Climate Change Agreements IT Register User Guide

Version 4

February 2015

LIT 7912

NA/EAD/2015/v4

UNCLASSIFIED

We are the Environment Agency. We protect and improve the environment and make it a better place for people and wildlife.

We operate at the place where environmental change has its greatest impact on people's lives. We reduce the risks to people and properties from flooding; make sure there is enough water for people and wildlife; protect and improve air, land and water quality and apply the environmental standards within which industry can operate.

Acting to reduce climate change and helping people and wildlife adapt to its consequences are at the heart of all that we do.

We cannot do this alone. We work closely with a wide range of partners including government, businesses, local authorities, other agencies, civil society groups and the communities we serve.

Published by:

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Version control

This guidance document will be updated periodically. The table below lists the dates when new versions were published and the pages/sections where updates were made. If you are reading a printed copy of the manual rather than the on-screen version, please check the CCA web pages (https://www.gov.uk/browse/business/waste-environment/climate-change-agreements) to make sure you are reading the latest version.

Version	Date of publication	Action taken
4	February 2015	Section 3 - New variation types added Section4 - New reporting section added

Executive summary

Introduction

This user guide provides guidance on climate change agreements (CCAs) for industry sector associations and operators. It has been produced by the Environment Agency. We have consulted with the Department of Energy and Climate Change (DECC), Ricardo-AEA (technical consultant to the CCA scheme) and representatives of industry sectors in the scheme to develop this manual.

The Environment Agency is the Administrator for all of the UK for the CCA scheme, which runs from 1 April 2013 to 31 March 2023. DECC remains responsible for policy and legislation, and for maintaining the Technical Annex [to the Climate Change Agreements] and Statutory Guidance that deal with specific issues as detailed in section 1. This user guide explains how the IT of the CCA register should be used,

How does the scheme work?

As the CCA Administrator we have set up an IT system, the CCA register, through which the sector associations manage underlying agreements for members of their sectors. Operators holding CCAs must monitor and report their energy consumption against agreed targets across and at the end of each target period, operators meeting their targets will be certified to continue to receive the CCL discount. We will publish a report on our website listing the facilities certified in the scheme by sector by the last working day in every month. This is called the reduced rate certificate (RRC).

Operators that do not meet their targets can continue to receive the CCL discount if they pay a 'buy-out' fee. Operators that miss a target and do not pay the buy-out fee will be decertified from the scheme, making them ineligible for the CCL discount. They can re-enter the scheme if they pay any missed buy-out fees and any other outstanding penalties. Where an operator overachieves against their target, there is a mechanism to allow them to 'bank' surplus tonnes of (CO_2e). This surplus can then be used in future target periods to offset underachievement. These mechanisms are conducted through the CCA IT register.

Content of this user guide

This guide provides help for users of the CCA IT register. Section 1 covers user profiles and account maintenance of those user profiles. It includes how to set up a new user, change passwords and manage user accounts. Section 2 describes how a user can navigate around the register to undertake the tasks they will need to do to manage agreements. Section 3 outlines user functions in the register for the key processes of applying for an underlying agreement and making variations to existing agreements. It also explains how to voluntarily terminate an agreement. Section 4 illustrates the main steps involved in reporting and how to navigate the register effectively when reporting.

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Contents

1. User profiles

1.1. Access levels for user profiles

The CCA register allows for a number of different levels of user with different levels of access depending on their role within the sector or as a consultant for a sector association. The different roles are listed below.

Category	Role	Acronym	Description
Administrator	Administrative Manager	AM	Responsible for the management of all users within the administrator category and all key processes (for example, new applications, variations, eligibility, payments and auditing).
Sector	Sector Association Manager	SM	Responsible for managing all users within their sector and submitting applications, change requests and milestone reports on behalf of the target units.
	Sector Association User	SU	Responsible for submitting applications, change requests and milestone reports on behalf of the target units.
Consultant	Consultant Manager	CM	Responsible for managing all users within their consultancy and representing the sector association. This role can be delegated only by the sector association.
	Consultant User	CU	Created by the CM – plays the same role within their consultancy by representing the sector association which has delegated it to do so.
Technical Consultant	Technical Consultant User	TU	Responsible for assessing all applications submitted by the SU.

1.1.1. User roles and capabilities applicable to customers

For each sector association there is one sector manager (SM). The SM can invite additional users, known as sector association users or consultant users, to assist them in managing the sector's operators and account information.

The register allows multiple users to be assigned to multiple sectors. For example, a consultant who manages a number of sectors would be the consultant manager for all their sectors. They would be able to invite multiple users to each of those sectors and give those users access to multiple sectors where appropriate for their work.

A manager has an identical role to user roles except that the manager role has the additional responsibility of being able to invite new users to join the register for a sector.

1.2. Logging in to the register

1.2.1. First time login

When you are invited to join the register, you will receive an email invite from the Environment Agency with your login credentials. This email will contain your username and a temporary password and PIN number. You will receive this email when your sector or consultant manager has created your user role in the register. Once received, log in to the CCA register using the web link provided in the email or https://cca.environment-agency.gov.uk/Public/Logon.aspx.

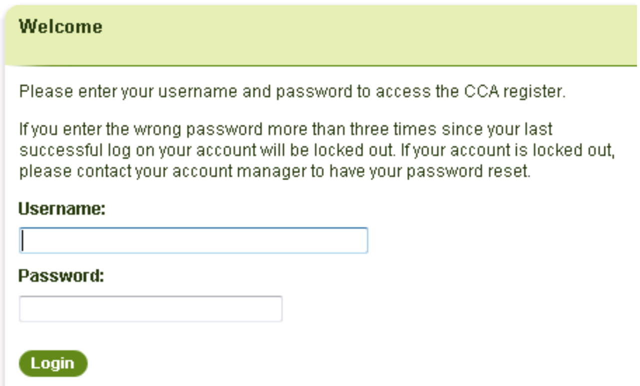
From the welcome screen:

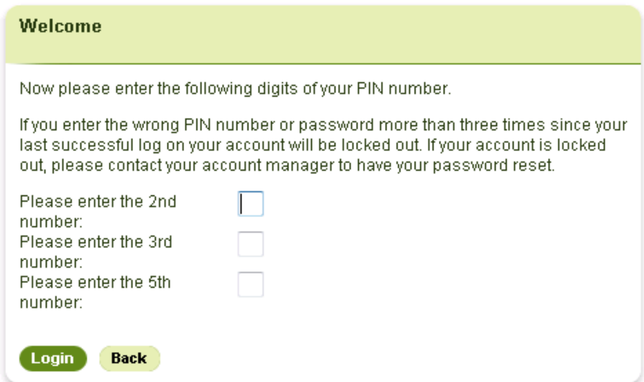
- Enter your username and temporary password. Select the 'login' button. 

- Enter the requested digits from your pin number and select the 'login' button. 

- You will be asked to read and accept the terms and conditions.
- You will be prompted to set your own password and PIN number for future logins.

Note that user names and passwords are case sensitive.



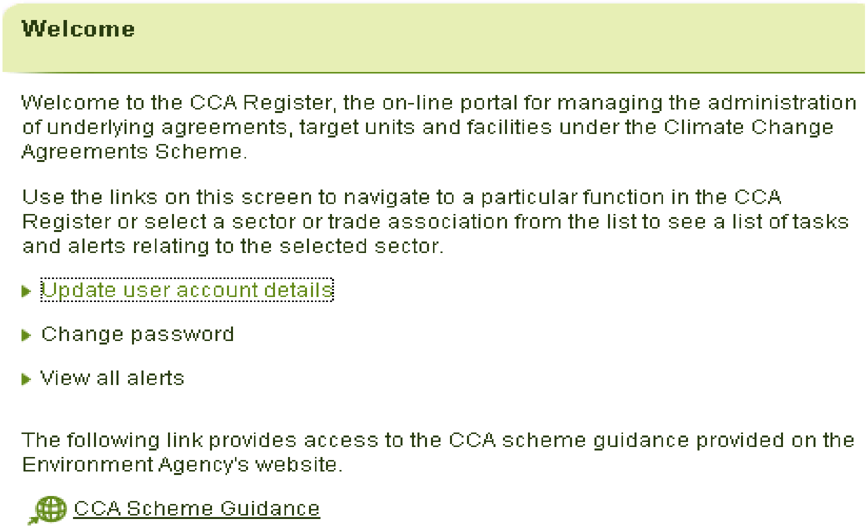


After you have logged in for the first time, all future logins will require you to use your username, new password and new PIN number. Once you select the login button, you will be directed straight to your sector homepage.

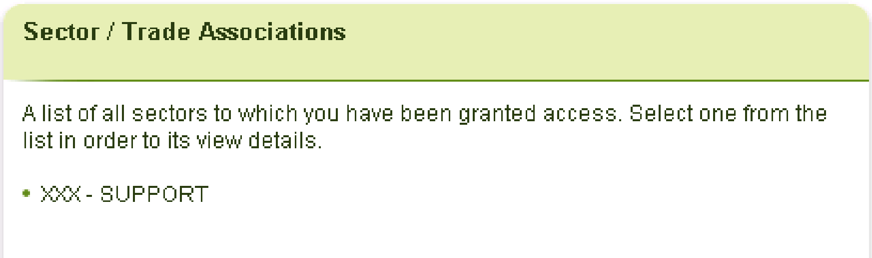
1.3. Sector homepage

Every time you log in to the register, you will be taken to the welcome screen for the sector. From there you can:

- update user account details
- change passwords
- view all alerts



On the right hand side of the screen, you will see a list of sectors to which you have access. Most users will most likely only ever see one sector unless you are the sector manager, consultant manager or consultant user for multiple sectors. Selecting the sector you wish to view will take you to the sector main menu (section 2).



1.4. How to create and invite new users in the register

1.4.1. Creating a sector or consultant user

This option is only available to a sector manager or consultant manager.

When the SM or CM creates a new user, this will be for one sector only. There will be an option to invite that user to work on additional sectors which is explained in section 1.4.2. The invite function is key, as only one email address can be stored against one user; you can't have multiple user accounts for one email address.

To create a new user, follow the steps below.

Step 1 – On your homepage, select your sector to take you to the task menu page. Then select 'Sector Users' on the task menu on the left hand side of the screen.

Step 2 – On the Sector Users page select 'Create User'. The 'Create User' page displays a number of blank fields you will need to complete to create the new user.

Step 3 – Enter the following into the blank fields:

- a username
- role (select 'user')
- complete contact details including email address – check you've typed it in correctly

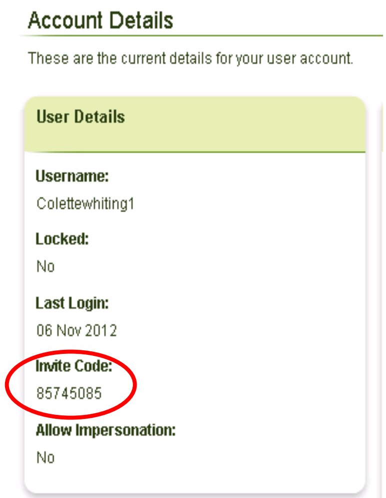
Don't tick the 'Disabled' check box when creating a new user – only use this if you wish to disable the user at a later stage.

Then select the 'save' button. 

Once you've saved the new user details, a summary will be displayed on the next page. The register will automatically email the new user their username and a temporary password and PIN to allow them to log on to the register. The new user will have access to the sector that their user profile was created in. Once the new user has logged onto the register for the first time, they can be given access to other sectors should this be required. This is done using the invite function (see section 1.4.2).

1.4.2. Inviting users to another sector

Sector or consultant users can be users for multiple sectors, for example, where an individual works on behalf of more than one sector association. Once a user role has been created for one sector, the invite function in the register will allow this user to be invited to work on behalf of other sectors.



To do this you will need to obtain the invite code from the user you wish to add to a new sector. The user can locate their unique invite code on the 'Update User Account Details' page.

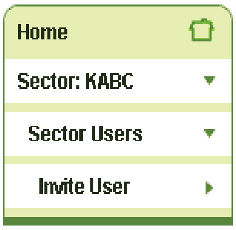
Once the user has given you their invite code for the sector they wish to be included in, you will be able to invite the user to the sector(s) they need to work on. Instructions for the manager role (sector or consultant) are given in section 1.4.3.

1.4.3. Steps for the manager to invite an existing sector user

Step 1 – Log in to the register. You will then be directed to your welcome page.

Step 2 – Select on the sector you wish to add the new user to and follow the steps below.

- Select 'Sector Users' from the task menu on the left hand side of the screen.
- Select 'Invite User' to display the 'Invite User' page.



Step 3 – On 'Invite User' page:

- enter the user's username
- enter the invite code supplied by the proposed sector user
- select role – 'Sector User'
- select the 'Submit' button Submit

Note: If you type the correct username but an incorrect code this error message will appear in red 'The user could not be invited with the supplied invite code'.

If you type in an incorrect username but a correct code this error message will appear in red 'A user was not found with the specified username'.

If the user is already added and you try to add the user again this message will appear in red 'The specified user is already associated with this sector'.

1.5. How to reset a user's password

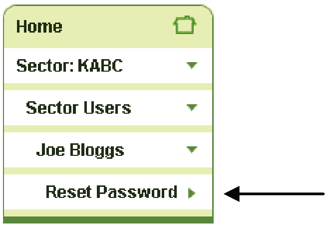
A SM is able to reset a user's password if the user has forgotten it or if it's been discovered by someone else. Once a request is received from the user, the SM sends the user a new temporary password which they must change when they next log-in. To do this, follow the steps below.

Step 1 – Login and select the user's sector. Then select 'Sector Users'. This will take you to a screen listing all the current sector users.

Step 2 – Select the username of the user whose password you would like to reset.

User	Email	Role	Last Login
Data hidden for data protection		Sector Manager	Never
		Sector Manager	Never
		Sector User	06 Nov 2012
		Sector Manager	06 Nov 2012
		Sector Manager	06 Nov 2012
		Sector User	06 Nov 2012

Step 3 Select 'Reset Password' from the task menu on the left hand side of the screen.



Step 4 – On the next page select the 'Reset password' button, The user's password will be reset and they will be sent an email confirmation and instructions.

Step 5 – The next screen will confirm that the password has been reset. Select to return to the user details screen.

1.6. How to unlock a user account

A user's account will lock if they enter an incorrect password or PIN three times. A SM/AM is able to unlock a user's account. When a request to do this is received from the user, the SM/AM should unlock the relevant user's account through the register.

Please note that you can only unlock accounts of users who have either the same or lower permissions as yourself. That means, a sector manager can unlock another sector manager or sector user's account but a sector user can't unlock a sector manager's account.

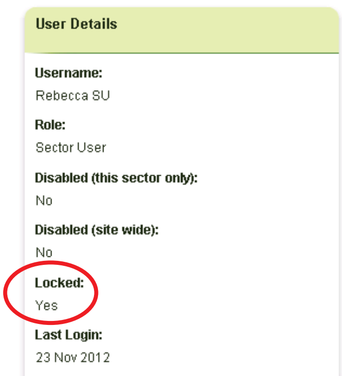
Step 1 – On your home screen select the sector that the user's details will be under. Then select 'Sector Users'. This will take you to a screen listing all the current sector users.

Step 2 – Select the username of the user you wish to unlock.

Data hidden for data protection

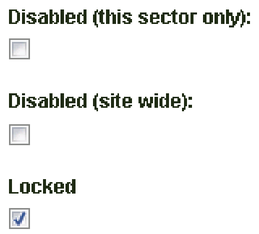
User	Email	Role	Last Login
		Sector Manager	Never
		Sector Manager	Never
		Sector User	06 Nov 2012
		Sector Manager	06 Nov 2012
		Sector Manager	06 Nov 2012
		Sector User	06 Nov 2012

Step 3 – The screen will show all the current user details. It will show under 'Locked' if the user has been locked out.



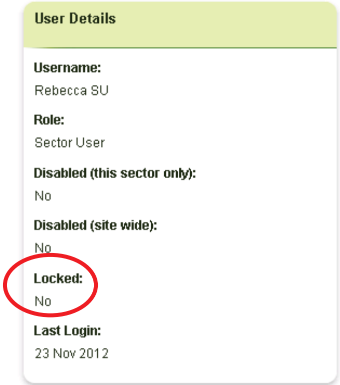
Select the 'Edit Details' button at the bottom of the page to change the details.

Step 4 – Select the check box, making the tick disappear to unlock the user's account.



