

**CENTRAL ELECTRICITY REGULATORY COMMISSION  
NEW DELHI**

**Coram:**

**Shri Gireesh B. Pradhan, Chairperson**

**Shri V. S. Verma, Member**

**Shri M. Deena Dayalan, Member**

**Shri A.K. Singhal, Member**

**No. L-1/12/2010-CERC**

**Date of Order: 17.2.2014**

**In the matter of**

Revised detailed procedures issued under the Central Electricity Regulatory Commission (Terms and conditions for recognition and issuance of Renewable Energy Certificate for Renewable Energy Generation) Regulations, 2010.

**ORDER**

The Commission notified the Central Electricity Regulatory Commission (Terms and conditions for recognition and issuance of Renewable Energy Certificate for Renewable Energy Generation) Regulations, 2010 on 14.1.2010 (hereinafter referred to as “the REC Regulations”).

2. By virtue of clause (1) of the Regulation 3 of the REC Regulations, the Commission, vide order dated 20.1.2010, has nominated the National Load Despatch Centre as the Central Agency to perform the functions under clause (2). In accordance with the Regulation 3 (3) of the REC Regulations, the Central Agency submitted detailed procedures, which after consultation with stakeholders,



was finalized and approved vide the Commission's order dated 1.6.2010 in File No. L-1/12/2010-CERC.

3. The Commission notified the first amendment to the REC Regulations on 29.9.2010 which necessitated corresponding changes in the detailed procedures. Accordingly, Central Agency submitted a proposal for amendment to the detailed procedures. The Commission after detailed analysis of the proposal, approved the amendment to the detailed procedures on 9.11.2010.

4. Subsequently, the Commission notified the second amendment to the REC Regulations on 10.7.2013 which necessitated corresponding changes in the detailed procedures. Accordingly, Central Agency submitted a proposal for amendment to the detailed procedures. The Commission after detailed analysis of the proposal, approved the revised procedures incorporating proposed amendments to the detailed procedures.

5. We direct the Central Agency to post the revised detailed procedures annexed with this order on its website to give wide publicity for the information of and compliance by all concerned.

<b>Sd/-</b>	<b>Sd/-</b>	<b>Sd/-</b>	<b>Sd/-</b>
<b>(A. K. Singhal)</b> <b>Member</b>	<b>(M. Deena Dayalan)</b> <b>Member</b>	<b>(V.S. Verma)</b> <b>Member</b>	<b>(Gireesh B. Pradhan)</b> <b>Chairperson</b>



## **PROCEDURE FOR REGISTRATION OF RENEWABLE ENERGY GENERATION PROJECT 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 as amended from time to time, (hereinafter referred to as “the CERC REC Regulations”). This procedure shall be called ‘Procedure for Registration of a Renewable Energy Generator as Eligible Entity’.

**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 all Grid connected projects of the Renewable Energy (RE) Generating Companies including Captive Generating Plants (CGP) based on renewable energy sources (herein after called Generating Company/ eligible entity) who have received ‘certificate of accreditation’ for

their RE Generation Project from the concerned State Agency, as may be designated by the State Commission from time to time.

**2.2** The Central Agency shall undertake the registration of any RE Generating Company as ‘Eligible Entity<sup>1</sup>’ for its RE generation project not earlier than three months prior to the proposed date of commissioning of such RE generation project. For an existing RE Generation Project, the Central Agency shall undertake the registration after receipt of the ‘Certificate of Accreditation’ for the RE Generation Project from the concerned State Agency.

**2.3.** The registration granted by the Central Agency to the Generating Company as Eligible Entity shall remain valid for a period of five years from the date of registration certificate unless otherwise revoked prior to such validity period in pursuance of conditions for revocation as outlined under this Procedure.

### **3. STEP-WISE DESCRIPTION OF THE PROCEDURE**

The basic procedure for registration of the generating company, as eligible entity with the Central Agency for receiving the renewable energy certificates, engaged in generation of electricity from renewable energy sources includes the following steps:

**3.1. STEP 1:** An application for availing registration shall be made by the RE Generating Company to the Central Agency, as defined under Clause 2(1) (b) of the CERC REC Regulations. The applicant shall apply for Registration on the Web Based Application and shall also submit the same information in physical form with the Central agency. The application for registration shall contain the following information as submitted for Accreditation of the RE Generation project: (i) Owner details (ii) RE Generating Station details, (iii) certificate of accreditation by the State Agency, (iv) Commissioning/ Synchronization

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<sup>1</sup> The Eligible Entity shall have the same meaning as defined under clause 2 (1) (e) of the CERC REC Regulations

Certificate or commissioning schedule, as applicable (v) Declaration as per Section F, (vi) any other relevant information as per the enclosed format (**FORMAT- 2.1: Application for Registration of Eligible Entity**). The Application made for registration of RE Generating Company with the Central Agency as Eligible Entity shall be accompanied by a non-refundable registration processing fees as determined by the Central Electricity Regulatory Commission, by order, from time to time. In case, the Applicant has multiple RE generation projects then, separate Applications will have to be submitted by the Applicant for each RE generation project.

**3.2     STEP 2:** After receipt of application for registration, the Central Agency shall undertake preliminary scrutiny to ensure Application Form is complete in all respect along with necessary documents and applicable registration fees and charges. The Central Agency shall undertake preliminary scrutiny of the Application within 6 working days from date of receipt of such Application.

**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, if necessary, to further consider the application for registration or reject application. The reasons for rejecting the application for registration shall be recorded and intimated to Applicant in writing within 15 working days from date of receipt of the application by Central Agency.

**3.4.     STEP 4:** While considering any application for Registration, the Central Agency shall verify and ascertain availability of following information:

- a. A Valid Certification of Accreditation by State Agency
- b. Commissioning Certificate/ Synchronization Certificate for existing projects or Commissioning Schedule for new projects, whichever is applicable.
- c. Declaration from the eligible entity declaring as follows:

i. RE Generator should 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.

ii. It shall immediately notify the Central Agency if any power purchase agreement to 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 or the period up to scheduled date of expiry of power purchase agreement (in case of scheduled date of expiry of power purchase agreement (PPA) is earlier than three years, the hard copy of said PPA has to be submitted to Central Agency), has elapsed from the date of pre- mature termination of PPA due to material breach of terms and condition of said PPA by eligible entity.

OR

The premature termination of PPA with obligated entity is with mutual consent or due to material breach of terms and condition of said PPA by the obligated entity (for which necessary documentary evidence has to be submitted by eligible entity in hard copy to Central Agency).

iv. Eligible Entity has not availed or does not propose to avail any benefit in the form of concessional/promotional transmission or wheeling charges or banking facility benefit or any combination of them.

OR

A period of three years has elapsed from the date of forgoing the benefits of concessional transmission or wheeling charges or banking facility benefit or any combination of them.

OR

The benefits of concessional transmission or wheeling charges or banking facility benefit or any combination of them has been withdrawn by the State Electricity Regulatory Commission and/or the State Government.

- d. Details of payment of registration fees/charges
- e. Power of Attorney/ Letter of Authority in favor of Authorized signatory from MD/CEO/Board Resolution. The following convention shall be followed for designating the ‘ Authorised Signatory’:

<b>Type of Organization</b>	<b>Designating Authority</b>
Public Ltd.	Board Resolution/MD/CEO
Pvt Ltd.	Director/ MD
Partnership	Partner/Director/ MD
Individual/Proprietorship	Owner
Cooperative/ Govt Department	Head of the Organization/Authorize representative

- f. Hard Copy of Application signed and stamped on each page. Declaration of Applicable Clauses given in online application on letterhead of the concerned RE Generator.

3.5. **STEP 5:** The Central Agency, after duly inspecting/verifying conditions elaborated in Step 5, shall verify the application. Once the application is verified, then the applicant shall pay One Time Registration fee and Annual fee for that financial year and submit the required documentary proof to the Central Agency.

3.6 **STEP 6:** After the receipt of One time Registration fees and Annual fees, Central Agency shall grant ‘Certificate for Registration’ to the concerned Applicant as ‘Eligible Entity’ confirming its entitlement to receive Renewable Energy Certificates for the proposed RE Generation project and assign a specific Registration Number which shall be used by the such Applicant (Eligible Entities) for all future correspondence with the Central Agency. The process of registration shall normally be completed within 15 days from date of receipt of complete information by Central Agency. In case registration is not granted at this stage, the reasons for rejecting the application for registration shall be recorded and intimated to Applicant in writing.

3.7. **STEP 7:** Central Agency reserves its right to seek clarification/ information/ documents at any stage. On failure to provide the required information by the RE Generator, the Registration shall be liable to be rejected/ revoked.

