Introduction

Congratulations on reaching commercial operation. Here is what to expect.

Your NYSERDA Project Manager will be reaching out shortly to touch base with you on next steps. Once the generator is registered in NYGATS and producing energy, it is important to understand the following:

- In order for all eligible generation (including test energy) to be correctly flagged Tier-1, **Seller** must dispute any generation that is loaded to NYGATS **before the Statement of Qualification (SoQ) is issued**. Contact NYGATS for assistance. If a Seller does not adhere to this requirement, NYGATS will **not** be required to update RECS already created. Once the SoQ has been issued, Seller and NYSERDA will coordinate with NYGATS to accept the generation for Tier 1 REC creation.
- The **REC Agreement's Contract Delivery Term** usually starts the first of the month following the project's Commercial Operation date. The NYGATS Account Holder for the project is able to sell any Tier-1 RECs pre-dating the Contract Delivery Term of its NYSERDA REC Agreement on the open market. For example, if you declare Commercial Operation and start generating electricity on August 17, the REC Agreement Contract Delivery Term will be September 1. Sellers are free to sell Tier -1 RECs generated from August 17 through August 31 to any interested party.

Instructions

1

Seller to review Tier 1 – Obtaining a Statement of Qualification Guide.
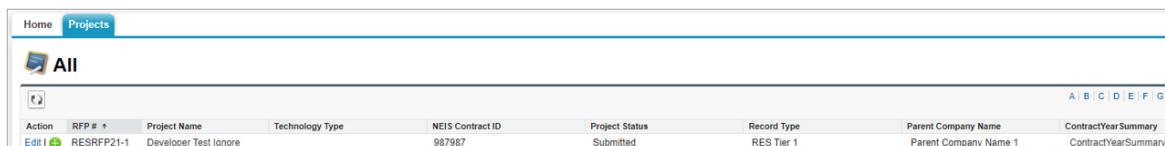
After receiving your **SoQ**, please verify that it has been uploaded to the LSR portal and notify your NYSERDA Project Manager (as indicated in the Portal project record), as this is a requirement of **Operational Certification (Op Cert)** for your NYSERDA REC Agreement.

2

Seller and NYSERDA Project Manager to schedule a **Pre-Operational Certification Meeting**. A typical agenda will include discussion of the following:
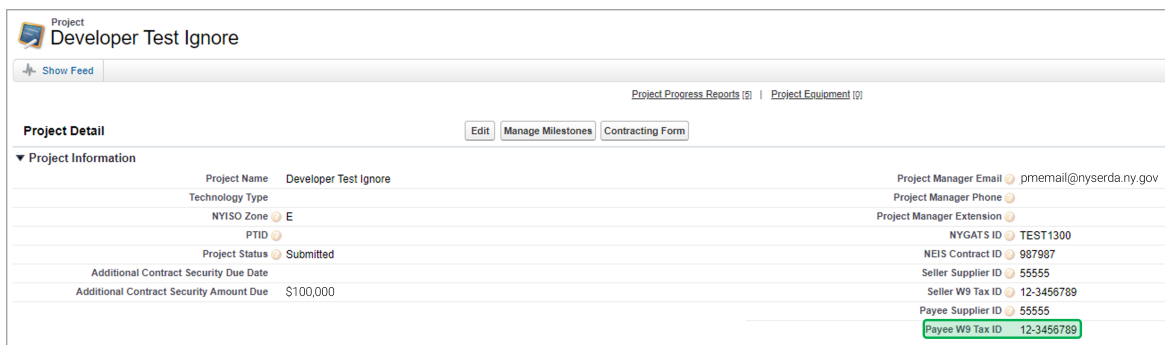
Review **Payee W-9 Tax ID No.** to ensure payments are sent to the correct entity.
To view the Payee W-9 Tax ID No. log into Salesforce, then locate and access the correct **Project Record.**

Once in the Project Record, click the **Details** tab and review the **Payee W-9 Tax ID No.** in the **Project Information**. Verify that the **Payee W-9 Tax ID No.** is correct. If not, please contact your NYSERDA Project Manager. Additional documents will be required in order to process a change to the Payee W-9 Tax ID No.