Step 5 – Finally select the 'Save' button Save at the bottom of the page to confirm or 'Cancel' Cancel to abandon.

The screen will now show the user's details and indicate that the user is no longer locked out.



1.7. Disabling and reactivating user accounts

1.7.1. Disable a user account

There may be instances where a user account has to be disabled, for example, when a user leaves the organisation they were representing or are on long-term leave. If the user is later required to be active on the register again then the user account can be reactivated.

Step 1 – On your home screen select the sector that the user's details will be under. Then select 'Sector Users'. This will take you to a screen listing all the current users.

User	Email	Role	Last Login
Data hidden for data protection		Sector Manager	Never
		Sector Manager	Never
		Sector User	06 Nov 2012
		Sector Manager	06 Nov 2012
		Sector Manager	06 Nov 2012
		Sector User	06 Nov 2012

Step 2 – Select the username of the user you wish to disable from the list. The screen will show all the current user details.

Step 3 – Select the 'Edit Details' button Edit Details at the bottom of the page to change the details.

Step 4 – Select the check box to disable the user from a single sector or the entire CCA site.

Disabled (this sector only):

☑

Disabled (site wide):

☑

Step 5 – Finally select 'Save' **Save** to confirm or 'Cancel' **Cancel** to abandon.

The screen will now show the details of the user and indicate that the user is now disabled for the single sector or the entire CCA site.

Disabled (this sector only):

Yes

Disabled (site wide):

No

1.7.2. Reactivate a disabled user's account

If necessary a manager is able to reactivate a disabled user account.

Step 1 – On your home screen select the sector that the user's details will be under. Then select 'Sector Users'. This will take you to a screen listing all the current sector users.

Data hidden for data protection

User	Email	Role	Last Login
		Sector Manager	Never
		Sector Manager	Never
		Sector User	06 Nov 2012
		Sector Manager	06 Nov 2012
		Sector Manager	06 Nov 2012
		Sector User	06 Nov 2012

Step 2 – Select the username of the user you wish to make active again.

Step 3 – Select the 'Edit Details' button **Edit Details** to change the details.

Step 4 – Select the checked box or boxes, removing the tick to reactive the user's account from a single sector or for the entire register.

Disabled (this sector only):

☐

Disabled (site wide):

☐

Step 5 – Finally select the 'Save' button Save to confirm or 'Cancel' Cancel to abandon your changes.

The screen will now show the details of the user and indicate that the user isn't disabled for the single sector or the register.

Disabled (this sector only):

No

Disabled (site wide):

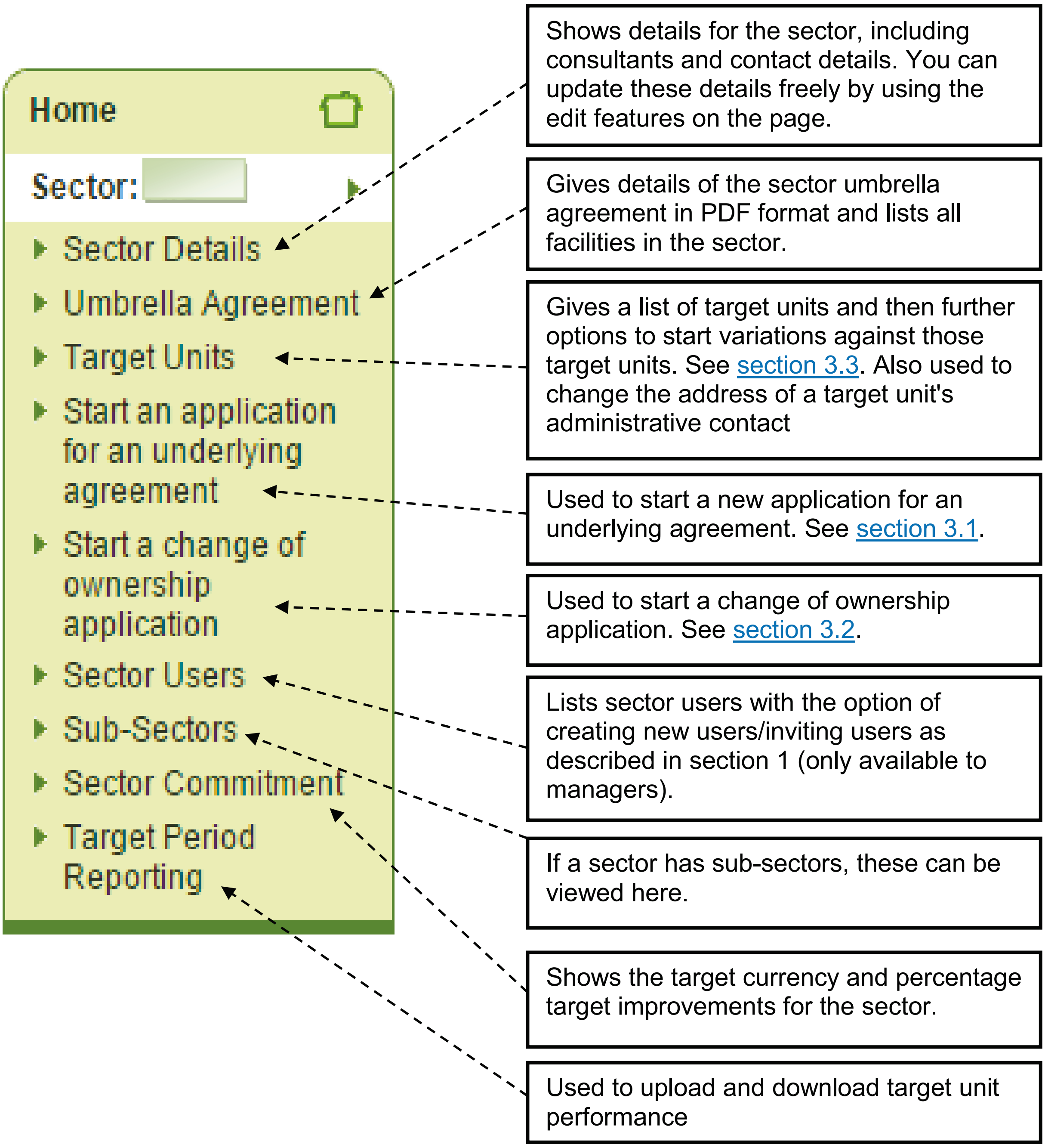
No

2. Navigating around the register

Manager and user roles have the same access rights to navigate around the register except for account maintenance as described in section 1.

To view details of the sector to which you are assigned, after logging in to the register, select the relevant sector on the right hand side task menu. This will display the menu shown in Figure 2.1 on the left hand side of the screen.

Figure 2.1: Sector association menu



3. Variations and new agreements

The register allows the sector association or its consultant to apply on behalf of a target unit for a new underlying agreement or a variation to an existing agreement. This section describes how to navigate and complete these processes.

When the application is submitted in the register, our technical consultant will review the submission and make a recommendation to us to approve or refuse the application based on the evidence submitted.

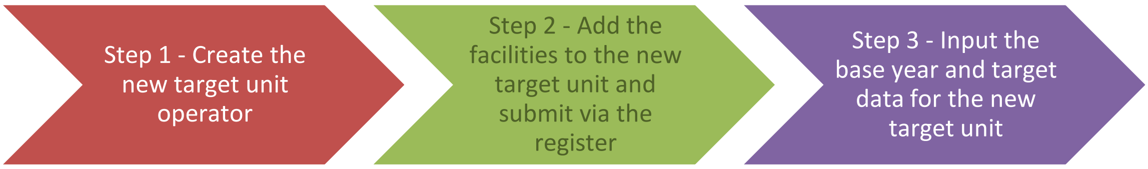
On all screens, completion of fields marked with an asterisk is mandatory.

3.1. A new application for an underlying agreement

You should make a new application for an agreement when the facility is a new entrant to the scheme or has had a change to their existing agreement and a new entrant assessment is required. Information on these instances is given in section 7 of the CCA operations manual (https://www.gov.uk/government/publications/climate-change-agreements-operations-manual--2).

There are three stages to making a new application for an underlying agreement (Figure 3.1).

Figure 3.1: Applying for an underlying agreement



Step 1 – Create the new target unit operator.

From the main target unit menu described in section 2, select 'Start an application for an underlying agreement'. This will take you to a screen where you will be asked to fill out details for the new target unit. This will include the following:

- previous target unit ID number – this is mandatory if an agreement has existed previously in the scheme from April 2013
- target unit name – this will often be the name of the operator
- target unit address – this should be the main address for the operator
- responsible person's contact and address details
- administrative person's contact and address details
- financial arrangements for annual billing

Step 2 – Add the facilities to the new target unit.

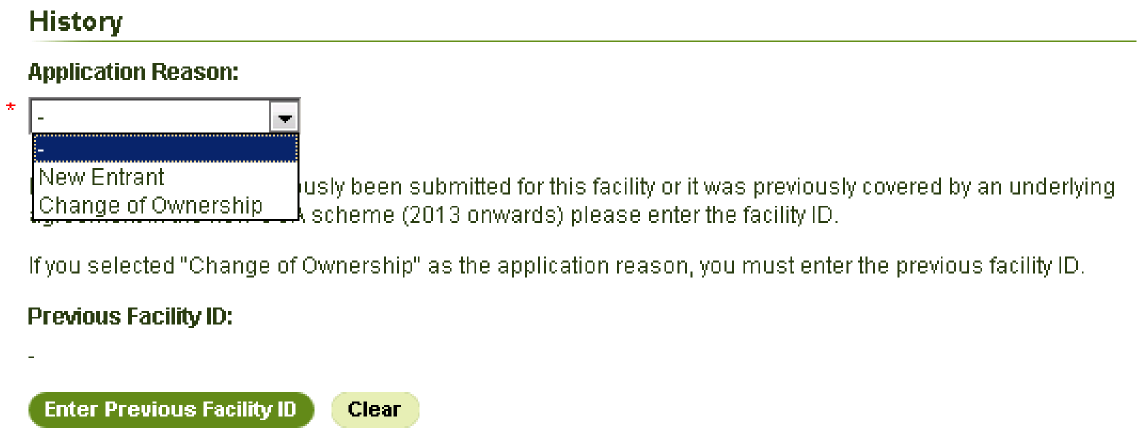
It's not possible to create facilities for the target unit until step 1 has been completed. Add the facilities you wish to include in the agreement by selecting the 'Add Facility' button. This will take you to a new form where you can input the facility details. The requirements for what is needed for each facility are outlined on the facility eligibility form (FEF).

Note: most of the fields are marked as mandatory.

Key points to note in step 2

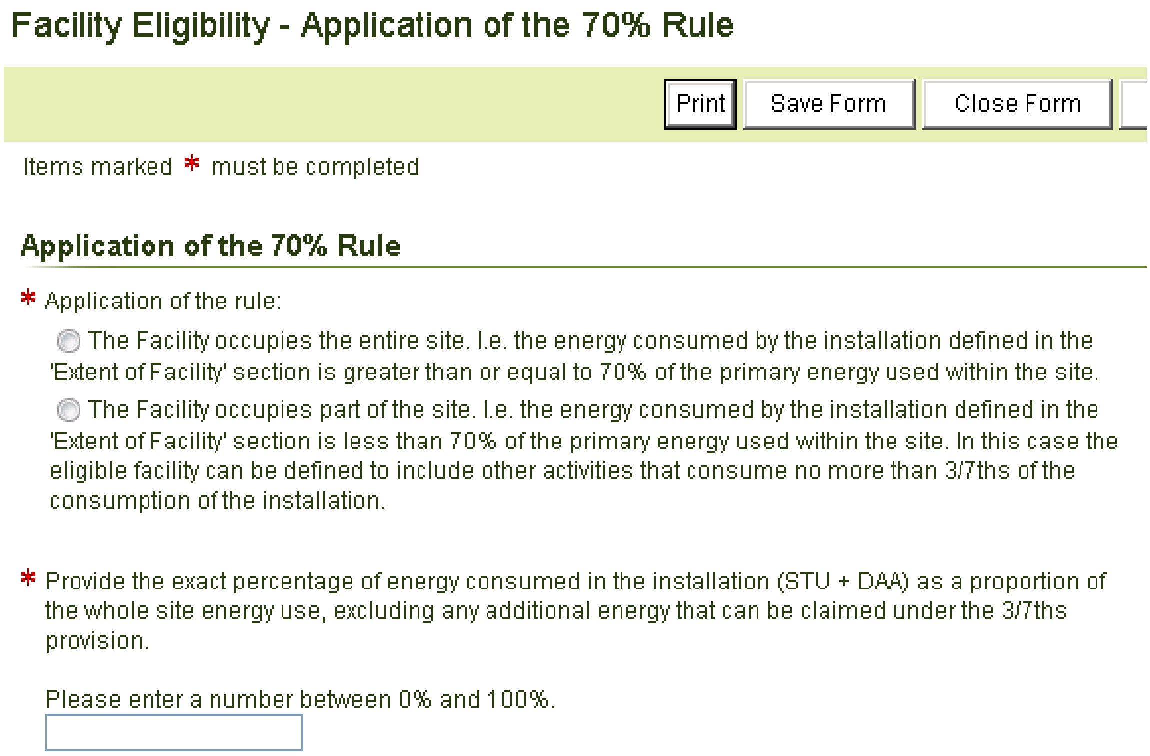
The screenshot in Figure 3.2 shows the 'Application Reason' dropdown menu and the option to add the 'Previous Facility ID'. If you are creating a new facility due to a change in owner or operator, it is mandatory to add the old facility ID by selecting the button to enter this information.

Figure 3.2: Application Reason dropdown menu



Instructions are given throughout the pages of the facility eligibility form. These include explanatory text for applying the 70% rule. An example screenshot of this is shown in Figure 3.3 for the 70% rule.

Figure 3.3: Application of the 70% Rule

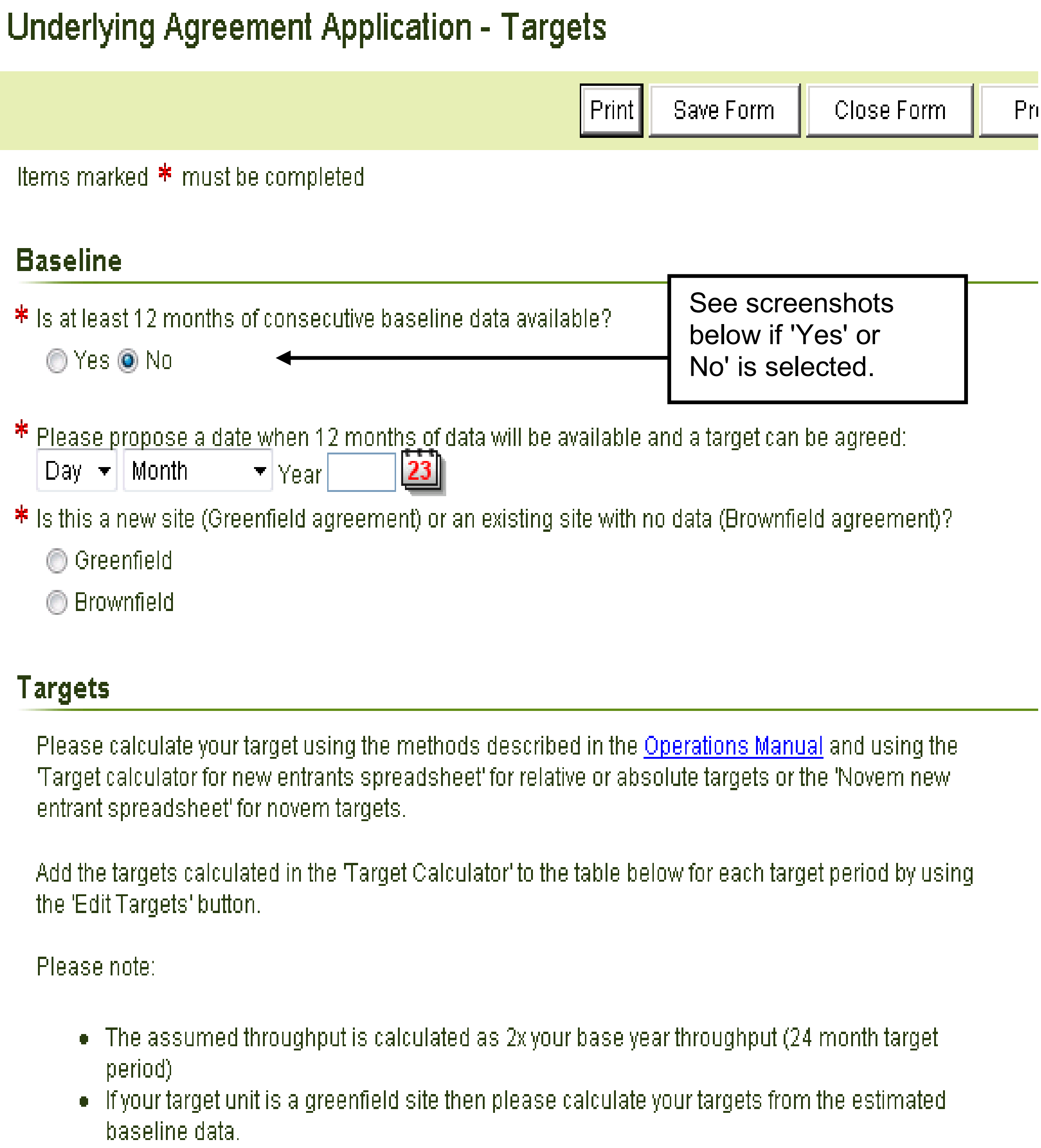


Step 3 – Input the baseline and target data for the target unit

Once you've created all the facilities that are going to be included in the agreement, the final step is to input the base year information and target data for that target unit. Guidance on how to calculate the baseline and target unit targets is given in sections 3 and 4 of the CCA operations manual respectively.