3.8. **STEP 8:** If registration to Eligible Entity is granted, the Central Agency shall also intimate registration of Eligible Entity for particular RE generation project to the following entities:

- a. The host State Agency
- b. The host State Load Despatch Center
- c. The Power Exchanges, as defined under Clause 2(1) j of the CERC REC Regulations



## 4. FUNCTIONS, ROLES AND RESPONSIBILITIES OF ENTITIES INVOLVED

The roles and responsibilities of the entities involved is elaborated in the following paragraphs,

### 4.1. Generating Company/Eligible Entity

- a. The generating company shall apply for registration as eligible entity for receiving renewable energy certificates as per **FORMAT-2.1: “Application for Registration of Generating Company”** enclosed to this Procedure.
- b. The generating company shall coordinate with the Central Agency and shall be responsible to submit the information in a timely manner so as to enable Central Agency to comply with requirements for Registration within the time frame envisaged under CERC REC Regulations.
- c. The generating company shall pay onetime non-refundable registration fee and annual charges as determined by the CERC from time to time.
- d. The generating company shall comply with the duties and obligations specified by the Central Agency.
- e. The generating company shall follow directions given by any other competent authority from time to time.
- f. The generating company shall apply for revalidation or extension of validity of existing Registration at least three months in advance prior to expiry of existing Registration.
- g. A project ‘Registered’ prior to commissioning shall be required to furnish commissioning certificate to Central Agency and is routed through concerned State Agency. Also any incomplete information in the online application form, if any, sought by Central Agency shall be routed through State Agency, if required.
- h. Whenever there is a change in the legal status of the eligible entity (e.g. change from partnership to company), the eligible entity shall immediately intimate the concerned State Agency and the Central Agency about the said change and apply afresh for Accreditation by the concerned State Agency and

Registration by the Central Agency. In all other cases involving a change in the name of the eligible entity, only the name of the entity shall be updated with the records of the State Agency and the Central Agency based on the intimation given by the eligible entity. In such cases eligible entity shall provide relevant documents in hard copy.

i. After applying online for Registration, eligible entity shall furnish following details in physical form to Central Agency:

1. Hard copy of online Registration application signed and stamped on each page.
2. Copy of Accreditation Certificate issued by State Agency.
3. Commissioning Certificate/ Commissioning Schedule.
4. Applicable clauses of the declaration given in online application on the letter head of the company.
5. Fees and Charges along with Service Tax details
6. Document(s) for Authorized Signatory
7. Recommendation by State Agency to Central Agency for Registration of Project under REC Mechanism

#### **4.2. Central Agency**

a. Central Agency shall comply with the directions issued by the Central Electricity Regulatory Commission from time to time.

b. To scrutinise and verify the documents and all other steps as may be necessary prior to the Registration of Eligible Entity. Prior to registration, the activities to be undertaken by Central Agency shall include but not limited to following:

- i. Verification of Application including review of information submitted in the application by the Generating Company for its completeness and accuracy

- ii. Review of information about Eligible Entity from the records in case same Entity has registered any other renewable energy project with the Central Agency, if applicable.
- c. Central Agency shall confirm registration of generating company as Eligible Entity in a timely manner upon due processing of application for registration.
- d. In case of rejection, Central Agency shall indicate reasons of rejection for undertaking registration, in a timely manner.
- e. Central Agency shall intimate registration of generating company as eligible entity to the following:
  - i. Concerned State Agency
  - ii. Concerned State Load Despatch Centre
  - iii. Power Exchanges, as defined under Clause 2(1) j of the CERC REC Regulations
- f. Central Agency shall follow the directions of CERC to initiate enquiry and/or process for revocation of registration granted to Eligible Entity upon due process.

## 5. INFORMATION REQUIREMENT - APPLICATION FORM & CONTENT

**5.1.** For the purpose of registration of the RE Generating Company as Eligible Entity, the Applicant shall furnish information to the Central Agency in the format as elaborated in **FORMAT-2.1** comprising following details.

- a) Section-A: Owner Details
- b) Section-B: RE Generating Station details
- c) Section-C: Certificate of Accreditation
- d) Section-D: Commissioning Schedule
- e) Section-E: Details of Fee & Charges
- f) Section-F: Declaration

## 6. REPORT: FORMAT FOR REGISTRATION CERTIFICATE

**6.1.** The Central Agency shall grant ‘Certificate of Registration’ to the RE Generating Company as Eligible Entity to receive renewable energy certificates in the format as elaborated in the **FORMAT 2.2.**

## 7. TIMELINES

**7.1.** The Central Agency shall grant/undertake registration of those generating facilities which are proposed to be commissioned within period not exceeding 3 months from the date of ‘Application for Registration’ made by the applicant. The Central Agency shall undertake the Registration for existing RE Generation Projects whose PPA, 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, shall expire within 3 months from the date of ‘Application for Registration’ made by the applicant.

**7.2.** Once received, the Central Agency shall inform the applicant with regard to the incompleteness of the application within 7 working days.

**7.3.** The applicant shall furnish the details as requested by the Central Agency within 10 working days so as to enable Central Agency to undertake the registration of the generating facility.

**7.4.** In case the applicant fails to furnish the information requested by the Central Agency within the stipulated time frame, the Central Agency may abandon the registration of the Eligible Entity and retain the initial Registration Processing Fees.

7.5. The process of registration by the Central Agency shall normally be completed within 15 working days from the date of receipt of complete information by Central Agency.

7.6. Upon grant of registration, the Applicant shall pay the applicable charges for Registration within period of 15 days from date of grant of Registration.

## 8. FEES AND CHARGES

The fees and charges<sup>2</sup> towards processing of application and undertaking registration shall be as mentioned below:

8.1 One time Registration Processing Fees: Rs.\_\_\_\_\_/ - per application shall be payable at the time of submitting application for registration to Central Agency.

8.2 One time Registration Charges: Rs.\_\_\_\_\_/ - per application shall be payable upon grant of registration.

8.3 Annual Charges for Registration: Rs.\_\_\_\_\_/ - per annum per application shall be payable by April 10, for each fiscal year (or each anniversary date for date of initial registration).

8.4 Registration Charges for Revalidation/extension of validity: Rs.\_\_\_\_\_/ - per application shall be payable at the time of revalidation/extension of validity of existing registration at the end of five years.

8.5 All fees and charges shall be payable by way of Electronic Clearing System drawn in favour of \_\_\_\_\_(Name of Central Agency). Service tax leviable on the fees and charges for Registration shall be borne by the RE Generators.

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<sup>2</sup> As notified by the Central Electricity Regulatory Commission from time to time

8.6 Payments against Registration charges under REC Mechanism shall be made through the account of RE Generator only and the name of RE Generator shall appear in statement of transaction.

8.7 Application Processing Fees shall be paid maximum 7 days prior to Online Application. Any Payment made before 7 days of Online Application shall not be accepted. 'One time Registration Charges and Annual Charges' required during 'Registration' shall be paid only after application is verified by Central Agency.

8.8 Any extra payment made from the account of the RE Generator shall be claimed for refund from Central Agency within 15 days from the date of payment. Any claim made beyond 15 days of the payment date shall not be entertained. Payments made by individuals or any other person/ organisation other than the RE Generator will be forfeited.

8.9 Annual Charges for Registration shall be payable by the RE Generator as per the timeline prescribed in CERC fees and charges order dated 21.09.2010 in Suo-Motu Petition No. 230/2010 or any subsequent order notified from time to time, within one month or such other period as may be prescribed by the Commission. If annual charges are not paid within time limit, RE generators shall not be allowed to apply for issuance of RECs till the payments for annual registration and accreditation charges are made and details are updated in to the REC web application. Delay in payments beyond three months from the due date may lead to revocation of Registration.

## 9. EVENT OF DEFAULT AND CONSEQUENCES THEREOF

### Event of Default:

**9.1.** If the Central Agency, after making an enquiry or based on the report of the Compliance Auditors, is satisfied that continued registration of such Eligible Entity is not in the interest of operations of REC mechanism, it may revoke registration of the Eligible Entity in any of the following cases, namely,

(i) where the Eligible Entity, in the opinion of the Central Agency, makes willful and prolonged default in doing anything required of him by or under these procedures or CERC REC Regulations;

(ii) where the Eligible Entity breaks any of the terms and conditions of its accreditation or registration, the breach of which is expressly declared by such accreditation or registration to render it liable to revocation;

(iii) where the Eligible Entity fails within the period required in this behalf by the Central Agency –

(a) to show, to the satisfaction of the Central Agency, that it is in a position fully and efficiently to discharge the duties and obligations imposed on it by its accreditation or registration; or

(b) to pay the fees or other charges required by its accreditation or registration.

