

Regional Greenhouse Gas Initiative CO₂ Budget Trading Program



Offset Project Consistency Application Forms

Building Sector Energy Efficiency

Version 1.1

Issued by:
Bureau of Energy and Technology Policy
CT Department of Energy & Environmental Protection
<http://www.ct.gov/deep/>

April 2016

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1. Overview

To demonstrate that a building sector end-use energy efficiency offset project qualifies for the award of CO₂ offset allowances, a Project Sponsor must submit to the Connecticut Department of Energy & Environmental Protection (“Department”) in accordance with instructions (see accompanying instructions packet) a fully completed *Consistency Application – Building Sector Energy Efficiency Version 1.1* (“*Consistency Application*”), including the coversheet and all forms and related attachments. An incomplete *Consistency Application* will not be reviewed to determine consistency. Following the instructions will ensure that the *Consistency Application* contains all necessary information and is submitted properly.

Each Project Sponsor should review the CO₂ Budget Trading Program regulations at [section 22a-174-31a of the Regulations of Connecticut State Agencies](#) (“RCSA”) addressing offset projects and the award of CO₂ offset allowances. All offset application materials and other documents are available at www.ct.gov/deep/cwp/view.asp?a=2684&Q=440696&depNav_GID=1619.

Before the *Consistency Application* can be completed, the Project Sponsor must establish a general account and obtain an offset project ID code through the RGGI CO₂ Allowance Tracking System (RGGI COATS). The Project Sponsor identified in the *Consistency Application* must be the same as the Authorized Account Representative for the RGGI COATS general account identified in the *Consistency Application*. For information about establishing a RGGI COATS general account and offset project ID code, consult the RGGI COATS User’s Guide, available at www.rggi.org/market/tracking.

Key eligibility dates and application submittal requirements for offset projects are as follows:

- For offset projects commenced between December 20, 2005, and December 31, 2008, the *Consistency Application* must be submitted by June 30, 2009.
- For offset projects commenced on or after January 1, 2009, the *Consistency Application* must be submitted within six months after the project is commenced.
- For an offset project located in one participating state, the *Consistency Application* must be filed with the appropriate regulatory agency in that state.
- For an offset project located in more than one participating state, the *Consistency Application* must be filed in the participating state where the majority of the CO₂-equivalent emissions reduction or carbon sequestration due to the offset project is expected to occur.

2. Submission Instructions

Please complete this form and supporting documents in accordance with [section 22a-174-31a of the RCSA](#), the RGGI Model Rule (www.rggi.org/documents) and accompanying instructions to ensure the proper handling of your application. These instructions are not a substitute for the requirements of the relevant statutes and any regulations thereunder. You should review all applicable laws prior to completing this application. Remember, it is your responsibility to comply with all applicable laws. There is no fee associated with the submission of this application.

Submit one (1) complete paper hardcopy original *Consistency Application* and one (1) electronic copy in the form of a CD disk to the Department at the location specified below. The Model Rule requires that all offset project documentation, including the *Consistency Application* shall be signed by a Professional Engineer, identified by license number. Submit hardcopies of forms requiring signatures as originally-signed copies and scan such signed forms for electronic submission. Facsimiles of the *Consistency Application* are not acceptable under any circumstances.

ATTN: MICHAEL MALMROSE
CO₂ BUDGET TRADING PROGRAM
BUREAU OF ENERGY AND TECHNOLOGY POLICY
CONNECTICUT DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION
10 FRANKLIN SQUARE
NEW BRITAIN, CT 06051

If you have any questions about this application, please contact Michael Malmrose at michael.malmrose@ct.gov or at (860) 827-2933.

The *Consistency Application* has three parts, as described below. Each part comprises specified forms and required documentation. The *Consistency Application* has been created as a Microsoft Word document with editable fields. Enter information directly in the fields provided or submit information or documentation as an attachment, as directed. Include headers on all attachments indicating the form to which each is attached, the offset project name, and offset project ID code.

The Project Sponsor should save an electronic copy for his or her file to serve as a reference for any necessary remediation.