A screenshot example of this is shown in figure 3.4. The register requires you to specify whether the Target Unit has at least 12 months of consecutive baseline data. Selecting 'Yes' will require you to enter the start data for the baseline period and enter the baseline data and targets. Selecting 'No' will require you to upload evidence of meeting the greenfield criteria, propose a date when 12 months actual data will be available, and enter estimated baseline data and targets. . For further information on greenfield and brownfield facilities, please refer to section 4.3 of the CCA operations manual.

Figure 3.4: Selecting 'greenfield' or 'brownfield'


Underlying Agreement Application - Targets

Print | Save Form | Close Form | Pr

Items marked * must be completed

Baseline

See screenshots below if 'Yes' or No' is selected.

* Is at least 12 months of consecutive baseline data available?

Yes No

* Please propose a date when 12 months of data will be available and a target can be agreed:

Day Month Year 23

* Is this a new site (Greenfield agreement) or an existing site with no data (Brownfield agreement)?

Greenfield

Brownfield

Targets

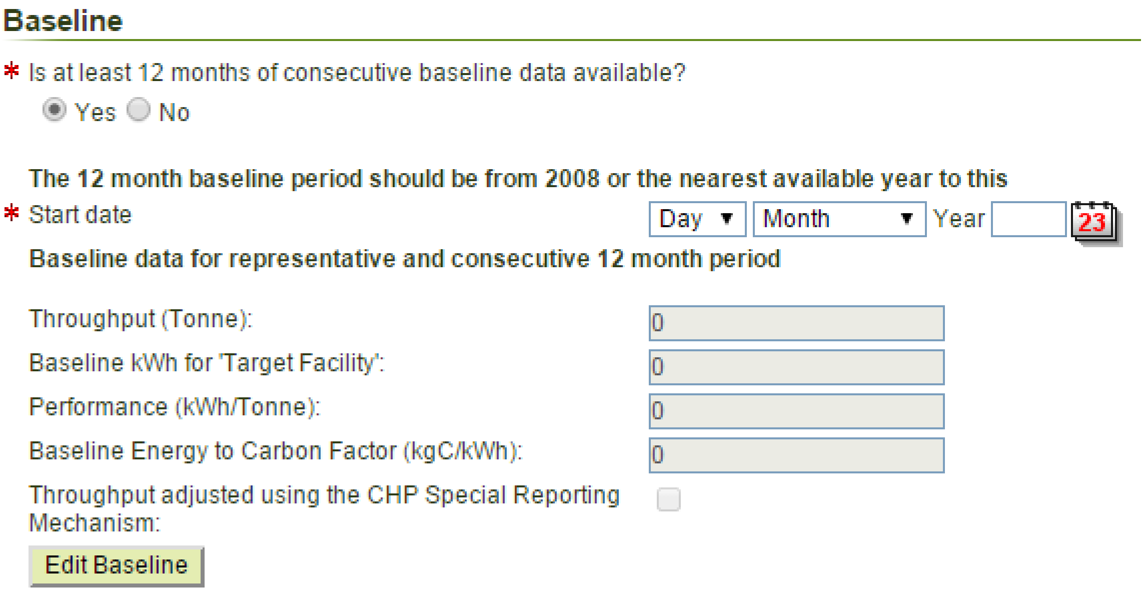
Please calculate your target using the methods described in the Operations Manual and using the 'Target calculator for new entrants spreadsheet' for relative or absolute targets or the 'Novem new entrant spreadsheet' for novem targets.

Add the targets calculated in the 'Target Calculator' to the table below for each target period by using the 'Edit Targets' button.

Please note:

- The assumed throughput is calculated as 2x your base year throughput (24 month target period)
- If your target unit is a greenfield site then please calculate your targets from the estimated baseline data.

Selecting 'Yes'



Baseline

* Is at least 12 months of consecutive baseline data available?

Yes No

The 12 month baseline period should be from 2008 or the nearest available year to this

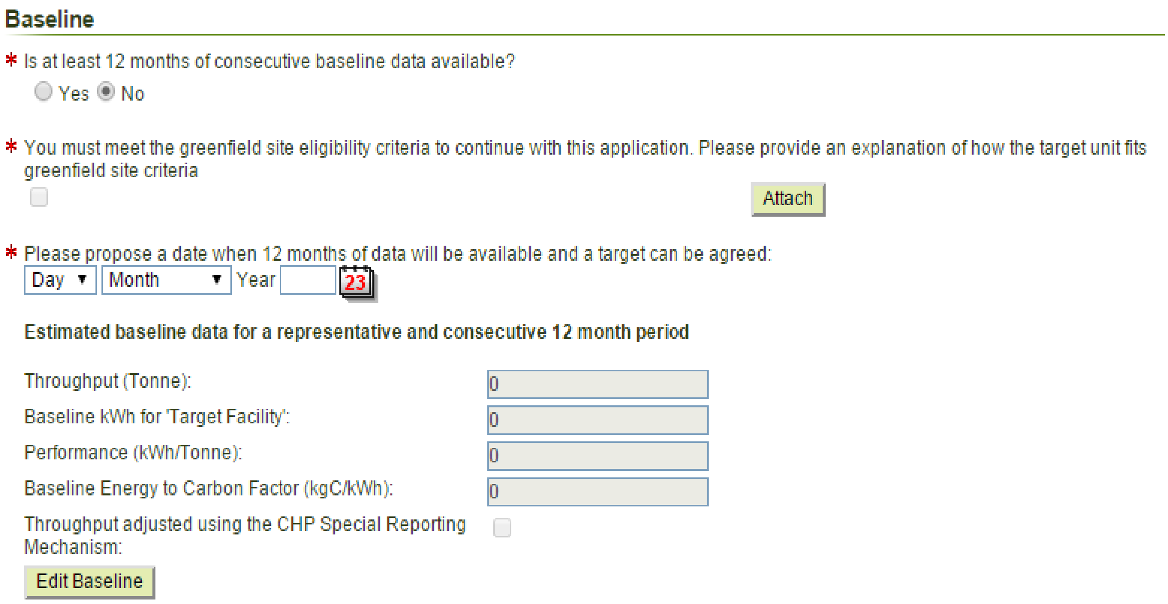
* Start date Day Month Year 23

Baseline data for representative and consecutive 12 month period

Throughput (Tonne):	0
Baseline kWh for 'Target Facility':	0
Performance (kWh/Tonne):	0
Baseline Energy to Carbon Factor (kgC/kWh):	0
Throughput adjusted using the CHP Special Reporting Mechanism:	

Edit Baseline

Selecting 'No'



Baseline

* Is at least 12 months of consecutive baseline data available?

Yes No

* You must meet the greenfield site eligibility criteria to continue with this application. Please provide an explanation of how the target unit fits greenfield site criteria

Attach

* Please propose a date when 12 months of data will be available and a target can be agreed:

Day Month Year 23

Estimated baseline data for a representative and consecutive 12 month period

Throughput (Tonne):	0
Baseline kWh for 'Target Facility':	0
Performance (kWh/Tonne):	0
Baseline Energy to Carbon Factor (kgC/kWh):	0
Throughput adjusted using the CHP Special Reporting Mechanism:	

Edit Baseline

Once all the steps have been completed, the underlying agreement can be submitted for review. Information on this review process is given in section 6 of the CCA operations manual, including how the email assent will be processed.

Responsible person changes

A number of different scenarios are possible when the responsible person changes. The response to a change will differ according to the circumstances; if the responsible person changes before or after a proposed agreement is issued, for example, this is handled slightly differently. In general it is the responsibility of the sector association to keep the responsible person's details up-to-date. The details might not always be reflected in the agreement, but the main record is the CCA register. For further details please refer to section 7.4 of the CCA operations manual.

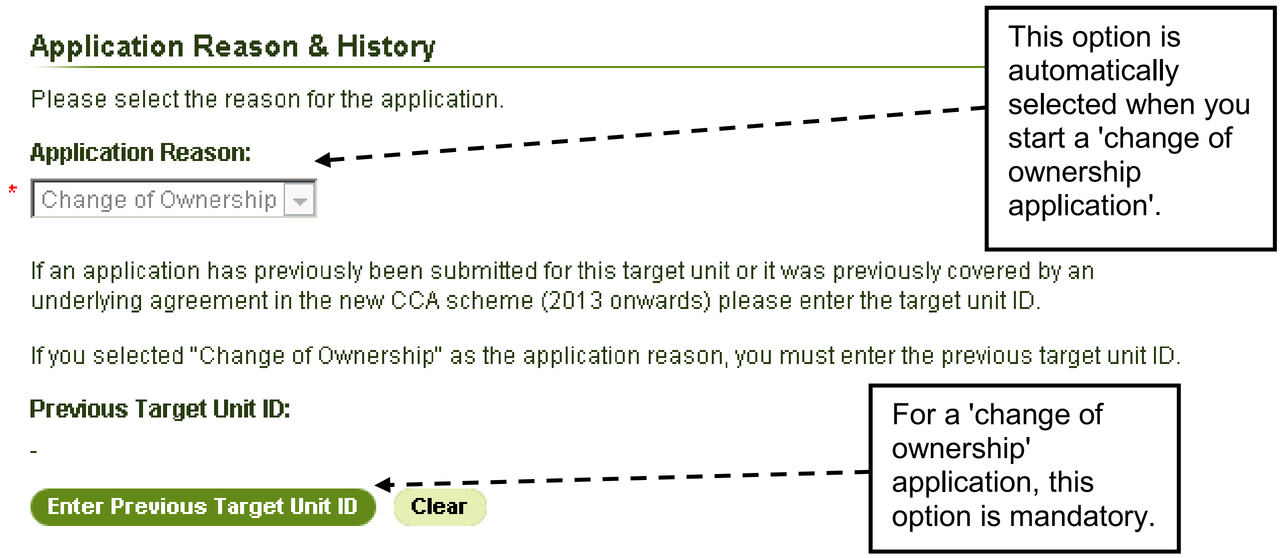
3.2. Change of ownership application

A change in operator name is different to a change in ownership and there are different processes for this. For changes to the operator name, please refer to section 3.3.5.1. More information about a change in owners and operators can be found in section 7 of the CCA operations manual.

The sector association should make a 'change of ownership' application where the operator of the target unit has changed from one operator to another. When the legal entity of the operator has changed, the existing agreement is no longer valid and a new agreement is required. The change in owner application menu is very similar to the 'new application for an underlying agreement' menu. The crucial difference between them is the options for step 1 and step 2 to select the previous agreement and facility ID numbers. **This is mandatory for a change in owner application.** Selecting this option will allow a full audit trail to be created between the operators covering full site ownership.

The screenshot in Figure 3.5 demonstrates the 'Application Reason' menu. This is mandatory for the change in owner process.

Figure 3.5: Application Reason menu



The remainder of the steps for a change of owner for the operator are the same as outlined in section 3.1 for applying for a new underlying agreement. This will involve creating the new (or a number of) facilities and entering the target information.

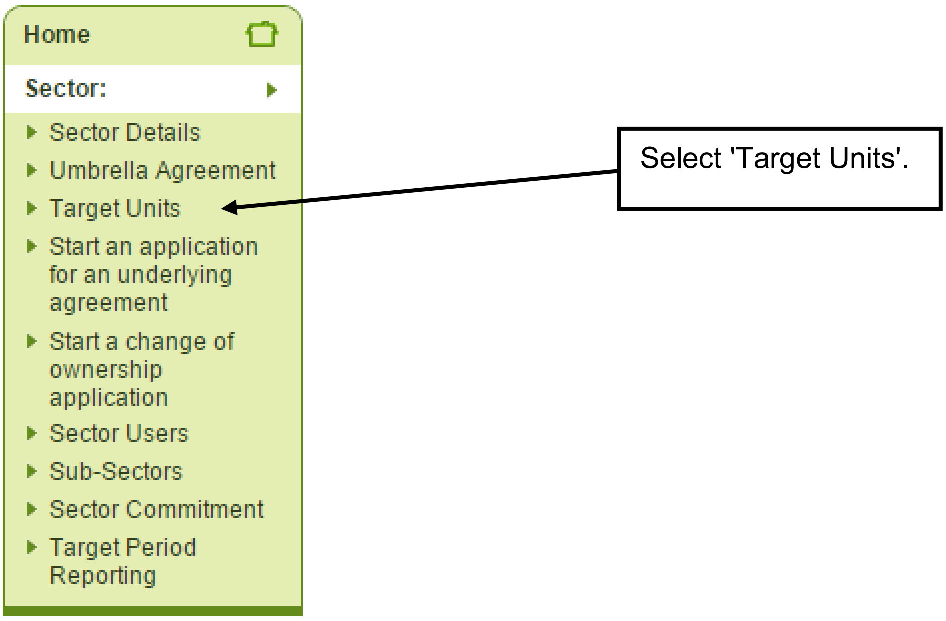
3.3. Variations to an underlying agreement

A variation is required within the register to update information held within the underlying agreement. You (the manager or user) are responsible for completing and submitting the variation application form to request a change to the data and the underlying agreement. Section 7 of the CCA operations manual outlines each type of variation. The information you'll need to supply when raising a variation on the register is described below.

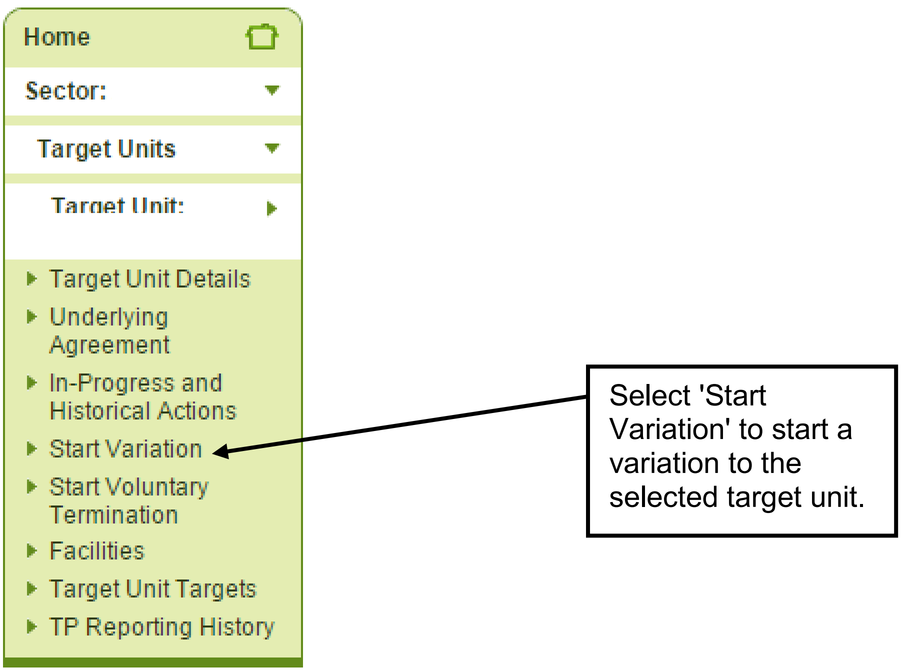
Where there are free text boxes within the variation form, take full advantage of this and give a full description and explain any technical issues that exist. This will enable the reviewers to make an efficient and accurate assessment of the variation.