**9.2.** 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.

Consequences for Event of default:

**9.3.** Occurrence of any of the event of default by Eligible Entity shall result into revocation of Registration granted to such Eligible Entity for that RE Generation Project.

**9.4.** However, the Central Agency shall provide adequate notice and chance to Eligible Entity to present its case before serving the Notice for Termination of Registration, which shall not be for period lower than 14 days.

**9.5.** In case Eligible Entity fails to address/rectify the default expressed by the Central Agency in the Notice within stipulated time period of 14 days, the Central Agency shall proceed with revocation of Registration granted to such Eligible Entity for that RE Generation Project.

**9.6.** Upon revocation of registration, the Central Agency shall inform the same to concerned State Agency, concerned State Load Despatch Center and Power Exchange(s), within period of 7 days from date of such revocation.

**9.7.** The Eligible Entity by the order of the Central Agency on revocation of its registration may appeal before the CERC within fifteen days of such order being communicated. The CERC may pass order, as deemed appropriate on such appeal.

## **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.



**FORMAT 2.1**

**APPLICATION FOR REGISTRATION OF RE GENERATING COMPANY AS  
'ELIGIBLE ENTITY'**

**Section A: Owner Details**

Name of Entity  
( 5 digit Alphabet Code e.g.  
UPPCL for U P Power  
Corporation Ltd)

Project Number  
( 3 digit Numeric Code like 001  
for 1<sup>st</sup> Project)  
Name of the Applicant  
Type of the Applicant  
(*Individual/HUF/Partnership/Ltd  
Co. /Pvt. Ltd. Co. /Public Ltd.  
Co/Cooperative Society*)

Postal Address of the Applicant

City/Town/Suburb

State

Postal Code

**Primary Contact Name**  
(*Name of Authorised Signatory*)

Position

Phone

Fax

Mobile

E-mail Address

Website

(This is generated automatically by the Online Application System based on information  
furnished during Accreditation)

## **Section B: RE Generating Station Details**

Name of Entity  
( 5 digit Alphabet Code e.g.  
UPPCL for U P Power  
Corporation Ltd)

Project Number  
( 3 digit Numeric Code like 001  
for 1<sup>st</sup> Project)  
Name of the Applicant

Proposed Name of  
Power Station (Unique Number)

Location of Power Station

Physical Address of the RE  
Generating Station

City/Town/Suburb

State

Postal Code

Capacity of RE Generating Station  
(in kW)

Configuration & number of units

Which Renewable Energy  
Resources is/are utilised by the RE  
Generating Station

Planned usage of Fossil Fuel <sup>3</sup>  
*(Provide Detail Description of type  
and amount of fossil fuel usage  
planned)*

(This is generated automatically by the Online Application System based on  
information furnished during Accreditation)

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<sup>3</sup> *Demonstrate Compliance with the Eligibility Conditions as prescribed by MNRE/Competent Authority*

**Section C: Copy of Certificate of Accreditation from State Agency**

**On the letter head of State Agency**

**CERTIFICATE OF ACCREDITATION**

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 installed Capacity \_\_\_MW, availing \_\_\_\_\_ MW under REC Mechanism, utilising \_\_\_\_\_ (*Name of the RE Resource*) has been granted Accreditation for its said RE Generating Station with effect from\_\_\_\_\_.

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

The validity of this certificate is mandated through ongoing surveillance.

**Issue Date**

**Expiration Date**

**Certificate Number**

Date

Authorised Signatory of the Accreditation Agency

Place

(Name and Address of the State Agency)

**On the letter head of State Agency**

**Recommendation by State Agency to Central Agency for Registration of  
Project under REC Mechanism**

**Name of RE Generator:**

**Accreditation Number:**

**Source:**

<b>Total Capacity of Project (MW)</b>	<b>Accredited Capacity (MW)</b>	<b>Accredited Capacity under third party/ APPC sale (MW), if applicable</b>	<b>Accredited Capacity utilized for self-consumption (MW), if applicable</b>

<b>S. N.</b>	<b>Checklist</b>	<b>Yes (Please tick, if applicable )</b>	<b>No (Please tick, if correct)</b>	<b>Remark / Any other information</b>
1.	Is RE Generator opting for third party sale			
2	Is RE Generator selling power to discom at APPC			
3.	Is RE Generator a Captive Generating Plant (CGP) opting for self consumption			
4.	Whether all procedures for accreditation* according to CERC/SERC REC Regulations and approved REC Procedures have been followed			
<b>In case RE Generator is CGP/RE Generator opting for REC Scheme for self-consumption then please provide following details:</b>				
a.	Whether benefits of concessional/promotional transmission or wheeling charges are availed			
b.	Whether banking facility benefit is availed			
c	Connected Load Capacity in MW			

\*Please provide details if there is any deviation from the accreditation of eligible entities as per CERC REC Regulations (including amendment thereof) and approved REC procedures.

Place:

Name of Authorised

Signatory

Date:

Name of State Agency

**Section D: Commissioning Schedule**

Date of Commissioning

(dd-mm-yyyy)

(or proposed RE Generation

Project, Commissioning Schedule)

## **Section E: Details of Fee& Charges**

Name of the Bank:

ECS Reference Number:

Date of Transaction:

Details of Amount Paid (Processing Fees):

## **Section F: Declaration**

### **Declaration to be Signed by the M.D./CEO/Authorised Signatory of the Applicant**

I/We certify that all information furnished above is/are 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.

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:

- I. I/We have not 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 \_\_\_\_MW of the capacity, with installed capacity \_\_\_\_MW, for which participation in REC scheme is availed.
  
- II. I/ We shall immediately notify the State Agency and Central Agency if any power purchase agreement to 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 been 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.

OR

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.

IV. I/ We have not availed or do not propose to avail any benefit in the form of concessional/promotional transmission or wheeling charges or banking facility benefit or any combination of them.

OR

A period of three years has elapsed from the date of forgoing the benefits of concessional transmission or wheeling charges or banking facility benefit or any combination of them.

OR

The benefits of concessional transmission or wheeling charges or banking facility benefit or any combination of them has been withdrawn by the State Electricity Regulatory Commission and/or the State Government.

I/We hereby also confirm that the electricity generated from the proposed renewable energy generating station shall be sold either to the distribution licensee at the pooled cost

of power purchase of such distribution licensee as determined by the Appropriate Commission or to any other trading licensee or to an open access consumer at a mutually agreed price, or through power exchange. Further, the Power sold shall not be utilised by the buyer to offset its RPO.

OR

The proposed renewable energy generating station is a CGP and the energy generated from the renewable energy generating station is utilised for self consumption.

#### INDEMNIFICATION

The Renewable Energy generator shall keep each of the NLDC/SLDC/SA indemnified at all times and shall undertake to indemnify, defend and save the NLDC/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.

Signature of the applicant  
(Seal of the Company)

Date:

Place:

**FORMAT - 2.2**

**CERTIFICATE OF REGISTRATION**

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 availing \_\_\_ MW under REC Mechanisim, 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**

Date

Authorised Signatory of Central Agency

Place

(Address of the Central Agency)

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## 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, (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 all Eligible Entities, 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 00:00 hrs of next day of Registration date of such plant by the Central Agency whichever is later.

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2.2. 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 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<sup>1</sup> Report duly certified by the concerned State Load Despatch Centre and shall be made in the specified format (**FORMAT-3.1: "Application for Issuance of Renewable Energy Certificates to the Eligible Entities"**). (ii) Print out of online application duly signed and stamped by Authorised Signatory (iii) Commissioning Certificate, only for issuance for the first month after registration. The application shall be accompanied by 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

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<sup>1</sup> Injection shall include self consumption of the Captive generating Plant if it is separately metered and measurable

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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:

- 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 Energy Injection report with the concerned State Load Despatch Centre 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 in respect of concerned Eligible Entity.

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- 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 Energy Injection Report submitted by the SLDC. In case of any discrepancy, in the Energy Injection Report enclosed by the Eligible Entity along with Application and regular Energy Injection Report received by Central Agency from concerned State Load Despatch Centre, the information contained in regular Energy Injection Report furnished by concerned State 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 Energy Injection Report by concerned State 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 before issuance of the Renewable Energy Certificates. The denomination of each REC issued would be as per the CERC REC Regulations 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.

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**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 also intimate about such issuance to the concerned State Agency.

#### **4. FUNCTIONS, ROLES AND RESPONSIBILITIES OF ENTITIES INVOLVED**

The roles and responsibilities of the entities involved is 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 Eligible Entity is connected with the transmission network, it shall coordinate with the concerned State Transmission Utility/State Load Despatch Centre for record of meter readings and energy injection report corresponding to electricity generated by the said renewable energy project.
- c. In case the 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. The Eligible Entity shall comply with the duties and obligations specified by the Central Agency.



