

# Regional Greenhouse Gas Initiative CO<sub>2</sub> Budget Trading Program



## Offset Project Consistency Application Forms

### Afforestation

#### Version 1.1

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

April 2016

The Connecticut Department of Energy & Environmental Protection is an Affirmative Action/Equal Opportunity Employer that is committed to complying with the requirements of the Americans with Disabilities Act (ADA). Please contact us at (860) 418-5910 or [deep.accommodations@ct.gov](mailto:deep.accommodations@ct.gov) if you: have a disability and need a communication aid or service; have limited proficiency in English and may need information in another language; or if you wish to file an ADA or Title VI discrimination complaint.

**Contents**

1. Overview.....3

2. Submission Instructions.....3

3. Consistency Application Forms.....4

    Form 1.1 – Coversheet.....5

    Form 1.2 – General Information .....6

    Form 1.3 – Attestations.....7

    Form 1.4 – Project Sponsor Agreement.....8

    Form 1.5 – Disclosure of Greenhouse Gas Emissions Data Reporting.....9

    Form 2.1 – Project Description .....10

    Form 2.2 – Demonstration of Eligibility.....11

    Form 2.3 – Sequestration Baseline .....12

    Form 2.4 – Monitoring and Verification Plan.....14

    Form 2.5 – Carbon Sequestration Permanence (Optional).....15

    Form 3.1 – Independent Verifier Certification Statement and Report .....16

## 1. Overview

To demonstrate that an afforestation offset project qualifies for the award of CO<sub>2</sub> offset allowances, a Project Sponsor must submit to the Connecticut Department of Energy & Environmental Protection (“Department”) in accordance with instructions (see accompanying instruction packet) a fully completed *Offset Project Consistency Application – Afforestation 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 these instructions will ensure that the *Consistency Application* contains all necessary information and is submitted properly.

Each Project Sponsor should review the CO<sub>2</sub> Budget Trading Program regulations at [section 22a-174-31a of the Regulations of Connecticut State Agencies](#) (“RCSA”) addressing offset projects and the award of CO<sub>2</sub> 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](http://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 CO<sub>2</sub> 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](http://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 solely 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 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](http://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 hardcopy original *Consistency Application* as well as an electronic copy in the form of a CD disk to the Department at the location specified below. 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  
CO<sub>2</sub> 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](mailto: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 into 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 eleven (11) 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 – Sequestration Baseline
- Form 2.4 – Monitoring and Verification Plan
- Form 2.5 – Carbon Sequestration Permanence

#### **Part 3. Independent Verification Form**

- Form 3.1 – Independent Verifier Certification Statement and Report

Note that although the forms include many embedded instructions, Project Sponsors are advised to consult the accompanying instructions packet 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 (except Form 2.5, which is optional) 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 – Sequestration Baseline
- Form 2.4 – Monitoring and Verification Plan
- Form 2.5 – Carbon Sequestration Permanence (optional)
- Form 3.1 – Independent Verifier Certification Statement and Report

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

**Form 1.2 – General Information**

**Project Sponsor (RGGI COATS Authorized Account Representative)**

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

**Street Address**

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

**RGGI COATS General Account Name**

**RGGI COATS General Account Number**

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

**Summary Description of Offset Project**

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

**Project Sponsor Organization**

**Primary Street Address**

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

**Brief Description of Project Sponsor Organization**

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

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

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

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

**Point of Contact for Project**

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

**Contact Street Address**

<b>City</b>	<b>State/Province</b>	<b>Postal Code</b>	<b>Country</b>
<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. 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 subsections 16-245(m) and (n) of the Connecticut General Statutes (“CGS”).
4. 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.
5. All offset projects for which the Project Sponsor or project sponsor organization has received CO<sub>2</sub> 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 CO<sub>2</sub> Budget Trading Program in all participating states.
6. I am authorized to make this submission on behalf of the project sponsor organization. I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this *Consistency Application* and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.

\_\_\_\_\_  
Signature of Project Sponsor

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date (MM/DD/YYYY)

\_\_\_\_\_  
Name of Project Sponsor (printed)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Notary

**Offset Project Name**

**Offset Project ID Code**

**Form 1.4 – Project Sponsor Agreement**

The undersigned Project Sponsor recognizes and accepts that the application for, and the receipt of, CO<sub>2</sub> offset allowances under the CO<sub>2</sub> 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 CO<sub>2</sub> offset allowances 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 CO<sub>2</sub> 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 CO<sub>2</sub> 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.

