Department
of Energy &
Climate Change

ETSWAP - Industry user guidance

Emissions Trading Scheme Workflow Automation
Project (ETSWAP)

August 2014

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Executive summary

The Emissions Trading Scheme Workflow Automation Project (ETSWAP) is an online single secure workflow that is used for managing the European Union Emissions Trading Scheme (EU-ETS) permits. The software offers the full suite of the numerous types of services required to maintain a permit e.g. submission and determination of permit applications, annual emission reports (including verification) and variations. ETSWAP will auto-generate emails and alerts for each permit that an operator holds informing them of the specific task(s) to be completed or a reminder to complete a task. ETSWAP also records the various communications between operator's, verifiers and the regulator; it will also reduce the administration burden on industry to manage their respective permits.

This guidance is for the offshore oil and gas industry only; it is not a step-by-step guide and *is in addition* to that provided on the ETSWAP website. Operators should not contact the Environment Agency for Help or Guidance. If you have any questions not addressed by this guidance or wish to provide feedback, please contact the Environmental Management Team at emt@decc.gsi.gov.uk

1. Accessing ETSWAP and help

Accessing ETSWAP

ETSWAP can be accessed directly by either https://euets.environment-agency.gov.uk/, or via an invitation email setup on your behalf which will also provide advice on how to log into the system.

General information

General help can be found under the "Assistance" section at the log on page or a more detailed help can be found in the upper right corner when logged in. This help text provides information on what has been recently updated and general text about ETSWAP, and is applicable for all users. Help is also provided by "?" buttons next to some fields as you work through a workflow and the subject of that help is context sensitive.

Sections with a '*' are mandatory and no forms can be submitted until these sections have been completed. Users should be utilising the 'validation' button at the top of the page of all forms to check completeness of any submissions. Users should refrain from using the browsers forward and back buttons, as the site may crash, only use 'Next Page', 'Previous Page' or the navigation options to move within a workflow.

If you have any problems with the site you should in the first instance always contact the Environmental Management Team and not the Environment Agency as indicated. Not following this process may result in delays in responding to you.

2. Basic ETSWAP controls

Logging into the website

When logging on for the first time you will be required to set your own unique password and pin, followed by accepting the terms and conditions (T&C). Users that choose not to accept the T&C's will not be able to progress further in using the site.

Users' homepage/work queue

After successfully logging in, your 'homepage' will become visible. This allows access to 'Help', 'Password change' and 'User details' on the left and the relevant installation(s) can be selected on the right. If the user has access to both onshore and offshore assets, both will be visible from this view and any installation that the user has permissions for, can be accessed.

Clicking on the relevant installation opens the 'Work queue' for that installation and, dependent on the user status, this offers access to the various sections of the system from the left hand menu and you can initiate variations/notifications etc. from these options (Figure 2.1). The work queue also details the outstanding tasks to be completed.

Under 'My tasks' a list of tasks is detailed with the time remaining and is colour coded according to the time to completion; this can be used to prioritise tasks. Each of the sub-headings can be filtered by clicking on the respective heading.

Any 'recent Alerts' sit under the tasks and these are for information only. The alerts will remain visible until they are dismissed by users.

Users can start a workflow at any time, save this at any point and return later time to continue. Alternatively, the draft can be cancelled at any time prior to submission.

Figure 2.1 screenshot of the homepage and work queue
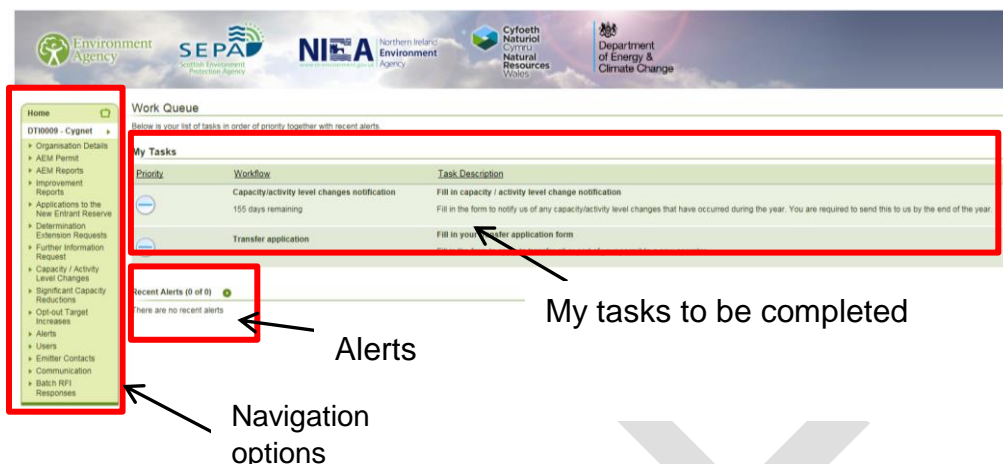
Creating new/existing users and emitter contacts