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- e. 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.
  - f. Whenever there is a change in the legal status of the eligible entity (e.g. change from partnership to company), the eligible entity shall immediately intimate the concerned State Agency and the Central Agency about the said change and apply afresh for Accreditation by the concerned State Agency and Registration by the Central Agency. In all other cases involving a change in the name of the eligible entity, only the name of the entity shall be updated with the records of the State Agency and the Central Agency based on the intimation given by the eligible entity. In such cases eligible entity shall provide relevant documents in hard copy.

#### **4.2. State Load Despatch Centre (SLDC)**

- a. SLDC shall follow Indian Electricity Grid Code and State Grid Code 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 00:00 hrs of next day 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.

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‘Auxiliary Consumption’ shall not to be considered for issuance of REC.

- c. In case the Eligible Entity is connected to the state transmission network, SLDC shall maintain the record of meter readings and communicate the unconditionalcertified 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.
- d. 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, 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.
- e. 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.
- f. SLDC shall communicate renewable energy injected into the grid for each accredited RE project of the registered Eligible Entity within State to the State Agency.
- g. 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

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the concerned SLDC based on which SLDC shall certify monthly energy injection report such that accounting of energy remain intact.

**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.

**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.
- 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.

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## **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 Energy Injection Report submitted by the concerned SLDC.
- 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.

## **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 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. Further, the eligible entity shall ensure that while submitting the physical application along with the complete documents for issuance of RECs, at least 6 clear working days are available to Central Agency for considering the application. However, the eligible entity shall apply for issuance of RECs for the complete month in sequential manner.

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*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 complete documents for issuance of RECs corresponding to generation in the month of January, at least 6 clear working days are available to Central Agency 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 10<sup>th</sup>, 20<sup>th</sup> 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 application for issuance of Renewable Energy Certificates may be made on 10<sup>th</sup>, 20<sup>th</sup> and last day of the month.

**7.3.** 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.

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

**7.5.** 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.

**7.6.** 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

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## 8. FEES AND CHARGES

8.1. The fees and charges<sup>2</sup> towards processing of application and issuing the RE certificates shall be as mentioned below:

- a. Application Processing Fees: Rs. \_\_\_\_\_/- shall be payable at the time of submitting application for issuance of RECs to Central Agency.
- b. All fees and charges shall be payable by way of through Electronic Clearing System drawn in favour of \_\_\_\_\_(Name of Central Agency). Service tax leviable on issuance charges shall be borne by the RE Generator.

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 Report, then any difference from the amount paid at the time of submitting application shall be settled at the end of the financial year , however, service tax will be deducted from the amount to be refunded.

8.3. Payments against Issuance charges under REC Mechanism shall be made through the account of RE Generator only and the name of RE Generator shall appear in statement of transaction.

8.4. Issuance fees shall be paid before 7 days prior to Online Application. Any Payment made before 7 days of Online Application shall not be accepted.

## 9. EVENT OF DEFAULT AND CONSEQUENCES THEREOF

9.1. It will be the responsibility of the State Agency to ensure that the Renewable Energy Generator, registered under the REC Scheme, is abiding with the directions given to it from time to time.

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<sup>2</sup> As notified by the Central Electricity Regulatory Commission from time to time

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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.

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**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 <sup>1</sup> & Year)	
Name of the concerned Licensee	
Opening Balance (E of previous month)	
A. Total Quantity of Energy Injection and/or deemed injection (MWh) during the Month <sup>1</sup>	
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 <sup>1</sup>	
C. Quantum of Energy eligible for issuance of RECs (MWh) [(A - B) + Opening Balance ]	
D. Quantum of Energy For which issuance of RECs is requested (MWh) <sup>2</sup>	
E. Quantum of Balance Energy (MWh) eligible for issuance of REC (C-D)	

<sup>1</sup>month means entire month i.e. from first day to last day of the concerned month.



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<sup>2</sup> Quantum of Energy For which issuance of RECs is requested (MWh) should be greater than opening balance.

<sup>3</sup> Unconditional Certified Energy injection Report by SLDC shall be communicated to Central Agency

Date: (Sign and Seal)

Name of the Signatory Authority:

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\*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 PPA & remaining generation under REC Mechanism then the entire RE generation shall be treated on pro-rata basis.

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**Section B: Registration Certificate (To ascertain validity)**

**CERTIFICATE OF REGISTRATION**

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)

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### Section C: Details of Fee& Charges

Name of the Bank:

Bank /ECS Reference Number:

Date of Transaction:

Amount Paid:

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**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 wilful 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**

**RENEWABLE ENERGY CERTIFICATE (SAMPLE)**

This certifies the issuance of One Renewable Energy Certificate to

\_\_\_\_\_ (Name of the Eligible Entity)

representing One MWh of Green Power Generated from

\_\_\_\_\_ (Location of the Plant)

Certificate Number (MH-WE-0910-XXXX-YYYYABCD )



**(National Load Despatch Centre)**

Date of Issue : \_\_\_\_\_

Expiration Date : \_\_\_\_\_ (Name of the Signatory Authority)

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## PROCEDURE FOR REDEMPTION OF RENEWABLE ENERGY CERTIFICATE

### 1. INTRODUCTION

- 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 its amendments thereof, (hereinafter referred to as “the CERC REC Regulations”). This procedure shall be called ‘*Procedure for Redemption of Renewable Energy Certificates*’.
- 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 the Eligible Entity that chooses to place the RECs for dealing in any of the Power Exchanges as the Certificate holder may consider appropriate and the eligible entity that chooses for Self retention of RECs through State Agencies.
- 2.2. This procedure shall be followed by the State Agencies, Central Agency and Power Exchange(s) while facilitating redemption of the renewable energy certificates.

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### 3. STEP-WISE DESCRIPTION OF THE PROCEDURE

The basic procedure for redemption of renewable energy certificate(s) shall include following steps:

**3.1. STEP 1:** The Eligible Entity shall place for dealing of renewable energy certificates, both 'Solar' and 'Non-Solar' Certificates, on any Power Exchange authorised to deal in renewable energy certificates as per CERC Regulation & amendment thereof. The total quantity of Certificates ('Solar' and 'Non-Solar' separately) placed for dealing on the Power Exchange(s) by the eligible entity shall be less than or equal to the total quantity of valid Certificates held by the eligible entity as per the records of the Central Agency. The renewable energy certificates shall be dealt in the Power Exchange within the price band as specified by CERC from time to time.

**3.2. STEP 2:** During the time the bidding window opens in the Power Exchange(s), the eligible entities shall place their offers and the buyers<sup>1</sup> shall place their bids through the trading platform of the respective Power Exchange.

**3.3. STEP 3:** On closure of the trading window, the Power Exchange(s) shall send the maximum bid volumes for each of the eligible entity, which has placed offers on that Power Exchange, to the Central Agency for verification of the quantity of valid RECs available with the concerned eligible entity for dealing on the Power Exchange(s).

**3.4. STEP 4:** The Central Agency shall check the combined maximum bid volume in the Power Exchange(s) for each eligible entity against the quantity of valid RECs for that entity for both 'Solar' and 'Non-Solar' Certificates. The Central Agency shall send a report to Power Exchange(s) confirming the availability of the valid RECs with the eligible entity. In case the combined maximum bid volume placed for dealing in the Power Exchange(s) exceeds the quantity of valid RECs held by the eligible entity as per the records of the Central Agency, then, the Central Agency shall advise the Power Exchange(s) to exclude such bid(s) while working out the Market Clearing Price and the Market Clearing Volume.

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<sup>1</sup> Buyers mean Obligated Entities as well as Voluntary buyers.

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- 3.5. STEP 5:** The Power Exchange(s) shall work out the Market Clearing Price and the Market Clearing Volume taking into account the advise received from the Central Agency and send the final cleared trades to the Central Agency for extinguishing of the RECs sold in the records of the Central Agency. The certificates will be extinguished by the Central Agency in the 'First-in-First-out' order.

#### **4. FUNCTIONS, ROLES AND RESPONSIBILITIES OF ENTITIES INVOLVED**

The roles and responsibilities of the entities involved is elaborated in the following paragraphs,

##### **4.1. Eligible Entity**

- a. Eligible Entity shall comply with the duties and obligations specified by the Central Agency.
- b. Eligible Entity shall follow directions given by the Appropriate Commission from time to time.
- c. Eligible Entity shall place for dealing of renewable energy certificates to Power Exchange(s) & State Agency(ies) in timely manner.

