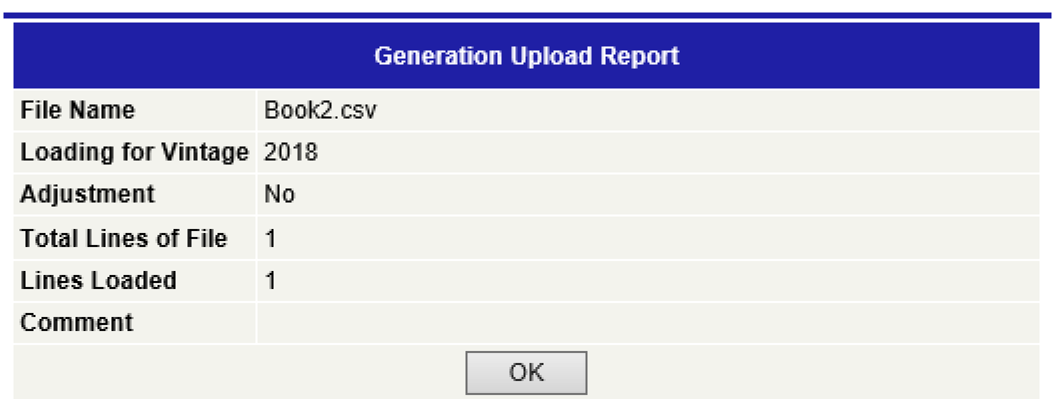


5. Select the [Upload] button to upload the monthly generation data file.



Note: If there are any issues with the data in the upload file, the file will not be uploaded.

6. After selecting the [Upload] button, a confirmation screen will appear to display and confirm the results of the upload.



Note: NC-RETS will validate a Project's uploaded data before posting the output into the NC-RETS data base. When all validations are successfully completed, the data is loaded into the database and can be seen in a Project's Generation Activity Log. If the Project fails to produce energy in a given month, a QRE should report by uploading "zero" to be accepted by the Account Holder. NC-RETS then notifies the Account Holder via email that generation output has been loaded for the Project, and the data is available to be reviewed for approval or dispute

C. Approving Data

The Account Holder will be notified when data has been loaded and is ready to be approved. The Account Holder must log in to access their data review screen and approve the data before their certificates will be issued.

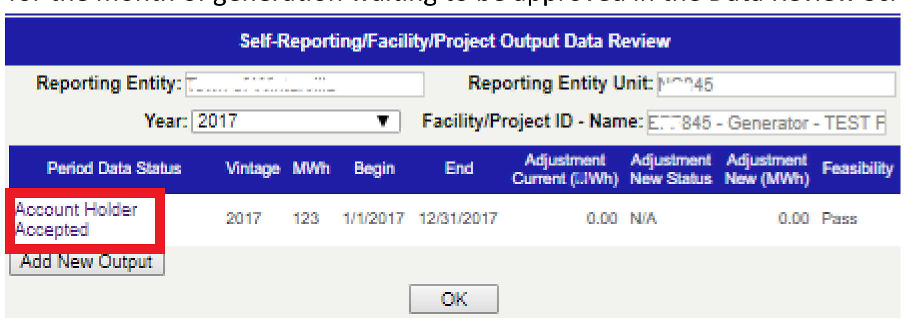
1) Access the Project’s Month/Year link in the Data Review/Self Report column located in the Asset Management module.

Asset Management

NC-RETS ID	Project	NC-RETS Meter ID	Status	Reporting Entity	Reporting Unit ID	Project Type	Review Data /Self-Report
GEN106	test - test	xx	Approved	NC QRE1	2345	GEN	APR2010
GEN108	test2 - test2	aa	Approved	NC QRE1	111	GEN	MAY2010

Register New Project

2) Select the status for the month of generation waiting to be approved in the Data Review Screen.



Self-Reporting/Facility/Project Output Data Review

Reporting Entity: [illegible] Reporting Entity Unit: [illegible]

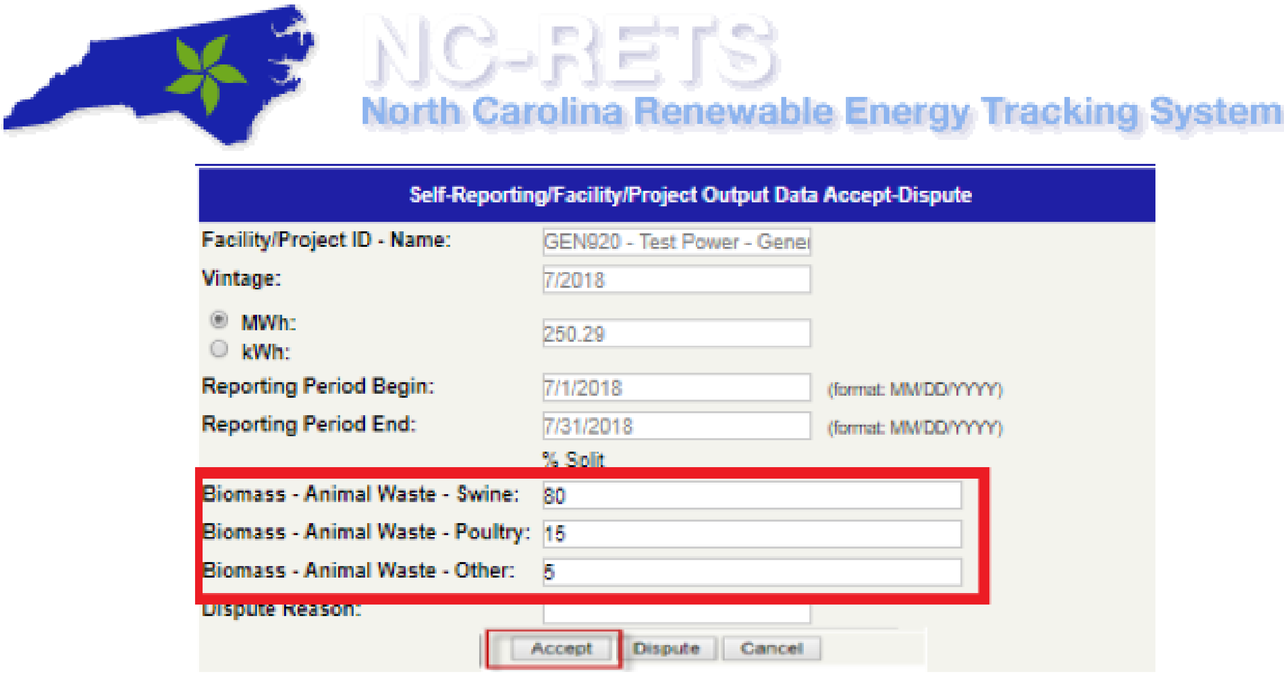
Year: 2017 Facility/Project ID - Name: [illegible] - Generator - TEST F

Period Data Status	Vintage	MWh	Begin	End	Adjustment Current (MWh)	Adjustment New Status	Adjustment New (MWh)	Feasibility
Account Holder Accepted	2017	123	1/1/2017	12/31/2017	0.00	N/A	0.00	Pass

Add New Output

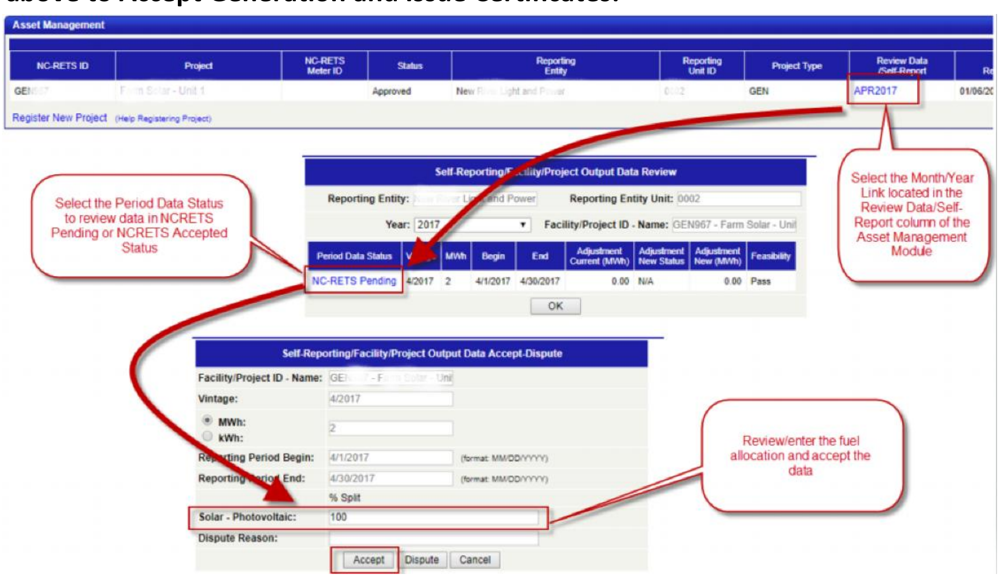
OK

3) Enter your Project's fuel allocation and accept the data.



Note: Once Data is approved by the Account Holder or 14 days after the generation was reported, the Certificates will be issued into the account.

Summary of steps above to Accept Generation and Issue Certificates:



D. Feasibility Calculations and Failures

All generation data received by NC-RETS will undergo an automatic data validity check to ensure that erroneous and technically infeasible data is not entered into the NC-RETS and used to issue Credits.

What is a Feasibility Failure?

The data validity check will compare reported electricity production (Meter Data) to an engineering estimate of maximum potential production, calculated as a function of nameplate capacity, capacity factor/annual max, hours during time period and error threshold.

A Feasibility Failure occurs when the data entered exceeds an estimate of technically feasible generation. When this happens, the NC-RETS Administrator will require the Account Holder to submit either settlement reports or meter readings to verify the reported generation.

The Account Holder will be notified via email if the Qualified Independent Party has loaded data that failed the validity check. The Account Holder can review the reported generation from the Asset Management Module's Review Data/Self-Report column. The date displayed in this column is the last vintage loaded.

Asset Management

Total Assets 4

NC-RETS ID	Project	NC-RETS Meter ID	Status	Reporting Entity	Reporting Unit ID	Project Type	Review Data /Self-Report	Annual Review Date	Copy	Documents/ Attestation
EFF314	Test Pump - TEST Programs		Approved	Self Reporting	NC314	EFF	DEC2017	04/01/2012	Copy	View/Update
GEN315	TEST Hydro - Hydro		Approved	Self Reporting	NC315	GEN	DEC2017	04/01/2012	Copy	View/Update
EFF835	Energy Efficiency - TEST01		Approved	Self Reporting	NC835	EFF	DEC2017	08/06/2014	Copy	View/Update
GEN1470	Energies - TEST		Approved	TEST Reporting Entity	NC315	GEN	No Data	09/21/2017	Copy	View/Update

Register New Project (Help Registering Project)

Note: The feasibility status of the reported generation will be displayed in the Feasibility column of the Data Review screen.