New users

New users can be created at any time by an operator (Figure 2.2a), but see section 3 below as there are some restrictions as to who can set up users and what 'role' the user is to be set as. Note: If an error is made on entering the new users email address, the user account will be void and the process requires to be restarted.

Inviting existing users onto the installation's account

Existing users of ETSWAP within the same operatorship can be included on any required installation by first providing the inviter with the invitees' respective Invite Code (Figure 2.2b). The relevant invite code can be found in the User Details on the Home page > view edit my details. External consultants that may work for multiple operators will have to apply this process to gain access to the relevant installations, as only one email address for that named user can be registered on the system at any one time. The installations that the user has access to will be visible from the homepage. This avoids the user having multiple accounts.

Users (internal or external) can be removed at any time from accessing an installation by the 'operator admin user' by blocking the selected user from that installation, and remains the operator's responsibility to manage this access.
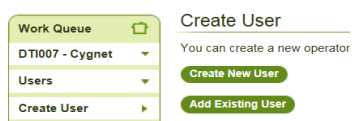
Figure 2.2a Creating/inviting new user

Figure 2.2b Your Invite code requires to be passed *to the individual* inviting you.

Emitter contacts

Emitter contacts are contacts that an operator may wish to include that would receive various communications (letters/notices) but they *do not require* to have direct access to ETSWAP or a user account.

3. Who is permitted to submit applications?

Who can submit applications

Similar to the PETS portal system, the Department requires **Operators** to submit all applications and therefore a user's assigned role may be either 'operator admin' or 'operator user' for operator users only. External consultants contracted to support an operator are not permitted to submit applications but may start and draft the required information prior to submission by the operator (see Table 1.1 and Appendix 1). Any submissions found to be submitted by external consultants that have been given a higher access level will be returned to the operator.

Roles of new users

Only named individuals with the role of 'operator admin' have the permission to set up a new user, and there are three options for the new user's role:

Table 1.1: Overview of the permissions levels of ETSWAP for each role. For a more detailed permission matrix see Appendix 1.

Role	Permission level
Operator admin	Full access and submission rights.
Operator user	Viewing, editing and submission rights. No rights to start transfers, surrenders.
Operator editor	Viewing, starting variations, notifications and NER rights but *No submission rights*. No rights to start transfers, surrenders.

4. Starting the different workflows

Starting a workflow: options to change the permit

The various workflows can be accessed from the navigation options from within the respective installation's permit.

From the menu on the left-hand side, the user is required to select the AEM permit > start AEM change request > followed by the option required as per Figure 4.1.

Figure 4.1: Options for a permit change request

Notifications (TEN's/metering issues/site visits)

Notifications are submitted when a change may not necessarily require a permit variation and there are a number of options available (Figure 4.2).

Figure 4.2: Options under a notification

Examples of some options that are likely to be used are:

"a temporary closure/shutdown of the installation"
- Used to notify EMT of an installation shutdown that is longer than 7 continuous days. When the installation re-commences production the option "commencement of operation should be selected.

"*a temporary change to the permitted installation*"
- To be used for any **metering mis-measurements**. Where the duration is likely to be for an unknown period, an *anticipated* end date should be entered and clarified in the free text box of the submission. Details for addressing the data gap should be uploaded if available. On completion, submit the notification to the the Department for review.

  When further information is known and/or the mismeasurement report is complete a new notification is required and the **original notification reference** should be quoted within the free text box.

