Introduction

The instructions below provide guidance on obtaining a Statement of Qualification after reaching Commercial Operation for Tier 1 projects only.

30 business days prior to the planned date of Commercial Operation, please review the below process to be sure you are familiar with all associated requirements and timing. This will ensure that when you reach Commercial Operation and begin following the process outlined below, there will be no delays in invoicing. NYSERDA agrees to grant or deny Operational Certification within thirty (30) days after Seller has submitted a fully complete Operational Certification request demonstrating Tier-1 eligibility.

Important Reminders

- In order for all eligible generation (including test energy) to be correctly flagged Tier-1, **Seller must** dispute **any generation loaded to NYGATS before the Statement of Qualification (SoQ) is issued**. **If the 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 Agreement's Delivery Start Date is the first of the month following the project's Commercial Operation date. **The NYGATS Account Holder for the project is able to sell Tier-1 RECs on the open market prior to the Delivery Start Date of NYSERDA's agreement.** For example, if you declare Commercial Operation and start generating electricity on August 17, the Delivery Start Date will be September 1. Sellers are free to sell Tier-1 RECs generated from August 17th through August 31st to any interested party.

- NYSERDA's Agreement requires that you collaborate with NYSERDA's Communications Unit, or RES program staff, with regard to the preparation of any press release, public announcement, publication or media interview with respect to the contract or the project. Contact your NYSERDA Project Manager to be put in touch with NYSERDA's Marketing and Communications team.

Instructions

ⓘ Upon reaching Commercial Operation, please follow the below steps.

1

Please review the [Eligibility and Certification Guidelines]

2

The project must first be registered and approved in NYGATS prior to applying for Tier 1 certification. To learn how, click the button below.

[New York Generation Attribute Tracking System (NYGATS)]

3

Submit your NYGATS Tier 1 Eligibility application in NYGATS. To learn how to do this, click the button below.

[New York Generation Attribute Tracking System (NYGATS)]

4

Notify your NYSERDA Project Manager that you have submitted your application. Make your Project Manager aware if your NYSERDA Agreement differs from your registrations, i.e. Nameplate change, etc.; as this may require a contract modification.

5

Once your NYGATS Eligibility application is reviewed and approved in NYGATS, you will be issued a **Statement of Qualification (SoQ)**. The **SoQ** can be accessed when logged into the NYGATS website. Send a copy of the SoQ to your NYSERDA Project Manager.

⊘

✅ Following the **SoQ** issuance, any applicable generation uploaded to NYGATS (by NYISO or other QIP) will be issued Tier-1 RECs.

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6 After receiving your **SoQ**, please send it to your **Contract** or **Project Manager** as this is required for **Operational Certification (Op Cert)** for your NYSERDA Agreement. Once **Op Cert** is achieved, invoicing can commence in accordance with the agreement.

✅ Additional documentation may be required and your **Contract** or **Project Manager** will advise you based on your NYSERDA Agreement requirement.

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7 Update the PTID field through the Salesforce Portal for the project. Click on the **Edit** button to make update, then click the **Save** button.

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8 Establish a forward transfer in NYGATS so that Tier-1 RECs will be automatically transferred to NYSERDA's NYGATS account upon issue.

Recurring Transfers/Forward Certificate Transfer

Please note that Forward Transfers will **not** transfer certificates for vintages that have already been issued.

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9 For projects under contract with NYSERDA, select the **NYSERDA Renewables option** to transfer certificates directly to the NYSERDA Renewables Sub-Account. Then click the **Save** button.

