Biomass energy developers and generators, and other interested parties

Email: REDevelopment@ofgem.gov.uk

Date: 6 June 2018

Dear Stakeholder

Publication of Ofgem's Draft Guidance – Renewables Obligation: Guidance for Generators

We are writing to inform you that we published some draft updates to our guidance "Renewables Obligation: Guidance for Generators" today, for a four week comment period. The draft guidance is provided in annex 1 to this letter.

We invite stakeholders to provide feedback on the updated draft guidance. The closing date for providing comment is 4 July 2018.

Why have we updated the Guidance for Generators?

In 2017, the Department for Business Energy and Industrial Strategy (BEIS) consulted on controlling the costs of biomass conversion and co-firing under the Renewables Obligation (RO). Legislation for England and Wales, and Northern Ireland was laid on 4 June 2018, and is intended to come into force and be implemented later in 2018, as an amendment to the RO Orders (ROO).[1] We have updated this guidance to reflect the anticipated changes to the RO schemes arising from these Draft Orders, including:

- conditions determining when and to whom the annual ROC cap applies
- the mechanism that determines ROC issue to affected generating stations, and
- what affected operators must submit to Ofgem to enable their ROC issue to be monitored.

Please note that the Guidance for Generators may be updated further if the legislation that is made by Parliament differs from that which was laid on 4 June 2018.

[1] The exemption will not be introduced in Scotland at this stage.

The table below highlights the key changes; these are the sections of the guidance document that we invite stakeholders to comment on.

Changes made	Page and paragraph reference
Associated documents – the list of associated legislation to the ROO which affect the guidance document has been updated. This change refers to the draft amendment orders which will implement the Annual ROC Cap.	Page 2, 2nd paragraph
Chapter 2 – explains the new declaration requirements for pre-2013 capacity qualifying CHP stations.	Page 26, table 5
Chapter 4 – introduces the annual ROC cap and the new provision to calculate input electricity at the unit level.	Pages 45 and 47, paragraphs 4.16 and 4.29
Appendix 5: The annual ROC cap – explains the conditions that influence when and to whom the annual ROC cap applies and the mechanism that determines ROC issue to capped generating stations.	Pages 85-89

How to respond

The purpose of this comment period is to gain your feedback on the new version of the Guidance for Generators before it is published. When providing comment please consider the following questions:

- Question 1: Are there any aspects of updated sections of this guidance that could be made clearer or improved? If so, please provide specific comments including section references.
- Question 2: Are there any omissions in this guidance? If so, please provide comments. 1.
- Question 3: Do you feel that the approach we are taking in administering the annual ROC cap is sensible? If not, please provide comments.

Responses should be sent to either:

REDevelopment@ofgem.gov.uk , or

RE Development Team
Ofgem
10 South Colonnade
Canary Wharf
London E14 4PU

Please be aware that this is not a comment period on the policy underpinning the RO, but on the clarity of the guidance document. Queries relating to the policy should be directed to BEIS at:

enquiries@beis.gov.uk, or

BEIS
1 Victoria Street
London
SW1H 0ET

If you want your response to be kept confidential, please clearly mark the document(s) to that effect and include your reasons for requesting confidentiality. However, this may be subject to any obligations to disclose information, for example, under the Freedom of Information Act 2000 or the Environmental Information Regulations 2004.

Next steps

Once we have considered the responses to this comment period and the Amendment Orders have been finalised and made in Parliament, we will publish the final guidance document.

Until the Amendment Orders come into force, stakeholders should refer to the current legislation and guidance.

Yours sincerely,

Renewable Electricity Development Team

Annex 1

Draft Guidance

Renewables Obligation: Guidance for Generators

ofgem Making a positive difference for energy consumers

Renewables Obligation

ofgem.gov.uk/ro

6 June 2018

Guidance for generators that receive or would like to receive support under the Renewables Obligation (RO) scheme.

Overview

This document is for generators that receive or would like to receive support under the Renewables Obligation (RO) scheme in England, Scotland, Wales and Northern Ireland. It gives an overview of the support levels available, the types of generating technologies that might be eligible for the scheme and how eligible generators become accredited. It also sets out the information we require from generators to issue Renewables Obligation Certificates (ROCs) and explains how and when we issue ROCs. It is not intended to be a definitive legal guide to the RO and, as a working document, it may be updated from time to time. From 1 April 2017 the RO is closed to new capacity. Separate guidance on the closures is available at www.ofgem.gov.uk/ro-closure. Generator guidance for the Feed-in Tariffs scheme, including the ROO-FIT accreditation process, is also available on our website.

