

CENTRAL ELECTRICITY REGULATORY COMMISSION

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F. No. RA-14026/3/2019-CERC

Dated: 6th July 2020

Shri K.V.S. Baba
Chairman and Managing Director
Power System Operation Corporation Ltd.
B-9 1st Floor,
Qutub Institutional Area,
Katwaria Sarai,
New Delhi - 110016

Subject: Approval of modification of REC Procedures for Issuance

Sir,

1. This has reference to POSOCO's letter no. POSOCO/NLDC/REC/Procedures dated 31.05.2020 regarding the modification in REC Procedures in accordance with the Central Electricity Regulatory Commission (Terms and Conditions for recognition and issuance of Renewable Energy Certificate for Renewable Energy Generation) Regulations, 2010.
2. The matter has been considered in the Commission and modifications to the procedures with reference to "Issuance of Renewable Energy Certificate to the Eligible Entity by Central Agency" have been approved by the Commission as per the Annexure enclosed.
3. Wide publicity to be given to the above Procedures for information and compliance of all concerned.

Yours sincerely

Sd/-
(Sanoj Kumar Jha)

Encl: As above.

ANNEXURE

PROCEDURE FOR ISSUANCE OF RENEWABLE ENERGY CERTIFICATE TO THE ELIGIBLE ENTITY BY CENTRAL AGENCY

1. OBJECTIVE

1.1. This procedure shall provide guidance to the entities to implement Renewable Energy Certificate mechanism as envisaged under Central Electricity Regulatory Commission (Terms and Conditions for recognition and issuance of Renewable Energy Certificate for Renewable Energy Generation) Regulations, 2010 notified by CERC and amendments thereof, (hereinafter referred to as “**the CERC REC Regulations**”). This procedure shall be called ‘*Procedure for Issuance of Renewable Energy Certificates to the Eligible Entities*’.

1.2. This procedure is issued in compliance to the Regulation 3(3) of the CERC REC Regulations and prepared in order to implement the CERC REC Regulations to facilitate development of market in power from renewable energy sources by issuance of **Renewable Energy Certificates (REC)**.

1.3. Words and expressions used in these Procedures and not defined herein but defined in the Act, the CERC REC Regulations or any other Regulations issued by the Central Commission shall have the same meaning assigned to them respectively in the Act, the CERC REC Regulations or such other Regulations issued by the Commission.

2. APPLICABILITY AND SCOPE

2.1. This procedure shall be applicable to RE projects, who have received “Certificate of Registration” from the Central Agency, and shall be eligible to avail Renewable Energy Certificates from the date of commercial operation or from the date of Registration of such plant by the Central Agency whichever is later.

2.2. This procedure shall also be applicable to Distribution Licensees who have received “Certificate of Registration” from the Central Agency, and shall be eligible to avail Renewable Energy Certificates as per provisions of the CERC REC Regulations and this procedure.

2.3. This procedure shall be applicable to the Central Agency and all other concerned stake holders while issuing the Renewable Energy Certificates to the Eligible Entities.

3. STEP-WISE DESCRIPTION OF THE PROCEDURE

The basic procedure for issuance of Renewable Energy Certificates to the Eligible Entities includes the following steps:

3.1. Step-1: An application for issuance of Renewable Energy Certificate shall be made by the Eligible Entity to the Central Agency. The eligible entity shall apply for Issuance of REC on the Web Based Application as per the details given in the Energy Injection Report (EIR issued by the SLDC/RLDC/Recommendation of SERC for issuance of RECs) and shall also submit the same information in physical form with the Central Agency. The online application shall be acceptable by the Central Agency only if complete in all respect. The physical application for issuance of certificate shall include (i) Energy Injection Report (EIR) for RE projects /Recommendation of SERC for issuance of RECs for distribution licensee, and shall be made in the specified format (FORMAT-3.1: "Application for Issuance of Renewable Energy Certificates to the Eligible Entities" (By Respective SLDC)/FORMAT-3.1.1 for distribution licensee (By respective SERC)/FORMAT-3.1.2 Application for Issuance of Renewable Energy Certificates (By Respective RLDC)) (ii) Print out of online application duly signed and stamped by Authorised Signatory (iii) Commissioning Certificate for RE Generator, only for issuance for the first month after registration. The application shall be accompanied with the details of payment of the applicable fee & charges towards issuance of certificates as determined by CERC from time to time. While making application for issuance of RECs, the Applicant (Eligible Entity) shall quote the unique Registration Number assigned to it by Central Agency at the time of registration.

3.2. Step - 2: After receipt of physical application for issuance of renewable energy certificates from the Eligible Entity, the Central Agency shall undertake a preliminary scrutiny within 6 working days to ensure that the Application Form is complete in all respect along with necessary documents and applicable fees and charges. As part of preliminary scrutiny, the Central Agency shall satisfy that the following conditions are fulfilled by the RE generators or distribution licensee, as the case may be:

- a) The application is made in the format specified by the Central Agency from time to time.
- b) The status of Accreditation of the Eligible Entity with the State Agency has not expired. The status of Registration of the Eligible Entity with the Central Agency has not expired.
- c) The duly certified EIR/ Recommendation of SERC for issuance of RECs is

attached for the same period for which application is made towards issuance of Renewable Energy Certificate by the Eligible Entity.

d) The application is accompanied with fees & charges.

