





NEPOOL GIS

2022 Certificate Transfers Training



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NEPOOL GIS Team



Bao Ngo
Joined APX in 2005

I have over 15 years of experience in REC registry operations, Demand Response program management, professional services consulting, and CAISO and ERCOT wholesale power markets operations. I currently manage the day-to-day operations of NEPOOL GIS and am Client Manager for CAR and ACR carbon registries.

Elena Barahona
Joined APX in 2022

As a client management specialist for both the NCRETs and NEPOOL GIS registries my goal is to provide proactive and timely customer service for our users and partners, as well as guidance through the implementation of new tools and processes.




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Agenda



- I. Introduction
- II. View Active Certificates
- III. Types of Certificate Transfers
- IV. Certificate Transfers to Another Account Holder
- V. Certificate Transfers for Retirements
 - I. Reserved (General/Voluntary) Retirement
 - II. Compliance Retirement
- VI. Certificate Transfers to Bulletin Board
- IV. Overview of Key NEPOOL GIS Dates
- V. Q&A




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NEPOOL GIS Transfers



Prerequisites:

- Have an approved NEPOOL GIS account
- The Quarterly Trading Period is open
- Have Active Certificates in your NEPOOL GIS Account




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Introductions





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View Active Certificates





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View Active Certificates

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

1. In the Account Dashboard, User locates the Account Status module.
2. Under the Account Summary module, User clicks on a hyperlink under Account Activity as pictured below to view Certificate inventory in the specific page of the clicked hyperlink.



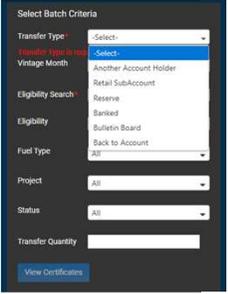
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Types of Certificate Transfers

- Another Account Holder
- Retail Sub Account
- Reserve
- Banked
- Bulletin Board
- Back to Account



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View Active Certificates

ACCOUNT STATUS FOR 2022 - Q2

Trading Period

2022 - Q1	2022 - Q2 - Open
7/15/2022 to 9/16/2022	10/15/2022 to 12/16/2022

Account Summary

MSS Data & Manual Generation Tools

Supply MWh

Generation	0.000
Imports	0

Account Activity

Certificates

Transferable	1,510,099
Reserved	0
On Bulletin Board	0
Banked	715,315
In Subaccounts	0

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Transfer Certificates to Another Account Holder

PX NEPOOL
GENERATION INFORMATION SYSTEM

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Types of Certificate Transfers

PX NEPOOL
GENERATION INFORMATION SYSTEM

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Transfer Certificates to Another Account Holder

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

1. Log in to NEPOOL GIS.
2. In the Account Dashboard, User clicks on the **Transfer** option (Choose Certificates) from the menu bar as shown below:



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Transfer Certificates to Another Account Holder



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Transfer Certificates to Another Account Holder



- Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity

- Once all the options are selected, User clicks on the 'View Certificates' button to populate the requested data on the right pane.

[View Certificates](#)

- Note:** in the Transfer Quantity field of the selection criteria, User can enter the total number of RECs to transfer without having to manually select the batch(es) in the right pane.

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Transfer Certificates to Another Account Holder



- In the Select Batch Criteria section on the left pane, User selects Another Account Holder from the Transfer Type drop-down. The dynamic Selection Criteria is driven off of the transfer type selection.

- Under the Account Holder drop-down in the Select Batch Criteria section, User selects the Account Holder that will be receiving the Certificates.

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Transfer Certificates to Another Account Holder



- After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.

- Note:** If Transfer Quantity was entered in the selection criteria, the Transfer Quantity column displays selected REC quantities for batches up to the quantity entered.

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Transfer Certificates to Another Account Holder



- Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
 - Selected + Others** – Searches for certificate holdings that have all the selected and zero or more other eligibilities.
 - Selected Only** – Searches for certificate holdings that have only the selected eligibilities.
 - At Least One** – Searches for certificate holding that have at least one selected eligibility and zero or more other eligibilities.

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Transfer Certificates to Another Account Holder



- In the Select Your Certificates section on the right pane, User either clicks 'Select All' button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.

- Note:** Clicking the 'Select All' or 'Clear All' buttons only impacts the REC batches on the current page. User can select or clear additional batches from multiple pages on the right pane.

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Transfer Certificates to Another Account Holder

- In the Additional Transfer Attributes section on the right pane, User can enter optional Price and/or Notes/Comments information for their counter-party to see.
- User clicks the 'Transfer' button to execute Certificate transfer to the designated Account Holder selected from the selection criteria.

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Accept/Reject Certificate Transfers

- Select the checkbox(es) under the Select All column and click the 'Confirm' or 'Reject' buttons to accept or reject the selected REC transfer(s) or click on the Confirm All/Reject All buttons to accept or reject all REC Transfers in the Inbox.

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Accept/Reject Certificate Transfers

- Click the 'OK' button to confirm the selection.
- In the Transfer Confirmation screen, select the Sub-Account where the accepted RECs are to be deposited.

Note: All Sub-Accounts displayed in the drop-down beside the Transferrable Status are Compliance Sub-Accounts. Certificates retired in a Compliance Sub-Account (Settled) are "taken out of circulation" and cannot be resettled or moved, nor can the label be changed, for any reasons, once a trading period has ended.

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Accept/Reject Certificate Transfers

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

- In the Account Dashboard, locate the **Inbox**
- Under the Inbox module, click the quantity hyperlink under Pending Certificates.

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Accept Certificate Transfers

- Click the Accept button to confirm the location where the RECs will be deposited.
- Transferor and Transferee will be notified via email of the confirmed REC Transfer.