NC-RETS
North Carolina Renewable Energy Tracking System

Self-Reporting/Facility/Project Output Data Review

Reporting Entity: **Reporting Entity Unit:**

Year: 2018 **Facility/Project ID - Name:**

Period Data Status	Vintage	MWh	Begin	End	Adjustment Current (MWh)	Adjustment New Status	Adjustment New (MWh)	Serial Number Loaded	Feasibility
Certificate Created	1/2018	35.894	1/1/2018	1/31/2018	0.00	N/A	0.00		Pass
Certificate Created	2/2018	100.105	2/1/2018	2/28/2018	0.00	N/A	0.00		Pass
Certificate Created	3/2018	177.623	3/1/2018	3/31/2018	0.00	N/A	0.00		Pass
Certificate Created	4/2018	123.119	4/1/2018	4/30/2018	0.00	N/A	0.00		Pass
Certificate Created	5/2018	70.088	5/1/2018	5/31/2018	0.00	N/A	0.00		Pass
Certificate Created	6/2018	13.488	6/1/2018	6/30/2018	0.00	N/A	0.00		Pass
NC-RETS Accepted	7/2018	7.067	7/1/2018	7/31/2018	0.00	N/A	0.00		Pass

OK

NC-RETS Certificate Transfers to Another Account Holder User Guide

This User Guide outlines the steps for how to transfer Certificates to another Account Holder in the North Carolina Renewable Energy Tracking System (NC-RETS) and focuses on the following areas:

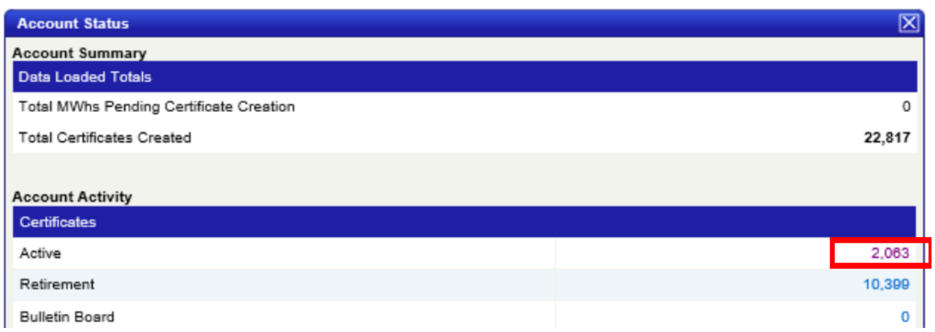
A. View Active Certificates
B. Transfer Certificates to Another Account Holder
C. Accept Certificate Transfer
D. Reject Certificate Transfer
E. Withdraw Certificate Transfer.

A. View Active Certificates

To view Active Certificates available for transfer, User takes the following steps:

1. In the Account Dashboard, User locates the **Account Status** module.

2. Under the **Account Status** module, User selects on an Active Certificates link under Account Activity (as pictured below)



Note: The transfer screen can be accessed by selecting any of the Hyperlinked Positions (I.E. Active, Retirement, Bulletin Board, Etc.)

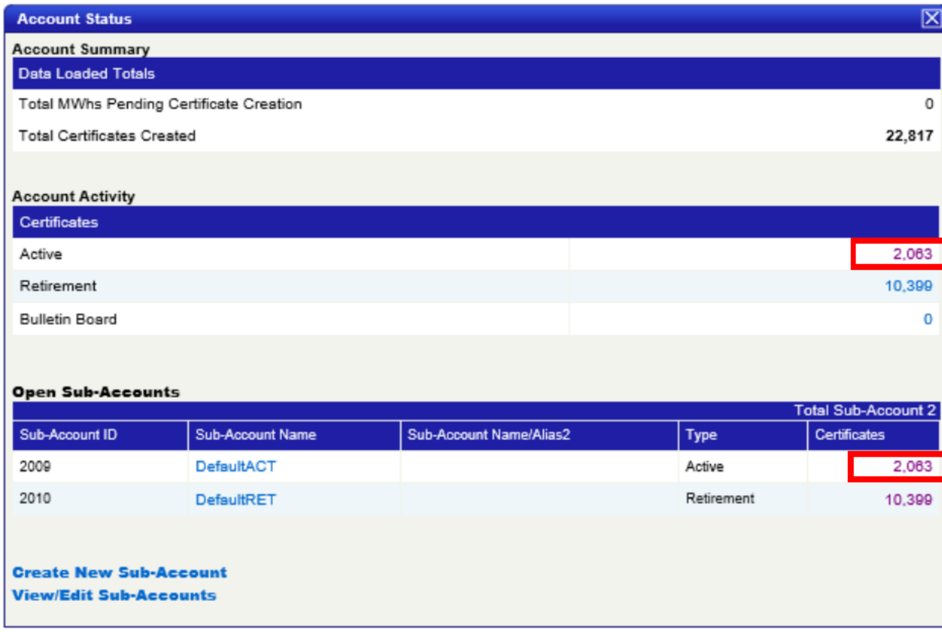
B. Transfer Certificates to Another Account Holder (Inter-Account Transfers)

To initiate a NC-RETS Certificate Transfer to Another Account Holder, User takes the following steps:

1. In the Account Dashboard (Home Page), locate the **Account Status** module.

   Note: User must be logged in to Account to make Transfer.

2. Under the **Account Status** module, select an Active Certificates link.



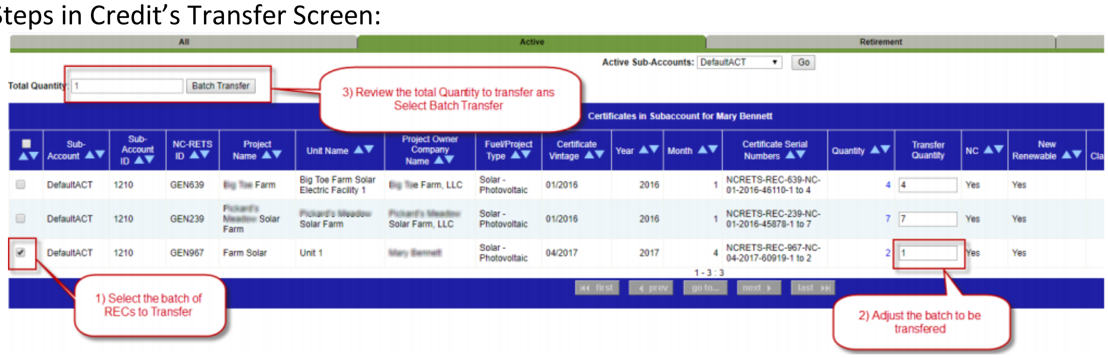
Note: The transfer screen can be accessed by selecting any of the <u>Hyperlinked Positions</u> (I.E. Active, Retirement, Bulletin Board, Etc.)

3. In the transfer screen, select the batch(s) of certificates that you wish to retire
   a. Selecting the top box in first column will select all certificates

4. Adjust transfer quantity as needed

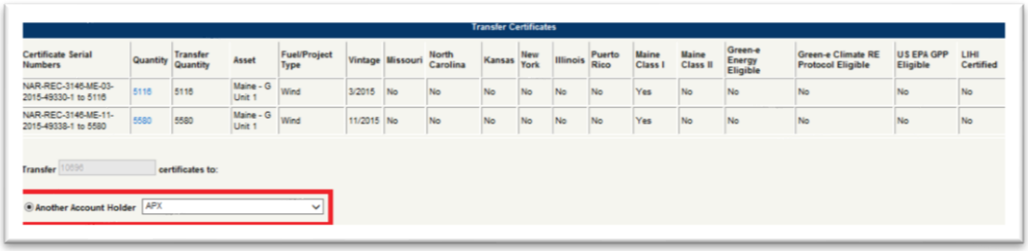
5. Review the "Total Quantity" to transfer and Select [Batch Transfer]

Summary of Steps in Credit's Transfer Screen:



6. User is then taken to the "Transfer Certificates" screen to finalize where the certificates will be transferred.

7. Select the 'Another Account Holder' radio button transfer option, select the Account Holder from the drop down, and select the [Submit] button to initiate transfer.



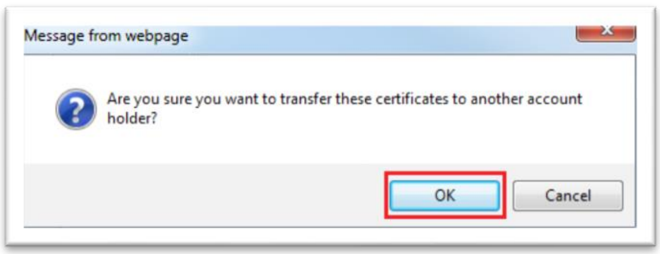
Transfer Certificates

Certificate Serial Numbers	Quantity	Transfer Quantity	Asset	Fuel/Project Type	Vintage	Missouri	North Carolina	Kansas	New York	Illinois	Puerto Rico	Maine Class I	Maine Class II	Green-e Energy Eligible	Green-e Climate RE Protocol Eligible	US EPA GPP Eligible	LIHI Certified
NAR-REC-3146-ME-03-2015-49330-1 to 5116	5116	5116	Maine - G Unit 1	Wind	3/2015	No	No	No	No	No	No	Yes	No	No	No	No	No
NAR-REC-3146-ME-11-2015-49338-1 to 5580	5580	5580	Maine - G Unit 1	Wind	11/2015	No	No	No	No	No	No	Yes	No	No	No	No	No

Transfer 10696 certificates to:

Another Account Holder APX

8. After selecting the [Submit] button, a pop-up box will appear to confirm action. To execute the transfer, select the [OK] button to transfer the certificates to the designated Account Holder.



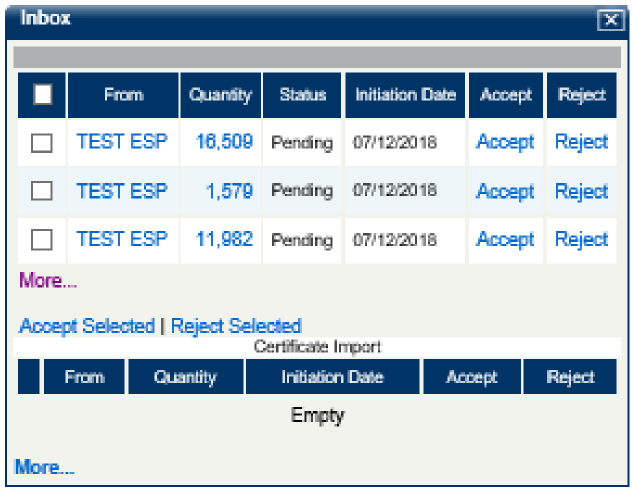
Note: After initiating a certificate transfer to another Account Holder, the transferred certificates are marked as "Pending" in the Transferor's Account until the Transferee either accepts or rejects the transfer. If rejected, the certificates will be returned to the Active Sub-account from which they were transferred.

C. Accept Certificate Transfer

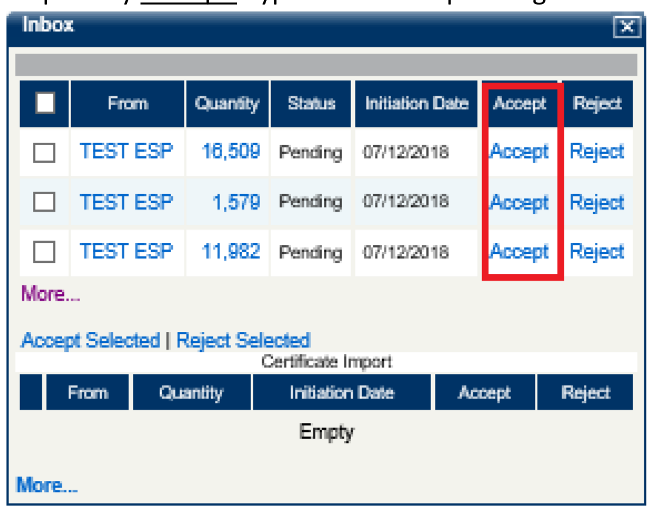
Once a certificate transfer is initiated by the Transferor, the Transferee (Entity Receiving certificates) reviews the **Inbox** module to accept or reject the new certificate transfer requests.