3.3. Step - 3: After conducting the preliminary scrutiny, the Central Agency shall intimate in writing to the Applicant for submission of any further information or clarification, if necessary, to further consider the application for issuance of Renewable Energy Certificates or reject the application.

3.4. Step - 4: While considering any application for issuance of Renewable Energy Certificate, the Central Agency shall verify and ascertain availability of following information:

a) Verification of the time period for which the Central Agency may have already issued Renewable Energy Certificates to the concerned Eligible Entity.

b) Verification of Renewable Energy Certificates claimed by the Eligible Entity from the duly certified Energy Injection Reports by the concerned State Load Despatch Centre/Regional Load Despatch Centre in respect of concerned Eligible Entity.

c) Details of fee & charges made for issuance of certificates.

d) Confirmation of Compliance Auditor report, if any.

3.5. Step - 5: The Central Agency shall issue Renewable Energy Certificates to the Eligible Entity only after confirming, the claims made by the Eligible Entity, with the duly certified EIR forwarded by the SLDC/RLDC/Recommendation of SERC for issuance of RECs. In case of any discrepancy, in the EIR enclosed by the Eligible Entity along with Application and regular EIR received by Central Agency from concerned State Load Despatch Centre, the information contained in regular EIR furnished by concerned State Load Despatch Centre/Regional Load Despatch Centre shall be considered as final and binding for the purpose of issuance of Renewable Energy Certificates. However, in case energy units reported under EIR by concerned State Load Despatch Centre/Regional Load Despatch Centre exceed that claimed by Eligible Entity for same period then, Central Agency shall seek necessary clarification from concerned State Load Despatch Centre/Regional Load Despatch Centre before issuance of the Renewable Energy Certificates. The denomination of each REC issued would be as per the CERC REC Regulations and amendments thereof, and 1 REC would be taken as equivalent to 1 MWh of electricity generated from renewable energy source and injected or deemed to be injected (in case of self-consumption by eligible captive power producer) into the grid. It is clarified that any fractional

component of energy as per the Energy Injection Report can be accumulated and would be considered for issuance of RECs as per the CERC REC Regulations.

3.6. Step-6: The Central Agency shall issue the Renewable Energy Certificates to the Eligible Entity within fifteen (15) working days from the date of receipt of physical application form along with complete information necessary for processing of application for issuance of RECs.

3.7. Step-7: In case the Eligible Entity is not fulfilling any of the conditions mentioned under Step-5 and fails to provide necessary information/clarification in the matter within stipulated timeframe, the Central Agency may reject the application and shall intimate to the Eligible Entity, in writing, the reasons for rejecting the application for issuance of RE certificates.

3.8. Step-8: Upon issuance of RE Certificates to Eligible Entity, the Central Agency shall make available details about such issuance to the concerned State Agency.

4. FUNCTIONS, ROLES AND RESPONSIBILITIES OF ENTITIES INVOLVED

The roles and responsibilities of the entities involved are elaborated in the following paragraphs:

4.1. Eligible Entity

- a. The Eligible Entity shall apply for issuance of Renewable Energy Certificates in the format specified by the Central Agency.
- b. In case the RE Generator, as an Eligible Entity is connected with the transmission network, it shall coordinate with the concerned [Inter-State Transmission Licensee/Intra-State Transmission Licensee](#) or concerned [SLDC/RLDC](#) for record of meter readings and energy injection report corresponding to electricity generated by the said renewable energy project.
- c. In case the RE Generator, as an Eligible Entity is connected with the distribution network of Distribution Utility, it shall coordinate with the concerned Distribution Licensee for record of meter readings and energy injection report corresponding to electricity generated by the said renewable energy project.

- d. In case RE generator is a Regional Entity and is connected at the Inter-State Transmission Network, it shall submit the request for issuance of Energy Injection Report to respective RLDC as per the Format 3.1.3.
- e. The Eligible Entity shall comply with the duties and obligations specified by the Central Agency.
- f. The Eligible Entity shall pay fee and charges, as determined by the CERC from time to time, to Central Agency for issuing renewable energy certificates.
- g. Whenever there is a change in legal status of registered entity (e.g. change from partnership to company, Pvt. Limited to Public Limited, new entity subsequent to demerger, change in ownership of the company, asset sale/transfer to other company, etc.), it shall inform the concerned State Agency and the Central Agency within one month from the date of said change, along with the following:
 - i. request for revocation of the project from the REC Mechanism
 - ii. request for re-accreditation/fresh accreditation and re-registration/fresh registration of the project under REC, if desired
 - iii. request for transfer of RECs to the new entity

Supporting documents including revised PPAs (if any) and Certificate from Registrar of Companies must be submitted.

Upon verification, the State Agency shall accredit the new legal entity, and update the Central Agency. Subsequently the Central Agency shall register the new legal entity, and transfer ownership of existing valid RECs.

New RECs to be issued to the new entity from the date of application for re-accreditation/fresh accreditation.