3.3.1. Starting a variation

First navigate to the home screen, and then select 'Target Units' from the left hand tab menu. On the next page, select the specific target unit that you need to vary.



On the target unit screen select 'Start Variation'.



3.3.2. Variation options

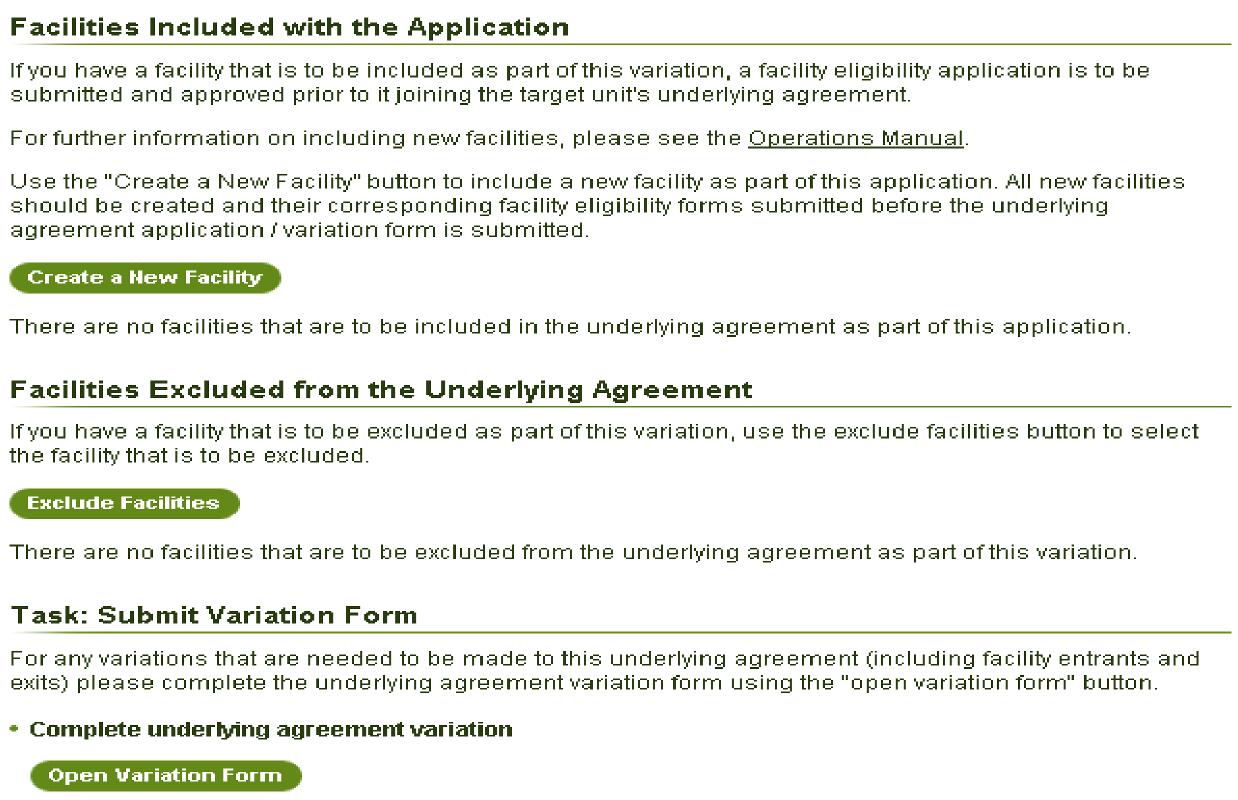
Selecting 'Start Variation' will give you a menu (Figure 3 6) with options to:

- 'Create a New Facility' (section 3 3 3)
- 'Exclude Facilities' (section 3 3 4)
- 'Open Variation Form' (section 3 3 5)

For any variation to include or exclude facilities from an underlying agreement, you must create or exclude the relevant facilities **before** opening the variation form.

Once the new facilities have been created or old facilities removed, select 'Open Variation Form' to submit updated baseline and target data.

Figure 3.6: Variation Options

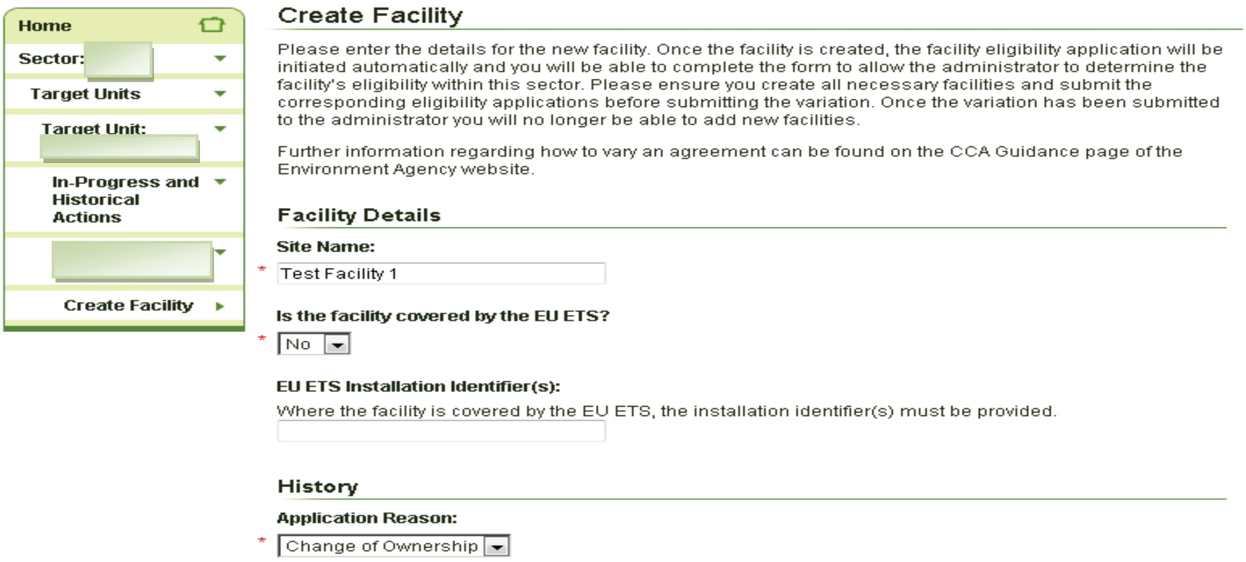


3.3.3. To add a new facility to an existing underlying agreement

The facility entering the agreement is treated as a new entrant and so you'll need to follow the steps described below.

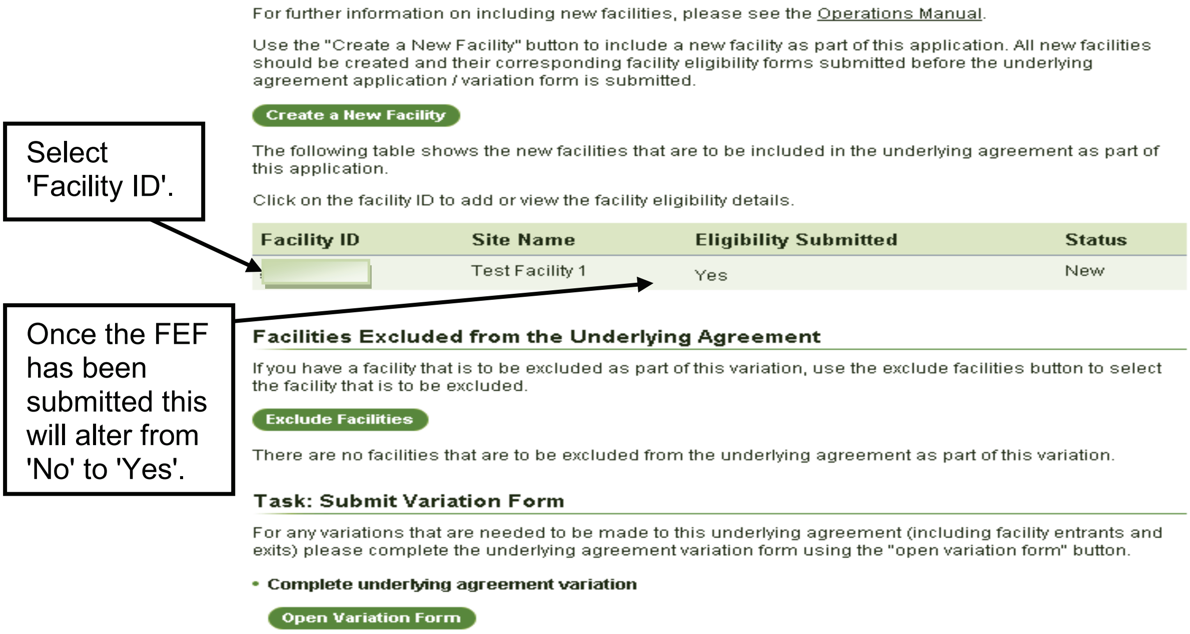
Step 1 – Select 'Create a New Facility' as shown in Figure 3.6. This will open up a new form (Figure 3.7). Complete the new facility details and then press the submit button at the bottom of the screen.

Figure 3.7: Completing the new facility's details



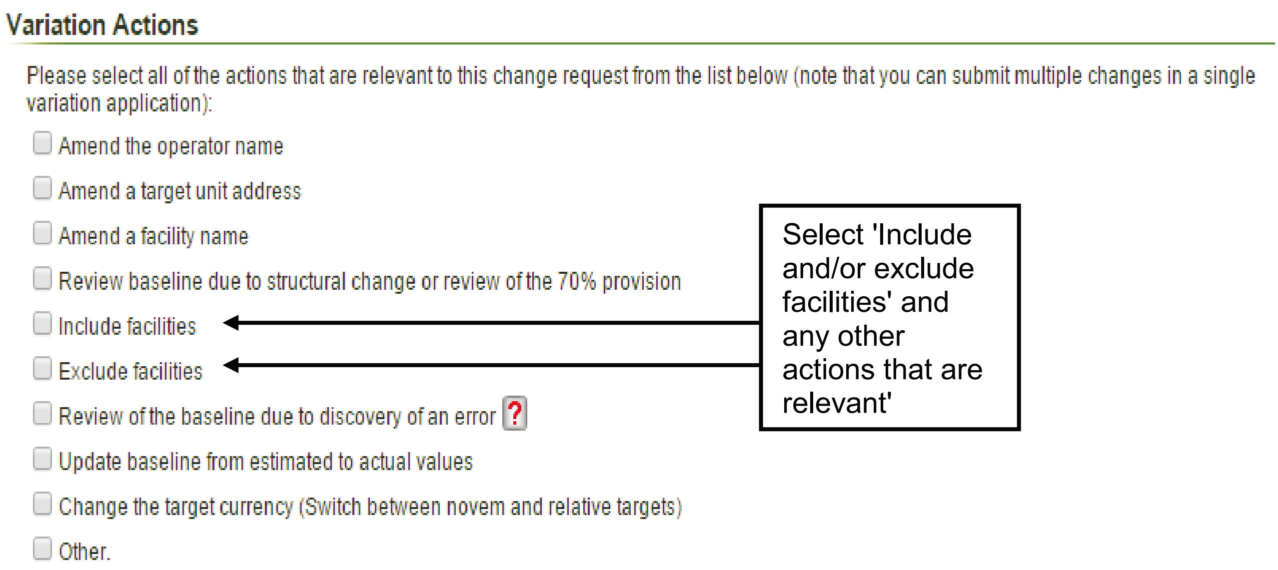
Step 2 – Click on the facility ID you've just created in step 1 and add the facility eligibility details given on the FEF (Figure 3.8).

Figure 3.8: Adding the new facility's eligibility details



Step 3 – Select 'Open Variation Form' as shown in Figure 3.6. On this form (Figure 3.9), select the relevant variation actions and amend the baseline for the target unit to reflect the inclusion of the new facility. Amending the baseline will generate an amendment to the numerical target for the target unit. See section 3.3.5 for further information.

Figure 3.9: Completing the Variation Form for the new facility



3.3.4. To exclude a facility from an underlying agreement

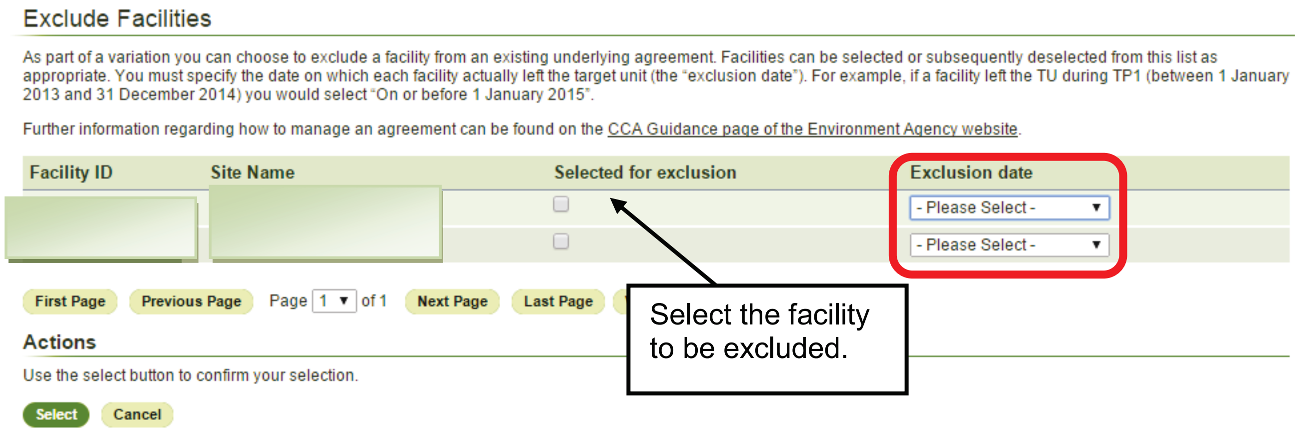
This process removes a facility from a target unit's agreement, for example when a facility leaves a target unit because it has closed. Again there are three steps in this process.

Step 1 – Select 'Exclude a Facility' as shown in Figure 3.6.

Step 2 – Select the facility to be excluded (Figure 3.10).

Step 3 - Select when the facility was excluded

Figure 3.10: Selecting the facility to be excluded



Step 3 – Select and complete the variation form (Figure 3.11 and Figure 3.12), outlining the reason behind the exclusion as well as providing the revised baseline and target information where relevant (see section 3.3.5). Depending on when the facility was included, you may have to update the previous target period's baseline data and targets, as well as future and current baseline data and targets. If the facility was excluded during the previous target period, you will have to make retrospective changes to the baseline data and targets.