Associated documents

Readers should be aware of the following documents which support this publication:

Legislation

All legislation can be found at www.legislation.gov.uk:

- The Renewables Obligation Order 2015
- The Renewables Obligation (Scotland) Order 2009
- The Renewables Obligation Order (Northern Ireland) 2009
- Their respective amendment Orders for 2011, 2013, 2014, 2015, 2016 and 2018
- The RO Closure Orders

Guidance

All documents are available at www.ofgem.gov.uk/ro.

- Renewables and CHP Register User Guides: How to create an account, how to submit an application and how to agree declarations.
- Renewables and CHP Register User Guide ('the User Guide')
- Renewables Obligation: Essential guide to commissioning
- Renewables Obligation: Output data FAQ
- Renewables Obligation: Fuel Measurement and Sampling (FMS)

- Renewables Obligation: Sustainability Criteria
- Renewables Obligation: Sustainability Reporting
- Renewables Obligation: Biodiesel and Fossil Derived Bioliquids Guidance

For closure guidance go to www.ofgem.gov.uk/ro-closure:

- Renewables Obligation: Closure of the scheme in England, Scotland and Wales
- Northern Ireland Renewables Obligation: Closure of the scheme
- Renewables Obligation: Closure of the scheme to large-scale solar PV
- Renewables Obligation: Closure of the scheme to small-scale solar PV
- Renewables Obligation: Closure of the scheme to onshore wind in England, Scotland and Wales
- Northern Ireland Renewables Obligation: Closure of the scheme to large-scale onshore wind
- Northern Ireland Renewables Obligation: Closure of the scheme to small-scale onshore wind

Contents

List of tables

List of figures

1. Introduction

What is the RO?

1.1 The Renewables Obligation (RO), the Renewables Obligation (Scotland) (ROS) and the Northern Ireland Renewables Obligation (NIRO) are designed to incentivise large-scale renewable electricity generation in the UK. The Renewables Obligation Orders (the RO Order, the ROS Order and the NIRO Order – the legislation underpinning the RO, ROS and NIRO) place an obligation on licensed electricity suppliers in England, Wales, Scotland and Northern Ireland to source an increasing proportion of electricity from renewable sources.

1.2 The Department for Business, Energy and Industrial Strategy (BEIS), the Scottish Government and the Department for the Economy in Northern Ireland (DfE) are responsible for developing the policy underpinning the RO scheme, including setting support levels, establishing the legislative framework and making amendments to the legislation.

1.3 From 1 April 2017 the RO closes to new capacity, meaning both new generating stations and additional capacity added to existing accredited stations. There are grace periods available in certain circumstances for generators who can demonstrate eligibility until 31 March 2019. Further information can be found at www.ofgem.gov.uk/ro-closure.

What is Ofgem's role?

1.4 Ofgem[2] administers the schemes and day-to-day functions on behalf of the Gas and Electricity Markets Authority (the Authority). We do this according to the legislation (the RO Orders in England and Wales and the ROS Orders in Scotland). The Orders explain what our functions are; they include:

- accrediting generating stations that are capable of generating electricity from eligible renewable energy sources
- issuing Renewables Obligation Certificates (ROCs) and Scottish Renewables Obligation Certificates (SROCs)
- establishing and maintaining a register of ROCs and SROCs
- revoking ROCs and SROCs where necessary
- monitoring compliance with the requirements of the Orders
- annually calculating the buy-out price resulting from the adjustments made to reflect changes in the retail price index
- receiving buy-out payments and redistributing the buy-out fund[3]

[2] E-Serve is the part of Ofgem responsible for administering green energy schemes on behalf of government.
[3] Where suppliers do not have enough ROCs to meet their entire obligation, they must pay an equivalent amount into a buy-out fund to cover the shortfall. The proceeds of the buy-out fund are paid back pro-rata to those suppliers who presented ROCs.

- receiving late payments and redistributing the late payment fund
- recovering the administration costs of the RO from the buy-out fund
- publishing an annual report on the operation of and compliance with the requirements of the Orders.

1.5 We administer the Northern Ireland Renewables Obligation (NIRO) in accordance with the NIRO Order on behalf of the Northern Ireland Authority for Utility Regulation (NIAUR) under an Agency Services Agreement[4]. Under this agreement, the Authority is required to carry out the functions listed above in respect of the NIRO. However, NIAUR continues to retain responsibility under the legislation for administering the NIRO.

1.6 We carry out our functions efficiently and effectively, according to the provisions of the Orders. We cannot act beyond the scope of the powers laid down in the Orders. For example, we have no remit over the operation or regulation of the ROC market itself.

How does the scheme work?

1.7 Generators submit an application for accreditation for a renewable generating station. Once the generating station has been accredited, generators (or their agents) are issued ROCs based on the net renewable electricity that is generated each month by the station. ROCs can then be sold directly or indirectly to suppliers who will redeem them against their Renewables Obligation.