At a minimum, Installed Capacity will need to be added to Schedule 1. Additional modifications may be necessary, such as updating the Seller's contact information in Section 19.01 Notices. The NYSERDA Project Manager will provide draft amendment to the Seller for review.

✓ If a **Payment Assignment** or **Modification** is required, additional time will be required to process. The NYSERDA Project Manager will work with the NYSERDA Settlements Manager to ensure that any **Payment Assignment** or **Modification** is processed and approved prior to commencement of payments.

Important to Note: Execution of the Amendment to the REC Agreement is needed to achieve Operational Certification. The NYSERDA Project Manager will discuss return and/or partial retention of contract security, per your REC Agreement.

Seller to review Project Roles listed in the LSR Portal and notify the NYSERDA Project Manager of any updates. Seller to identify an Asset Manager (primary contact once the project is operational) and Billing Contact (individual who will receive invoice notifications). Seller is responsible for ensuring Project Roles listed in the LSR Portal are kept up to date.

Any Billing Contacts provided will receive automated messages for invoice payments. At least one Billing Contact must have Portal access to review and approve invoices.

> ✅ Did you know? A **Contact** can be provided with **Read Only Access** to the Portal, which will allow that individual to only view the project record and related documents, including invoice payments. They will not be able to edit any fields or upload any documents. Email your NYSERDA Project Manager to request.

Only once the **Payee W-9 Tax ID No.** is confirmed to be correct by the Seller in the LSR portal, to avoid processing errors and a delay in payment, it is highly recommended that you **enroll** to receive payments via **ACH** for the Payee Tax ID No. and Payee Supplier entity listed in the Portal. For information on how to set up, please visit Adding/Updating Banking Information – EFT Form. The NYSERDA Project Manager will provide a project-specific Operational Certification checklist that identifies documents/items required in order to achieve Operational Certification. Please complete checklist and provide all documentation promptly.

- Once you have addressed all items provided in the project-specific Operational Certification checklist, upload the completed checklist and all corresponding documentation to the Portal "(OP-CERT) - Operational Certification Documents" document slot and notify the NYSERDA Project Manager.
- NYSERDA Project Manager will review and alert you of any deficiencies.
- Once deficiencies are cured, NYSERDA will complete its Operational Certification review and make a determination (typically within 30 days).
- Seller will be notified by NYSERDA via email of the Operational Certification review determination.

> ✅ Review the generic **Operational Certification Request Checklist** as a preview of what may be expected.

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③ **Operational Certification Handover Meeting**

Once Operational Certification is achieved, the **NYSERDA Project Manager** and **Seller** will schedule a handover call with the NYSERDA settlements team to review the invoicing process and answer any questions.

To better understand how Index REC payments are calculated please visit Tier 1 - REC Index Pricing Structure and Calculations.

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④ **Reminders**

- Once operating, be sure to provide hourly generation data on at least a quarterly basis. Send to GENDATA@nyserda.ny.gov, or contact your NYSERDA Project Manager to arrange an alternate delivery method.
- Review NYGATS Operating Rules . For questions related to your NYGATS Account, see NYGATS contacts . For questions related to Tier 1 eligibility, contact Marci.Brunner@nyserda.ny.gov or your NYSERDA Project Manager.
- Be sure to refer to the current NYSERDA Project Manager listed in the Portal.

Project Detail		Edit	Manage Milestones		
▼ Project Information					
Project Name	Developer Test Ignore			Project Manager Email	
Technology Type				Project Manager Phone	
NYISO Zone	E			Project Manager Extension	
PTID				NYGATS ID	TEST1300
Project Status	Approved			NEIS Contract ID	