Figure 3.11: Open the Variation Form

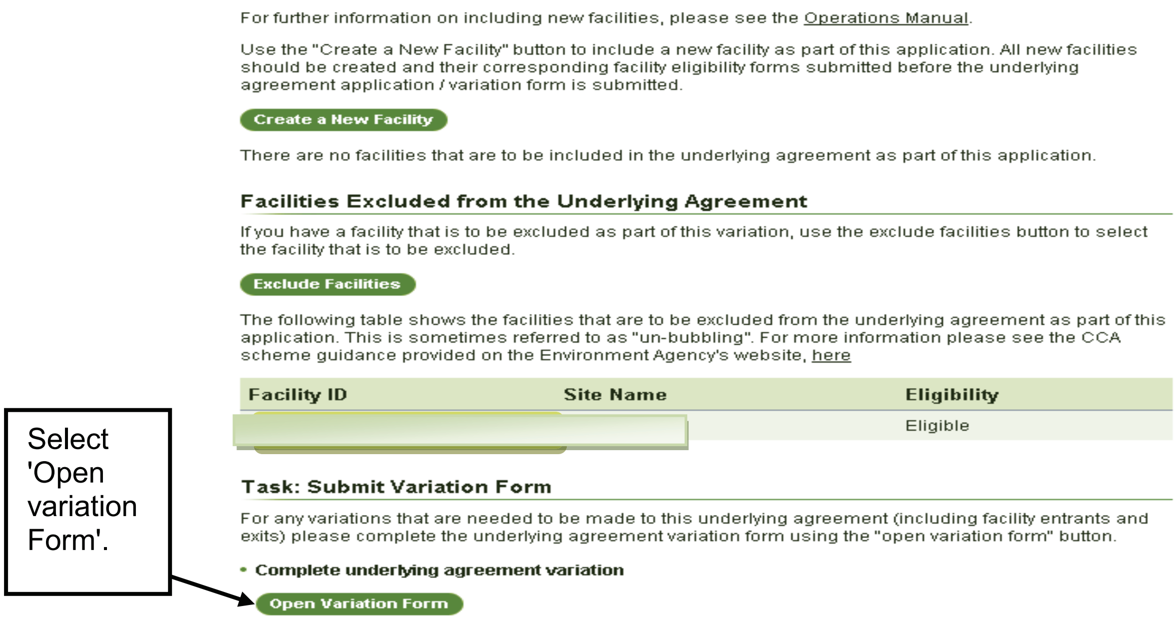
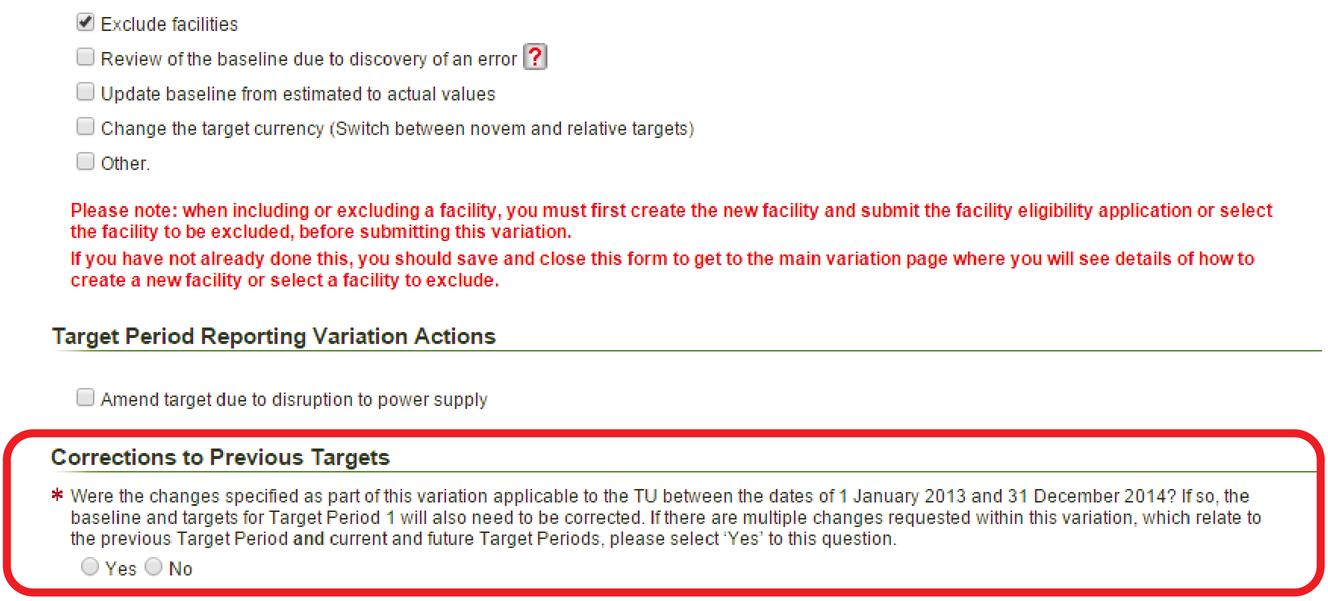


Figure 3.12: Completing the Variation Form for the excluded facility



Please note - you need to specify whether this change occurred during the previous or current target period. This will determine whether retrospective changes need to be made to the last target period baseline data and targets.

3.3.5. Variation actions accessed from the Variation Form

The Variation Form offers a number of options for possible variations to the agreement (Figure 3.13). The menu of options is displayed when you select 'Open Variation Form' as shown in Figure 3.6.

Figure 3.13: Options for possible variations

Variation Actions

Please select all of the actions that are relevant to this change request from the list below (note that you can submit multiple changes in a single variation application):

- [ ] Amend the operator name
- [ ] Amend a target unit address
- [ ] Amend a facility name
- [ ] Review baseline due to structural change or review of the 70% provision
- [ ] Include facilities
- [ ] Exclude facilities
- [ ] Review of the baseline due to discovery of an error ?
- [ ] Update baseline from estimated to actual values
- [ ] Change the target currency (Switch between novem and relative targets)
- [ ] Other.

The various options and when to use them are explained below.

- Amend the operator name – used to amend the name of the operator for a target unit. It should not be used when there has been a change in owner or a change in the legal entity.
- Amend a target unit address – used when the lead address for the operator has changed.
- Amend a facility name – used when the individual name of the facility needs to be amended.
- Include facilities - used to add facilities to the target unit.
- Exclude facilities – used to remove facilities from the target unit. This can be done retrospectively (previous target period) and/or for the current target period.
- Review of the baseline due to structural change or review of the 70% provision - used when you need to amend the baseline and target data for a target unit due to a structural change. It is also used for the annual review and update of a facility's 70/30 evaluation.
- Review of the baseline due to discovery of an error - used when any amendments to the baseline data or targets are requested.
- Update baseline from estimated to actual values - used to notify the administrator that the Target Unit now has 12 months actual data.
- Change the target currency (switch between Novem and relative targets) - used when changing target type from standard relative to Novem.
- Other – used when there is a change of the type not listed above except where a facility has physically moved to a new address. This will require a new agreement for that facility to be made as described in section 3.1 as the eligibility for the site must be reassessed.

You can select as many variation actions as needed for any given request (for example, operator name and facility name change). Only one variation can be processed at any given time. If there is already one variation being processed the system you can't start a second.

Making full use of the free text boxes is important to ensure that variations can be processed efficiently and accurately. A lack of information can cause delays for both the Technical Consultant and the Administrative Manager.

3.3.5.1. Amend the operator name

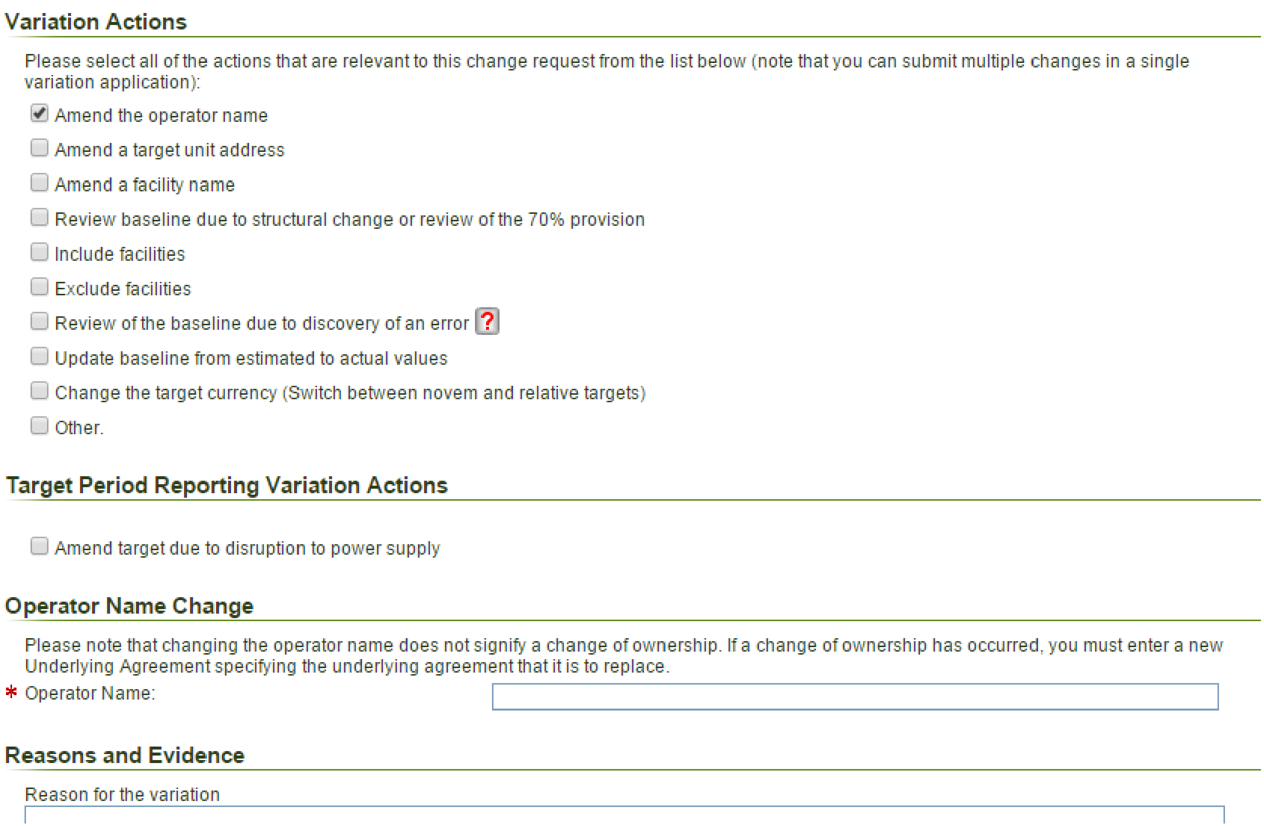
This variation should not be used for a change in operator where a facility or a number of facilities have been transferred to a new operator (see section 3.2).

This change applies when the legal entity of the company hasn't changed though the name of the operator has; the agreement is still valid. For example, where the operator name changes from 'ABC Brothers Ltd' to 'ABC Company Ltd' but the legal entity of the operator remains the same.

As illustrated in Figure 3.14, the following information and evidence need to be uploaded to the register:

- new operator name
- supporting text for the change (for example, ‘name change due to company rebranding’)
- any relevant information supporting the name change (for example, Companies House registration)
- there may also be a need to change the facility name (see section 3.3.5.3)

Figure 3.14: Amending the operator name



3.3.5.2. Amend the target unit address

This variation is used when there is a change in the operator's lead address where the responsible person can be contacted. This address doesn’t have to be the same as any of the facilities within the target unit, but it must be a UK address.

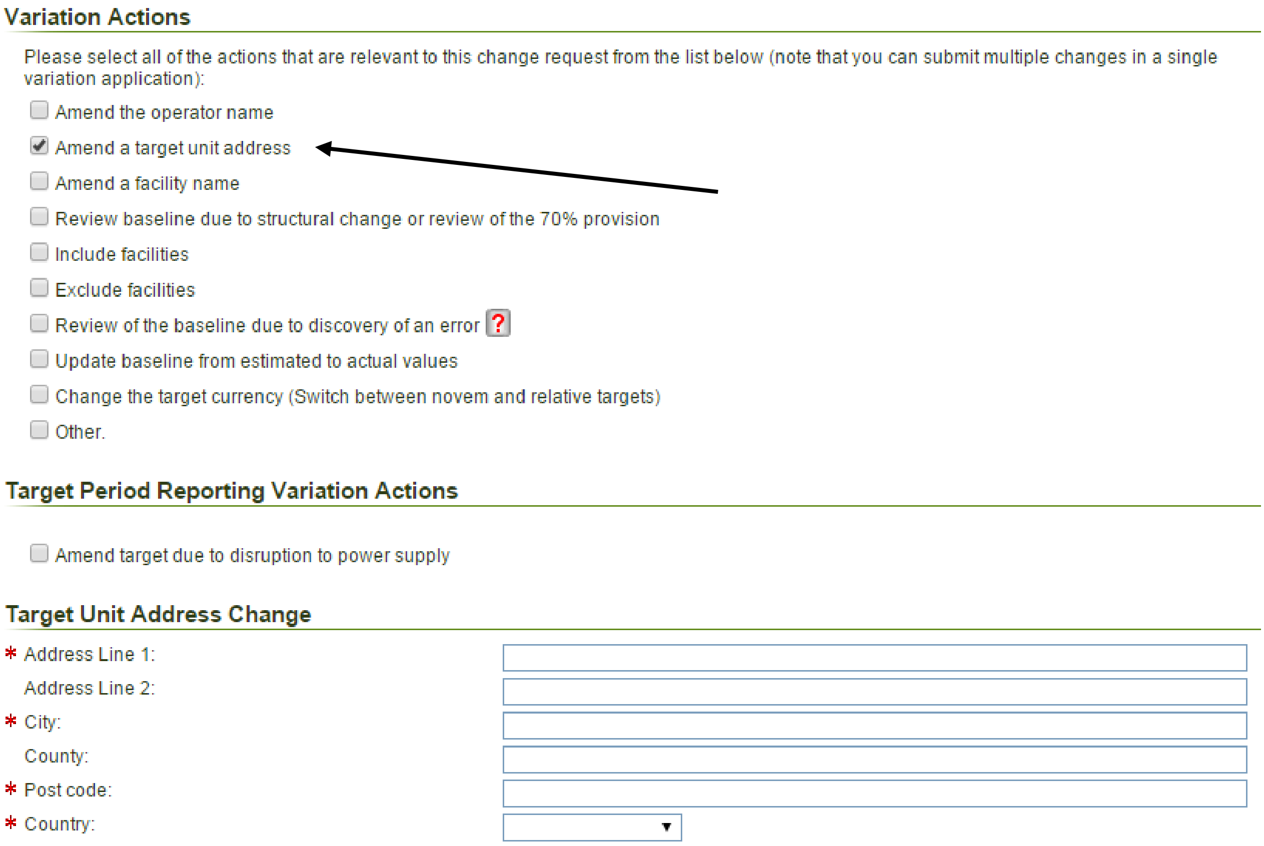
As illustrated in Figure 3.15, the following information and evidence need to be uploaded to the register:

- new address of the operator – the target unit lead contact's address
- supporting text for the change (for example, relocating the head office to a new building)
- any relevant information supporting the target unit address change

This variation cannot be used to change a facility address. That comes under 'other' type of variation (see section 3.3.5.6).

A change in the address of the administrative contact for a target unit doesn't require a variation and can be amended as shown in section 2.

Figure 3.15: Amending a target unit address



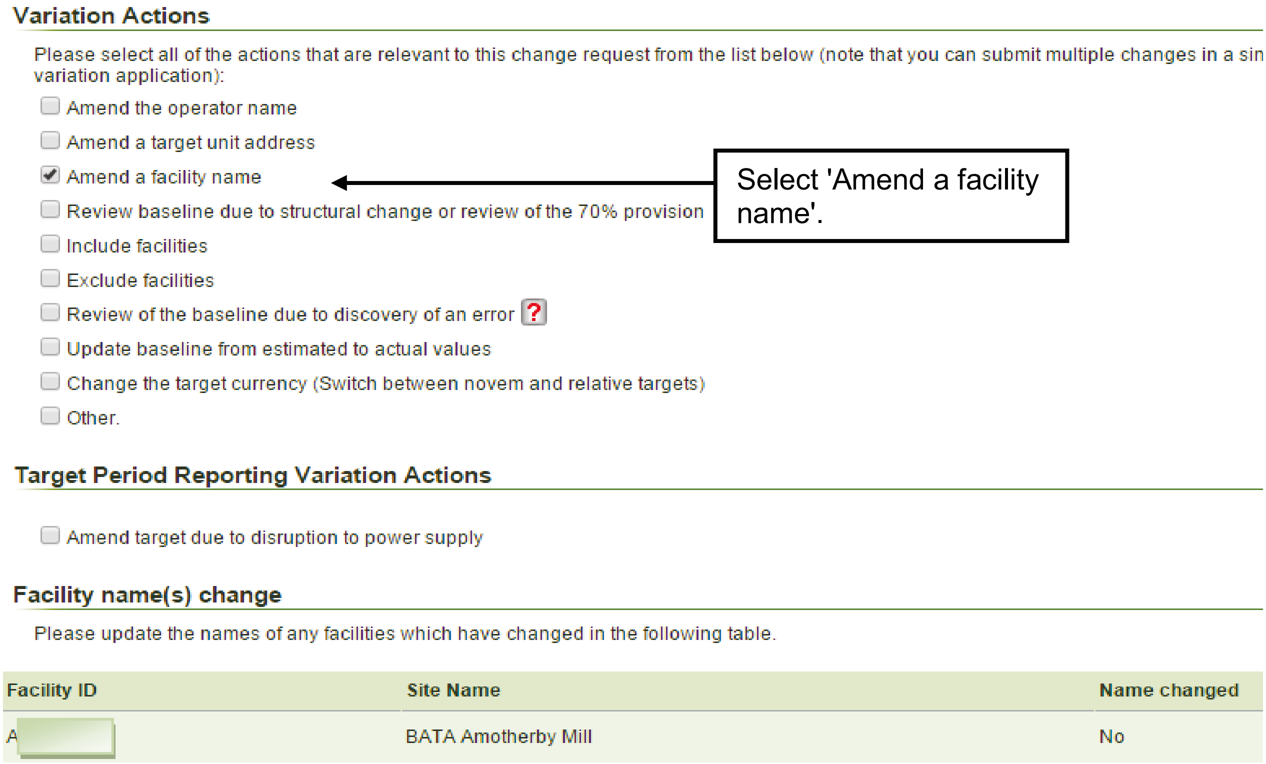
3.3.5.3. Amend a facility name

When an operator name changes (see section 3.3.5.1), the facility names often also change. If this is the case both operator and facility name changes should be selected.