To accept a certificate transfer, the Transferee takes the following steps:

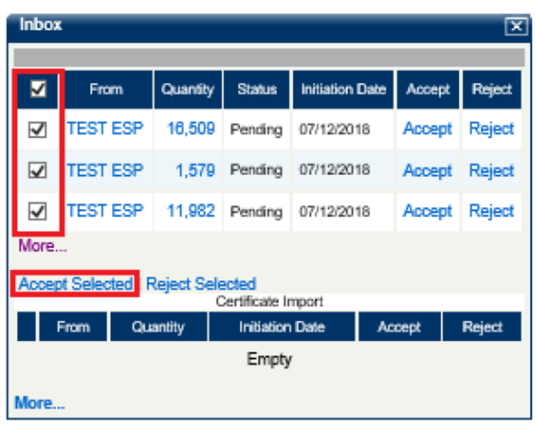
1. In the account dashboard, locate the **Inbox** module.



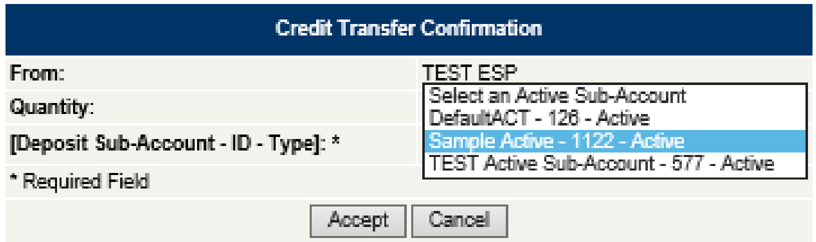
2. Under the Inbox module, select the quantity ‘Accept’ hyperlink to accept a single transfer.

a. 

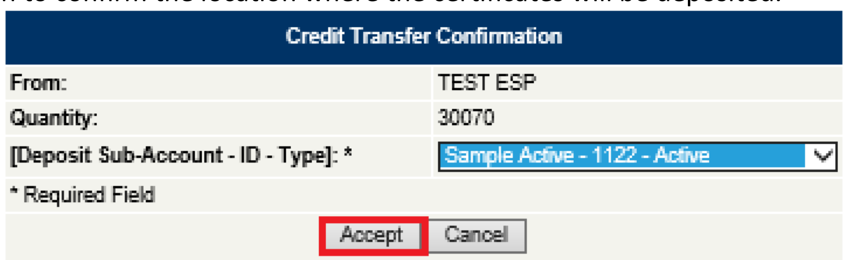
3. Alternatively, you can Accept multiple (or all) pending transfers by selecting the checkbox(es) and then selecting the ‘Accept Selected’ link

a. 

4. In the Transfer Confirmation screen, select the Sub-Account where the accepted certificates are to be deposited.

    a. 

5. Select the [Accept] button to confirm the location where the certificates will be deposited.

    a. 

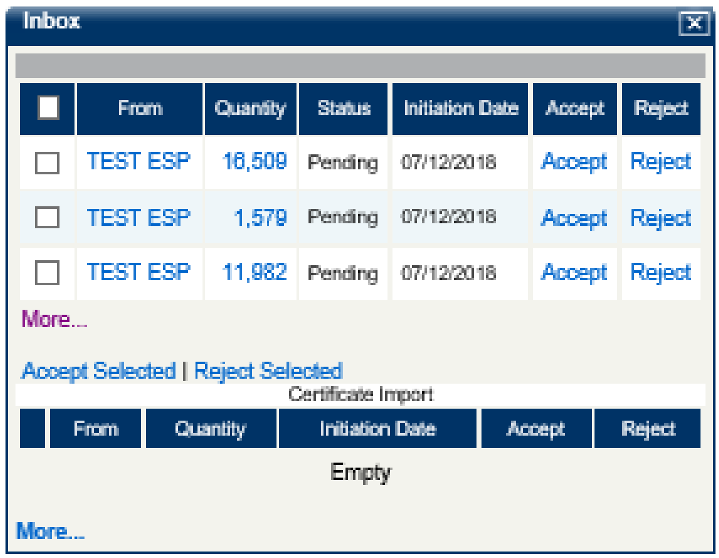
Note: Transferor and Transferee will be notified via email of the confirmed certificate transfer.

D. Reject Certificate Transfer

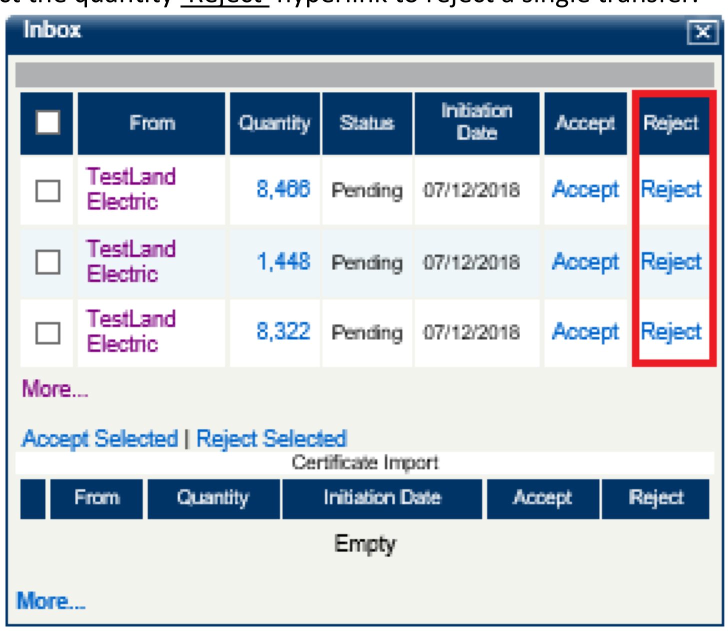
Once a certificate transfer is initiated by the Transferor, the Transferee reviews the **Inbox** module to accept or reject the new certificate transfer requests.

To Reject a certificate transfer, the Transferee takes the following steps:

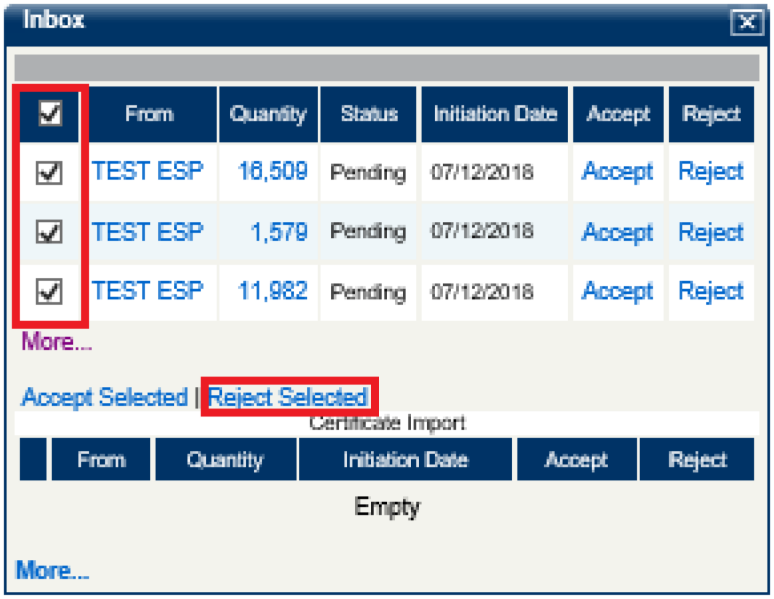
1. In the Account Dashboard, locate the **Inbox** module.

   a. 

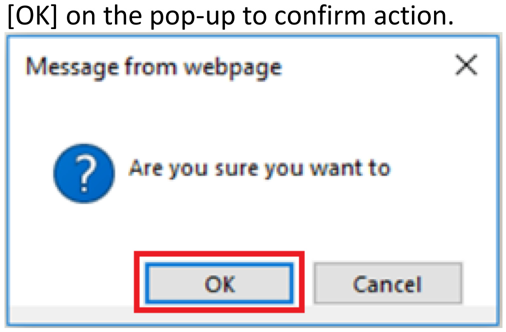
2. Under the Inbox module, select the quantity <u>'Reject'</u> hyperlink to reject a single transfer.

   a. 

3. Alternatively, you can Reject multiple (or all) pending transfer by select the checkbox(es) and then select the ‘Reject Selected’ link

a. 

4. To complete the Reject Transfer, select [OK] on the pop-up to confirm action.

a. 

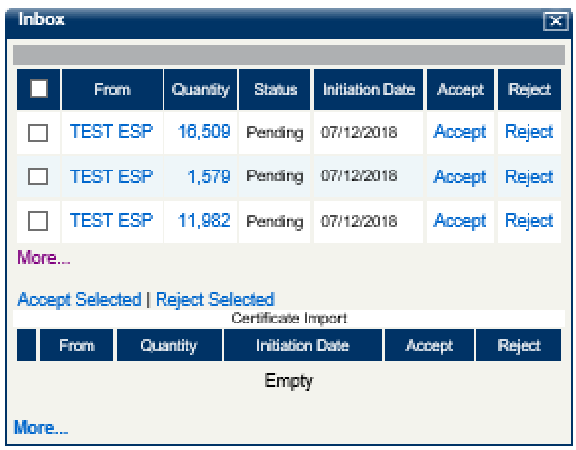
Note: The rejected Certificates will be returned to the Transferor’s NC-RETS account, and both the Transferor and Transferee will be notified via email of the rejected certificate transfer.

E. Withdraw Certificate Transfer

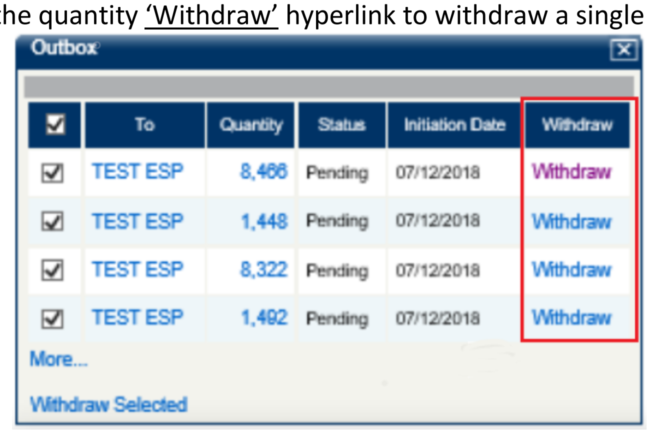
Once a certificate transfer is initiated, the Transferor can withdraw the transferred certificates only if the certificates are still in 'Pending' status. Below are the steps to withdraw a certificate transfer.

To withdraw a certificate transfer, the Transferor takes the following steps:

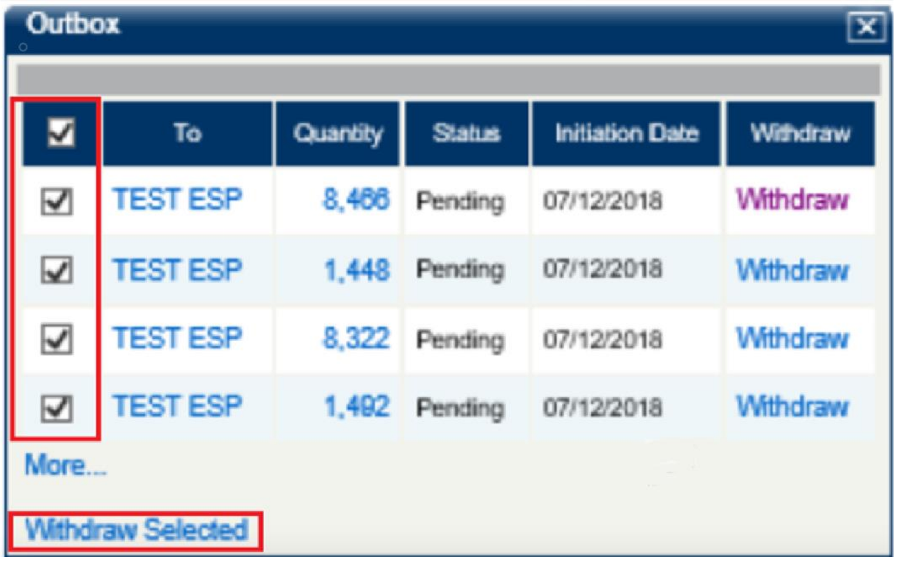
1. In the Account Dashboard, locate the **Outbox** module.

   a. 