In cases involving a change in name of the registered entity, it shall inform the concerned State Agency and the Central Agency within one month from the date of said change, along with relevant documents including but not limited to Board Resolution regarding the name change, certificate of name change from Registrar of Companies, approval of concerned authorities, State Agency etc.

- h. RE generator as an eligible entity shall maintain the records of the meter reading like opening meter reading, closing meter reading, auxiliary

consumption, export, import, etc. and the same shall be made available to Compliance Auditor as and when required.

- i. RE generator as an eligible entity shall forward the declaration and checklist as per Format 3.2 to Central Agency through State Agency as and when there is any change in the information submitted in the declaration at the time of Accreditation/Registration of the project.

4.2. State Load Despatch Centre (SLDC) and Regional Load Despatch Centre

- a. SLDC and RLDC shall follow the State Grid Code/Indian Electricity Grid Code, as applicable for the purpose of accounting renewable energy injected into the grid.
- b. The energy injection by Registered RE Generator for the first month, for issuance of REC, shall be applicable from the date of commercial operation or from the date of registration of such plant by the Central Agency, whichever is later till last day of the same month. However for the subsequent months, period of energy injection shall be from the first day of the month to last day of the same month. For different billing cycles of RE Generators, Energy Injection Report submitted by SLDC to Central Agency shall be for the complete calendar month. In order to do accounting for the calendar month, SLDCs may calculate on pro-rata basis or any other method deemed suitable by the SLDC. Auxiliary Consumption shall not to be considered for issuance of REC.
- c. In case the Eligible Entity is a Regional Entity and connected to Inter-state Transmission Network, the respective RLDC shall maintain the record of meter readings. RLDC shall match the claim of RE generators as per information submitted as per para 4.1.d of the procedure. RLDC shall prepare the energy injection report considering the injection at the Transmission System interface point. In case any mismatch between the energy claimed by RE generator and RLDC energy injection report, RLDC may ask additional information from the RE Generator. RLDC shall provide the Energy Injection Report as per enclosed format to respective RPC and Central Agency and with a copy to the concerned Generator on monthly basis.
- d. In case the Eligible Entity is connected to the state transmission network, SLDC shall maintain the record of meter readings and communicate the

- unconditional certified energy injection report for each accredited RE project of the registered Eligible Entity within State to the Central Agency with a copy to the concerned RE Generator on monthly basis.
- e. In case the Eligible Entity is connected to the distribution network of Distribution Utility, SLDC shall establish protocol for receipt of information and maintenance of the record of meter readings for such RE projects. Further, SLDC shall arrange to communicate unconditional certified energy injection report for each accredited RE project of the registered Eligible Entity within the State to the Central Agency on monthly basis.
 - f. In case the Eligible Entity is CGP and is connected to the transmission/distribution network of Transmission/Distribution Utility, SLDC shall establish protocol for receipt of information and maintenance of the record of meter readings including self-consumption for such RE projects. Further, SLDC shall arrange to communicate injection report for each accredited RE project of the registered Eligible Entity within the State to the Central Agency with a copy to the concerned RE Generator on monthly basis.
 - g. SLDC/RLDC shall communicate renewable energy injected into the grid for each accredited RE project of the registered Eligible Entity within its jurisdiction to respective State Agency.
 - h. In case eligible entity is availing banking facilities in line with the provisions of CERC REC Regulations, the eligible entity shall provide the data of generation, consumption and banked energy to the concerned SLDC based on which SLDC shall certify monthly energy injection reports such that accounting of energy remain intact.
 - i. SLDC shall maintain the records of the meter reading like opening meter reading, closing meter reading, auxiliary consumption, export, import, etc. and the same shall be made available to Compliance Auditor as and when required. RLDC shall maintain record of metered data obtained from Transmission interface point and same shall be made available to compliance auditor as and when required.

4.3. Distribution Licensee

- a. In case of RE projects connected to the distribution network, the concerned distribution licensee shall undertake joint meter reading (along with

concerned RE Generator) and maintain energy accounting information of such Renewable Energy Generator on monthly basis.

- b. In case renewable energy generator is connected with the network of the distribution licensee, it shall submit energy injection report to the concerned SLDC on monthly basis.
- c. In case, Distribution licensee is itself an eligible entity under REC Regulations, then Distribution licensee shall submit the application to Central Agency for issuance of RECs within three months from the date of obtaining the certification as per CERC REC Regulations from the concerned State Electricity Regulatory Commission.

4.4. Central Agency

- a. Central Agency shall comply with the directions issued by the Central Electricity Regulatory Commission from time to time.
- b. Central Agency shall verify the claim made by the Eligible Entity in its application with the energy injection report submitted by the concerned SLDC/RLDC, as the case may be.
- c. Central Agency shall not issue RECs during the trading session at the Power Exchange.

4.5. Compliance Auditors

- a. Compliance Auditors shall comply with the duties and obligations specified by the CERC.
- b. Upon undertaking detailed investigation/audit, Compliance Auditors shall submit the report on revocation of Registration of the Eligible Entity, if necessary, to the Central Agency/Central Commission.

5. INFORMATION REQUIREMENT - APPLICATION FORM & CONTENT

5.1. For the purpose of issuance of renewable energy certificates, the Central Agency shall take into account following information:

- a. Renewable EIR submitted by the concerned SLDC/RLDC/ Recommendation of SERC for issuance of RECs.