As illustrated in Figure 3.16, the following information and evidence need to be uploaded to the register:

- new facility name
- supporting text for the change (for example, 'name change due to company rebranding')
- any relevant information supporting the name change (for example, Companies House registration)

Figure 3.16: Amending a facility name


Variation Actions

Please select all of the actions that are relevant to this change request from the list below (note that you can submit multiple changes in a sin variation application):

- [ ] Amend the operator name
- [ ] Amend a target unit address
- [x] Amend a facility name
- [ ] Review baseline due to structural change or review of the 70% provision
- [ ] Include facilities
- [ ] Exclude facilities
- [ ] Review of the baseline due to discovery of an error ?
- [ ] Update baseline from estimated to actual values
- [ ] Change the target currency (Switch between novem and relative targets)
- [ ] Other.

Target Period Reporting Variation Actions

- [ ] Amend target due to disruption to power supply

Facility name(s) change

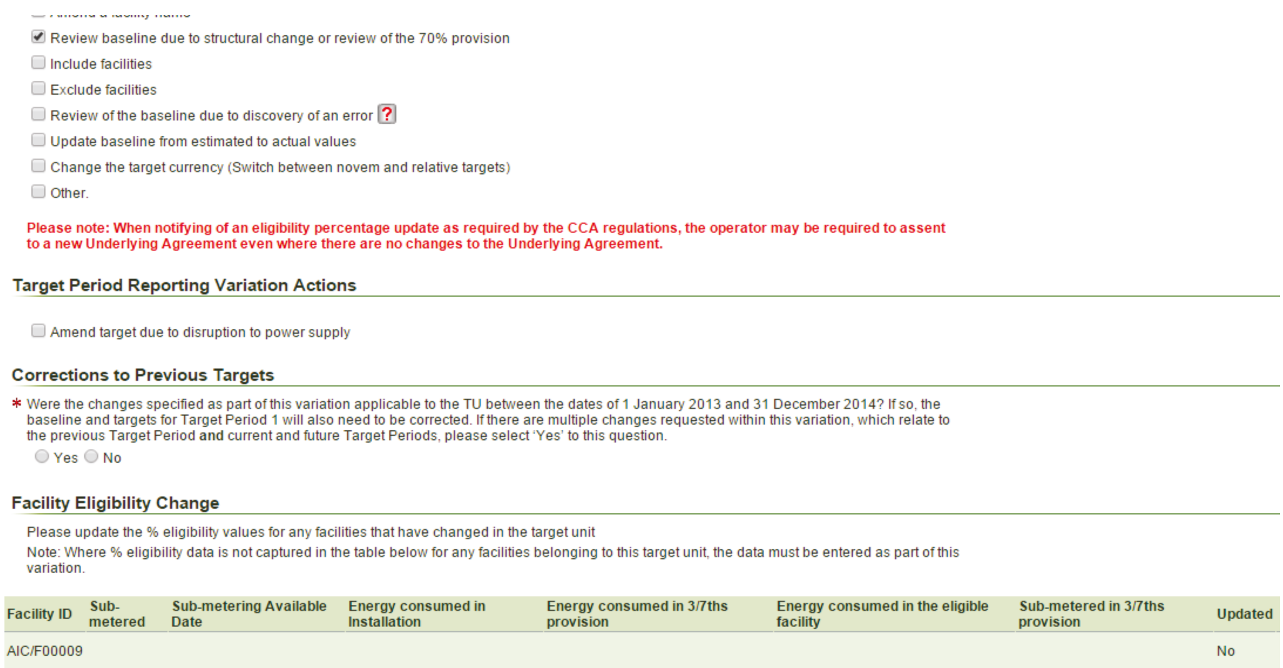
Please update the names of any facilities which have changed in the following table.

Facility ID	Site Name	Name changed
A	BATA Amotherby Mill	No

3.3.5.4. Review of the baseline due to structural change or review of the 70% provision

This variation should be used when a facility has undergone a structural change, which will require revised baseline data, targets and 70/30 rule value. For further information on the 70/30 rule, please see section 3.3.3 of the CCA operations manual.

Figure 3.17: Baseline review due to structural change or review of the 70% provision


- [x] Review baseline due to structural change or review of the 70% provision
- [ ] Include facilities
- [ ] Exclude facilities
- [ ] Review of the baseline due to discovery of an error ?
- [ ] Update baseline from estimated to actual values
- [ ] Change the target currency (Switch between novem and relative targets)
- [ ] Other.

Please note: When notifying of an eligibility percentage update as required by the CCA regulations, the operator may be required to assent to a new Underlying Agreement even where there are no changes to the Underlying Agreement.

Target Period Reporting Variation Actions

- [ ] Amend target due to disruption to power supply

Corrections to Previous Targets

* Were the changes specified as part of this variation applicable to the TU between the dates of 1 January 2013 and 31 December 2014? If so, the baseline and targets for Target Period 1 will also need to be corrected. If there are multiple changes requested within this variation, which relate to the previous Target Period and current and future Target Periods, please select 'Yes' to this question.

Yes No

Facility Eligibility Change

Please update the % eligibility values for any facilities that have changed in the target unit

Note: Where % eligibility data is not captured in the table below for any facilities belonging to this target unit, the data must be entered as part of this variation.

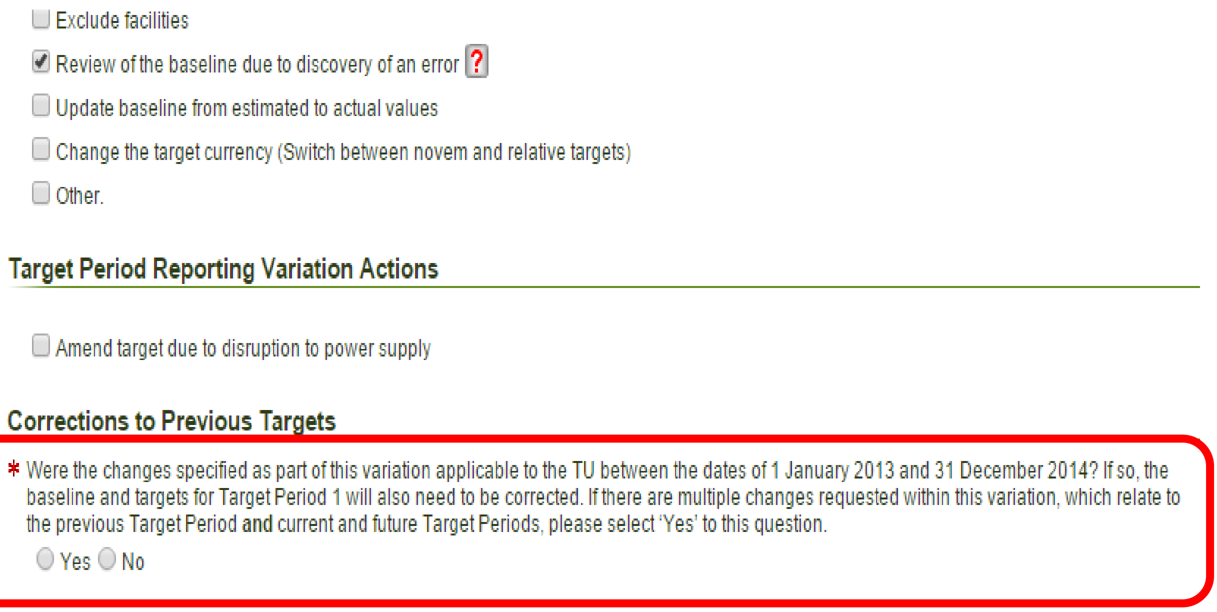
Facility ID	Sub-metered	Sub-metering Available Date	Energy consumed in Installation	Energy consumed in 3/7ths provision	Energy consumed in the eligible facility	Sub-metered in 3/7ths provision	Updated
AIC/F00009							No

In order to submit a structural change variation, you will need to provide evidence for the structural change and an updated 70% value (see section 7.5 of the CCA operations manual). Please note that when this variation is submitted for the first time, a 70% value will need to be entered for all facilities.

3.3.5.5. Review of the baseline due to discovery of an error

There are a number of situations when the baseline data may require updating or changing (see section 7.5 of the CCA operations manual). Figure 3.18 shows the additional information required when this variation option is selected.

Figure 3.18: Baseline review due to structural change or discovery of an error



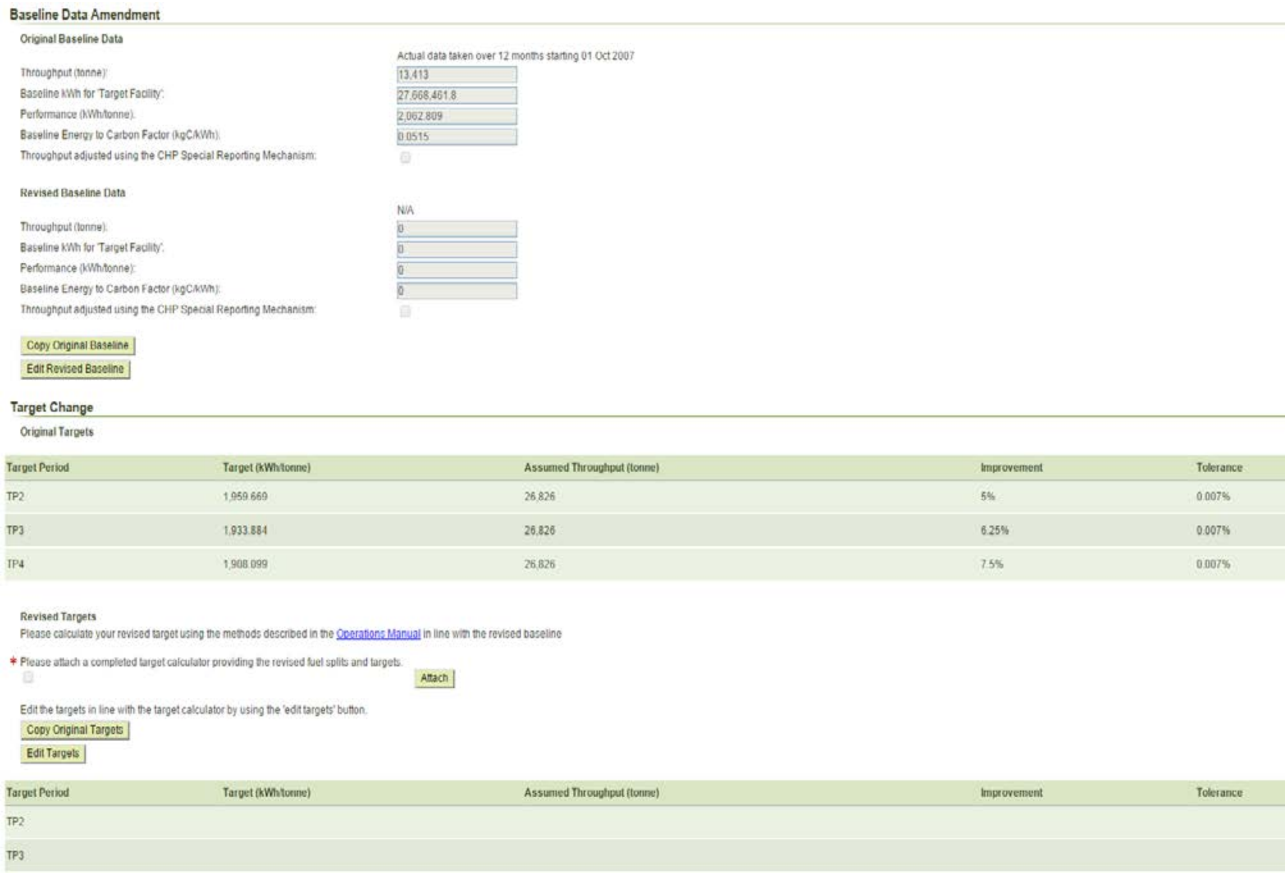
Please note - you need to specify whether this change occurred during the previous or current target period. This will determine whether retrospective changes need to be made to the last target period baseline data and targets**.**

3.3.5.6. Update baseline from estimated to actual values

This variation should be submitted when a target unit has recorded 12 months of consecutive baseline data and needs to update the register with actual values. This is effectively transitioning from a greenfield target unit.

Please note - you need to specify whether this change occurred during the previous or current target period. This will determine whether retrospective changes need to be made to the last target period baseline data and targets.

Figure 3.19 - Update baseline from estimated to actual values



3.3.5.7. Change the target currency

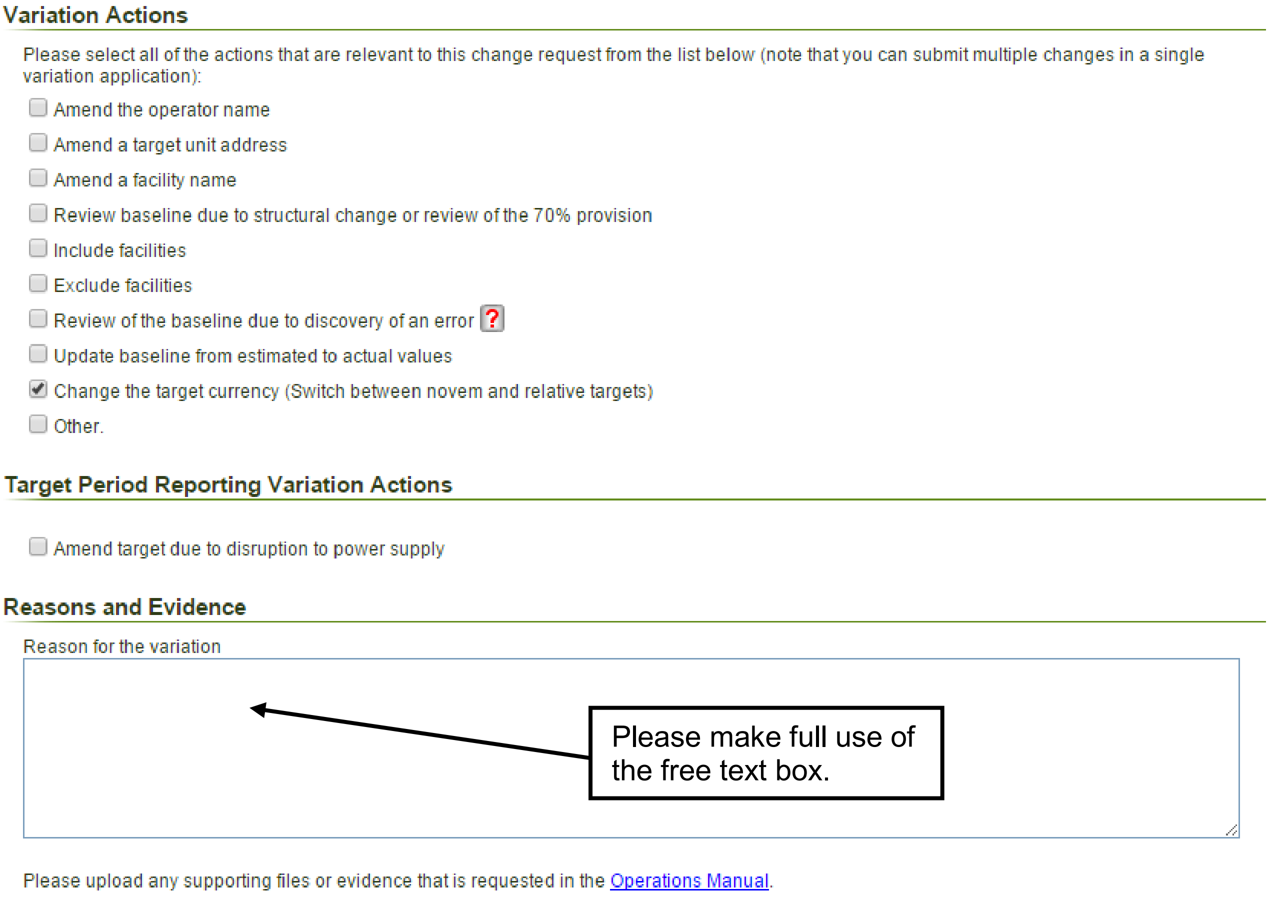
There are limited circumstances where the target unit currency may be changed. Section 7.6 of the CCA operations manual details these.