##### **4.2. Power Exchange**

- a. Power Exchanges(s) shall accept RE certificates for dealing on Power Exchange.
- b. Power Exchanges(s) shall issue Rules & Byelaws for dealing of RECs on Power Exchange subject to due approval from CERC.
- c. Power Exchanges(s) shall propose mechanism for price discovery for RECs on Power Exchange and seek approval of CERC for the same.
- d. Power Exchanges(s) shall collect proceeds from the sale of certificates, if and as directed by CERC, for the purpose of capacity building of State Agency, and transfer to the CERC or any such agency as may be directed by the CERC.
- e. Power Exchanges(s) shall issue 'Certificate for purchase' of REC to the buyers.
- f. Power Exchanges(s) shall place request to Central Agency for Buyer Code giving details of the buyers to be registered. Request for Buyer Code shall be placed to Central Agency at least by 10:00 hrs of one working day prior



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to REC trading day. Power Exchange(s) has to ensure correctness of the information, if a Buyer is already registered with other Power Exchange.

- g. Power Exchanges(s) shall place request to Central Agency for Seller Code giving Registration Number and Name of the entity to be registered. Request for Seller Code shall be placed to Central Agency at least by 10:00 hrs of one working day prior to trading day.
- h. Power Exchanges(s) shall inform the concerned RE Generator who is/ are intimated to Power Exchanges by Central Agency as defaulter (i.e. combined maximum bid volume placed for dealing in the Power Exchange(s) exceeds the quantity of valid RECs held by the eligible entity as per the records of the Central Agency) in writing with a copy to Central Agency.

#### **4.3. Central Agency**

- a. Central Agency shall formulate protocol for sharing of information related to renewable energy certificate transactions in 'electronic form' with Power Exchange(s) & State Agency(ies).
- b. Central Agency shall maintain records and settlement accounts with respect to renewable energy certificate transactions based on information received from Power Exchange(s).
- c. Central Agency shall maintain record of REC issuance, retained and sale for each registered Eligible Entity.
- d. Central Agency shall act as a depository for transactions of RE certificates.
- e. Central Agency shall issue Buyer Code and Seller Code to Power Exchanges based on information submitted by the Power Exchanges.
- f. In case of any deviation, Central Agency in consultation with Power Exchange(s) may formulate the timelines for exchange of information between Central Agency and Power Exchange(s).

#### **4.4. State Agency**

- a. State Agency(ies) shall accept application for Self retention of RECs.
- b. State Agency(ies) shall issue 'Certificate for purchase' of REC to the buyers.

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## 5. Self Retention of RECs

- 5.1. STEP 1: The Eligible Entity interested in retaining their Renewable Energy Certificates may apply to the host State Agency, where the eligible entity is located.
- 5.2. STEP 2 The eligible entities may apply online from 1st to 5th of every month and mention the quantity of RECs for which they want to retain and the name of their plant and the State for which the eligible entity wants to retain RECs. Subsequently, the eligible entity is required to submit the hard copy of the application signed and stamped to the host State Agency in such a way so that it shall reach the office of state host agency latest by 9th of every month.
- 5.3. STEP 3: The host State Agency shall check the proposed volume for each eligible entity against the quantity of valid RECs for that entity for both 'Solar' and 'Non-Solar' Certificates by 15th of the every month.
- 5.4. STEP 4: In case the retained volume placed exceeds the quantity of valid RECs held by the eligible entity as per the records of the REC Registry, then, the State Agency shall limit the RECs that can be retained by the eligible entity to the number of valid RECs as per the records of REC Registry.
- 5.5. STEP 5: The State Agency shall send the final list of certificates to be retained for eligible entities to the Central Agency for extinguishing of the RECs. The certificates will be extinguished by the Central Agency in the 'First-in-First-out' order by 22nd of the every month.
- 5.6. STEP 5: The State Agency shall issue the certificate of purchase to the eligible entities.

## 6. INTERFACING AND INFORMATION EXCHANGE

- 6.1. Various activities outlined under this Procedure shall be undertaken on 'Electronic Form' to the extent feasible. Central Agency shall devise appropriate information sharing protocol for sharing/exchange of information with State Agency, Power Exchange(s), Eligible Entities, as may be necessary for implementation of this Procedure. Data exchange between the Central Agency and the Power Exchange(s) would be electronic and the information would be exchanged using suitable coding methodology to be

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evolved by Central Agency for both buyers & sellers. The software used in the Central Agency and the Power Exchanges would ensure generation and preservation of electronic trail of all transactions.

6.2. Power Exchange(s) will issue a Certificate of purchase of REC except in case of self retention of RECs wherein Certificate of purchase shall be issued by respective State Agency.

## 7. TIMELINES

7.1. For the purpose of dealing of RECs on Exchanges, Power Exchanges shall consider all RE certificates issued by Central Agency and valid for period of 730 days from date of issuance or as notified by CERC from time to time.

7.2. In accordance with the Rules/Byelaws of Power exchange approved by the CERC, monthly trading of RECs shall be undertaken for discovery of Price on Power Exchange(s). All valid and eligible offers for RECs received for dealing on Power Exchange shall be considered for trading to be carried out on the last Wednesday of every month. In the event of a bank holiday on the last Wednesday of any month, trading shall take place on the next bank working day. If there are other exigencies warranting change in the day for trading, the Central Agency can make such change as considered necessary under intimation to all concerned. The bidding window would open simultaneously on all the Power Exchange(s) designated for dealing in the RECs by CERC from 13:00 Hrs to 15:00 Hrs on the day of trading.

7.3. The Power Exchange(s) shall intimate the details of maximum offer placed for dealing by each eligible entity to the Central Agency by 15:30 Hrs on the day of auction.

7.4. The Central Agency shall check the combined maximum bid volume in the Power Exchange(s) for each eligible entity against the quantity of valid RECs for that entity for both 'Solar' and 'Non-Solar' Certificates. The Central Agency shall send a report to Power Exchange(s) confirming the availability of the valid RECs with the eligible entity by 16:00 Hrs.

7.5. The Power Exchange(s) shall work out the Market Clearing Price and the Market Clearing Volume taking into account the advice received from the Central Agency and send the final cleared trades to the Central Agency for extinguishing of the RECs sold in the records of the Central Agency by 17:00 Hrs.

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7.6. The Central Agency shall issue a report indicating the extinguishing of the RECs held in its records based on the final trades cleared on the Power Exchange(s) by 18:00 Hrs.

## 8. FEES AND CHARGES

8.1. The fees and charges towards transaction of RE certificate on the Power Exchange to be collected by Power Exchange(s) shall be as mentioned below,

- Fee towards transaction of Renewable Energy Certificates by Eligible Entity on Power Exchange: Rs. \_\_\_\_\_ per RE Certificate.

8.2. All fees and charges shall be payable by way of /ECS drawn in favour of \_\_\_\_\_(Name of Power Exchange), payable at \_\_\_\_\_(their respective address).

## 9. EVENT OF DEFAULT AND CONSEQUENCES THEREOF

9.1. An event of default would deem to have occurred if the combined maximum bid volume placed for dealing in the Power Exchange(s) exceeds the quantity of valid RECs held by the eligible entity as per the records of the Central Agency.

9.2. In case a default by an eligible entity occurs, then, the Central Agency shall advise the Power Exchange(s) to exclude such bid(s) while working out the Market Clearing Price and the Market Clearing Volume in the current auction. Further, the list of the defaulting eligible entities would be made available on the website of the Central Agency.

9.3. In case of three defaults in a financial year, the matter would be reported by the Central Agency to the CERC, which may take further action, as deemed fit.

9.4. Further, persistent occurrence of event of default as above, shall result into debarring of such Eligible Entity from further participating in REC mechanism and its registration with Central Agency may be revoked.

9.5. Buyers purchasing RECs through the Exchange's trading system may be required to place Margins equivalent in value to the full amount of purchase including other fees, levies and charges in the form of Cash or Cash equivalents. Eligible entities selling RECs through the Exchange's Trading

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system may be required to place Margins to cover the value of the required fees, levies and charges. In case of default in payment, Margins placed with the Exchange will be invoked to make good the default in payment.

## **10. MONITORING OF RECs PURCHASE**

- 10.1.** CERC and SERCs shall be provided login in ID for use of the REC Web application on the basis of information provided in specified format to the Central Agency.
- 10.2.** Power Exchange(s)/State Agency(ies) shall issue a 'Certificate of purchase' having a unique certificate of purchase number to each buyer as a record of RECs purchased during each REC trading session/ self-retention of RECs, as the case may be. Obligated Entities shall furnish the above 'certificate of purchase' provided by the Power Exchanges/State Agency(ies) to their respective SERC/State Agency/ designated agency for monitoring of REC Purchase. Each Certificate of purchase can be produced only once for establishment of record against REC purchase.
- 10.3.** State Agencies can independently verify the records of purchase from the REC Web application through their respective logins and inform the concerned SERCs.