- b. The Registration Number issued by Central Agency to the Eligible Entity, to be submitted by the eligible entity along with the application, describing validity of “Registration”.
- c. Details of Fee and Charges
- d. Compliance Auditor report, if any.
- e. Commissioning Certificate shall be submitted to the concerned state agency within one month from the date of issuance of RECs, in case commissioning Certificate was not submitted to the State Agency at the time of the Accreditation of the project.
- f. Complete Application as per para 3.1 of this procedure.

6. REPORTING REQUIREMENT: FORMAT FOR RE CERTIFICATE

- 6.1.** The Central Agency shall issue the electronic renewable energy certificates to the Eligible Entity in the format as elaborated in the FORMAT 3.2.

7. TIMELINES

- 7.1.** The RE Generator as an Eligible Entity shall apply for issuance of renewable energy certificates within six (6) months from the month in which renewable energy was generated and injected into the electricity grid. Thereafter, the eligible entity shall not be eligible to apply for issuance of RECs against the said generation. However, the eligible entity shall apply for issuance of RECs for the complete month in sequential manner.

For example, in the month of July, the applicant may apply for issuance of RECs for the months of January, February, March, April, May and June of that calendar year. Further in the month of July, the eligible entity shall also ensure that while submitting the physical application along with the completed documents for issuance of RECs corresponding to generation in the month of January, the application should reach to Central Agency latest by 31st July for considering the application. Thereafter, application for injection corresponding to January shall not be considered.

However, since the monthly injection report for January would not be available with the Central Agency before month end, application for issuance of RECs against energy injected during January can be made on 10th, 20th and last day in the subsequent six months.

However, the eligible entity shall ensure that it should apply first for January before applying for February.

7.2. The distribution licensee as an eligible entity shall apply to the Central Agency for Certificates within three months from the date of obtaining the renewable energy procurement certificate from the concerned SERC as per the provisions of the clause 7(1) of the REC Regulations.

7.3. The application for issuance of Renewable Energy Certificates may be made on 10th, 20th and last day of the month.

7.4. The Central Agency shall issue the renewable energy certificates to the Eligible Entities within fifteen (15) working days from the date of physical receipt of “application for issuance” made by the Eligible Entity along with requisite information complete in all respect.

7.5. The Central Agency shall inform the applicant with regard to the incompleteness of the application within 6 working days.

7.6. The Eligible Entity shall furnish the additional information or respond to clarification as sought by the Central Agency within 6 working days so as to enable Central Agency to issue certificates in timely manner.

7.7. In case the Eligible Entity fails to furnish the information requested within the stipulated time frame, the Central Agency may abandon the process of issuance of RECs to the Eligible Entity and retain the Processing Fees paid for application for issuance. However, the Eligible Entity may re-apply as a fresh application for the issuance of RECs.

8. FEES AND CHARGES

8.1. The fees and charges¹ towards issuance of RECs shall be as mentioned below:

a. Issuance Fees per certificate: Rs. _____/- shall be payable at the time of submitting application for issuance of RECs to Central Agency.

b. All fees and charges plus applicable service tax shall be payable by way of through Electronic Clearing System/online payment facility as specified by Central Agency and transaction charges shall be borne by eligible entity.

8.2. In case of difference between the number of RECs requested by eligible entity and the number of RECs issued by Central agency on account of variation with SLDC/RLDC Report, then any difference from the amount paid at the time

¹ As notified by the Central Electricity Regulatory Commission from time to time

ofsubmitting application shall be settled at the end of the financial year. Therefore, due care may be taken during the submission of online application for issuance of RECs. Further, payments against Issuance charges under REC Mechanism shall be made through the account of eligible entity or through their authorised signatory/authorised party.

8.3. The payment of Fee for the issuance of RECs shall be deposited in the account of Central Agency. Any extra payment made by the concerned eligible entity shall not be considered for issuance of RECs for the following months; however, the refund of such payment shall be done as per the details provided by the eligible entity. The claim for the refund should include the transaction details, amount of refund etc. on the letter head of the company and the letter should be signed by authorised signatory. Further, the fee for the issuance of REC(s) shall be paid for each month separately and shall not be clubbed with another month. Further, the set of documents for the Issuance of REC(s) for a particular month shall be submitted to the Central Agency within 15 days from the date of payment of fee deposited in the account of Central Agency.

8.4. The eligible entity shall submit the TDS certificates to the Central Agency along with the updation of details on REC web site within 1(one) month from the date of closure of each quarter. In case of default in submission of the TDS and/or updation of information in prescribed format, the issuance of RECs to such eligible entities shall be put on hold till the submission/updation of details

9. EVENT OF DEFAULT AND CONSEQUENCES THEREOF

9.1. It will be the responsibility of the State Agency/Central Agency to ensure that the Renewable Energy Generator or distribution licensee, as the case may be, accredited/registered under the REC Scheme, is abiding with the directions given to it from time to time.

9.2. Necessary penal actions or measures may be initiated by State Agency/Central Agency for revocation of accreditation/registration in such cases through separate process.