Before starting to enter information onto the register it's necessary to:

- calculate the revised targets in the new target currency (only switching between Relative and Novem targets is allowed as part of this variation)
- complete the 'Novem new entrant spreadsheet' (where changing from Relative to Novem) or 'Target calculator for new entrants spreadsheet' (where changing from Novem to Relative) provided as appendices to the CCA operations manual

As shown in Figure 3.20, the completed spreadsheet and any supporting documentation should be uploaded to the register.

Figure 3.20: Changing the target currency



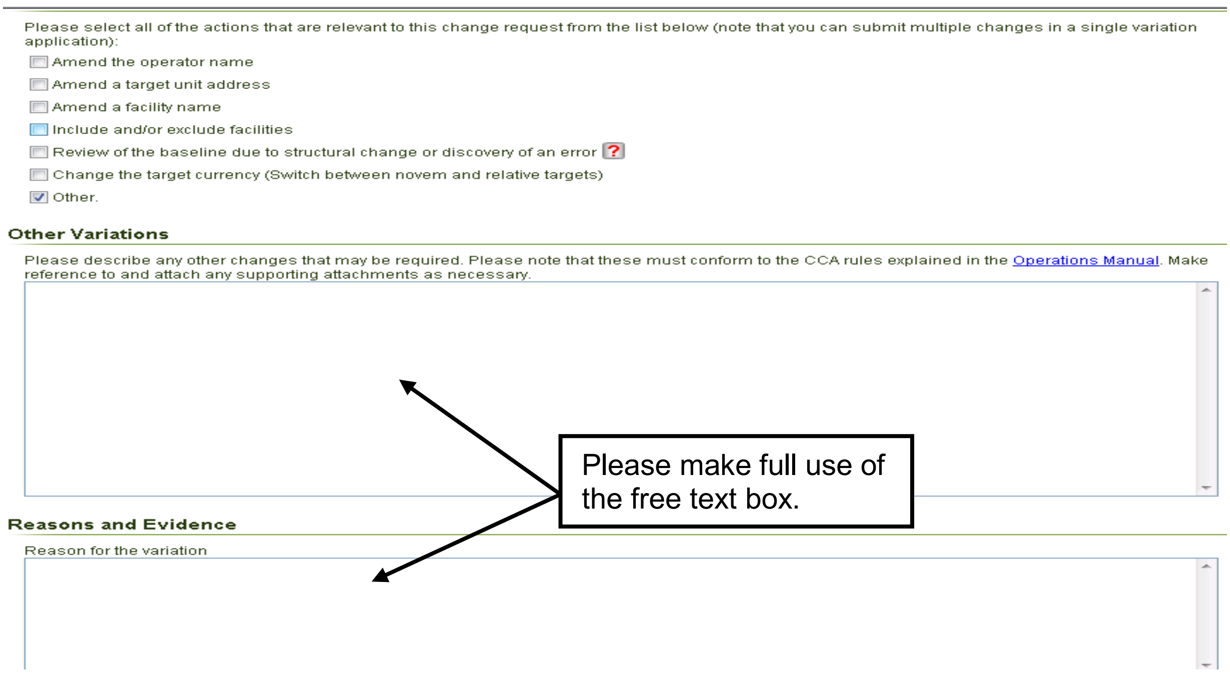
3.3.5.8. Other

This option captures any other type of a variation an operator may wish to make that is not listed within the other variation options (see section 3.3.5).

Any submission to the CCA register under this section should include a detailed description of the variation and be supported by evidence (Figure 3.21). Examples of where this variation has been used include:

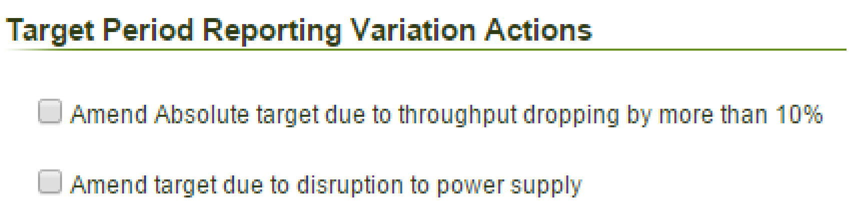
- changing the address of an individual facility due to an error with the original facility address (however, if the facility is actually moving site, a new facility eligibility application is required)
- changing an EU ETS permit number

Figure 3.21: Other variations



3.4. Variations for Reporting

There are two circumstances in which variations must be submitted to reflect changes which may affect a target unit's target for the previous target period. These variations must be submitted between 1st and 31st January 2015.



3.4.1. Fall in throughput

This variation only applies to Target Units with an absolute target currency. For absolute targets, if there is a fall in throughput which means that the actual throughput in the target period is less than 90% of twice the throughput in the base year, the target must be adjusted.

Target Period Reporting Variation Actions

- [x] Amend Absolute target due to throughput dropping by more than 10%
- [ ] Amend target due to disruption to power supply

Reasons and Evidence

Reason for the variation

Please upload any supporting files or evidence that is requested in the Operations Manual.

Drop in Throughput Change

* Method Used

Baseline Correction for Target Period 1

Due to this variation affecting the TU during the previous TP, the baseline and targets for Target Period 1 will also now need to be corrected.

Original Baseline Data

Actual data taken over 12 months starting 01 Oct 2007

Throughput (tonne): 8,073

Baseline kWh for 'Target Facility': 408,116.8

Baseline Energy to Carbon Factor (kgC/kWh): 0.0546

Amended Baseline Data for Target Period 1

N/A

Throughput (tonne): 0

Baseline kWh for 'Target Facility': 0

Baseline Energy to Carbon Factor (kgC/kWh): 0

Copy Original Baseline

Edit Revised Baseline

Amend Target for Target Period 1

Original Target for Target Period 1

Target Period	Target (kWh)	Assumed Throughput (tonne)	Improvement
TP1	785,624.84	16,146	3.75%

Revised Target for Target Period 1

Please calculate your revised target using the methods described in the Operations Manual.

* Please attach the completed target calculator providing the adjusted target.

Attach

Edit the targets in line with the target calculator by using the 'edit targets' button.

Copy Original Targets

Edit Targets

Target Period	Target (kWh)	Assumed Throughput (tonne)	Improvement
TP1			

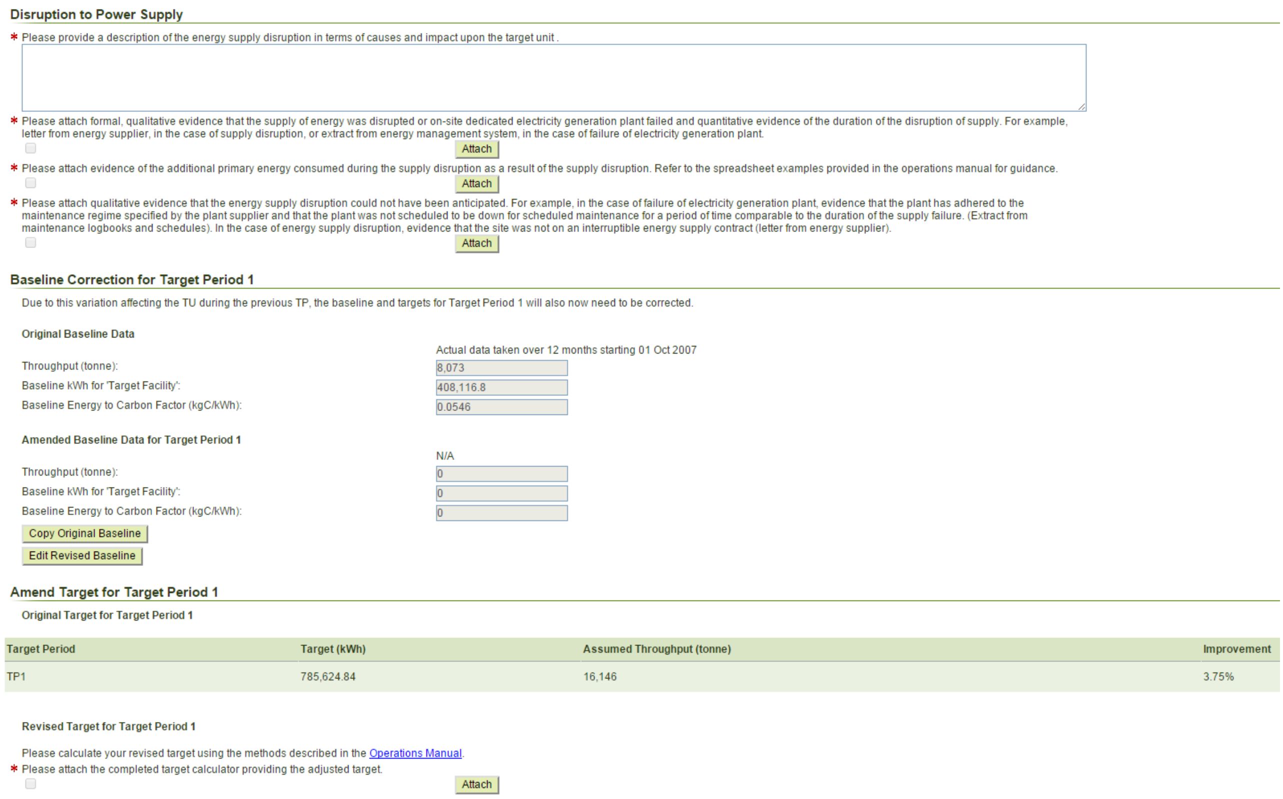
To submit this variation, you will need to:

- Upload the required pieces of evidence to support the variation request
- Upload the relevant workbook to demonstrate the adjusted target
- Enter the revised target according to the calculation

Please note - the baseline data should remain the same. Exactly the same figures should be entered - only the target for the previous TP will change.

3.4.2. Amend target due to disruption to power supply

An unexpected disruption in the supply of energy to a site, or an unexpected failure in on-site dedicated electricity generation, may cause a target unit to fail to meet its target. In cases where this has occurred, the Administrator should be notified, and a variation submitted to adjust the target in line with the extra energy associated with the disruption of power supply.


Disruption to Power Supply

* Please provide a description of the energy supply disruption in terms of causes and impact upon the target unit .

* Please attach formal, qualitative evidence that the supply of energy was disrupted or on-site dedicated electricity generation plant failed and quantitative evidence of the duration of the disruption of supply. For example, letter from energy supplier, in the case of supply disruption, or extract from energy management system, in the case of failure of electricity generation plant.

Attach

* Please attach evidence of the additional primary energy consumed during the supply disruption as a result of the supply disruption. Refer to the spreadsheet examples provided in the operations manual for guidance.

Attach

* Please attach qualitative evidence that the energy supply disruption could not have been anticipated. For example, in the case of failure of electricity generation plant, evidence that the plant has adhered to the maintenance regime specified by the plant supplier and that the plant was not scheduled to be down for scheduled maintenance for a period of time comparable to the duration of the supply failure. (Extract from maintenance logbooks and schedules). In the case of energy supply disruption, evidence that the site was not on an interruptible energy supply contract (letter from energy supplier).

Attach

Baseline Correction for Target Period 1

Due to this variation affecting the TU during the previous TP, the baseline and targets for Target Period 1 will also now need to be corrected.

Original Baseline Data

Actual data taken over 12 months starting 01 Oct 2007

Throughput (tonne): 8,073

Baseline kWh for 'Target Facility': 408,116.8

Baseline Energy to Carbon Factor (kgC/kWh): 0.0546

Amended Baseline Data for Target Period 1

N/A

Throughput (tonne): 0

Baseline kWh for 'Target Facility': 0

Baseline Energy to Carbon Factor (kgC/kWh): 0

Copy Original Baseline

Edit Revised Baseline

Amend Target for Target Period 1

Original Target for Target Period 1

Target Period	Target (kWh)	Assumed Throughput (tonne)	Improvement
TP1	785,624.84	16,146	3.75%

Revised Target for Target Period 1

Please calculate your revised target using the methods described in the Operations Manual.

* Please attach the completed target calculator providing the adjusted target.

Attach

To submit this variation, you will need to:

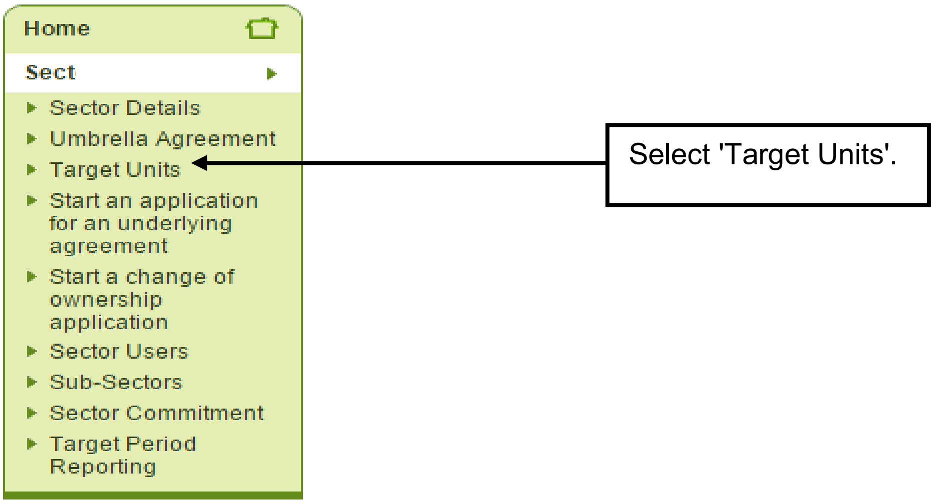
- Select the appropriate methodology from the drop down menu
- Upload the relevant workbook to demonstrate the adjusted target
- Enter the revised target according to the calculation

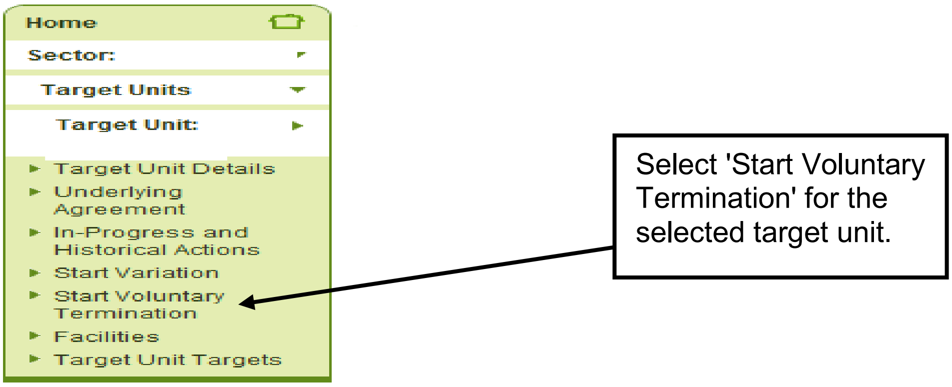
Please note - the baseline data should remain the same. Exactly the same figures should be entered - only the target for the previous TP will change

3.5. Voluntary termination

A voluntary termination can be processed when a facility or target unit closes or no longer requires its agreement.