3. Consistency Application Forms

The *Consistency Application* includes ten (10) forms divided into three parts, as follows:

Part 1. General Information Forms

- Form 1.1 – Coversheet
- Form 1.2 – General Information
- Form 1.3 – Attestations
- Form 1.4 – Project Sponsor Agreement
- Form 1.5 – Disclosure of Greenhouse Gas Emissions Data Reporting

Part 2. Category-Specific Information and Documentation Forms

- Form 2.1 – Project Description
- Form 2.2 – Demonstration of Eligibility
- Form 2.3 – Emissions Baseline
- Form 2.4 – Monitoring and Verification Plan

Part 3. Independent Verification Form

- Form 3.1 – Independent Verifier Certification Statement and Report

Note that although some of the forms include embedded instructions, Project Sponsors are advised to consult the accompanying instructions packet (DEP-AIR-OFFSET-INST-001) for full instructions and documentation requirements.

Offset Project Name

Offset Project ID Code

Form 1.1 – Coversheet

Project Sponsor

Project Sponsor Organization

RGGI COATS General Account Name

RGGI COATS General Account Number

Each of the following forms must be submitted. Check the boxes below to indicate that the submitted *Consistency Application* includes each of the required forms:

- Form 1.2 – General Information
- Form 1.3 – Attestations
- Form 1.4 – Project Sponsor Agreement
- Form 1.5 – Disclosure of Greenhouse Gas Emissions Data Reporting
- Form 2.1 – Project Description
- Form 2.2 – Demonstration of Eligibility
- Form 2.3 – Determination of Emissions Baseline
- Form 2.4 – Monitoring and Verification Plan
- Form 3.1 – Independent Verifier Certification Statement and Report

Offset Project Name	Offset Project ID Code
<input type="text"/>	<input type="text"/>

Form 1.2 – General Information

Project Sponsor (RGGI COATS Authorized Account Representative)

Telephone Number	Fax Number	Email Address
<input type="text"/>	<input type="text"/>	<input type="text"/>

Street Address

City	State/Province	Postal Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

RGGI COATS General Account Name

RGGI COATS General Account Number

Name of Offset Project	Application Date
<input type="text"/>	<input type="text"/>

Summary Description of Offset Project

Project City	Project County	Project State	Project Commencement Date
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Project Sponsor Organization

Primary Street Address

City	State/Province	Postal Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Brief Description of Project Sponsor Organization

Telephone Number	Website URL
<input type="text"/>	<input type="text"/>

Independent Verifier (Company/Organization)	States Where Verifier Accredited
<input type="text"/>	<input type="text"/>

Primary Street Address	Website URL
<input type="text"/>	<input type="text"/>

City	State/Province	Postal Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Point of Contact for Project

Contact Telephone Number	Contact Fax Number	Contact Email Address
<input type="text"/>	<input type="text"/>	<input type="text"/>

Contact Street Address

City	State/Province	Postal Code	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Offset Project Name

Offset Project ID Code

Form 1.3 – Attestations

The undersigned Project Sponsor certifies the truth of the following statements:

1. The offset project referenced in this *Consistency Application* is not required pursuant to any local, state, or federal law, regulation, or administrative or judicial order.
2. The offset project referenced in this *Consistency Application* has not and will not be awarded credits or allowances under any other greenhouse gas program.
3. Check the boxes that apply:
 - The offset project referenced in this *Consistency Application* **does not** include an electric generation component.
 - The offset project referenced in this *Consistency Application* **does** include an electric generation component. Any and all attribute credits generated by the offset project that may be used for compliance with a renewable portfolio standard (RPS) or other regulatory requirement, with the exception of CO₂ allowances awarded under the CO₂ Budget Trading Program, will be transferred to the Department.
 - An Attribute Credit Transfer Agreement is attached.
4. The offset project referenced in this *Consistency Application* has not and will not receive any funding or other incentives from any disbursement of CO₂ allowance-derived proceeds pursuant to Section 22a-174-31 of the RCSA or from any system benefit funds collected and disbursed pursuant to Sections 16-245(m) and (n) of the Connecticut General Statutes (“CGS”).
5. A *Consistency Application* for the offset project or any portion of the offset project referenced in this *Consistency Application* has not been filed in any other participating state.
6. All offset projects for which the Project Sponsor or project sponsor organization has received CO₂ offset allowances, if any, under the Project Sponsor’s or project sponsor organization’s ownership or control (or under the ownership or control of any entity which controls, is controlled by, or has common control with the Project Sponsor or project sponsor organization) are in compliance with all applicable requirements of the CO₂ Budget Trading Program in all participating states.