9.3. In case Eligible entity has obtained accreditation and registration on the basis of false information or by suppressing material information and the accreditation of such entity is revoked at a later date, the Certificates already issued to such entity but not redeemed shall stand revoked from the date of issue of such Certificates and in respect of Certificates already redeemed, such entity shall deposit the amount realized from sale of such Certificates along with the interest with the Central Agency

at the rate of two (2) percent in excess of the applicable State Bank of India Base rate per annum.

10. POWERS TO REMOVE DIFFICULTIES

10.1. If any difficulty arises in giving effect to any provision of these Procedures or interpretation of the Procedures, the Central Agency may make such provisions or propose amendments, not inconsistent with the provisions of CERC REC Regulations, upon seeking due approval from Central Commission, as may appear to be necessary for removing the difficulty.

10.2. In case, any order is passed by any Court/Tribunal/Electricity Regulatory Commission regarding Accreditation/Registration/ Issuance of RECs, in such cases, the Central Agency shall give effect to such directions and if required through enabling provision(s) in the software.

FORMAT 3.1

On letter head of SLDC

APPLICATION FOR ISSUANCE OF RENEWABLE ENERGY CERTIFICATE

Section A: Energy Injection Report

Energy Injection Report No. _____ Date of Energy Injection Report _____

| | |
|--|--|
| Registration Number of the Applicant | |
| Name of the Applicant | |
| Energy Injection Period* (Month ₁ & Year) | |
| Name of the concerned Licensee | |
| A. Total Quantity of Energy Injection and/or deemed injection (MWh) during the Month ¹ | |
| B. Quantum of Energy sold at a tariff determined under section 62 or adopted under section 63 of the Act by the Appropriate Commission during the month ₁ (MWh) | |
| C. Quantum of Energy eligible for issuance of RECs[(A - B)] (MWh) | |

¹ Month means entire month i.e. from first day to last day of the concerned month.

Unconditional Certified Energy injection Report by SLDC shall be communicated to Central Agency

Date:

(Sign and Seal)

Name of the Signatory Authority:

* If RE Generating Station, has no separate metering, but has part generation tied up at a tariff determined under section 62 or adopted under section 63 of the Act by the Appropriate Commission & remaining generation under REC Mechanism then the entire RE generation shall be treated on pro-rata basis.

FORMAT- 3.1.1

On the letter head of State Electricity Regulatory Commission

Recommendation by State Electricity Regulatory Commission for issuance of RECs for Financial Year.....

Name of Distribution Licensee:

It is hereby certified that:

1. Distribution Company has procured renewable energy, in the previous financial year, at a tariff determined under Section 62 or adopted under Section 63 of the Act, in excess of the renewable purchase obligation as may be specified by the Appropriate Commission or in the National Action Plan on Climate Change or in the Tariff Policy, whichever is higher.
2. The renewable purchase obligation as specified for a year by the State Electricity Regulatory Commission is not lower than that for the previous financial year.
3. Any shortfall in procurement against the non-solar or solar power procurement obligation set by the Appropriate Commission in the previous three years, including the shortfall waived or carried forward by the said Commission, has been adjusted first and only the remaining additional procurement beyond the threshold renewable purchase obligation-being that specified by the Appropriate Commission or in the National Action Plan on Climate Change or in the Tariff Policy, whichever higher - has been considered for issuance of RECs to the distribution licensees.
4. The Distribution Licensee is eligible for Solar RECs or Non-Solar RECs, as the case may be, as per the following details:

| S. No. | Year | RPO as specified by SERC/ NAPCC/ Tariff Policy whichever is higher (in % of total energy consumed) – Please tick whichever is applicable (A) | | Total Consumption (in MWh) (B) | | | RPO in MWh (C=B*A/100) | | | RE Energy Procured in the previous financial year (D) | | Shortfall in procurement against the RPO set by SERC in previous three years including the shortfall waived or carried forward by SERC in MWh, if applicable-then mention the year wise details by adding the separate row for each year (E) | | Surplus in MWh (F=D-C-E) | |
|--------|------|--|-----------|--------------------------------|-----------|-------|------------------------|-----------|-------|---|-----------|--|-----------|--------------------------|-----------|
| | | Solar | Non-Solar | Solar | Non-Solar | Total | Solar | Non-Solar | Total | Solar | Non-Solar | Solar | Non-Solar | Solar | Non-Solar |
| | | | | | | | | | | | | | | | |

Issue Date

Signature and Seal of the Authorized Signatory of the
(nameof the State) Electricity Regulatory Commission

FORMAT 3.1.2

On letter head of Regional Load Despatch Centre (RLDC)

APPLICATION FOR ISSUANCE OF RENEWABLE ENERGY CERTIFICATE

Energy Injection Report No. _____ **Date of Energy Injection Report** _____

Section A: Energy Injection Report

| | |
|---|---|
| <u>Registration Number of the Applicant</u> | - |
| <u>Name of the Applicant</u> | - |
| <u>Energy Injection Period* (Month¹& Year)</u> | - |
| A. <u>Total Quantum of Energy Injection (MWh) during the Month¹</u> | - |
| B. <u>Quantum of Energy scheduled - for which REC is not eligible (MWh)</u> | - |
| C. <u>Quantum of energy scheduled/injected - eligible for REC(MWh)</u> | - |
| D. <u>Quantum of Energy eligible for issuance of RECs _____ [(A - B)] (MWh) based on this month injection</u> | - |
| E. <u>Quantum of energy adjusted on account of less injection in previous month (MWh)</u> | - |
| F. <u>Quantum of Energy eligible for issuance of RECs _____ [(D-E)] (MWh)</u> | - |
| | |
| <i><u>¹month means entire month i.e. from first day to last day of the month.</u></i> | |
| <i><u>Certified Energy injection Report by RLDC shall be communicated to Central Agency and respective RPC and a copy to respective RE Generator.</u></i> | |
| - | |