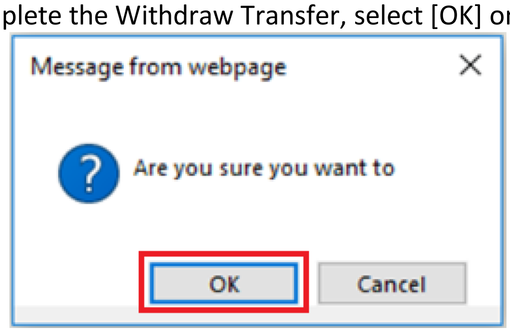
2. Under the Inbox module, select the quantity 'Withdraw' hyperlink to withdraw a single transfer.

   a. 

3. Alternatively, you can withdraw multiple (or all) pending transfer by select the checkbox(es) and then select the 'Withdraw Selected' link/

a. 

4. To complete the Withdraw Transfer, select [OK] on the pop-up to confirm action.

a. 

Note: The withdrawn certificates will be returned to the Transferor's NC-RETS account.

NC-RETS
North Carolina Renewable Energy Tracking System

NC-RETS Retirement User Guide

Retirement of Certificates is an action taken within NC-RETS to permanently remove a Certificate from circulation. Retirement may be initiated only by the Account Holder for Certificates in his/her own Sub-accounts.

This User Guide outlines the steps on how to retire Certificates in NC-RETS and focuses on the following areas:

A. Retire Certificates for RPS Compliance
B. Retire Certificates for General Purposes

A. NC-RETS Compliance Requirements

For Electric Power Suppliers, compliance retirement occurs when certificates are placed into a Compliance Sub-account and submitted for review to the Commission. certificates associated with an approved Compliance Sub-account are placed into retirement by Commission action.

The Account Holder will place Certificates into the Compliance Sub-account, which is then audited by the Commission Public Staff. Once the Commission has approved the Account Holder’s compliance with the Portfolio Standard, the certificates are retired.

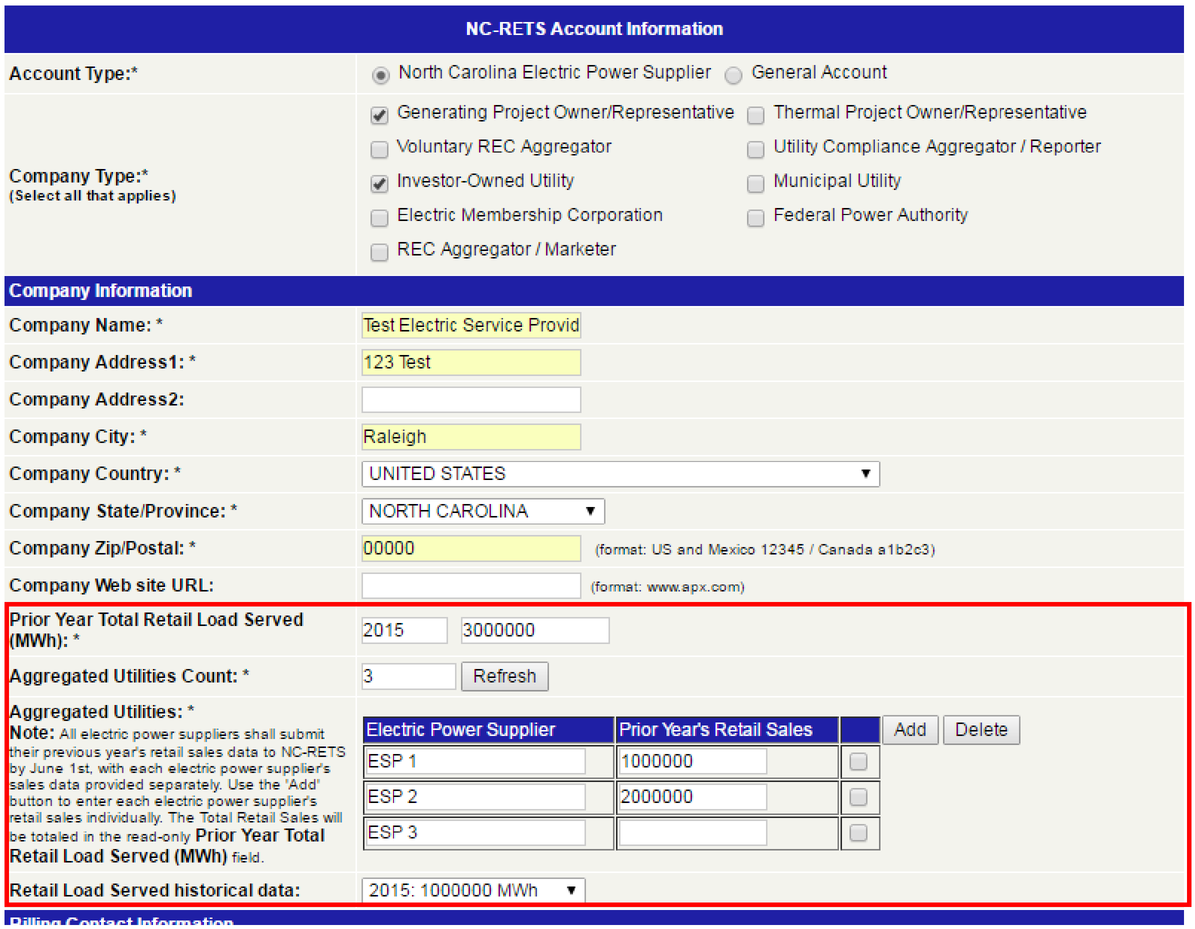
Reporting Retail Sales

All Electric Power Suppliers/Members are required to report retail sales by June 1st of each year. The reported Retail Sales by Electric Power Supplier will then be populated into the Compliance Subaccount when you create it the following year.

In order to report Retail Sales in NCRETS, Electric Power Suppliers/Members should follow these steps:

1. Upon logging into NC-RETS you will be asked to report the Retail Sales by Electric Power Supplier.
   a. If you submit compliance for multiple Electric Power Suppliers, you will do this for each individual Electric Power Supplier by June 1st each year.

NC-RETS
North Carolina Renewable Energy Tracking System


NC-RETS Account Information

Account Type:* ◉ North Carolina Electric Power Supplier ○ General Account

Company Type:* (Select all that applies)
☑ Generating Project Owner/Representative ☐ Thermal Project Owner/Representative
☐ Voluntary REC Aggregator ☐ Utility Compliance Aggregator / Reporter
☑ Investor-Owned Utility ☐ Municipal Utility
☐ Electric Membership Corporation ☐ Federal Power Authority
☐ REC Aggregator / Marketer

Company Information

Company Name: *	Test Electric Service Provid
Company Address1: *	123 Test
Company Address2:	
Company City: *	Raleigh
Company Country: *	UNITED STATES
Company State/Province: *	NORTH CAROLINA
Company Zip/Postal: *	00000 (format: US and Mexico 12345 / Canada a1b2c3)
Company Web site URL:	(format: www.apx.com)
Prior Year Total Retail Load Served (MWh): *	2015 3000000
Aggregated Utilities Count: *	3 Refresh

Aggregated Utilities: *
Note: All electric power suppliers shall submit their previous year's retail sales data to NC-RETS by June 1st, with each electric power supplier's sales data provided separately. Use the 'Add' button to enter each electric power supplier's retail sales individually. The Total Retail Sales will be totaled in the read-only Prior Year Total Retail Load Served (MWh) field.

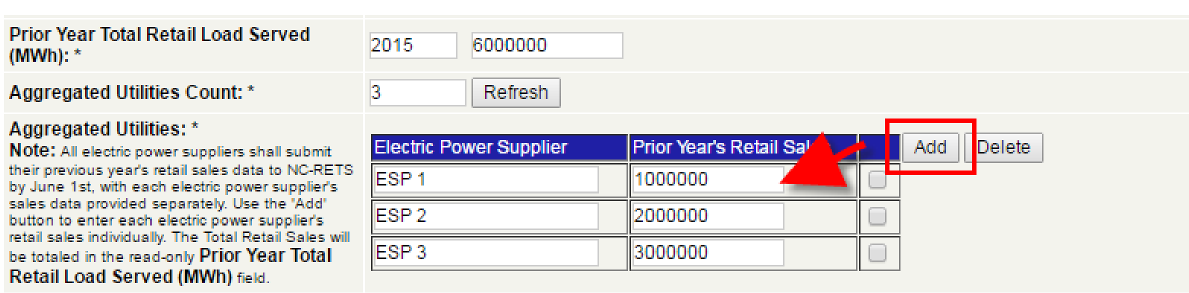
Electric Power Supplier	Prior Year's Retail Sales	
ESP 1	1000000	☐
ESP 2	2000000	☐
ESP 3		☐

Add Delete

Retail Load Served historical data: 2015: 1000000 MWh

Billing Contact Information

2. Use the [Add] button to individually report each Electric Power Supplier's Retail Sales.

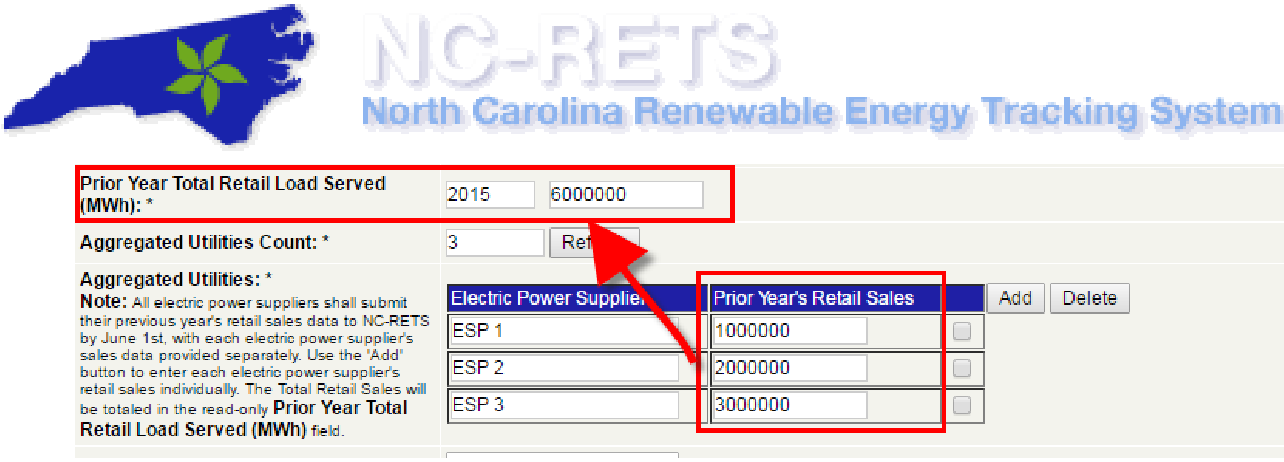

Prior Year Total Retail Load Served (MWh): *	2015 6000000
Aggregated Utilities Count: *	3 Refresh

Aggregated Utilities: *
Note: All electric power suppliers shall submit their previous year's retail sales data to NC-RETS by June 1st, with each electric power supplier's sales data provided separately. Use the 'Add' button to enter each electric power supplier's retail sales individually. The Total Retail Sales will be totaled in the read-only Prior Year Total Retail Load Served (MWh) field.