## **11. POWERS TO REMOVE DIFFICULTIES**

- 11.1.** 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.

**MODEL PROCEDURE / GUIDELINES FOR ACCREDITATION OF RENEWABLE  
ENERGY GENERATION PROJECT FOR REC MECHANISM BY STATE  
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 as amended from time to time, (hereinafter referred to as “the CERC REC Regulations”). This procedure shall be called ‘Model Guidelines for Accreditation of a Renewable Energy Generation Project for REC Mechanism’.
- 1.2. This procedure is prepared in order to implement the CERC REC Regulations exercising its powers conferred under sub-section (1) of Section 178 and Section 66 read with clause (y) of sub-section (2) of Section 178 of the Electricity Act, 2003 and all other powers enabling it in this behalf, 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 all the grid connected projects of the generating companies including Captive Generating Plant (CGP) based on renewable energy sources (herein after called Generating Company/eligible entity) engaged in generation of electricity from renewable energy sources such as small hydro, wind, solar including its integration with combined cycle, biomass, bio fuel cogeneration, urban or

municipal waste and such other sources as recognised or approved by Ministry of New and Renewable Energy for their Renewable Energy Power Projects subject to fulfilment of eligibility conditions for participating in REC mechanism.

- 2.2. The State Agencies, as may be designated by the respective State Electricity Regulatory Commission to act as agency for accreditation and recommending the renewable energy projects for registration, shall follow this procedure for accreditation of Renewable Energy Generating Company for their Renewable Energy Power Projects subject to fulfilment of eligibility conditions for participating in REC mechanism.
- 2.3. The State Agency shall undertake the accreditation of any renewable energy generation project of the generating company not earlier than six months prior to the proposed date of commissioning of such RE generation project.
- 2.4. In case of renewable energy sources based co-generation plants, the connected load capacity as assessed or sanctioned by the concerned distribution licensee, shall be considered as the capacity for captive consumption for the purpose of issue of certificates, irrespective of the capacity of such plants covered under the power purchase agreement. The RE generator shall obtain a certificate from the concerned distribution Licensee for the connected load. The Distribution Licensee shall issue such certificate within 15 days from the date of application by the RE Generator and the RE Generator shall submit it to State Agency alongwith application for accreditation. The State Agency shall undertake the accreditation of the RE Generation Project as and when the RE Generating Company makes an application for accreditation. The State Agency may also undertake the accreditation for existing RE Generation Projects whose PPA will expire within 6 months 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.

- 2.5. The permission granted by the State Agency in the form of accreditation certificate to the Generating Company for the accredited RE Generation Project shall be valid for a period of five years from the date of accreditation certificate unless otherwise revoked prior to such validity period in pursuance of conditions for revocation as outlined under this Procedure.

### 3. STEP-WISE DESCRIPTION OF THE PROCEDURE

The basic procedure for accreditation of the RE generation project shall cover following steps:

- 3.1. **STEP 1:** An application for availing accreditation shall be made by the generating company to the host State Agency, as defined under Clause 2(1) (n) of the CERC REC Regulations. The applicant shall apply for Accreditation on the Web Based Application and shall also submit the same information in physical form to the State Agency. The application for accreditation shall contain (i) owners details, (ii) operator details (in case the owner and operator are different legal entities), (iii) Generating Station details, (iv) Connectivity details with concerned licensee (STU/DISCOM), (v) metering details, (vi) Statutory Clearance details, (vii) Undertaking of not having entered into any power purchase agreement for the capacity related to such generation to sell electricity, with the obligated entity for the purpose of meeting its renewable purchase obligation, at a tariff determined under section 62 or adopted under section 63 of the Act by the Appropriate Commission for which participation in REC scheme is sought as per the CERC REC Regulations, (viii) In case, the Applicant has multiple RE generation projects then, separate Applications will have to be submitted by the Applicant for each RE generation project. Accreditation of each RE generation project shall be carried out separately. In case, the applicant has single unit, break up in capacity for application of Accrediation will not be allowed. The RE Generation Project shall comply with the requirements of Connectivity standards for Grid Connectivity at particular injection voltage/grid



interface point as specified by State Transmission Utility or concerned Distribution Licensee, as the case may be. The Application made for accreditation of RE generation project shall be accompanied by a non-refundable processing fee and accreditation charges (one time and annual, if any) as determined by the Appropriate State Electricity Regulatory Commission from time to time, and (ix) any other relevant information as per the enclosed format (**FORMAT- 1.1** : Application for Accreditation of RE Generation Project).

**3.2. STEP 2:** The applicant shall be assigned a unique acknowledgement number<sup>1</sup> for accreditation of its RE generation project, for any future correspondence and after accreditation, Accreditation Number shall be used for the same.

**3.3. STEP 3:** After receipt of application for accreditation, the State Agency shall conduct a preliminary scrutiny to ensure Application Form is complete in all respect along with necessary documents and applicable processing fees. The State Agency shall undertake preliminary scrutiny of the Application within 7 working days from date of receipt of such Application.

**3.4. STEP 4:** After conducting the preliminary scrutiny, the State Agency shall intimate in writing to the Applicant within 7 days for submission of any further information, if necessary, to consider the application for accreditation or reject application.

**3.5. STEP 5:** While considering any application for accreditation of RE generation project, the State Agency shall verify and ascertain availability of following information:

- a) Undertaking of 'Availability of Land' in possession for setting up generating station,

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<sup>1</sup> The applicant shall be given a User ID and a password, for the purpose of submitting the information in a web based application system, which shall be valid for 15 days.

- b) Power Evacuation Arrangement permission letter from the host State Transmission Utility or the concerned Distribution Licensee, as the case may be,
- c) Metering specifications and metering Location on single line diagram,
- d) Date of Commissioning of RE project for existing eligible RE Project or Proposed Date of Commissioning for new RE for accreditation
- e) Copy of Off-take/Power Purchase Agreement. Copy of Off-take/Power Purchase Agreement. In case PPA is yet to be signed, the generator can submit an undertaking that it will enter PPA with Discom in near future and will submit the same on later date before commissioning of the project.
- f) Proposed Model and Make for critical equipment (say, WTG, STG, PV Module) for the RE Project. Confirmation of compliance of critical equipment with relevant applicable IEC or CEA Standards
- g) Undertaking for compliance with the usage of fossil fuel criteria as specified by MNRE/Competent Authority.
- h) Details of application processing fees.
- i) Energy sold by RE Generator should not be used by the buyer to offset its RPO obligations.

**3.6. STEP 6:** The State Agency, after duly inspecting/verifying conditions elaborated in Step 5, shall intimate the applicant regarding its eligibility and thereafter, the applicant shall pay One Time Accreditation fee and Annual fee for that financial year and submit the required documentary proof to the State Agency. In case the applicant is not eligible and accreditation is not granted then the reasons for rejecting the application for accreditation shall be recorded and intimated to Applicant in writing within 30 days.

**3.7. STEP 7:** After the receipt of One time Accreditation fees and Annual fees, State Agency shall grant 'Certificate for Accreditation' to the concerned Applicant for the proposed RE Generation project and a specific Accreditation number shall be assigned to that effect which shall be used by the such Applicant (Eligible Entities) for all future correspondence with the

State Agency. The process of accreditation shall normally be completed within 30 days from date of receipt of complete information by State Agency.

**3.8. STEP 8:** If accreditation is granted, the State Agency shall also intimate accreditation of particular RE generation project to the following entities:

- a. The Central Agency, as defined under Clause 2(1) (b)
- b. The host State Load Despatch Center
- c. The distribution company in whose area the proposed/existing RE generation project would be located.

#### **4. FUNCTIONS, ROLES AND RESPONSIBILITIES OF ENTITIES INVOLVED**

The roles and responsibilities of the entities involved is elaborated in the following paragraphs,

##### **4.1. Generating Company (Eligible Entity)**

- a. The Generating Company shall apply for the accreditation of its RE generation project facility as per **FORMAT-1.1: "Application for Accreditation of RE Generation Project for REC Mechanism"** enclosed to this Procedure.
- b. The Generating Company shall coordinate with the State Agency and shall be responsible for submitting the information in a timely manner so as to enable State Agency to comply with requirements outlined under this Procedure for Accreditation.
- c. The Generating Company shall pay one time non-refundable application processing fees towards Accreditation as determined by the Appropriate State Electricity Regulatory Commission from time to time.
- d. The Generating Company shall submit a declaration or undertaking that
  - i) It does not have any power purchase agreement for the capacity related to such generation to sell electricity, 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.

ii. It shall immediately notify the Central Agency if any power purchase agreement to 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.