Date:

(Sign and Seal)

Name of the Authorised Signatory

FORMAT 3.1.3

On letter head of Applicant

APPLICATION FOR ISSUANCE OF ENERGY INJECTION REPORT
(To be filled by Regional Entity RE Generators)

Date of Application _____

Section A: Energy Injection Report

| | |
|---|---|
| <u>Registration Number of the Applicant</u> | - |
| <u>Name of the Applicant</u> | - |
| <u>Total Installed Capacity (MW)</u> | - |
| <u>Energy Injection Period* (Month¹& Year)</u> | - |
| <u>Name of the concerned Licensee</u> | - |
| <u>A. Total Quantum of Energy Injection (MWh) during the Month¹ #</u> | - |
| <u>B. Quantum of Energy scheduled for which some form of concession is availed by Generator or it is used for offsetting RPO of purchasing DISCOM(MWh)#</u> | - |
| <u>C. Quantum of energy scheduled/injected and this RE Generator is not availing any benefit and purchasing DISCOM has also not claimed the energy for offsetting its RPO* (MWh)</u> | - |
| <u>D. Quantum of Energy eligible for issuance of RECs [(A - B)] (MWh)</u> | - |
| <u>E. If Quantum of Energy eligible for issuance of RECs was Less than Zero previous month, then specify the quantum (MWh)</u> | - |
| <u>¹month means entire month i.e. from first day to last day of the month.</u> | |
| <u>#Applicant shall furnish the details based on REA and DSM account issued by respective RPCs. And energy injection should be at the ISTS interface point.</u> | |
| <u>*' Supporting document i.e.; declaration from DISCOM with a copy to respective SERC that it has not utilised it for offsetting its RPO</u> | |

-
-

Date: _____ **(Sign and Seal)**

Name of the Authorised Signatory:

This form is to be submitted to respective RLDC for issuance of EIR.

Section B: Registration Certificate
CERTIFICATE OF REGISTRATION
(To ascertain validity for RE projects)

This is to certify that _____(*Name of the Applicant*) having/ proposing to install its RE generating station at _____(*Proposed Location, Physical*

Address/Unique Number) with Capacity ___MW, utilising _____(*Name of the RE Resource*) has been registered with Central Agency as „Eligible Entity“for its said RE Generating Station with effect from_____.

This registration is granted subject to fulfilling the Rules, Regulations and Procedures specified by the Central Agency from time to time.

The validity of this certificate is mandated through ongoing surveillance.

| Issue Date | Expiration Date | Certificate Number |
|-------------------|------------------------|---------------------------|
|-------------------|------------------------|---------------------------|

Authorised Signatory of Central Agency
(Address of the Central Agency)

CERTIFICATE OF REGISTRATION
(To ascertain validity for Distribution Licensee)

This is to certify that _____(*Name of the Applicant*) has been registered with Central Agency as „Eligible Entity“with effect from _____.

This registration is granted subject to fulfilling the Rules. Regulations and Procedures specified by the Central Agency from time to time.

The validity of this certificate is mandated through ongoing surveillance.

| Issue Date | Expiration Date | Certificate |
|------------|-----------------|-------------|
|------------|-----------------|-------------|

Number Authorised Signatory of Central Agency

(Address of the Central Agency)

Section C: Details of Fee&Charges

Name of the Bank:

Bank /ECS Reference Number/transaction no.: Date of

Transaction:

Amount Paid:

TDSDetails:

Section D: Compliance Auditor Report (if applicable)

This is to certify that _____(Name and Registration Number of the Applicant, if applicable) having its RE generating station at _____(Location, Address) with Capacity ___ MW, utilising _____(Name of the RE Resource) is Complying / Not Complying with its duties and obligation as specified by the Central Electricity Regulatory Commission (Terms and Conditions for Recognition and Issuance of Renewable Energy Certificate for Renewable Energy Generation) Regulations, 2010 And its amendments thereof.

(This section is applicable in case the Eligible Entity is not complying with the Regulations)

The Applicant was found not to be eligible to receive Renewable Energy Certificates on following grounds,

1. The Applicant has made willful and prolonged default in activities required to be carried out by it as per CERC REC Regulations.
2. The Applicant has not complied with following ___ term/condition (please specify condition) of accreditation or registration.
3. The Applicant is using excess fossil fuel than permissible as per Regulations.
4. The Applicant has submitted false information to avail Accreditation/Registration.
5. The Applicant has failed to make deposit or furnish the security or pay fees or other charges, as required by its accreditation or registration.
6. Any other reason, as specified below:

Date:

(Sign and Seal)

Name of the Compliance Auditor:

FORMAT - 3.2

(Eligible entity to submit Declaration and checklist to Central Agency through Concerned State Agency)

Declaration on Letter head of the Organization (RE Generator)
(Hard copy shall signed by the CMD/M.D./CEO/Partner/Authorized Signatory)

I/We certify that all information furnished below is true to the best of my/our knowledge and belief.