Signature of Project Sponsor

_____/_____/_____
Date (MM/DD/YYYY)

Name of Project Sponsor (printed)

Title

Organization

Notary

Signature of Licensed Professional Engineer

Name of Licensed Professional Engineer

License Number(s)

License State(s)

Offset Project Name

Offset Project ID Code

Form 1.4 – Project Sponsor Agreement

The undersigned Project Sponsor recognizes and accepts that the application for, and the receipt of, CO₂ offset allowances under the CO₂ Budget Trading Program is predicated on the Project Sponsor following all the requirements of section 22a-174-31a of the RCSA. The undersigned Project Sponsor holds the legal rights to the offset project, or has been granted the right to act on behalf of a party that holds the legal rights to the offset project. The Project Sponsor understands that eligibility for the award of CO₂ offset allowance under section 22a-174-31a of the RCSA is contingent on meeting the requirements of section 22a-174-31a of the RCSA. The Project Sponsor authorizes the Department or its agent to audit this offset project for purposes of verifying that the offset project, including the monitoring and verification plan, has been implemented as described in this application. The Project Sponsor understands that this right to audit shall include the right to enter the physical location of the offset project. The Project Sponsor submits to the legal jurisdiction of Connecticut.

Signature of Project Sponsor

____/____/_____
Date (MM/DD/YYYY)

Name of Project Sponsor (printed)

Title

Organization

Notary

Offset Project Name

Offset Project ID Code

Form 1.5 – Disclosure of Greenhouse Gas Emissions Data Reporting

Check the box below that applies:

- No greenhouse gas emissions data related to the offset project referenced in this *Consistency Application* have been or will be reported to a voluntary or mandatory program other than the CO₂ Budget Trading Program.
- Greenhouse gas emissions data related to the offset project referenced in this *Consistency Application* have been or will be reported to a voluntary or mandatory program other than the CO₂ Budget Trading Program. Information for all such programs to which greenhouse gas emissions data have been or will be reported is provided below.

Name of Program to which GHG Emissions Data Reported

Check all that apply:

- Reporting is currently ongoing
- Reporting was conducted in the past
- Reporting will be conducted in the future
- Reporting is mandatory
- Reporting is voluntary

Enter Frequency of Reporting

Enter Reporting Start Date

Program Contact Information – Address

Program Website

Categories of Emissions Data Reported

Name of Program to which GHG Emissions Data Reported

Check all that apply:

- Reporting is currently ongoing
- Reporting was conducted in the past
- Reporting will be conducted in the future
- Reporting is mandatory
- Reporting is voluntary

Enter Frequency of Reporting

Enter Reporting Start Date

Program Contact Information – Address

Program Website

Categories of Emissions Data Reported

Add extra pages as needed. Any attached pages must include a header that indicates it is an attachment to Form 1.5 and identifies the offset project name and offset project ID code.

Offset Project Name

Offset Project ID Code

Form 2.1 – Project Description

Attach a detailed narrative of the actions to be taken by the offset project. Refer to the required list below. The attached narrative must include a header that indicates it is an attachment to Form 2.1 and includes the offset project name and offset project ID code.

Check the boxes below to indicate that the following required information is included in the detailed project narrative and is attached:

- 1. **Summary Description of Project.** Narrative summary of the actions taken or to be taken as part of the offset project.
- 2. **Building Location(s) and Specifications.** Enter required information in the Project Summary Table below.
- 3. **Owners and Operators of Buildings.** Contact information for the owners and operators of each building included in the offset project; contact information for the facility manager for each building.
- 4. **Parties Implementing Offset Project.** Contact information for the parties implementing the offset project; contact information for professional engineer that reviewed all project documentation.
- 5. **Equipment and Materials Specifications.** Enter required information in the Equipment and Materials Specification Table below.
- 6. **Documentation of Equipment and Materials Specifications.** Documentation of equipment and materials for each ECM identified in the Equipment and Materials Specification Table below.
- 7. **Building Plans and Project Technical Schematics.** Pre-installation and post-installation building plans and technical schematics; additional measure-specific documentation as applicable to specific ECMs.