"*any other factor*" should be used for:
- bi-annual submission of the **Temporary Equipment Notification (TEN's) form**
- Requests for an exemption from an **offshore site visit**

All other options are self-explanatory.

Permit Variations

Varying a permit requires a live permit. A variation cannot be updated or a new one raised until a variation that is in progress has been approved, unless either the operator requests the variation to be returned, or it is returned by the regulator for an update of information. A variation cannot be raised when a permit transfer is in progress.

The permit variation has a selection of options (Figure 4.3) to be chosen according to the type of variation being requested. Within the free text box "Description of the proposed variation" the operator must describe clearly and concisely the reasons for the variation and what has been amended. This section is similar to the change summary on the PETS system and is mandatory. On completion of amending the changes the operator is required to submit the variation via the submission button found at the last navigation option.

Tip: If the variation is to remove a piece of combustion equipment, users should start where the item to be removed *last* occurs in the AEM and *work back* to where the item is first listed. As a check, users should always use the 'validation' option to ensure the item has been removed in all relevant sections.

Figure 4.3 Permit variation

Permit Transfer

Transferring a permit to a new operator entails several steps for the transfer process to be completed (summarised in Figure 4.5). The transfer workflow cannot be started if there is a pending permit variation, and this should be closed out to allow the transfer to commence.

Requirements for the installation's receiving operator (Operator B)
- Operator B is required to register a 'new' stationary installation (found at the log-on page)
- Complete the basic details
- Within the "*Competent Authority*" ensure the *Department of Energy and Climate Change* is selected in the drop down box (fail to select this option and the application will be rejected)
- On selecting DECC, the installation address changes to Latitude and Longitude
- Under "*Type of Application*" ensure the option "*I am receiving an existing permit…*" is selected (Figure 4.4) otherwise the application will be rejected. This step is critical as it generates the '**transferee code'**.

Figure 4.4: type of application (for transfer)

On submitting the application the registered user (Operator B) will receive an email requiring the registered email address to be **verified**. Failure to follow the steps in the verification email will result in the Department not receiving the application and therefore the transfer cannot be progressed.

Following the process above, the Department will receive and process the application. If approved, Operator B will receive an invitation email, providing the relevant details to login to the system. Operator B will find **an eight digit transferee code under the "Organisations Details" section**; this code is required to be **passed to Operator A** in order for the transfer workflow to proceed.

Operator A – the existing operator
The transfer workflow is required to be started and any pending permit variations should be closed out or the transfer workflow cannot be accessed.

The **transfer code** is to be entered by Operator A *exactly* as provided by Operator B. This is very important as it links operator A and B together to ensure the transfer.

Operator A completes all the remaining questions as required. It is important to validate the form before submitting it to complete this part of the transfer to Operator B.

Submitting the transfer by Operator B
When Operator B receives the transfer from Operator A, the relevant company and contact details are required to be **updated** by Operator B. The AEM plan/permit will also be required to be updated with Operator B's supporting documentation (sampling plan, uncertainty assessments, risk assessment etc.), and all these parts are submitted to the Department for review and potential approval to Operator B.

If there are any existing workflows that are currently on-going these are included in the transfer process. These include the AEM report, Improvement report, change in activity/capacity (these may be relevant, depending when the transfer occurs in the calendar year) and NER if Operator A has applied for this. To note, the NER workflow only includes the NER reference number and its current status, and is present for information only. Any open workflows that are passed to the installation's new operator, will become the responsibility of the new operator who will be required to comply with the permit and regulations accordingly.

To Note: Following the successful transfer of the permit, Operator B takes full responsibility for the reporting of ALL activity data for the calendar year in which the transfer takes place i.e. from 01 January until 31 December, irrespective of the length of time of holding that permit. The free allocation of allowances also transfers with the installation. Activity data is not detailed within ETSWAP and therefore operators A and B should make arrangements between themselves for the transfer of that data and any other relevant information to allow Operator B to undertake the reporting of emissions or to be compliant with any conditions of the permit.