**Offset Project Name**

**Offset Project ID Code**

**Form 2.1 – Project Description**

Attach a detailed narrative of the actions to be taken as part of the offset project. 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 attached detailed project narrative or provided through accompanying attachments:

- 1. **Land Owners.** Table identifying the owner(s) of the land within the offset project boundary and copy of deed or title filed with state or local registrar of deeds; statement identifying whether subsurface or surface rights leased to other parties
- 2. **Detailed Map(s).** Detailed map(s) to scale of the land within the offset project boundary and areas immediately adjacent to the offset project boundary
- 3. **Permanent Conservation Easement.** Copy of permanent conservation easement (executed or to-be-executed copy)
- 4. **Plant Species.** Table listing plant species to be planted or established via natural regeneration
- 5. **Forest Management Plan.** Forest management plan; project narrative also describes forest management plan goals; if timber harvesting to occur, project narrative describes form of planned forest management and organization expected to certify environmentally sustainable forestry practices

**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 Non-forested Condition.** Documentation that the land within the offset project boundary has been in a non-forested condition for at least 10 years preceding offset project commencement, from at least one of the following information sources:
  - Deeds and/or official government documents describing property status
  - Aerial photographs or satellite imagery
  - Cadastral maps that incorporate details on land cover
  - Notarized affidavit from independent source(s) concerning the state of the property for at least 10 years prior to project commencement
  
- 2. **Forest Management Plan.** Documentation describing how the forest management plan is consistent with widely accepted environmentally sustainable forestry practices, including documentation of the following:
  - Side-by-side comparison of criteria used to determine environmentally sustainable forestry practices by nationally recognized organizations and corresponding provisions of the forest management plan
  - Demonstration that at least 75% of the proposed plantings consist of native species
  - Signed statement from an independent source, such as a professional forester, that invasive species will not be introduced by the project through planting or use of contaminated soils

**Offset Project Name**

**Offset Project ID Code**

**Form 2.3 – Sequestration Baseline**

Provide documentation of the sequestration 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. Multiple attachments may be integrated into a single document, as appropriate, as long as each element is clearly identified, as specified below. For submission of the electronic version of the *Consistency Application*, spreadsheets must be provided as a distinct electronic file or files (distinct spreadsheets may be incorporated into a single spreadsheet file, as appropriate, as long as each element is clearly identified, as specified below).

**A. Baseline Data**

1. **Baseline Period.** Enter dates of baseline measurements (may include a range):

Measurement dates

2. **Baseline Carbon Pools.** Enter baseline carbon content in short tons of CO<sub>2</sub>-e for the included carbon pools:

Live above-ground tree biomass (required)

Live below-ground tree biomass (required)

Soil carbon (required)

Dead organic matter and coarse woody debris (required, unless the baseline measurement for this carbon pool is at or near zero, in which case measurement of this carbon pool is optional)

Live above-ground non-tree biomass (optional)

Dead organic matter, forest floor (optional)

Total of above carbon pools

**B. Baseline Documentation**

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

- 3. **Baseline Description.** Map to scale providing a description of practices/management and land cover in place within the offset project boundary.
- 4. **Designation of Baseline Sub-populations.** Map to scale showing number and types of sub-populations; description of vegetation, tree species, and site factors considered in designating sub-populations (included in map or as accompanying attachment).
- 5. **Baseline Sampling Plots.** Description of methodology used for determining numbers, sizes, and locations of sampling plots for each sub-population; identification of sampling plot locations, including photos, with distinct identifiers.
- 6. **Direct Measurement Procedures for Each Carbon Pool in Each Sampling Plot.** List for each carbon pool of all measurement procedures used to calculate baseline sequestered carbon; demonstration of consistency for all measurement procedures with current forestry good practice and guidance contained in Section 3.4 of U.S. Department of Energy, Technical Guidelines -- Voluntary Reporting of Greenhouse Gases (1605(b)) Program; Chapter 1, Emissions Inventories; Part I Appendix: Forestry; Section 3: Measurement Protocols for Forest Carbon Sequestration (March 2006). (Also available as Pearson et al., *Measurement Guidelines for the Sequestration of Forest Carbon*, U.S. Forest Service General Technical Report NRS-18 (2007).)