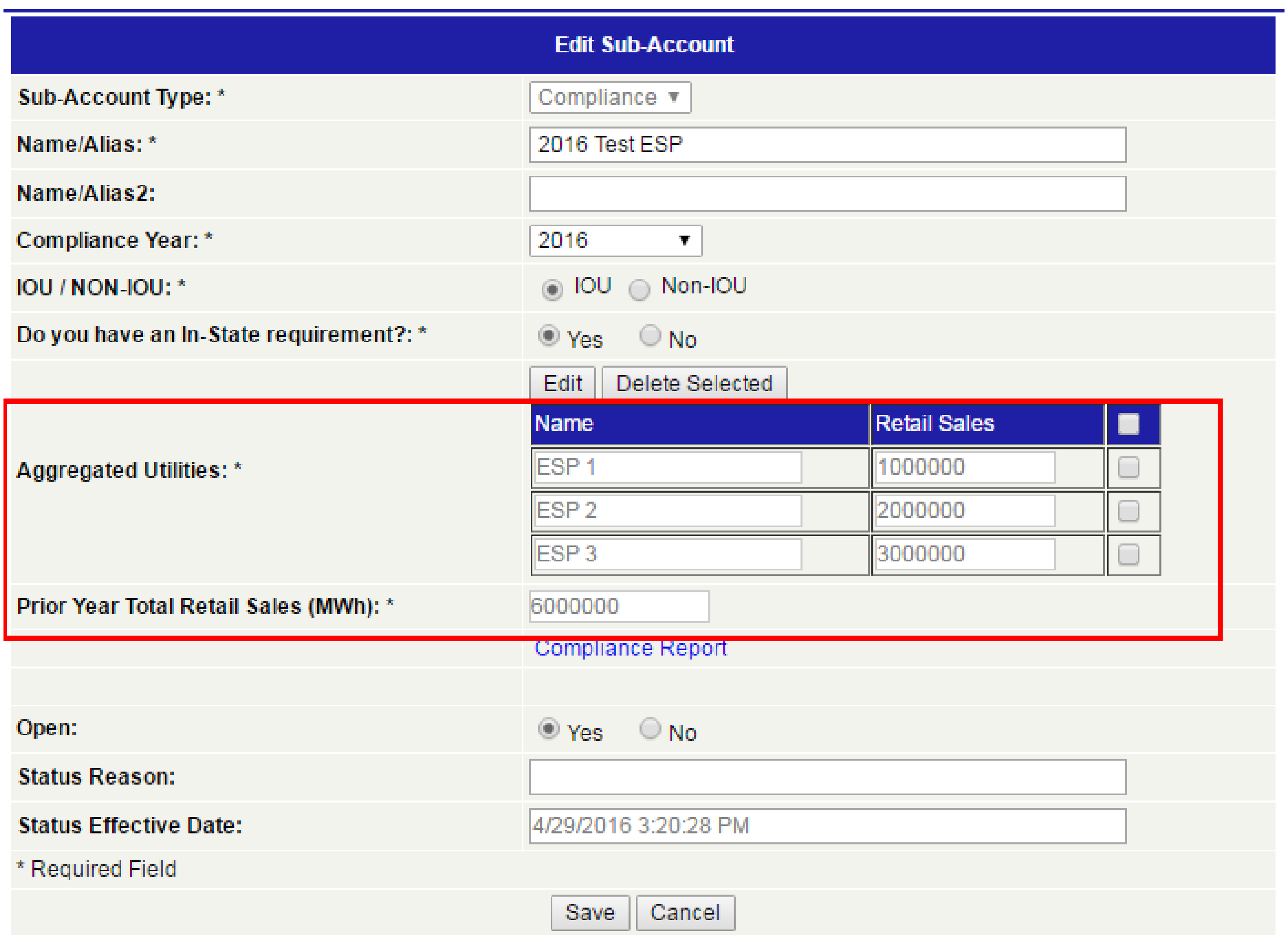
Electric Power Supplier	Prior Year's Retail Sal	
ESP 1	1000000	☐
ESP 2	2000000	☐
ESP 3	3000000	☐

Add Delete

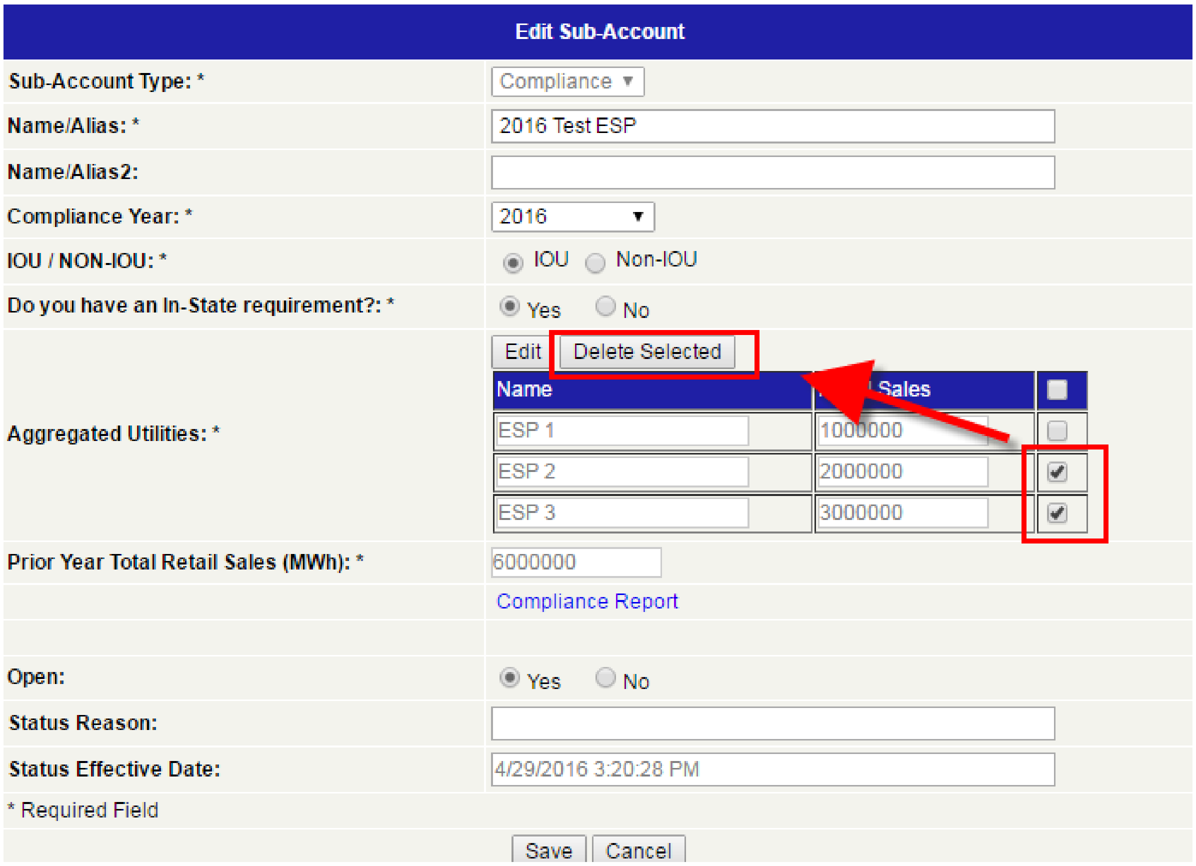
3. The Retail Sales will be totaled in the read-only field for "Prior Year Total Retail Load Served (MWh)".



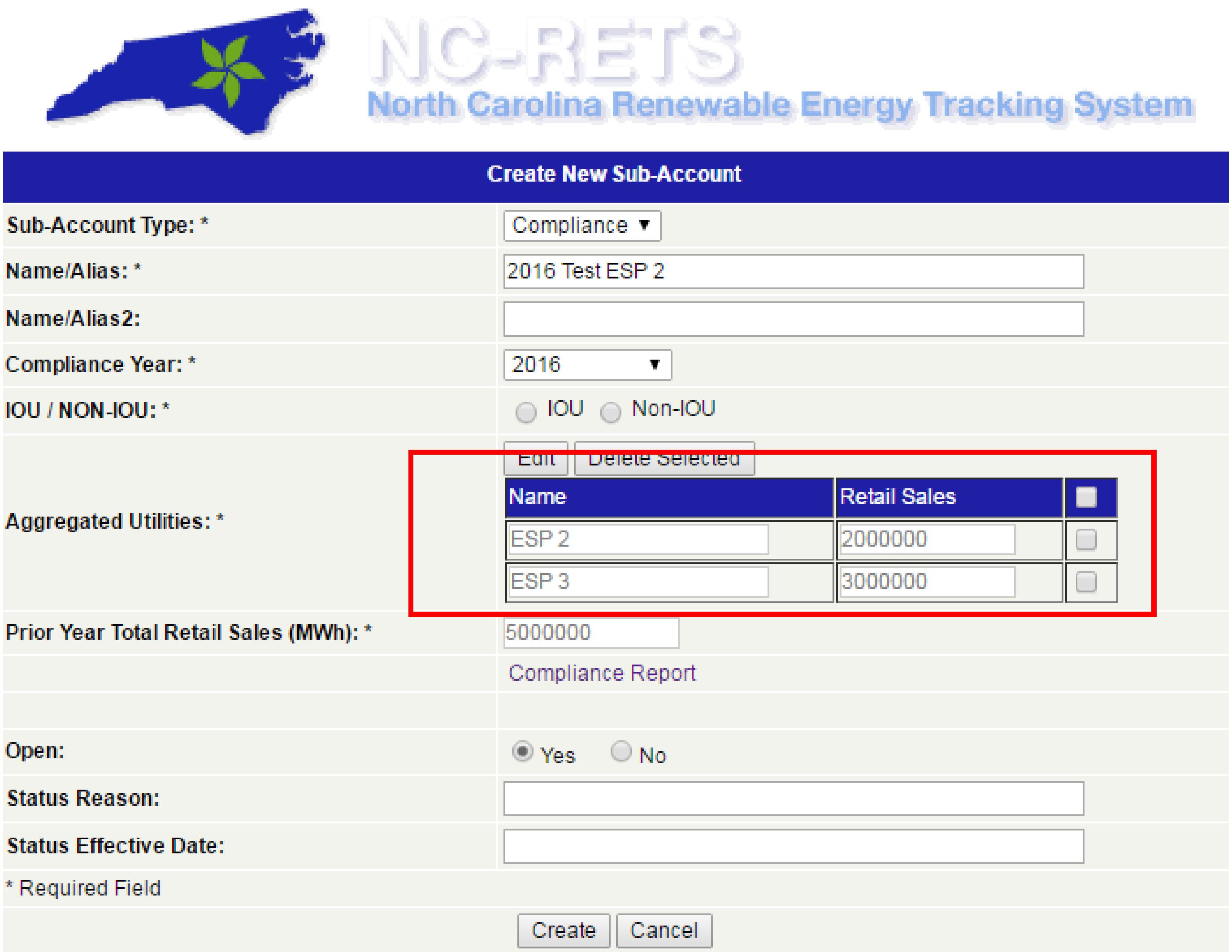
4. When you are ready to create your Compliance Subaccount, each Electric Power Supplier's Retail Sales reported June 1 will be displayed in the Subaccount Registration screen.



5. If the Compliance Subaccount should only include a subset of the reported Electric Service Providers, use the selection boxes to delete the Electric Power Suppliers from the list. Note: if you do this, you will need to create a new Compliance Subaccount where these Electric Power Suppliers will be listed.



6. After deleting Electric Power Supplier from a subaccount list, create a new Compliance Subaccount for the Electric Power Suppliers removed from the previous subaccount. The Electric Power Suppliers not included on other Compliance Subaccounts will be displayed.