OR

The premature termination of PPA with obligated entity with is mutual consent or due to material breach of terms and condition of said PPA by the obligated entity (For This necessary documentary evidence has to be submitted by eligible entity in hard copy to State Agency.

iv. It has not availed or does not propose to avail any benefit in the form of concessional/promotional transmission or wheeling charges or banking facility benefit or any combination of them.

OR

A period of three years has elapsed from the date of forgoing the benefits of concessional transmission or wheeling charges or banking facility benefit or any combination of them.

OR

The benefits of concessional transmission or wheeling charges or banking facility benefit or any combination of them, has been withdrawn by the State Electricity Regulatory Commission and/or the State Government.

vii. It shall sell the electricity generated either to the distribution licensee at the pooled cost of power purchase of such distribution licensee as determined by the Appropriate Commission or to any other trading licensee or to an open access consumer at a mutually agreed price, or through power exchange and the Power sold shall not

be utilised by the buyer to offset its RPO obligations. The Renewable Energy generator shall keep each of the NLDC/SLDC/SA indemnified at all times and shall undertake to indemnify, defend and save the NLDC/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, inclusive of confidentiality issues.

- e. The Generating Company shall install special energy meters for the purpose of metering of energy injection into the electricity grid.
- f. In case of Proposed project, Generating Company shall submit the commissioning certificate to State Agency after commissioning of project.
- g. The Generating Company shall comply with the directions, duties and obligations specified by the Central Electricity Regulatory Commission and Appropriate State Electricity Regulatory Commission in this regard, from time to time.
- h. The Generating Company shall apply for revalidation or extension of validity of existing accreditation at least three months in advance prior to expiry of existing Accreditation.
- i. Whenever there is a change in the legal status of the eligible entity (e.g. change from partnership to company), the eligible entity shall immediately intimate the concerned State Agency and the Central Agency about the said change and apply afresh for Accreditation by the concerned State Agency and Registration by the Central Agency. In all other cases involving a change in the name of the eligible entity, only the name of the entity shall be updated with the records of the State Agency and the Central Agency based on the intimation given by the eligible entity. In such cases eligible entity shall provide relevant documents in hard copy.

#### 4.2. State Agency

- a. State Agency shall comply with the directions issued by the State Electricity Regulatory Commission from time to time.
- b. State Agency shall submit one time information in the prescribed format to Central Agency to obtain login credentials in the REC Web application. Any change in the information shall immediately be intimated to the Central Agency.
- c. State Agency shall adopt the procedure contained herein for RE Generator Accreditation.
- d. State Agency shall scrutinise and verify the documents and all other steps as may be necessary prior to the Accreditation of RE generation project. Prior to accreditation, the activities to be undertaken by State Agency shall also include but not limited to following:
  - Verification of Application
    - ❖ Review of information submitted in the application by the generating company for its completeness and accuracy
    - ❖ Independent verification of the information submitted by the Applicant
  - Review of information available with regards to the similar renewable energy projects, if necessary.
- e. State Agency shall submit recommendation for registration as per **Formats 1.2 and 1.3** to the Central agency.
- f. In case of proposed project, State Agency shall submit the Commissioning Certificate to Central Agency after commissioning of project.
- g. State Agency shall grant extension of validity of existing accreditation upon following due process.
- h. State Agency shall proceed with Revocation of accreditation, upon following due process for revocation.
- i. State Agency shall intimate accreditation of generating company to the following,
  - Central Agency, (as defined under Clause 2(1) (b))
  - Concerned State Load Despatch Center

- The distribution company in whose area the proposed RE generation project would be located.

## **5. INFORMATION REQUIREMENT - APPLICATION FORM & CONTENT**

For the purpose of accreditation of its RE Generation project, the generating company shall furnish information to the State Agency in the format as elaborated in **FORMAT-1.1** comprising following details.

- a) Section-A: Owner Details
- b) Section-B: Operator Details
- c) Section-C: RE Generating Station details
- d) Section-D: Connectivity Details with Concerned Licensee (STU/DISCOM)
- e) Section-E: Metering Details
- f) Section-F: Statutory Clearance Details
- g) Section-G: General Details
- h) Section-H : Details of Fee & Charges
- i) Section-I: Declaration

## **6. REPORT: FORMAT FOR ACCREDITATION CERTIFICATE**

The State Agency shall grant 'Certificate of Accreditation' to the Applicant fulfilling all requirements of accreditation in the format as elaborated in the **FORMAT-1.2**.

## **7. TIMELINES**

- 7.1.** The State Agency shall grant/undertake accreditation of those generating facilities which are proposed to be commissioned within period not exceeding 6 months from the date of application for accreditation made by the applicant. The State Agency shall undertake the accreditation for existing RE Generation Projects whose PPA, 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, is going to expire during next 6 months.

- 7.2. Once received, the State Agency shall inform the applicant with regard to the incompleteness of the application within 7 working days.
- 7.3. The Applicant shall furnish the details as requested by the State Agency within 7 working days so as to enable State Agency to undertake the accreditation of the generating facility.
- 7.4. In case the applicant fails to furnish the information requested by the State Agency within the stipulated time frame, the State Agency may abandon the accreditation and retain the processing fees.
- 7.5. The process of accreditation by the State Agency shall normally be completed within 30 working days from the date of receipt of complete information by State Agency.
- 7.6. The Eligible Entity shall apply for revalidation or extension of validity of existing accreditation at least three months in advance prior to expiry of existing Accreditation.

## 8. FEES AND CHARGES

The fees and charges as determined by CERC or SERC from time to time towards processing of application and undertaking accreditation shall be as mentioned below:

- One time Application Processing Fees: Rs.\_\_\_\_\_/ - per application shall be payable at the time of submitting application for accreditation to State Agency.
- One time Accreditation Charges: Rs.\_\_\_\_\_/ - per application shall be payable to the State Agency upon grant of accreditation.
- Annual Charges for Accreditation: Rs.\_\_\_\_\_/ - per annum per application shall be payable by April 10, for each fiscal year (or each anniversary date for date of initial accreditation).
- Accreditation Charges for Revalidation/extension of validity: Rs.\_\_\_\_\_/ - per application shall be payable at the time of revalidation/extension of validity of existing accreditation at the end of five years.



All fees and charges shall be payable by way of Demand Draft or through Electronic Clearing System drawn in favour of \_\_\_\_\_(Name of State Agency) payable at \_\_\_\_\_(location).

## 9. EVENT OF DEFAULT AND CONSEQUENCES THEREOF

### Event of Default

Following events shall constitute event of default by Eligible Entity and shall lead to revocation of Accreditation granted by State Agency:

- 9.1. Non-payment or delay in payment of annual Accreditation charges by Eligible Entity beyond 15 days from due date of payment of such annual accreditation charges shall constitute event of default by that Eligible Entity.
- 9.2. Non-compliance of any of the terms/conditions/rules outlined under this Procedure by Eligible Entity.
- 9.3. Non-compliance of any of the directives issued by State Agency, so long as such directives are not inconsistent with any of the provisions of CERC REC Regulations or State RPO/REC Regulations and in accordance with the Functions and within the Powers outlined for State Agency, shall constitute an event of default by that Eligible Entity.
- 9.4. 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.

### **Consequences for Event of default:**

- 9.5. Occurrence of any of the event of default by Eligible Entity shall result into revocation of Accreditation granted to such Eligible Entity for that RE Generation Project.

- 9.6. However, the State Agency shall provide adequate notice and chance to Eligible Entity to present its case before serving the Notice for Termination of Accreditation, which shall not be for period lower than 14 days.
- 9.7. In case Eligible Entity fails to address/rectify the default expressed by the State Agency in the Notice within stipulated time period of 14 days, the State Agency shall proceed with revocation of Accreditation granted to such Eligible Entity.
- 9.8. Upon revocation of accreditation, the State Agency shall inform the same to Central Agency, State Load Despatch Centre and concerned distribution licensee, within period of 7 days from date of such revocation.

## **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/ State Agency may make such provisions or propose amendments, not inconsistent with the provisions of CERC REC Regulations, upon seeking due approval from Appropriate/Central Commission, as may appear to be necessary for removing the difficulty.