**Offset Project Name****Offset Project ID Code**

7. **Field Measurement Data.** Spreadsheet containing all field measurement data collected for each sampling plot for determining biomass and carbon for each carbon pool, with columns and rows clearly labeled, including the following:
- Sampling plot names
  - Sampling plot dimensions
  - Sampling plot slopes
  - Tree diameters
  - Tree heights
  - Standing dead wood diameters, heights, and decomposition classes
  - Dead wood transect lengths
  - Dead wood diameters and decomposition classes
  - Non-tree vegetation and forest floor quadrat sizes
  - Non-tree vegetation and forest floor field sample weights
  - Non-tree vegetation and forest floor laboratory sample dry weights
  - File names for plot photographs
8. **Documentation of Biomass and Carbon Equations and Default Parameters.** Equations and/or default parameters used to convert field measurement data into biomass and/or carbon, including sources and justifications.
9. **Documentation of Carbon Calculations.** Spreadsheet documenting all carbon calculations for each carbon pool, and across all carbon pools, including:
- Use of sampling plot data to estimate area-based carbon
  - Conversion of area-based carbon into CO<sub>2</sub>-equivalent short tons
  - Total sum of carbon across all sub-populations for each carbon pool
  - Total sum of carbon across all carbon pools
10. **Demonstration of Quantified Accuracy.** Spreadsheet documenting quantified accuracy for the combined carbon pool measurement.

**Offset Project Name**

**Offset Project ID Code**

### Form 2.4 – Monitoring and Verification Plan

Provide the Monitoring and Verification Plan (M&V Plan) as multiple attachments. Each 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. Multiple attachments may be integrated into a single document as long as each element is clearly identified, as specified below.

Check the boxes below to indicate that the following required components of the M&V Plan are attached:

- 1. **Designation of Sub-populations.** Map to scale showing how the area within the offset project boundary will be divided into sub-populations that form relatively homogenous units; description of how vegetation, tree species, and site factors considered in designating sub-populations (included in map or as accompanying attachment).
- 2. **Sampling Plots.** Description of methodology for determining the number, sizes, and locations of sampling plots to be used for calculating project carbon sequestration for each sub-population.
- 3. **Direct Measurement Procedures for Each Carbon Pool in Each Sampling Plot.** List for each carbon pool of all measurement procedures that will be used to calculate sequestered carbon due to the project.
- 4. **Documentation of Biomass and Carbon Equations and Default Parameters.** Documentation of all equations and default parameters that will be used to convert field measurement data into biomass and/or carbon, including sources and justifications.
- 5. **Forest Management Practices if Timber Harvesting is Planned.** Description of type of planned forest management and the organization expected to provide certification that project is managed in accordance with environmentally sustainable forestry practices. (Only required if commercial timber harvesting activities will have occurred during the reporting period or will occur during the offset project allocation period.)
- 6. **Documentation of Data Quality Assurance Practices.** Documentation of all procedures to be used to ensure accuracy in data collection, data analysis, and data storage.

**Offset Project Name**

**Offset Project ID Code**

**Form 2.5 – Carbon Sequestration Permanence (Optional)**

Submit optional Form 2.5 only if long-term insurance has been or will be retained by the Project Sponsor that guarantees replacement of any lost sequestered carbon for which CO<sub>2</sub> offset allowances are awarded by the Department. Note that the form and terms and conditions of such long-term insurance are subject to approval by the Department.

Attach a copy of the executed or to-be-executed policy, including all terms and conditions of the policy. The attachment must include a header that indicates it is an attachment to Form 2.5 and includes the offset project name and offset project ID code.

Check the boxes below to indicate that insurance has been or will be retained by the Project Sponsor

- 1. **Retention of Insurance.** Insurance has been or will be retained.
  - a. Insurance has been retained. Insurance forms are attached, including full terms and conditions of the policy.
  - b. Insurance will be retained. The proposed full terms and conditions of the insurance policy are attached.

**Offset Project Name**

**Offset Project ID Code**

**Form 3.1 – Independent Verifier Certification Statement and Report**

An accredited independent verifier must sign and date Form 3.1. Attach the accredited independent 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 (f) 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 CO<sub>2</sub>-equivalent sequestration, pursuant to the applicable requirements of subsection 22a-174-31a(f) 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(f) 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