New Transfer

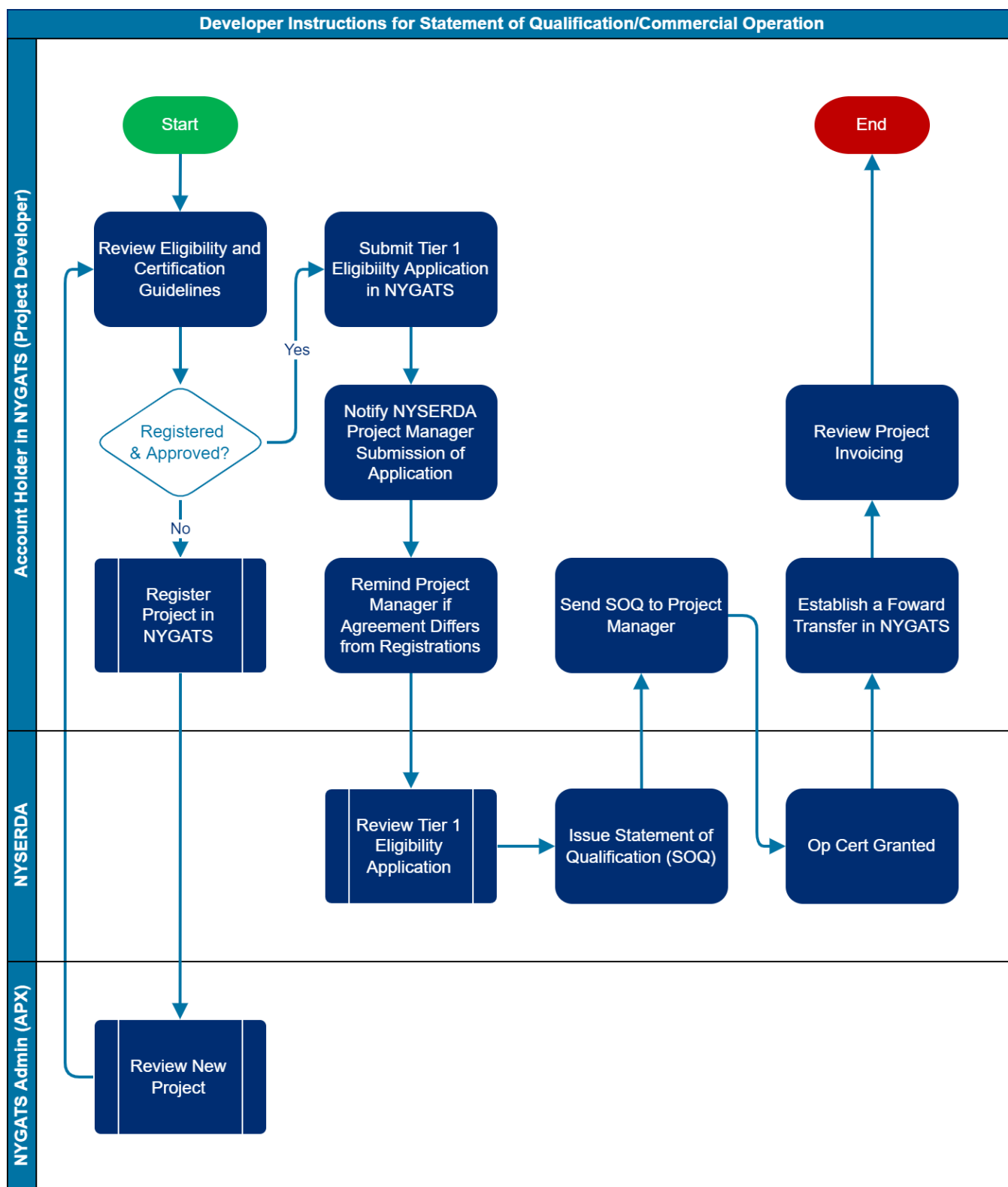|	
Forward Certificate Name/Alias: *	[ ]
Project: *	Select Project (Fuel Type) ⌄
◯ Active Sub-Account	Select One ⌄
◯ Retire Sub-Account	Select One ⌄
◯ Account Holder	Select One ⌄
⦿ NYSERDA Renewables	
	Percent: [ ] or Fixed: [ ]
Begin Vintage: *	Select One ⌄
End Vintage: *	Select One ⌄
Priority: *	0
	⦿ All or Nothing
	◯ Partial Fill

Save   Cancel

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10 Review and Approve Invoice Payment instructions in preparation for the first invoicing period.

Reminders and How to Review and Approve Invoice Payment

Process Diagram

Developer Instructions for Statement of Qualification/Commercial Operation

Account Holder in NYGATS (Project Developer)

```
Start
  │
  ▼
Review Eligibility and Certification Guidelines ──────► Submit Tier 1 Eligibility Application in NYGATS
  │                                              Yes            │
  ▼                                                             ▼
Registered & Approved? ──── Yes ──┘                   Notify NYSERDA Project Manager Submission of Application
  │ No                                                          │
  ▼                                                             ▼
Register Project in NYGATS                            Remind Project Manager if Agreement Differs from Registrations
```

Send SOQ to Project Manager

Review Project Invoicing

Establish a Foward Transfer in NYGATS

NYSERDA

Review Tier 1 Eligibility Application → Issue Statement of Qualification (SOQ) → Op Cert Granted

NYGATS Admin (APX)

Review New Project

End

Support

- For questions or issues using NYGATS, please reach out to nygats@apx.com.
- For questions about Tier 1 applications or eligibility requirements, please reach out to marci.brunner@nyserda.ny.gov or res@nyserda.ny.gov.
- For additional details regarding RES Tier 1 Certification, click here.