Compliance Sub-Account

A Compliance Sub-account will be only be available to North Carolina Electric Power Suppliers and Utility Compliance Aggregators. These entities can have one electric public utility Compliance Sub-account per compliance year and an unlimited number of municipal utility / electric membership corporation type of Compliance Sub-accounts per year. For example, for 2018, an Electric Power Supplier can have one Compliance Sub-account for itself (as an electric public utility) and one or more for each municipality/coop or group of such electric power suppliers for which it provides compliance reporting. Each Compliance Subaccount will be subject to the statutory requirements for either:

1) an electric public utility, or
2) a municipal utility/electric membership corporation (cooperative).

Certificates in a Compliance Sub-account will be in a "pending retirement status" while the State Program Auditor/Regulator accesses it via a compliance report for audit. When that review and the related regulatory proceeding are complete, the Commission will use NC-RETS to finalize Retirement of the Certificates into a permanent Retirement status. State Program Auditors will see the related Compliance Report from their own Accounts.

Transferring Certificates to a Compliance Sub-Account

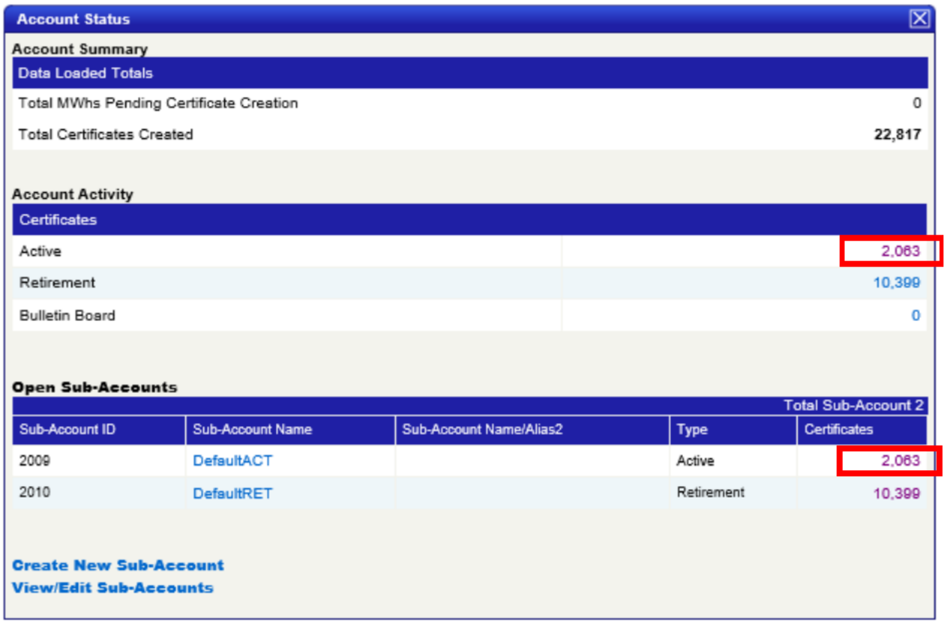
An Account Holder choosing to retire a Certificate, or a block of Certificates, will use the transfer screen to identify the quantity of Certificates to Retire and the reason for Retirement.

North Carolina Renewable Energy Tracking System

To transfer active certificates to a Sub-Account, please take the following steps:

1. In the Account Dashboard, locate the **Account Status** module.

2. Under the **Account Status** module, select an ‘Active’ Certificates link



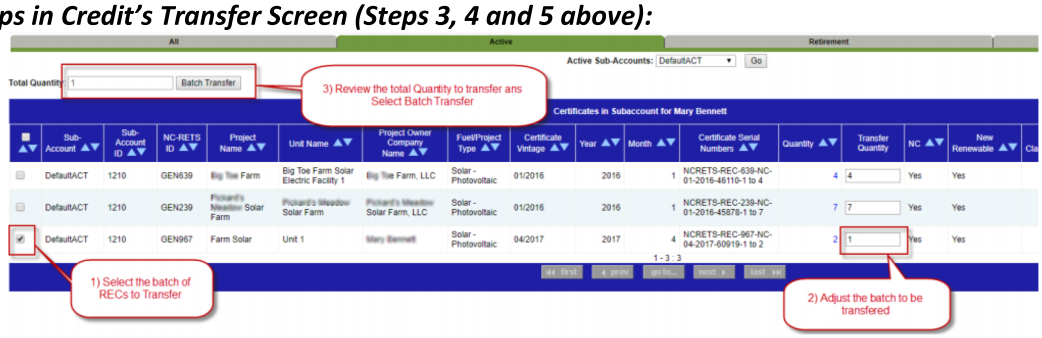
Note: The transfer screen can be accessed by selecting any of the Hyperlinked Positions (I.E. Active, Retirement, Bulletin Board, Etc.)

3. In the transfer screen, select the batch(s) of certificates that you wish to retire
   a. Selecting the top box in first column will select all Certificates.

4. Adjust transfer quantity as needed

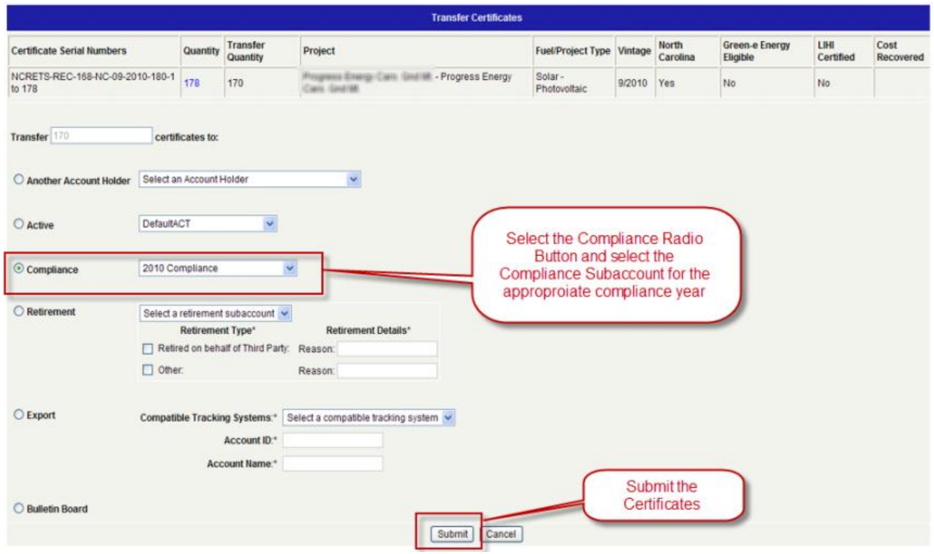
5. Review the “Total Quantity” to transfer and Select [Batch Transfer]

Summary of Steps in Credit’s Transfer Screen (Steps 3, 4 and 5 above):



6. You are then taken to the “Transfer Certificates” screen.

7. Select the Compliance radio button and choose the compliance subaccount for the appropriate compliance year.



8. Verify all details of transfer are accurate and select [Submit] to complete the retirement of certificates.

Note: the NC-RETS Administrator is not responsible for the Retirement of Certificates by Account Holders, as it relates to voluntary or compliance-related Retirement deadlines or otherwise.

Submitting a Compliance Subaccount

To Review and Submit the compliance Subaccount, select the hyperlinked name of the compliance subaccount from the subaccount report

The User should first review Compliance Requirements and how the deposited certificates meet the annual requirements. Once satisfied with the quantity of certificates deposited into the subaccount, Press the [Submit] button at the bottom of the screen to submit the subaccount to the NCUC Commission Staff for their review.

The subaccount will be pending until approved. Once the Commission Staff Approves the compliance subaccount, the certificates will be retired.

Compliance Sub-Account: [illegible] Test

Compliance Year: 2016
Total Retail Sales: 61307709
Total Certificates: 1961
Compliance Status: Active
REPS Compliance Report Docket #:
URL:
Notes:

Energy [illegible] Test - Compliance Report

Compliance Requirement	Required Percentage of Retail Sales	Achieved Percentage of Mandate	Required Quantity of RECs	Achieved Quantity of RECs	Difference between Achieved and Required Quantity of RECs
Solar	0.14	0	85830.79	0	-85830.79
Solar In-State	0.105	0	64373.09	0	-64373.09
Swine Waste					
Swine Waste In-State					
Poultry Waste	0.13	0	77438.86	0	-77438.86
Poultry Waste In-State	0.09	0	58079.15	0	-58079.15
Non Hydroelectric	4.2	0	2574923.78	0	-2574923.78
Non Energy Efficiency					
In-State	4.5	0.07	2758846.9	1961	-2756885.9
Total Requirement	6	0.05	3678462.54	1961	-3676501.54

1 - 10 : 10

first prev go to... next last

Energy [illegible] Test - Compliance Summary

Fuel Type	In State (Located in NC) COD<2008	In State (Located in NC) COD>=2008	In State (Delivered to NC) COD<2008	In State (Delivered to NC) COD>=2008	Out of State COD<2008	Out of State COD>=2008	Total
Hydropower - Non-SEPA	1961	0	0	0	0	0	1961

1 - 1 : 1

first prev go to... next last

Submit Exit

B. NC-RETS Voluntary Requirements

Retirement Sub-Account
A Retirement Sub-account is used as a repository for Certificates that the Account Holder wants to designate as a voluntary retirement and remove the certificates from circulation. Once a certificate has been transferred into a Retirement Sub-Account, it cannot be transferred again to any other Sub-Account.

How do I Retire Certificates for Voluntary Reasons?
Retirement of Certificates is an action taken within NC-RETS to permanently remove a Certificate from circulation. Retirement may be initiated only by the Account Holder for Certificates in his/her own Sub-accounts. Voluntary retirement is effectuated by transferring Certificates into a Retirement Sub-account.

A Retirement Sub-account is used as a repository for Certificates that the Account Holder wants to designate as voluntarily retired. There are three ways that Certificates are deposited in a Retirement Sub-account:

(a)Within an Account, Certificates can be transferred from an Active Sub-account to a Retirement Sub-Account.

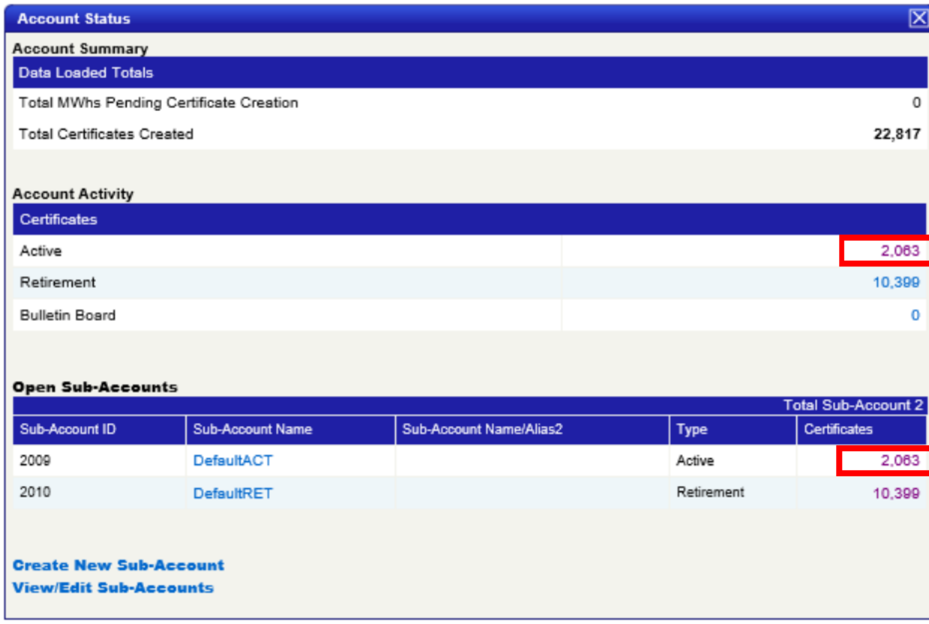
(b) An Account Holder can accept a transfer of certificates from another Account Holder directly into a Retirement Sub-Account.