## FORMAT- 1.1

### APPLICATION FOR ACCREDITATION OF RE GENERATION PROJECT

#### Section A: Owner Details

Name of Entity ( 5 digit Alphabet Code e.g. UPPCL for U P Power Corporation Ltd)	
Project Number ( 3 digit Numeric Code like 001 for 1 <sup>st</sup> Project)	
Name of the Applicant	
Type of the Applicant ( <i>Individual/HUF/Partnership/Ltd Co./Pot. Ltd. Co./Public Ltd. Co./Cooperative Society</i> )	
Postal Address of the Applicant	
CityTown/Suburb	
State	
Postal Code	
<b>Primary Contact Name</b> ( <i>Name of Authorised Signatory</i> )	
Position/Designation	
Phone	
Fax No.	
Mobile	
E-mail Address	
Website	

**Are Owner and Operator of the Generating Facility the same legal entity?**

(*If yes, go to Section C else complete Section B*)

### Section B: Operator Details

Name of Entity ( 5 digit Alphabet Code e.g. UPPCL for U P Power Corporation Ltd)	
Project Number ( 3 digit Numeric Code like 001 for 1st Project)	
Name of the Applicant	
Type of the Applicant <i>(Individual/HUF/Partnership/Ltd Co. /Pvt. Ltd. Co. /Public Ltd. Co./Cooperative Society)</i>	
Postal Address of the Applicant	
City/Town/Suburb	
State	
Postal Code	
<b>Primary Contact Name</b> <i>(Name of Authorised Signatory)</i>	
Position/Designation	
Phone	
Fax	
Mobile	
E-mail Address	
Website	

**Section C: RE Generating Station Details**

Name of Power Station	
Physical Address of the RE Generating Station	
City/Town/Suburb	
State	
Postal Code	
Station Latitude	
Station Longitude	
Category of Land <sup>2</sup> <i>(Govt. Land/Private Land)</i>	
Land Lease <sup>3</sup> <i>(Leased/Owned)</i>	
Type of Applicant	IPP/CGP/Others(to be specified)
Total Installed Capacity of RE Generating Station (in kW)	
Total Number of Units	
Which Renewable Energy Resources is/are utilised by the RE Generating Station	
Number of units for which Accreditation is sought	
Unit Number, Corresponding Capacity and Date of Commissioning <i>(dd-mm-yyyy)</i>	
Planned usage of Fossil Fuel <sup>4</sup> <i>(Provide Detail Description of type</i>	

<sup>2</sup> Enclose Necessary Documents

<sup>3</sup> Enclose Certified Copy of the Registered Lease/Sale Deed

<sup>4</sup>Demonstrate Compliance with the Eligibility Conditions as prescribed by MNRE/Competent Authority

and amount of fossil fuel usage planned)

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Connectivity Diagram<sup>5</sup>

(Diagram Enclosed)

Proposed Gross Generation by units proposed for Accreditation (kWh)

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Name of Pooling Station, if applicable

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**Section D: Connectivity Details with Concerned Licensee (STU/DISCOM)**

Name of the Concerned Licensee under whose jurisdiction the entity is located

--

Address of the Concerned Licensee

--

State

--

Postal Code

--

Licensee email id

--

Licensee Phone/ Fax

--

Interconnection of Power<sup>6</sup> Station with the network

S No. Line From \_\_\_\_\_ to \_\_\_\_\_ Voltage Level:

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<sup>5</sup> Enclose Connectivity Diagram/Single Line Diagram of the Station clearly Identifying the units to be considered for Accreditation and showing the Metering Arrangement

<sup>6</sup> Enclose details of Power Evacuation Arrangement/ Licensee Permission Letter to Interconnect with the network

**Section E: Metering Details**

<p>Whether metering complied with the standards issued by Central Electricity Authority / State Grid Code</p>	
<p>Are the following metered separately</p> <ul style="list-style-type: none"><li>1) Gross Energy Generated</li><li>2) Auxiliary Consumption</li><li>3) Net Energy Injection to Grid</li><li>4) Self Consumption in case of CGP</li></ul>	
<p>Describe the Meter Details<sup>7</sup></p>	
<p>Describe the Metering Points<sup>8</sup></p>	
<p>What is the voltage at which electricity is generated and how the voltage is stepped up or down before use</p>	

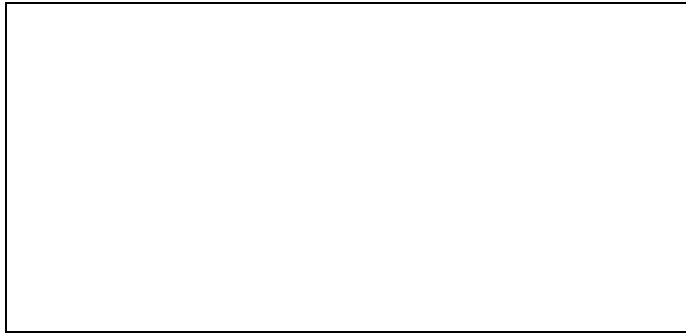
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<sup>7</sup> Enclose Meter Type, Manufacturer, Model, Serial Number, Class and Accuracy etc.

<sup>8</sup> Describe the location of meters with single line diagram

**Section F: Statutory Clearance Details**

Statutory Clearances obtained  
by the RE Generating Station  
including Environmental  
Clearances<sup>9</sup>



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<sup>9</sup> Attach the Copy of Clearances/Approvals



**Section G: General Details**

Nature and Activities of the Applicant

Furnish list of Directors/Partners of the Organisation

Income Tax PAN Details of the Applicant

Details of the Earlier RE Project setup by the Applicant

Basic Documents of the Company<sup>10</sup>

Net Worth of the Company  
*(Enclose Certified true copies of financial statements)*

Estimated cost of the proposed project (in Rs Lakh)

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<sup>10</sup> Enclose Memorandum of Association & Articles of Association of a Company/ Certificate of Incorporation, in case of Pvt. Ltd. Company/Certificate of Incorporation & Certificate of Business Commencement, in case of Public Ltd. Company and similar relevant document as applicable in other cases/ Appointment of Statutory Auditor

## **Section H: Details of Fee& Charges**

Name of the Bank:

Bank Draft Number/ECS Reference Number:

Date of Transaction:

Details of Amount Paid:

Processing Fees: Rs.

## Section I: Declaration

### **Declaration to be signed by the M.D./CEO/Authorised Signatory of the Applicant**

I/We certify that all information furnished above is/are 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 to participate in the Renewable Energy Certificate Mechanism from time to time.

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:

i. I/We have not 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 \_\_\_\_MW of the capacity, with installed capacity \_\_\_\_MW, for which participation in REC scheme is availed.

ii. I/ We shall immediately notify the State Agency if any power purchase agreement to 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 State 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 conditions of said PPA by me/us.

OR

I/ We have prematurely terminated our PPA with obligated entity on 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 me/us in hard copy to the State Agency.

v. I/ We have not availed or do not propose to avail any benefit in the form of concessional/promotional transmission or wheeling charges or banking facility benefit or any combination of them.

OR

A period of three years has elapsed from the date of forgoing the benefits of concessional transmission or wheeling charges or banking facility benefit or any combination of them.

OR

The benefits of concessional transmission or wheeling charges or banking facility benefit or any combination of them, has been withdrawn by the State Electricity Regulatory Commission and/or the State Government.

Signature of the applicant  
(Seal of the Company)

Date:

Place:

**FORMAT - 1.2**

*On the letter head of the State Agency*

**CERTIFICATE OF ACCREDITATION**

This is to certify that \_\_\_\_\_ (Name of the Applicant) having/proposing to install its RE generating station at \_\_\_\_\_ (Proposed Location, Physical Address) with installed Capacity \_\_\_MW and availing \_\_\_\_ MW under REC Mechanism, utilising \_\_\_\_\_ (Name of the RE Resource) has been granted Accreditation for its said RE Generating Station with effect from\_\_\_\_\_

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

**Certificate Number**

**Issue Date**

**Expiration Date**

Date

Authorised Signatory of the Accreditation Agency

Place

(Name and Address of the State Agency)

**FORMAT-1.3**

**On the letter head of State Agency**

**Recommendation by State Agency to Central Agency for Registration  
of Project under REC Mechanism**

**Name of RE Generator:**

**Accreditation Number:**

**Source:**

Total Capacity of Project (MW)	Accredited Capacity (MW)	Accredited Capacity under third party/ APPC sale (MW), if applicable	Accredited Capacity utilized for self-consumption (MW), if applicable

S. N.	Checklist	Yes (Please tick, if applicable )	No (Please tick, if correct)	Remark / Any other information
1.	Is RE Generator opting for third party sale			
2	Is RE Generator selling power to discom at APPC			
3.	Is RE Generator a Captive Generating Plant (CGP) opting for self-consumption			
4.	Whether all procedures for accreditation* according to CERC/SERC REC Regulations and approved REC Procedures have been followed			
<b>In case RE Generator is CGP/RE Generator opting for REC Scheme for self-consumption then please provide following details:</b>				
a.	Whether benefits of concessional/promotional transmission or wheeling charges are availed			
b.	Whether banking facility benefit is availed			
c	Connected Load Capacity in MW			

\*Please provide details if there is any deviation from the accreditation of eligible entities as per CERC REC Regulations (including amendment thereof) and approved REC procedures.

Place:

Name of Authorised Signatory

Date:

Name of State Agency