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Reject Certificate Transfers

- Click the 'OK' button to confirm the selection.
- The rejected RECs will be returned to the Transferor's GIS account. The Transferor and Transferee will be notified via email of the rejected REC Transfer.



Are you sure you want to reject?

OK Cancel

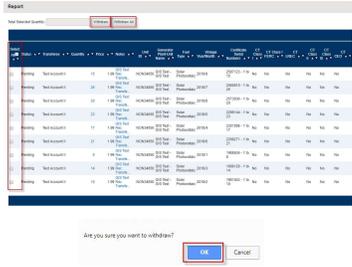
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Withdraw Certificate Transfers

- Select the checkbox(es) under the Select All column and click the 'Withdraw' button to withdraw the selected REC transfer(s) or click on the 'Withdraw All' button to withdraw all REC Transfers in the Outbox.
- Click the 'OK' button to confirm the selection.
- The withdrawn RECs will be returned to the Transferor's GIS account. The Transferor and Transferee will be notified via email of the withdrawn REC Transfer.



Report

Are you sure you want to withdraw?

OK Cancel

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Withdraw Certificate Transfers



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Certificate Retirements



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Withdraw Certificate Transfers

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

- In the Account Dashboard, locate the Outbox
- Under the Outbox module, click the quantity hyperlink under Pending Certificates.



Outbox

To	Quantity	Status	Withdraw
		Obligation	
		Empty	
		Certificate	
	Pending Certificates		

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Types of Certificate Retirements

Voluntary/General Retirement

- All Certificates that were deposited into the Reserve Sub-Account for voluntary/general purposes, retaining all of their attributes from the time of Certificate Creation.

Compliance Retirement

- All Certificates that were deposited into a Retail Sub-Account, are settled and retired for Compliance purposes, retaining all of their attributes from the time of Certificate creation.

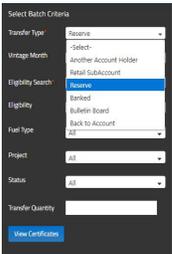
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Voluntary Certificate Retirement

- In the Select Batch Criteria section on the left pane, User selects Reserve Sub-Account under the Transfer Type drop-down.

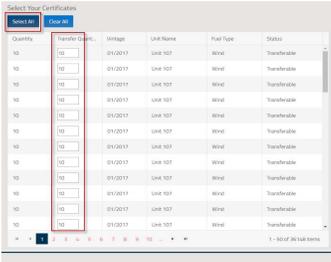


- Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
- Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.

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Compliance Certificate Retirement

- After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.
- In the Select Your Certificates section on the right pane, User either clicks 'Select All' button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.
- User clicks the 'Transfer' button to execute Certificate transfer to the Reserve Sub-Account.
- A pop-up box will display to confirm that the RECs have been successfully transferred to the Reserve Sub-Account.



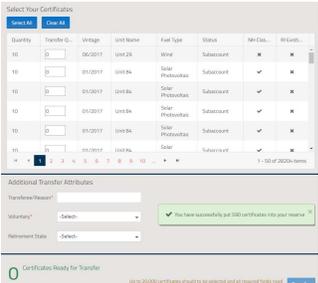
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Voluntary Certificate Retirement

- After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.
- In the Select Your Certificates section on the right pane, User either clicks 'Select All' button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.
- In the Additional Transfer Attributes, enter data in the available fields.
- User clicks the 'Transfer' button to execute Certificate transfer to the Reserve Sub-Account.
- A pop-up box will display to confirm that the RECs have been successfully transferred to the Reserve Sub-Account.



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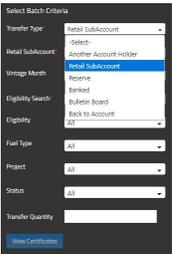
Transfer Certificates to Bulletin Board

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Compliance Certificate Retirement

- In the Select Batch Criteria section on the left pane, User selects Retail SubAccount under the Transfer Type drop-down.



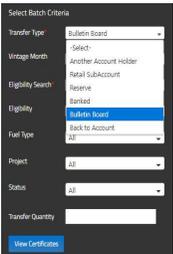
- Under the Retail SubAccount drop-down in the Select Batch Criteria section, User selects the Retail SubAccount where the RECs will be retired.
- Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.

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Transfer Certificates to Bulletin Board

- In the Select Batch Criteria section on the left pane, User selects Bulletin Board from the Transfer Type drop-down. The dynamic Selection Criteria is driven off the transfer type selection.



- Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
- Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.

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Transfer Certificates to Bulletin Board

- After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.
- In the Select Your Certificates section on the right pane, User either clicks 'Select All' button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.
- User clicks the 'Transfer' button to execute Certificate transfer to the Bulletin Board.

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Important NEPOOL GIS Dates

Generation Month	Last Day to Submit MWh, Import Claims, Emissions, RPS Eligibility	Issuance Date	First Day of Trading Period	Last Day of Trading Period	Quarter
January	July 10	July 15	July 15	September 15	1
February	July 10	July 15	July 15	September 15	1
March	July 10	July 15	July 15	September 15	1
April	October 10	October 15	October 15	December 15	2
May	October 10	October 15	October 15	December 15	2
June	October 10	October 15	October 15	December 15	2
July	January 10	January 15	January 15	March 15	3
August	January 10	January 15	January 15	March 15	3
September	January 10	January 15	January 15	March 15	3
October	April 10	April 15	April 15	June 15	4
November	April 10	April 15	April 15	June 15	4
December	April 10	April 15	April 15	June 15	4

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Transfer Certificates to Bulletin Board

- The Certificates transferred to the Bulletin Board will be located in the Account Holder's Bulletin Board located under the Account Status Module.

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Contact Information

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Key Dates

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APX Contact Information

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