(c) Certificates can be transferred from a Compliance Sub-Account to a Retirement Sub-account prior to the Compliance Sub-Account being submitted for review by the Commission and Public Staff.

An Account Holder choosing to retire a certificate, or a block of certificates will use the transfer screen to identify the quantity of certificates to retire and the reason for retirement. The Account Holder must select the Retirement Sub-Account to which the certificates will be deposited.

To transfer certificates to a Voluntary Retirement Sub-Account, please take the following steps:
1. In the Account Dashboard, locate the **Account Status** module.

2. Under the **Account Status** module, select an 'Active' Certificates link

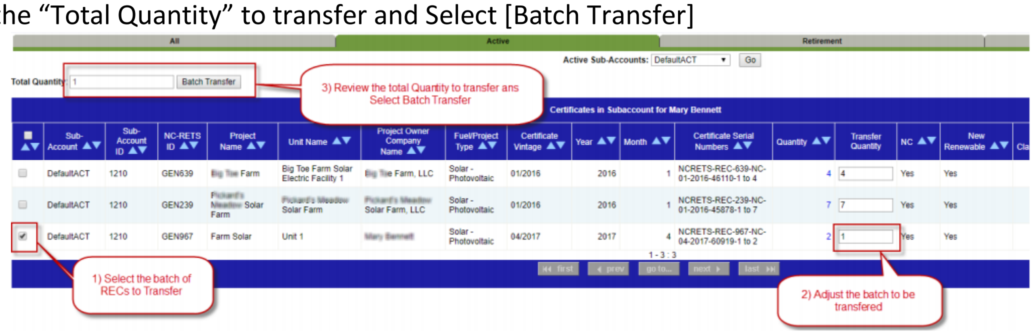


Note: The transfer screen can be accessed by selecting any of the Hyperlinked Positions (I.E. Active, Retirement, Bulletin Board, Etc.)

3. In the transfer screen, select the batch(s) of certificates that you wish to retire
   a. Selecting the top box in column A will select all Certificates

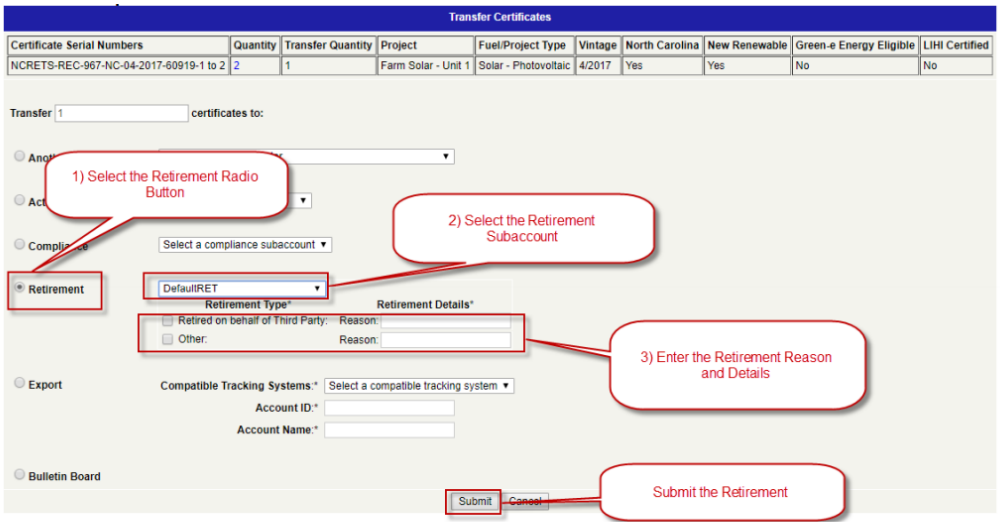
4. Adjust transfer quantity as needed

5. Review the "Total Quantity" to transfer and Select [Batch Transfer]



6. You are then taken to the "Transfer Certificates" screen.

7. Select the "Retirement" radio button, choose the appropriate Voluntary Retirement Sub-Account and enter Retirement Details/Reasons as needed:



8. Verify all details of transfer are accurate and select [Submit] to complete the retirement of certificates.

NC-RETS Forward Certificate Transfers User Guide

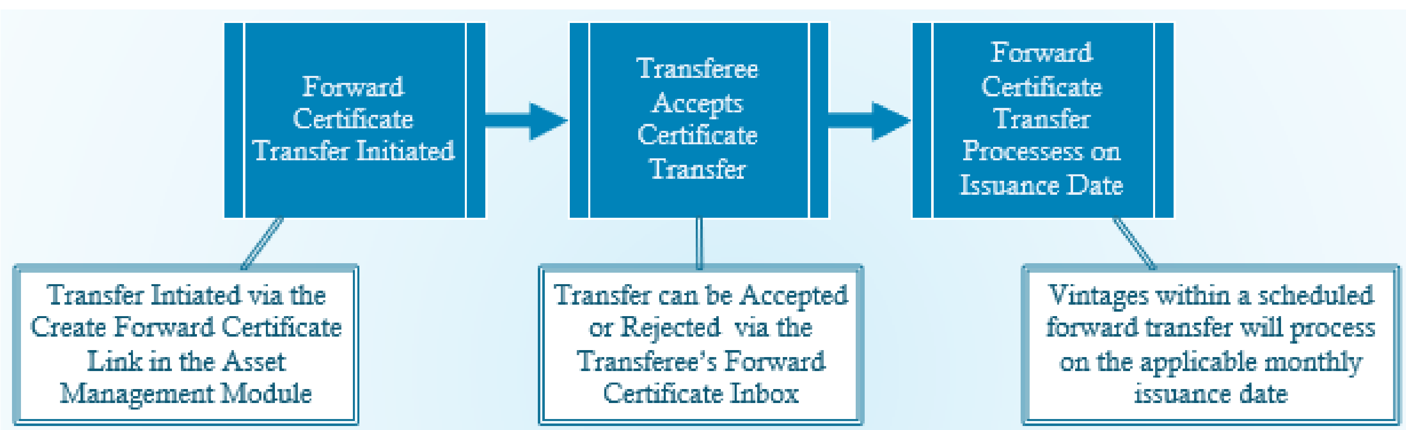
Once NC-RETS projects are approved, the Account Holder can set-up Forward Certificate Transfers to automatically transfer certificates as they issue.

This User Guide outlines the requirements and steps for how to establish and manage Forward Certificate Transfers in NC-RETS and focuses on the following areas:

A. Forward Certificate Transfer Process
B. Create a New Forward Certificate Transfer
C. Approve/Reject a Forward Certificate Transfer Request
D. Check the Status of a Forward Certificate Transfer
E. Removing or Modifying a Forward Certificate Transfer
F. Frequently Asked Questions

A. Forward Certificate Transfer Process

Below is the process flow of the Forward Certificate Transfer process:

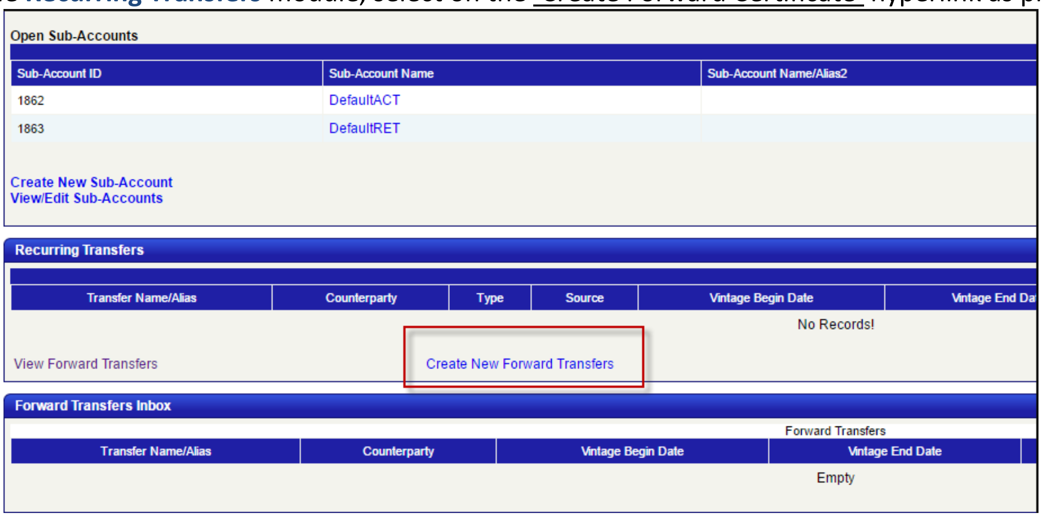


B. Create a New Forward Certificate Transfer

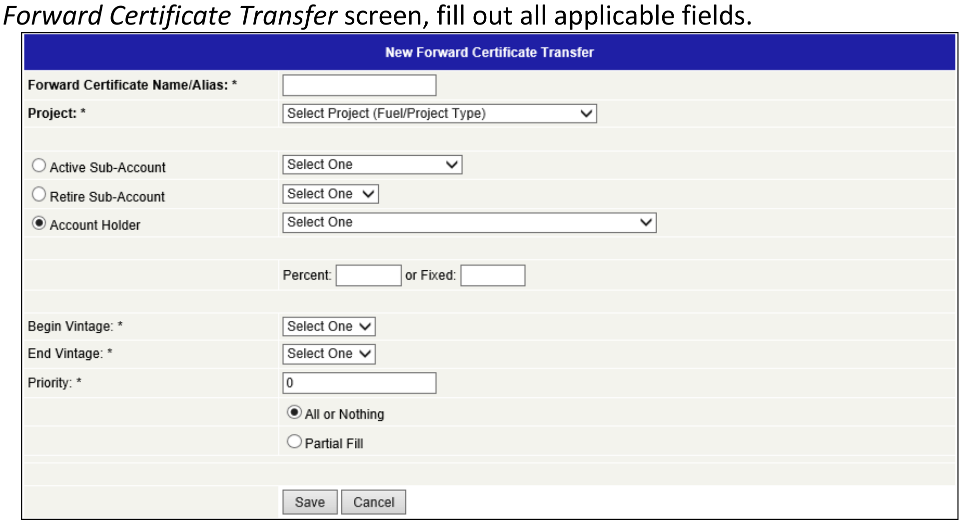
Once projects are approved in NC-RETS, Transferors can create Forward Certificate Transfers by taking the following steps:

1. In the Account Dashboard, locate the **Recurring Transfers** module.

2. Under the **Recurring Transfers** module, select on the ‘Create Forward Certificate’ hyperlink as pictured below:



3. In the *New Forward Certificate Transfer* screen, fill out all applicable fields.



   a. **Forward Certificate Name**: Enter a name for the Transfer
   b. **Project**: Designate Project to source the certificates from.
   c. **Type of Forward Transfer:** Designate the radio button for the appropriate type of transfer and then select the specific subaccount from Dropdown (Essentially, you are indicated where the certificates will be going):
      i. **Active Subaccount**: Intra Account Transfers

        ii. **Retirement Subaccount**: Intra Account transfers
        iii. **Account Holder:** For transfers to another Account Holder, select the Account Holder the Certificates will be transferred to

   d. **Percent or Fixed**: Designate one of the following:
        i. A **fixed** number of Forward Certificates to be transferred each month, or
        ii. The **percentage** of Certificates that will be transferred each month (you likely need to select 100%)

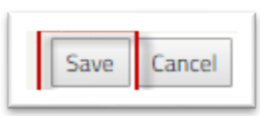
   e. **Begin and End Vintage**: The first vintage (month/year) that the Forward Certificate Transfer will be executed for and the end vintage representing the last transfer in the Forward Certificate Transfer transaction;
        i. Please note that Forward Transfers will not transfer certificates for vintages that have already been issued. (If you have a 20 year contract you can set up your Forward transfer from 10/2016 – 10/2036)

   f. **Priority**: Enter the priority of the Forward Certificate Transfer relative to any other Forward Certificate Transfers, if applicable.
        i. If you leave the Priority as the defaulted 0, NC-RETS will assign the Priority in the order in which the Forward Transfer was received.

   g. **All or Nothing**: Selecting the All or Nothing radio button will only transfer certificates when all the designated certificates are available to be transferred.
        i. For Example, if I designate 100 certificates to transfer each month, but I only generate 99 MWh, the Forward Transfer will not process.

   h. **Partial Fill**: Selecting Partial Fill will transfer the certificates that are available, even if there is not enough to fulfill the Forward Transfer.
        i. For Example, if I designate 100 certificates to transfer each month, but I only generate 99 MWh, the Forward Transfer will process 99 certificates.