Figure 4.5: Permit transfer flowchart
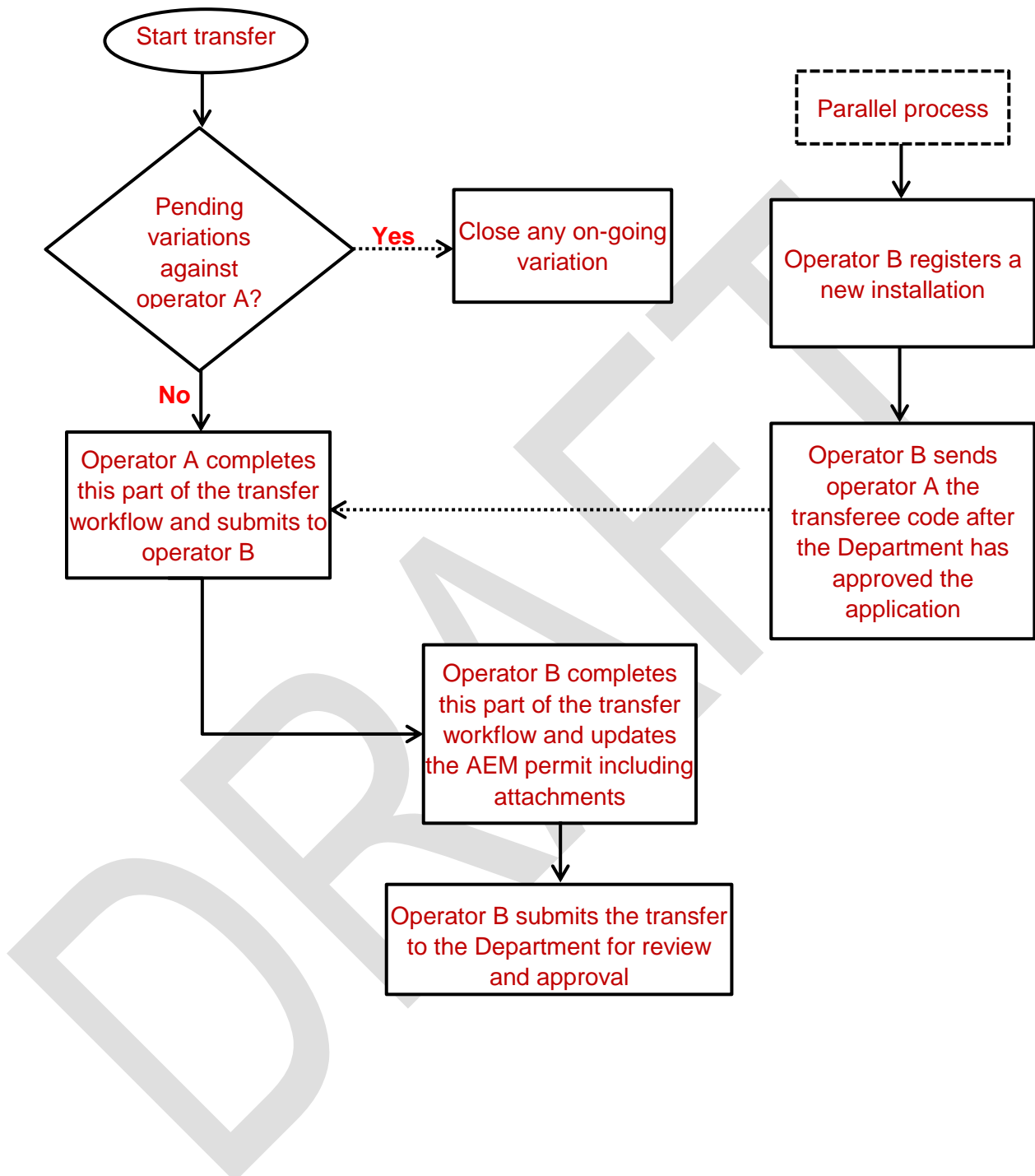
5. Regular annual submissions

Throughout the calendar year, all operators are required to submit reports which are mandatory:

- Capacity/activity level changes notification
- Annual Emission Monitoring report
- Improvement report

The workflows associated with these become active in ETSWAP at set periods in the year, and the time remaining to the required regulatory deadline is provided in days in the user's workbasket. Users will also receive email reminders related to the specific workflows. The workflow will remain within the installation's workbasket until it is completed.