Project Summary Table

Provide the building location and building specifications for each building included in the offset project in the Project Summary Table below:

Building ID	Building Location	Building Type	Building Use	Building Sq Ft
		<input type="checkbox"/> Existing <input type="checkbox"/> Whole-building retrofit <input type="checkbox"/> New construction	<input type="checkbox"/> Residential <input type="checkbox"/> Commercial	
		<input type="checkbox"/> Existing <input type="checkbox"/> Whole-building retrofit <input type="checkbox"/> New construction	<input type="checkbox"/> Residential <input type="checkbox"/> Commercial	
		<input type="checkbox"/> Existing <input type="checkbox"/> Whole-building retrofit <input type="checkbox"/> New construction	<input type="checkbox"/> Residential <input type="checkbox"/> Commercial	
		<input type="checkbox"/> Existing <input type="checkbox"/> Whole-building retrofit <input type="checkbox"/> New construction	<input type="checkbox"/> Residential <input type="checkbox"/> Commercial	
		<input type="checkbox"/> Existing <input type="checkbox"/> Whole-building retrofit <input type="checkbox"/> New construction	<input type="checkbox"/> Residential <input type="checkbox"/> Commercial	
If additional space is necessary reproduce this table and attach it to the application. If table is attached to Form 2.1, enter "Table is Attached" in the table.				
Total # of Buildings:			Total Sq Ft:	

Offset Project Name

Offset Project ID

Equipment and Materials Specifications Table

Enter information for each Energy Conservation Measure (ECM) in the Equipment and Materials Specifications table below:

ECM [†]	ID	Description of ECM	List the ID Numbers of Buildings Affected by the ECM	Total Equipment/Material Installed		Fuel Type [‡]	
				Quantity Installed	Unit	Original	New
	1.						
	2.						
	3.						
	4.						
	5.						
	6.						
	7.						
	8.						
	9.						
	10.						
	11.						
	12.						
	13.						
	14.						
	15.						
	16.						
	17.						

If additional space is necessary reproduce this table and attach it to the application. If table is attached to Form 2.1, enter "Table is Attached" in the table.

[†] **Categories of Energy Conservation Measures**

- (a) improvements in the energy efficiency of combustion equipment that provides space heating and hot water, including a reduction in fossil fuel consumption through the use of solar and geothermal energy
- (b) improvements in the efficiency of heating distribution systems, including proper sizing and commissioning of heating systems
- (c) installation or improvement of energy management systems
- (d) improvement in the efficiency of hot water distribution systems and reduction in demand for hot water
- (e) measures that improve the thermal performance of the building envelope and/or reduce building envelope air leakage
- (f) measures that improve the passive solar performance of buildings and utilization of active heating systems using renewable energy
- (g) fuel switching to a less carbon-intensive fuel for use in combustion systems, including the use of liquid or gaseous eligible biomass, provided that conversions to electricity are not eligible

[‡] NG = natural gas P = propane O = heating oil K = kerosene

Offset Project Name

Offset Project ID Code

Form 2.2 – Demonstration of Eligibility

Attach documentation to demonstrate offset project eligibility. Each attachment must include a header that indicates it is an attachment to Form 2.2 and includes the offset project name and offset project ID code.

Check the boxes below to indicate that the following required documentation is attached:

- 1. **Documentation of ECM Installation.** (not applicable to *in-progress* projects)
- 2. **HVAC Installation Best Practice.** Documentation demonstrating combustion equipment and air handling equipment sized and installed according to industry best practice (only required if project includes applicable ECMs).
- 3. **Building Eligibility.** Documentation of eligibility, as applicable to project types included in the offset project (existing building, whole-building retrofit, new building).
- 4. **Whole-Building Energy Performance.** Documentation that each building included in offset project meets applicable energy performance standards (only applicable to projects that include a new building or whole-building retrofit).
- 5. **Combustion Equipment Performance Standards.** Documentation that combustion equipment ECMs included in offset project meet applicable minimum energy efficiency standards (only applicable to offset projects commenced prior to January 1, 2009 that include applicable ECMs).
- 6. **Other ECM Performance Standards.** Documentation that all non-combustion equipment ECMs included in offset project meet applicable minimum energy performance standards (only applicable to offset projects commenced prior to January 1, 2009 that include applicable ECMs).
- 7. **Market Penetration Rate.** Documentation that ECMs included in offset project have a market penetration rate of less than five (5) percent (only applicable to offset projects commenced on or after January 1, 2009).

Offset Project Name

Offset Project ID Code

Form 2.3 – Emissions Baseline

Provide documentation of the emissions baseline where indicated in the form or as an attachment, as directed below. Each attachment must include a header that indicates it is an attachment to Form 2.3 and includes the offset project name and offset project ID code.