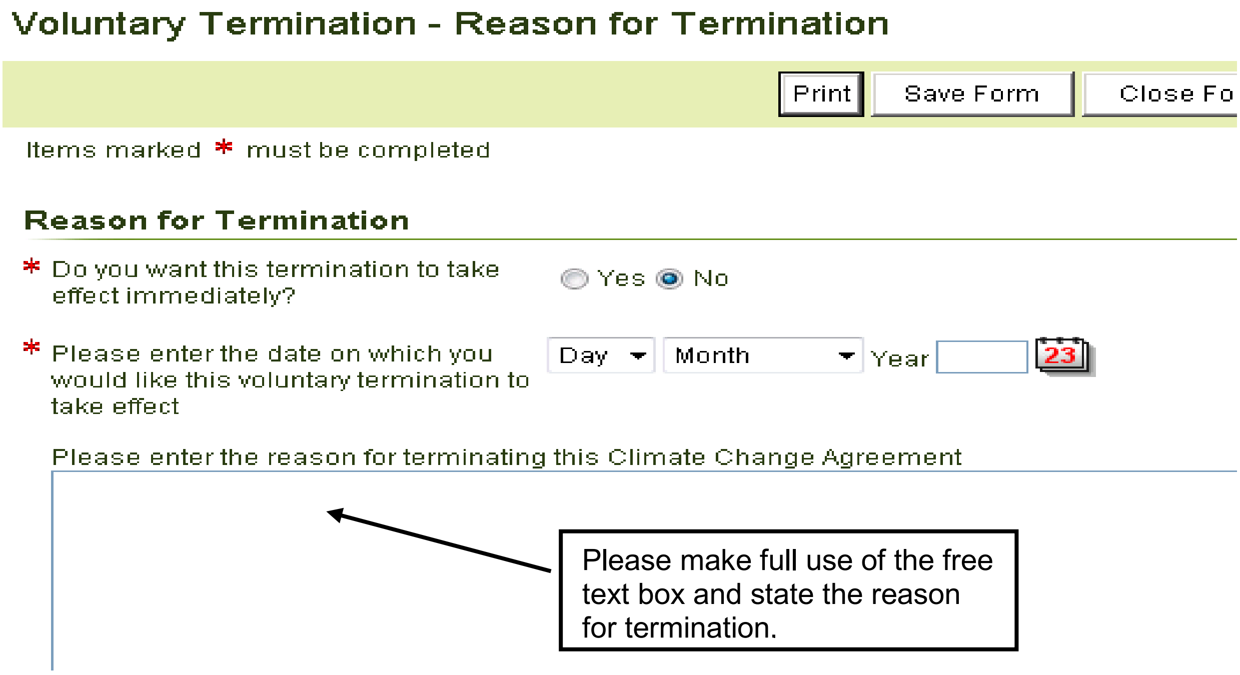
From the home screen, select 'Target Units' from the left hand tab menu. On the next page, select the specific target unit. On the target unit screen select 'Start Voluntary Termination'.





From the 'Voluntary Termination - Reason for Termination' screen (Figure 3.22), select either termination with immediate effect or termination on a specified date as appropriate. Information on the possible scenarios is given in section 8.3.1 of the CCA operations manual.

Figure 3.22: Reason for Voluntary Termination



4. Target Period Reporting

Sector Managers (SM) and Sector Users (SU) will report Target Unit performance at the end of every target period via the register. New functionality has been implemented within the register in December 2014 to allow Target Period reporting.

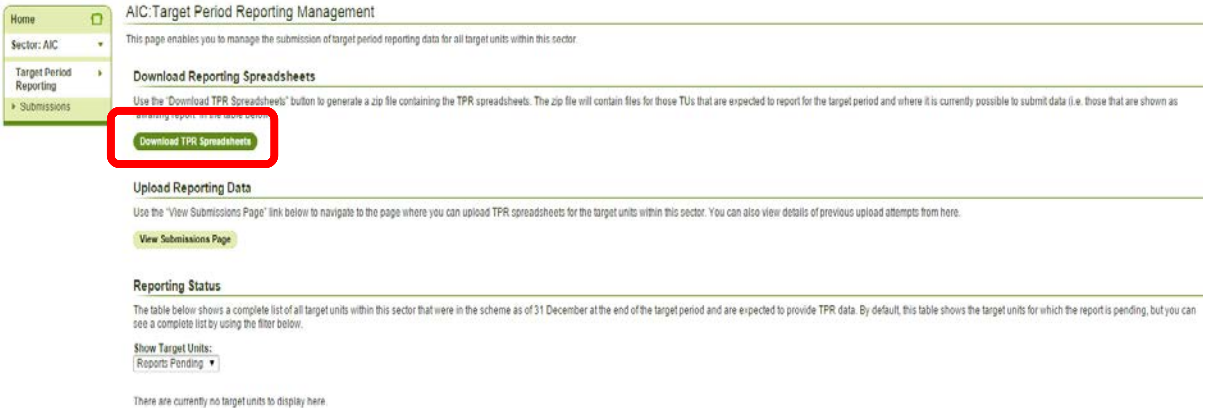
Full reporting functionality will be available to sectors from 1st January at the beginning of every new target period. Target Units included in the scheme as of 31st December of the target period just ended will be expected to report via the register.

This section outlines the main steps involved in reporting and how to navigate the register effectively when doing so.

4.1. Downloading TPR spreadsheet

Sectors will be able to download all partially populated reporting workbooks from the register for target units that were in the scheme at the end of the target period. These can either be downloaded as a zip file, containing reporting workbooks for all target units, or as individual reporting workbooks for individual target units, as desired by the sector.

- Select the ‘Target Period Reporting’ option from the menu on the Sector Work Queue page. This will take you to the ‘Target Period Reporting Management’ page.



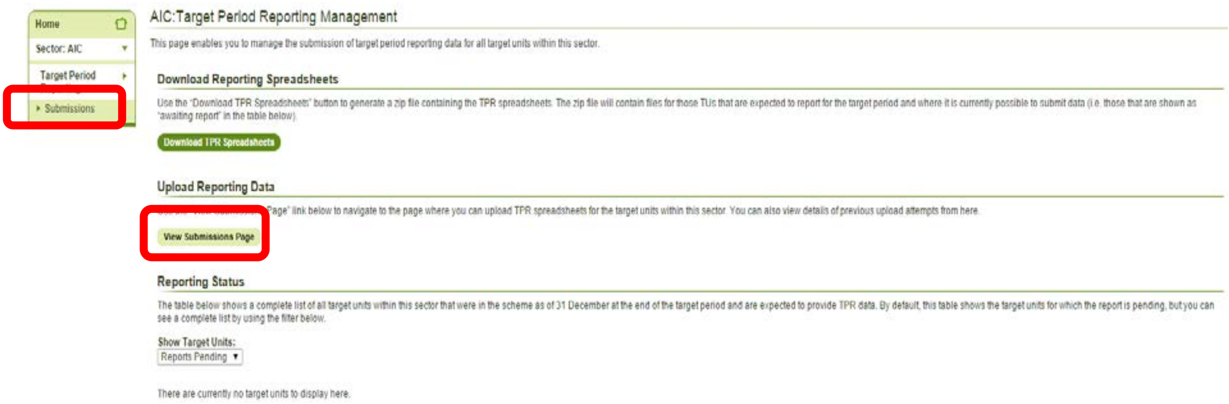
- Select the ‘Download TPR Spreadsheets’ button to download a zip file containing the Excel spreadsheet templates for all Target Units that are unlocked for reporting

4.2. Complete TPR spreadsheets

TPR spreadsheets will be completed outside of the register. A separate spreadsheet must be completed for each Target Unit that is required to report. Once one or more spreadsheets have been completed, the sector can return to the target period Reporting Management page in the register to submit them via upload.

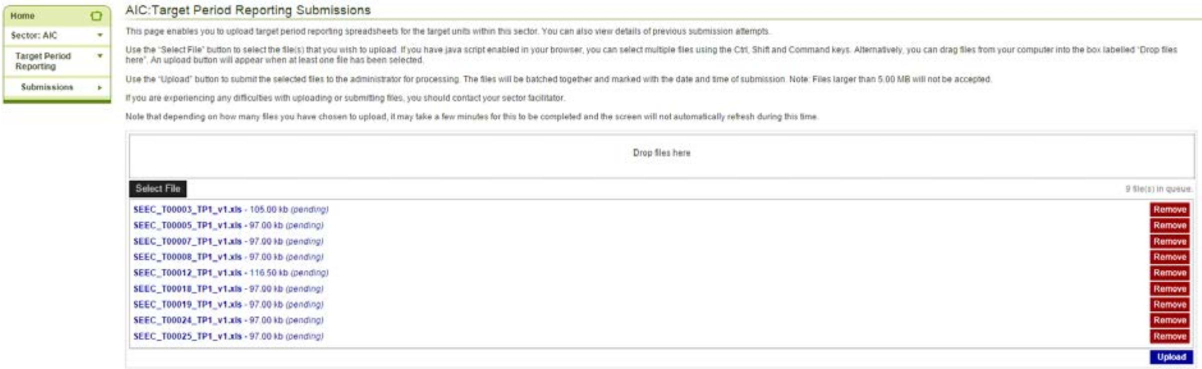
4.3. Uploading TPR spreadsheets

From the target period Management page, there are two ways of navigating to the submissions page.



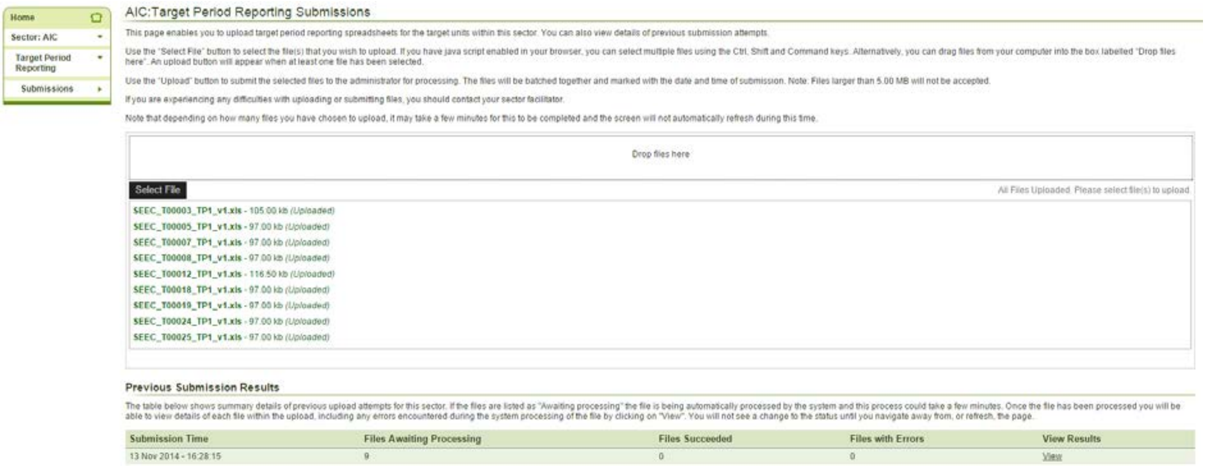
- Select either ‘Submissions’ from the navigation panel or the ‘View Submissions Page’ link to navigate the submissions page

Screenshot



- Use the ‘Select File’ option to select one or more TPR spreadsheets. All selected spreadsheets will appear in blue with a ‘pending’ status.
- Click ‘Upload’ – spreadsheets will begin upload and turn green with an ‘uploaded’ status as they do so.

4.4. Viewing results



When all files have uploaded, a new row will be created within the ‘Previous Submission Results’ section. This will show the status of the recently uploaded files:

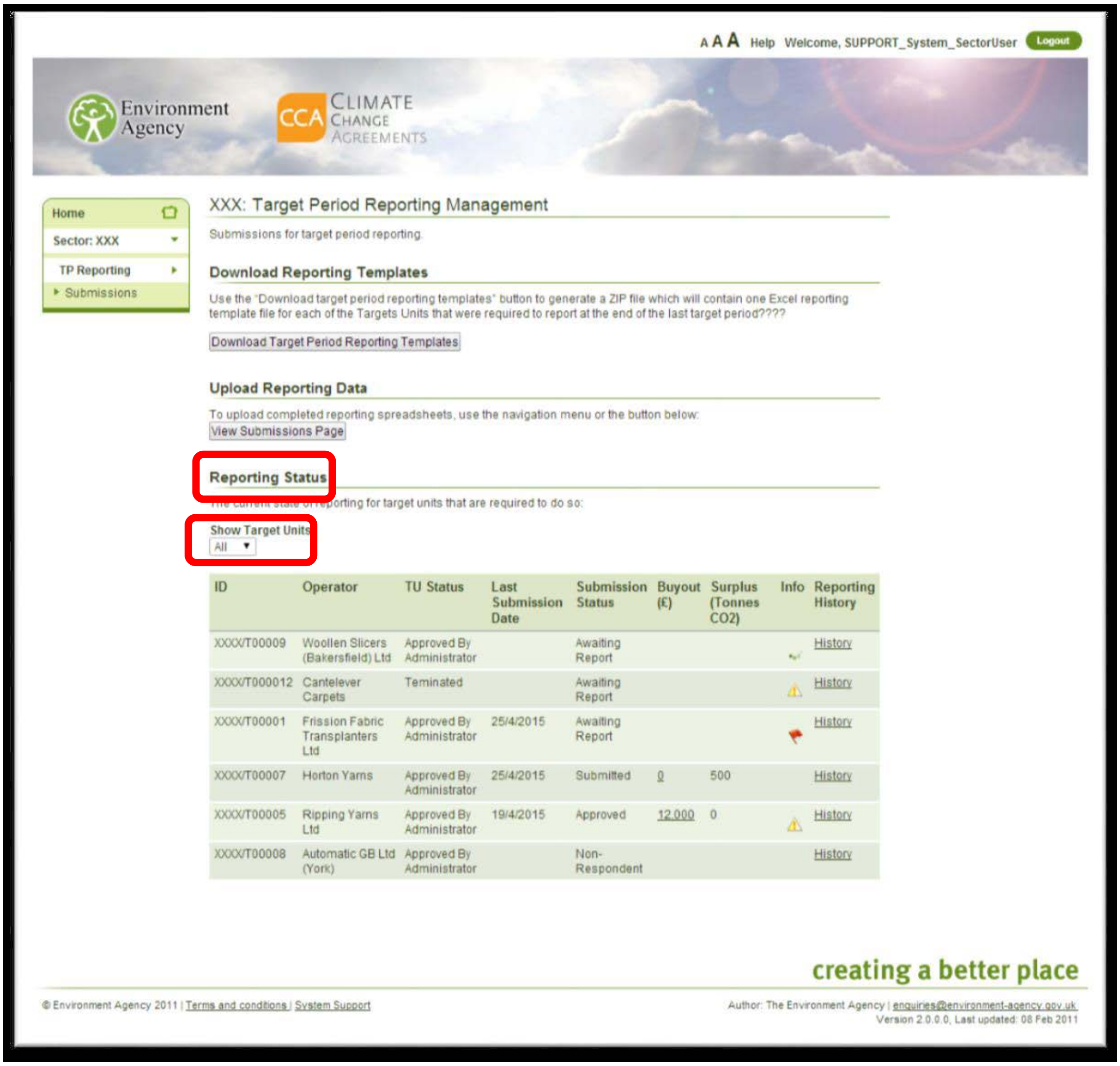
- ‘Files awaiting processing’: the spreadsheets are being processed and validated by the Register – this process can take several minutes depending on how many spreadsheets are being uploaded and how many users are active (across the whole register)
- ‘Files Successful’: number of spreadsheets that have been successfully submitted without errors
- ‘Files with Errors’: number of spreadsheets that have been submitted containing errors
- The sector is able to see which files were successfully processed, which are still to be processed and which had errors. Click ‘View Results’ for a summary of successful or unsuccessful uploads.

Any submissions that have errors in them can be amended and re-uploaded following the same process as above.

There is also a further summary of results on the ‘Target Period Reporting Management’ page, under the ‘Reporting Status’ section. The results on this page will automatically default to ‘Reports Pending’ – this list will consist of Target Units that are required to report but have not yet made a successful submission. If you have uploaded a spreadsheet for a Target Unit but that Target Unit still appears in this list, the submission was not successful. Please resubmit the spreadsheet ensuring it is the correct version and all fields have been populated correctly.

By selecting ‘All’ in the drop down menu, all Target Units that are required to report will appear – this list will include Target Units that have successfully submitted and are still due to report.

If the Target Unit fails to meet the reporting deadline, the status will automatically change to ‘Non-respondent’. These Target Units will be locked for reporting and no submissions can be made for that Target Unit without first requesting permission from the Administrator.



Once TPR spreadsheets have been successfully submitted for a particular Target Unit, no further submissions can be made for that Target Unit without first requesting permission from the Administrator. These requests are handled outside of the CCA register.

If the administrator allows the Target Unit to resubmit data before the May 1st submission deadline, the resubmitted data will overwrite the original data.

4.5. Deadlines

The deadline for all target units to submit their reporting data is May 1st. Any Target Units that have not submitted data by May 1st will not be able to submit the data without requesting that the administrator allow it. These requests will be handled outside of the register.

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