Capacity/activity level changes notification

This is due to be submitted by 31st December every year and relates to any capacity or activity changes that have occurred throughout the calendar year. The workflow captures any partial cessations, recovery from or on-going partial cessations. This workflow may have an impact upon the installations free allowances and therefore the information needs to correct at the time of submission.

The Department has previously sent a table to be completed by all EU-ETS permit holders which relates to the historic activity level (HAL) of the qualifying equipment and this will continue The table will need to be populated and can then be uploaded as an attachment in the documentation section, along with the NE&C template if relevant.

Any change (reduction/extension) to the installation's capacity (for either sub-installation) is required to be completed in this workflow *as well as* the 'Significant Capacity Reductions' workflow.

Annual Emission Monitoring reports

Data relating to 2013's submission (AEM report and VOS) has been uploaded into ETSWAP as a PDF document and operators can view this if required.

This section will be updated in due course.

Improvement reports (verifiers)

Data relating to 2013's verifier's recommended improvements (IRV) has been migrated into ETSWAP and lists the improvements and proposed actions which the Department will review and respond to operators accordingly.

After the Department has reviewed the IRV, the report will either be:
- agreed on the proposed improvements; or
- agreed on the justification for not implementing the improvement; or
- returned with a requirement to update the verifiers improvement report

If the report is returned with a request to update it, this is required to be resolved accordingly for each item listed, either clarifying that the improvement task is completed or justifying why the improvement will not be completed. This should then be re-submitted to the Department, and

the workflow is then closed.   The IRV cannot be opened and edited again after this re-submission.

6. Applications submitted at any time

New Entrants Reserve and Significant Capacity Reductions/Extensions

Applications to the New Entrant Reserve (NER) and significant capacity changes can be submitted at any time during the calendar year. Both types of submissions are required to be supported by a completed New Entrants & Closures template and a Verifier's Opinion Statement and if required, supported by any other evidence as additional attachments.

7. Communicating with the Department

All communication should be done within ETSWAP where possible. There may be occasions where this is not possible, e.g. a request to withdraw your submission, and this should be done by email to your respective environmental manager *and* copied to emt@decc.gsi.gov.uk.
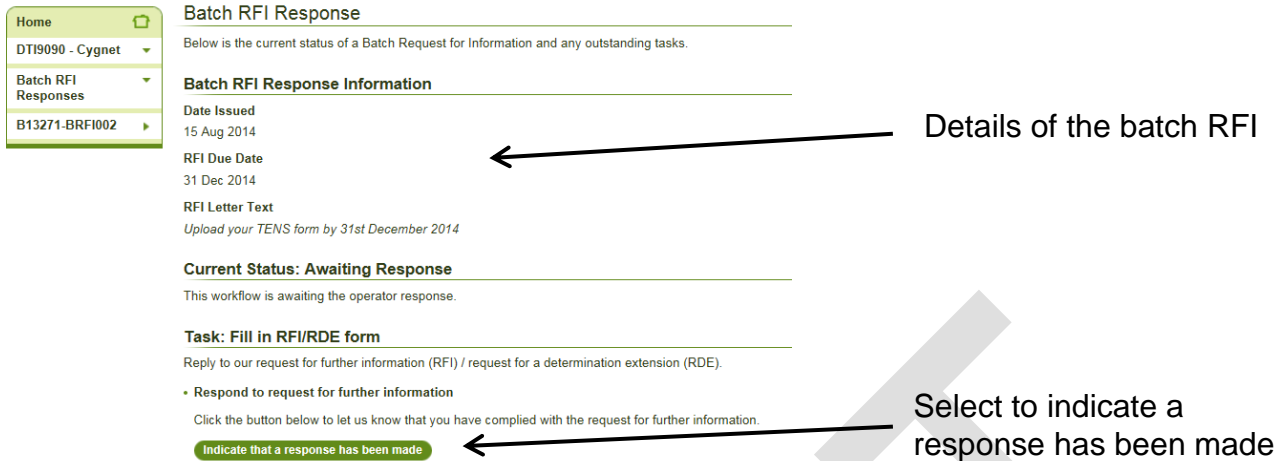
Requests for further information

On receipt of any submissions from operators, the Department may request further information (RFI). This RFI is specific to the workflow that the submission is made under and a letter is generated by the Department and sent to the listed contacts detailing what additional information is required and this also sits within the installation's workbasket. Operators respond to this RFI within ETSWAP providing the information requested and add any attachments as necessary and then resubmit back to the Department.