I/We shall abide by such terms and conditions that the Central Electricity Regulatory Commission or _____(name of the State) Electricity Regulatory Commission may impose from time to time, to participate in the Renewable Energy Certificate Mechanism from time to time. *(Please elaborate any variations(s) in CERC and SERC Regulations related with the eligibility of the project under REC Mechanism, if applicable)*

I/We hereby confirm the availability/ possession of land as per the details mentioned below:

1. Project Site (Physical Address of the Site)
2. Location (Town/Suburb)
3. Category of Land (Govt Land/ Private Land)
4. Land Lease (Leased/ Owned)

I/We hereby also confirm that:

1. Route of off-take of electricity/ route adopted for project: Open Access/ APPC / Self-consumption (please mention the route adopted)

- _____
2. Date of Commissioning and Date of Commercial Operation, in case multiple units, please provide DOC of all the units:

| S. No. | Unit Size in MW | Date of Commissioning | Date of Commercial Operation |
|--------|-----------------|-----------------------|------------------------------|
| | | | |

3. Installed Capacity (MW):
4. Registered Capacity (MW):
5. Self-consumption of energy generated (Yes/No) :If Yes, please mention the utilized capacity (MW) for self-consumption:
6. As per the type of route selected, please select the applicable clauses in the declaration:

A. Provisions for those RE generators who are selling power through Open Access

- I. I/We am/are selling electricity component to third party through OpenAccess. Any benefit in the form of concessional/promotional transmission or wheeling charges or banking facility benefit are not being availed or do not propose to avail in future also.
- II. I/We was/were taking the benefits of concessional/promotional transmission or wheeling charges or banking facility benefit, and from(date), I/We have foregone such benefits. (Mention, if applicable)
- III. I/We hereby also confirm that the electricity generated from the registered capacity under REC Mechanism shall not be utilized for compliance of RPO.
- IV. I/We will immediately inform Central Agency and State Agency, if there is any change in the information submitted in the above mentioned paras in this declaration form.

B. Provisions for those RE generators who are selling power under APPC Route

- I. I/We do not have any power purchase agreement with the obligated entity (DISCOM) for the registered capacity, either directly or through trader(s) to sell electricity at a tariff determined under section 62 or adopted under section 63 of the Act by the Appropriate Commission, for the purpose of meeting its renewable purchase obligation.
- II. I/ We shall immediately notify the State Agency and Central Agency if any power purchase agreement is executed with the obligated entity, either directly or through traders, for the capacity related to such generation to sell electricity at a tariff determined under section 62 or adopted under section 63 of the Act by the Appropriate Commission, for the purpose of meeting its renewable purchase obligation, executed for the capacity proposed under REC Mechanism.
- III. A period of three years / the period up to scheduled date of expiry of power purchase agreement (PPA) (in case of scheduled date of expiry of PPA is earlier than three years, the hard copy of said PPA is also to be submitted to Central Agency), has elapsed from the date of pre- mature termination of PPA i.e. dd/mm/yyyy(termination date) due to material breach of terms and condition of said PPA by us.
- IV. I/ We have prematurely terminated our PPA with obligated entity with mutual consent/ due to material breach of terms and condition of said PPA by

- the obligated entity for which necessary documentary evidence are also submitted by us in hard copy to Central Agency.
- V. I/We hereby also confirm that the electricity generated from the proposed renewable energy generating station shall be sold to the distribution licensee at the pooled cost of power purchase of such distribution licensee as determined by the Appropriate Commission.
 - VI. I/We hereby also confirm that the electricity generated from the registered capacity under REC Mechanism shall not be utilized to offset RPO by the obligated entity.
 - VII. I/We will immediately inform Central Agency and State Agency, if there is any change in the information submitted at the aforementioned para in this declaration form.

C. Provisions for Captive Generation Plant(CGP) with regard to Self-consumption:

- I. I/We declare that the proposed renewable energy generating station is a captive Generation Plant (CGP) and energy generated from the plant is utilised for self- consumption.
- II. I/We are not availing or do not propose to avail any benefit in the form of concessional/promotional transmission or wheeling charges and/or banking facility benefit. Further, a period of three years has elapsed from the date of forgoing such benefits.
- III. I/We hereby also confirm that the electricity generated from the registered capacity under REC Mechanism shall not be utilized to offset the RPO by any entity.
- IV. I/We will immediately inform Central Agency and State Agency, if there is any change in the information submitted at the aforementioned para in this declaration form.

INDEMNIFICATION

The Renewable Energy generator shall keep each of the NLDC/RLDC/SLDC/SA indemnified at all times and shall undertake to indemnify, defend and save the NLDC/RLDC/SLDC/SA harmless from any and all damages, losses, claims and actions, including those relating to injury to or death of any person or damage to property, demands, suits, recoveries, costs and expenses, court costs, attorney fees, and all other obligations by or to third parties, arising out of or resulting from the Accreditation/Registration/Issuance /Trading under REC mechanism.