Baseline Period (Calendar Year)

Enter Baseline Annual Energy Usage (MMBtu) by Fuel Type

Natural Gas
Propane
Distillate Fuel Oil
Kerosene

Enter Baseline Annual Emissions (lbs. CO₂/MMBtu) by Fuel Type

Natural Gas
Propane
Distillate Fuel Oil
Kerosene
Total

Check the boxes below to indicate that the following required documentation is attached:

- 1. **Documentation of Baseline Energy Monitoring Approach.** Documentation of energy monitoring or modeling procedures used to determine baseline energy use, including demonstration of conformance with appropriate guidelines and standard for applicable building types included in offset project.
- 2. **Baseline Energy Use Data.** Documentation of baseline energy use for each building included in offset project.
- 3. **Isolation of Energy Use.** Documentation of isolation of energy use for each end-use or building system targeted by eligible ECMs.
- 4. **Adjustments to Baseline Energy Use.** Documentation of adjustments, as applicable, to account for minimum equipment or building component energy efficiency or energy performance standards; adjustments for operating or weather conditions.
- 5. **Total Baseline Energy Use.** Spreadsheet documenting calculation of total baseline energy use.
- 6. **Baseline Emissions.** Spreadsheet documenting calculation of baseline CO₂ emissions.

Offset Project Name

Offset Project ID Code

Form 2.4 – Monitoring and Verification Plan

Provide the Monitoring and Verification Plan (M&V Plan) as an attachment. The attachment must include a header that indicates it is an attachment to Form 2.4 and includes the offset project name and offset project ID code.

Check the boxes below to indicate that the M&V Plan includes the following required information:

- 1. **Documentation of Energy Monitoring Approach.** Narrative documentation of energy monitoring procedures to be used during reporting period to determine energy use for each building included in offset project. If project eligible for use of representative sampling, copy of sampling protocol (for projects implementing similar ECMs in multiple residential buildings).
- 2. **Procedures for Collection of Reporting Period Energy Use Data.** Documentation of procedures for each building included in offset project.
- 3. **Isolation of Energy Use.** Documentation of procedures to be used during the reporting period for isolation of energy use for each end-use or building system targeted by eligible ECMs.
- 4. **Procedures for Adjustments in Energy Use to Account for Differing Conditions.** Documentation of measurement conditions during the reporting period that may be unusual or are expected to change; documentation of adjustment factors that may be applied to account for such measurement conditions.
- 5. **Procedures to Determine Reduction in Energy Use by Fuel Type.** Spreadsheet specifying building-specific data sources, methods, and calculations to be used for each building included in offset project to determine reporting period energy savings relative to baseline energy use.
- 6. **Documentation of Project Implementation.** Documentation of procedures to be used to ensure offset project will be implemented as specified in *Consistency Application* (only applicable to *in-progress* offset projects not completed as of submission of *Consistency Application*).
- 7. **Quality Assurance/Quality Control (QA/QC) Procedures.** Documentation of procedures for recording information for personnel responsible for project monitoring, documentation, and QA/QC; documentation of procedures to be used for QA/QC of project monitoring data and documentation.
- 8. **Record Keeping and Records Retention Protocol.** Documentation of record keeping and records retention protocol that will be used to maintain offset project documentation throughout duration of the offset project.

Offset Project Name

Offset Project ID Code

Form 3.1 – Independent Verifier Certification Statement and Report

An accredited verifier and licensed professional engineer must sign and date the form. Attach the accredited verifier report. The attached verifier report must include a header that indicates it is an attachment to Form 3.1 and includes the offset project name and offset project ID code.

Name of Accredited Independent Verifier

I certify that the accredited independent verifier identified above reviewed the *Consistency Application*, including all forms and attachments, in its entirety, including a review of the following:

- (a) The adequacy and validity of information supplied by the Project Sponsor to demonstrate that the offset project meets the applicable eligibility requirements of subsections 22a-174-31a(c) and (g) of the RCSA, including the required documentation that must be provided in the *Consistency Application*.
- (b) The adequacy and validity of information supplied by the Project Sponsor to demonstrate baseline emissions pursuant to the applicable requirements of subsection 22a-174-31a(g) of the RCSA, including the required documentation that must be provided in the *Consistency Application*.
- (c) The adequacy of the Monitoring and Verification Plan in accordance with the applicable requirements of subsection 22a-174-31a(g) of the RCSA including the required documentation that must be provided in the *Consistency Application*.

A verification report is attached that documents the verifier’s review of the items listed above and includes evaluation conclusions and findings.

Signature of Verifier Representative

____/____/_____
Date (MM/DD/YYYY)

Name of Verifier Representative (printed)

Title

Notary

Signature of Licensed Professional Engineer

Name of Licensed Professional Engineer

License Number(s)

License State(s)