Batch RFI's and responses to these

Batch RFI's are sent to multiple installation accounts and/or multiple operators. A letter is sent via email to the registered users by the Department detailing the request and this RFI also sits within the installation's workbasket. Operators responding to these should select this RFI within the workbasket and then indicate that the RFI has been responded to accordingly (Figure 7.1), this then closes out the request.

Figure 7.1 View of the Batch RFI

Batch RFI Response

Below is the current status of a Batch Request for Information and any outstanding tasks.

Batch RFI Response Information

Date Issued
15 Aug 2014

RFI Due Date
31 Dec 2014

RFI Letter Text
Upload your TENS form by 31st December 2014

Current Status: Awaiting Response

This workflow is awaiting the operator response.

Task: Fill in RFI/RDE form

Reply to our request for further information (RFI) / request for a determination extension (RDE).

• **Respond to request for further information**

Click the button below to let us know that you have complied with the request for further information.

[Indicate that a response has been made]

Details of the batch RFI

Select to indicate a response has been made

8. Appendix

ETSWAP user's permissions matrix

Permission	Operator user	Operator editor	Operator admin
Can Create Emitter User	-	-	Y
Can Disable Or Enable Emitter User	-	-	Y
Can Upload/Download Xetl	Y	Y	Y
Can Edit Emitter Details	-	-	Y
Can Edit Installation Address	-	-	Y
Can Edit Installation Site Name	Y	Y	Y
Can Edit Other Emitter Users Details	-	-	Y
Can Edit Other Users Details	-	-	Y
Can Edit Users Role	-	-	Y
Can Open Form AEM Plan	Y	Y	Y
Can Open Form AEM Report	Y	Y	Y
Can Reset Users Password	-	-	Y
Can Start Installation AEM Notification	Y	Y	Y
Can Start Installation AEM Surrender	-	-	Y
Can Start Installation AEM Transfer	-	-	Y
Can Start Installation AEM Variation	Y	Y	Y
Can Start Installation NER	Y	Y	Y
Can Start Notification Workflow	Y	Y	Y
Can Start Variation Workflow	Y	Y	Y
Can View Company Registration Number	Y	Y	Y
Can View Emitter Name	Y	Y	Y
Can View Emitter Status	Y	Y	Y
Can View Emitter User Disabled	-	-	Y
Can View Improvement Reports	Y	Y	Y
Can View Installation Address	Y	Y	Y
Can View Installation DREs	Y	Y	Y
Can View Installation Nap ID	Y	Y	Y
Can View Installation NERs	Y	Y	Y
Can View Installation Permit ID	Y	Y	Y
Can View Installation Site Name	Y	Y	Y
Can View User Is Locked Status	-	-	Y
Can View Workflow Status	Y	Y	Y
Can View Emitter Contacts	Y	Y	Y
Can Edit Emitter Contacts	-	-	Y
Can Create/Delete Emitter Contacts	-	-	Y
Can View Significant Capacity Reductions	Y	Y	Y
Can Start Significant Capacity Reduction	-	-	Y
Can View Partial Cessations	Y	Y	Y
Can View Emitter Communication	Y	Y	Y
Can Submit Forms	Y	-	Y

Acronyms

AEMR	Annual Emissions Monitoring Report
AEMV	Annual Emissions Monitoring Variation
AEMN	Annual Emissions Monitoring Notification
DECC	Department of Energy and Climate Change (the Department)
DRE	Determination of Reportable Emissions
EMT	Environmental Management Team
ETSWAP	Emission Trading Scheme Workflow Automation Project
HAL	Historic Activity Level
IR	Improvement report
NC	Non-compliance
NER	New Entrant Reserve
RDE	Request for Determination Extension
RFI	Request for Further Information
SCR	Significant Capacity Reduction/Extension
VOS	Verifiers Opinion Statement