4. Select on the [Save] button to create a new Forward Certificate Transfer.



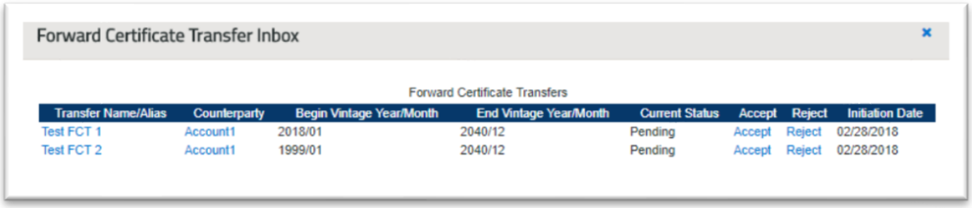
Note: After a new Forward Certificate Transfer is created, it will be in a 'Pending' status until the Transferee accepts/rejects the terms. Both the Transferor and Transferee will receive an email notification regarding the Forward Certificate Transfer.

C. Approve/Reject a Forward Certificate Transfer

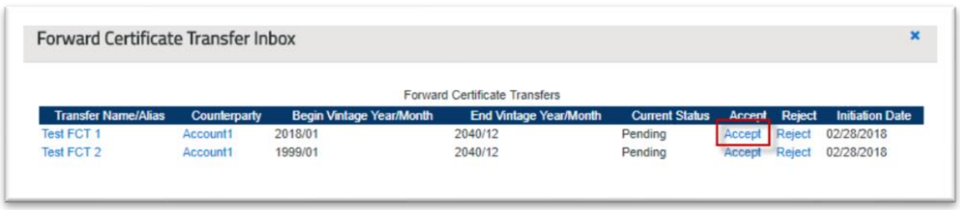
Once the Transferor initiates the Forward Certificate transfer, the Transferee can Accept or Reject the request through the Forward Certificate Inbox module.

Accept Forward Certificate Transfer
To accept a Forward Certificate Transfer, the Transferee takes the following steps:

1. In the Account Dashboard, locate the **Forward Certificate Transfer Inbox** module.

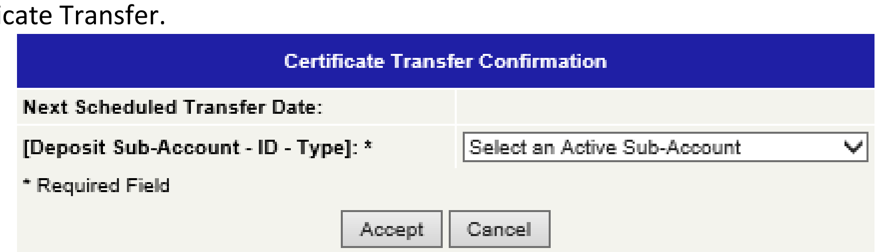


2. Select the Accept hyperlink under the 'Accept' column to effectuate the Forward Certificate Transfer.



Note: Vintages within a scheduled forward transfer will process on the applicable monthly issuance date.

3. You are then taken to the "Certificate Transfer Confirmation" page. The Transferee will select the Deposit Sub-Account (where the certificates will be deposited) and then select [Accept] to finalize acceptance of the new Forward Certificate Transfer.

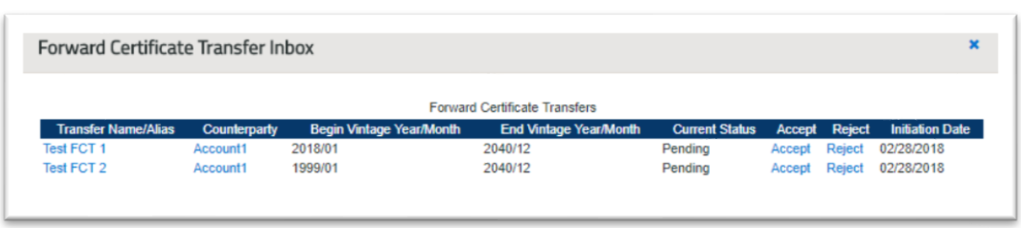


4. Transferor and Transferee will be notified via email of the new status of the Forward Certificate Transfer.

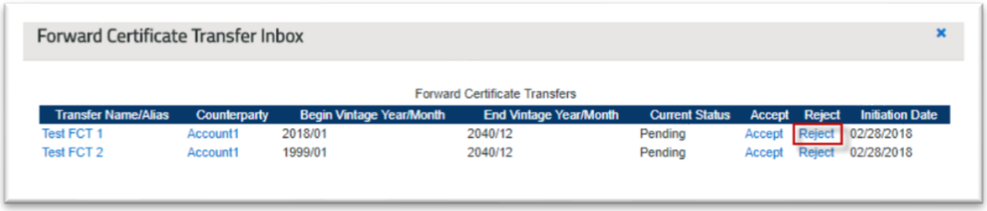
Reject Forward Certificate Transfer

To reject a Forward Certificate Transfer, the Transferee takes the following steps:

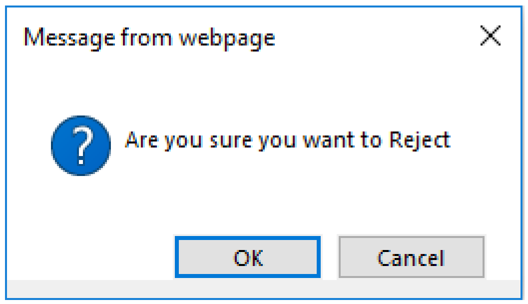
1. In the Account Dashboard, locate the **Forward Certificate Transfer Inbox** Module.



2. Under the Forward Certificate Transfers table, select the Reject hyperlink under the Reject column to decline the Forward Certificate Transfer.



3. Select the [OK] button to confirm selection.



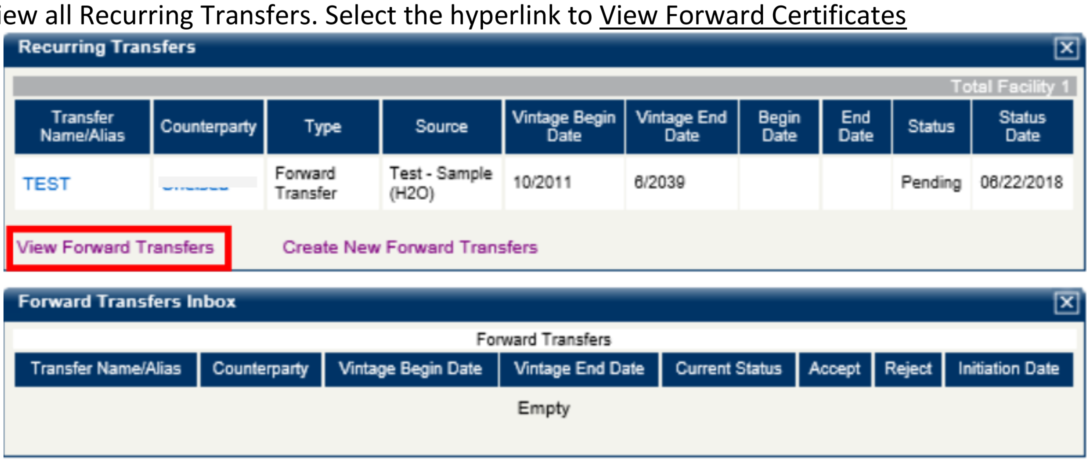
4. Transferor and Transferee will be notified via email of the new status of the Forward Certificate Transfer.

D. Check the Status of a Forward Certificate Transfer

The Transferor can view and check on the status of their Forward Certificate Transfers by taking the following steps:

1. In the Account Dashboard, locate the **Recurring Transfers** Module.

2. To review all Recurring Transfers. Select the hyperlink to View Forward Certificates



3. View Forward Certificate Transfer information on the Forward Transfers table or select on the hyperlink under the Transfer Name/Alias column to view Forward Certificate Transfer details.

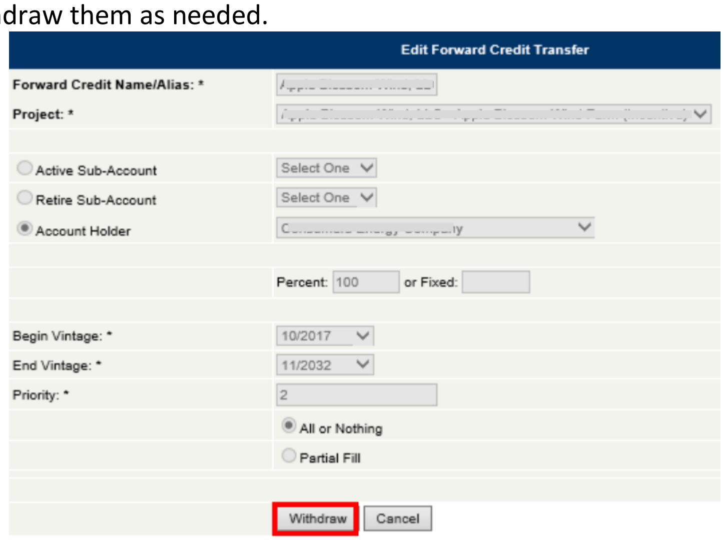
Transfer Name/Alias	Priority	From Account Holder	Counterparty
Test FCT 2	2	Account1	Account2
Test FCT 2	2	Account1	Account2
Test FCT 1	1	Account1	Account2
Test FCT 1	1	Account1	Account2

E. Removing or Modifying a Forward Certificate Transfer

An account holder will NOT be able to modify an Approved Forward Certificate Transfer. However, a 'Pending' Forward Certificate Transfer, can be modified if the Transferor has submitted the request, but the Transferee has not yet accepted or rejected it.

If an Active Forward Certificate Transfer needs to be modified, the only option will be to 'Withdraw' the existing FTC and then resubmit the request with the new details.

Please reference Section D above (Check the Status of a Forward Certificate Transfer) in order to access the Forward Certificate Transfers and Modify/Withdraw them as needed.



Note: If the Forward Certificate Transfer is in a Pending' status, then the fields will be accessible (not grayed out) and the Account Holder will have the additional option to [Save] changes.

F. Frequently Asked Questions

1. **Why don't I see my project in the dropdown when I am in the Create Forward Certificate Transfer screen?**
   - Only approved projects will be displayed on the Create Forward Certificate Transfer screen. If your project is in a 'Pending' status or not registered in NC-RETS, please work with the NC-RETS Administrator to review and approve your project.

2. **What are some common reasons why a Forward Certificate Transfer would be rejected?**
   - Incorrect Begin or End Vintages
   - Wrong Project
   - Incorrect Quantity

3. **What NC-RETS report will show me the history of my Forward Certificate Transfers?**
   - My Forward Certificates
   - My Event Log
   - Inter-Account Transfer report.
4. **Why didn't the expected quantity of certificates transfer when my Forward Certificate Transfer process?**
   - Forward Certificate Transfer Priority conflicts
   - Insufficient certificate quantity to transfer if 'All or Nothing' is selected.