The Renewable Energy generator shall keep NLDC indemnified at all times and shall undertake to indemnify, defend and save the NLDC harmless from any and all damages, losses, claims and actions, arising out of disputes with SAs and SLDC, as well as with Power Exchange(s), inclusive of confidentiality issues.

Date:
Place:

(Seal of the Company)
Signature of the applicant

On the letter head of Organization (RE Generator)

(Please route Declaration and checklist through Concerned State Agency)

I. Details of the RE Project

| | | |
|---------------------------------|---|---|
| Name of RE Generator: | | |
| Accreditation Number*: | | |
| Source: | | |
| Accredited Capacity (MW) | Total Capacity of the Project (MW) | Type of Route under which project has been Accredited (Third party sale/ APPC/ Self- Consumption /CGP wheeling power under Open Access) (Please write whichever is applicable) |
| | | |

II. Applicant is a Captive Generating Plant/RE plant opting for self-consumption under REC Mechanism then please provide following details:

| S. N. | Checklist | Remarks /Comments/ Information/Applicable/Not Applicable |
|--------------|---|---|
| a. | (1) I/We are not availing or do not propose to avail any benefit in the form of concessional/promotional transmission or wheeling charges and/or banking facility benefit. (2) Further, if availed, a period of three years has elapsed from the date of forgoing such benefits. | |
| b. | Date of Commissioning Date of Commercial Operation of Generating Unit(s) | |
| c. | Connected Load Capacity in MW | |

III. Applicant is a Captive Generating Plant and wheeling to their Captive / Group captive consumers then please provide following details:

| | | |
|----|--|--|
| a. | <p>1. I/We are not availing or do not propose to avail any benefit in the form of concessional/promotional transmission or wheeling charges and/or banking facility benefit.</p> <p>2. Further, a period of three years has elapsed from the date of forgoing such benefits.</p> | |
| b. | <p>Date of Commissioning</p> <p>Date of Commercial Operation of Generating Unit(s)</p> | |
| c. | Connected Load Capacity in MW | |

IV. If Applicant is selling power through Open Access, then please provide following details:

| S. N. | Checklist | Remarks /Comments/ Information/ Applicable/Not Applicable |
|-------|--|---|
| a. | (1) I/We are not availing or do not propose to avail any benefit in the form of concessional/promotional transmission or wheeling charges and/or banking facility benefit. | |
| | (2) And, if availed, then mention the date from which RE generator has foregone such benefits. | |
| | (3) In case, part capacity of the plant is utilized for self-consumption and the remaining part is registered under REC mechanism for sale of power through Open Access. | |
| | If Yes in (3), please mention the utilized capacity (MW) for self-consumption. | |

V. If Applicant is selling power under APPC route, then please provide following details:

| S. N. | Checklist | Remarks /Comments/ Information/ Applicable/Not Applicable |
|-------|-----------|---|
|-------|-----------|---|

| | | |
|----|--|--|
| a. | A period of three years / the period up to scheduled date of expiry of power purchase agreement (PPA) (in case of scheduled date of expiry of PPA is earlier than three years, the hard copy of said PPA to be submitted to Central Agency), has elapsed from the date of premature termination of PPA i.e. dd/mm/yyyy (termination date) due to material breach of terms and condition of said PPA by RE generator. | |
| b. | I/We have prematurely terminated PPA with the obligated entity with mutual consent or due to material breach of terms and condition of said PPA by the obligated entity and necessary documentary evidence has been submitted by the RE generator. | |
| c. | I/We do not have any power purchase agreement with the obligated entity, either directly or through traders, for the capacity related to such generation to sell electricity at a tariff determined under section 62 or adopted under section 63 of the Act by the Appropriate Commission, for the purpose of meeting its renewable purchase obligation for the accredited capacity. | |

| | | |
|----|---|--|
| d. | I/We hereby also confirm that the electricity generated from the registered capacity under REC Mechanism shall not be utilized to offset RPO by the obligated entity. | |
| e. | In case, part capacity of the plant is utilized for self-consumption and the remaining part registered under REC mechanism for sale of power at APPC | |
| | If Yes in (5), please mention the utilized capacity (MW) for self-consumption | |

*Please provide details if there is any deviation between the SERC Regulations, and CERC REC Regulations & approved REC procedures with regard to Accreditation of the Project by State Agency.

Date:

Place:
Signatory

Name of Authorised

FORMAT - 3.3

RENEWABLE ENERGY CERTIFICATE (SAMPLE)

This certifies the issuance of One Renewable Energy Certificate
to _____(Name of the Eligible Entity) Representing One MWh Green
power Generated from _____(Location of the Plant)
Certificate Number (MH0-NS-APMXS-001-C-DDMMYY-NNNNNNNN)

(National Load Despatch Centre)

Date of Issue : Authorised Signatory of the Central Agency
Expiration Date: National Load Despatch Centre, B -9, Qutab
Institutional Area, Katwaria Sarai New Delhi -110016

This is a computer generated Certificate and needs no signature.

Procedure for Issuance of Renewable Energy Certificates to the Eligible Entity by Central Agency