1.8 The number of ROCs issued per megawatt hour (MWh) is determined by the technology/fuel used by the station, its size, its location and when it was accredited under the RO. To be accredited under the Orders, generating stations must meet the statutory criteria, for example they must be commissioned and have submitted an application. Once accredited, further criteria must be met every month if ROCs are to be issued.

1.9 If accreditation has been granted and ROCs have subsequently been issued, the onus is on the generator to transfer the certificates to a suitable party. We have no responsibility over the transfer of ROCs once they have been issued. We can however revoke or withhold ROCs if we think they should not have been issued.

1.10 Once a ROC has been issued and transferred to a supplier, that supplier can redeem that ROC against their obligation. The ROC can only be redeemed by a supplier in the obligation period in which it was issued or in the following obligation period. For example, a ROC issued for generation in June 2015 can be redeemed by a supplier for the 2015/16 or 2016/17 obligation periods only. After that, the ROC would effectively expire and cannot be presented to us against a supplier's obligation.

How to apply

1.11 Operators of renewable generating stations will need to follow the steps in Figure 1 to apply for accreditation under the RO and be issued with ROCs. The onus is on the generator to ensure that they are familiar with our IT system – the Renewables and CHP Register (the Register) and guidance documents before setting up a generator account

[4] Authorised under section 121, Energy Act 2004

Figure 1: How to apply for the scheme and be issued with ROCs

The closure of the RO

1.12 The RO closes to new capacity on 31 March 2017, as set out in the RO Closure Order 2014. Support for capacity accredited under the RO at that date will be retained at existing support levels[5] (a policy called grandfathering of support) and will receive its full lifetime of support. Some grace periods may be offered to those who miss the closure date in certain circumstances, but ROCs cannot be issued on generation after March 2037, so capacity accredited after 31 March 2017 will not receive 20 years of support.

1.13 Between 31 March 2015 and 31 March 2017 the RO closed early to solar PV in England, Scotland and Wales and onshore wind in all countries. A summary of the early closures and grace periods can be found in our Renewables Obligation: Solar PV and Wind Grace Periods Summary.

1.14 From 1 April 2017, the obligation will be set annually until 31 March 2027. Then a fixed price certificate scheme will be introduced with the price of certificates fixed at the 2027 buy-out price, plus 10%. The government will be preparing and consulting on the detailed design of the fixed price certificate scheme in due course.

1.15 The government introduced the Contracts for Difference (CfD) scheme in 2014. In the transition period, when both schemes are open, generators are able to choose between the schemes. Ofgem continues to administer the RO, and National Grid (and the Low Carbon

[5] There are some exceptions to the grandfathering policy. Please refer to the section on Grandfathering on page 73.

Contracts Company) administers the CfD scheme. The choice of scheme applies to stations in England, Scotland and Wales only.

1.16 For further information on the transition period and the interaction of the RO and CfDs please refer to Appendix 4.

How to use this document

1.17 This document has been specifically created for the RO scheme. It is for guidance only and is not intended to be a legal guide. We will assess applications for accreditation once they are submitted to us. Generators should seek their own legal and technical advice before applying.

1.18 This document does not anticipate every scenario which may arise. If a scenario arises which is not addressed in this guidance, we will adopt an approach consistent with the relevant legislation. Any guidance in addition to this document will be published on our website: www.ofgem.gov.uk/ro.

1.19 If parties other than registered account holders are involved in the RO, for example data collectors providing monthly information, the operator of the generating station is responsible for ensuring this guidance is distributed accordingly.

Terms used in this document

1.20 Unless apparent from the context, where "RO" is used, it denotes the Renewables Obligation (RO) Order, the Renewables Obligation (Scotland) (ROS) Order and the Northern Ireland Renewables Obligation (NIRO) Order. The separate Orders are individually referenced where necessary. Where "ROC" is used it denotes certificates issued under all three Orders (ROCs, SROCs and NIROCs).

1.21 ”Ofgem”, “us”, “our” and “we” are used interchangeably when referring to the exercise of the Authority's powers and functions under the Orders.

1.22 "The Act" refers to the Electricity Act 1989 (as amended). This is the primary legislation that the RO and ROS Orders came from. Changes made to the Act via the Energy Act 2008 have given the government powers to change the ROC support structure.

1.23 The terms “generators”, “operators”, “you” and “your” are used interchangeably throughout the document.

Where to direct queries

1.24 Please email any queries about our functions, or a station that is accredited, or pending accreditation under the scheme to: renewable@ofgem.gov.uk. Please state what your query is about and the station name in the subject line of the email.

1.25 Written queries should be sent to: Renewable Electricity Administration, Ofgem, 10 South Colonnade, Canary Wharf, London, E14 4PU. For telephone enquiries, the team can be contacted on 020 7901 7310 (select option 2) during office hours.

1.26 Please note that we can only provide guidance on the legislation currently in place. Any queries regarding future changes to the Orders or wider energy policy should be directed to

BEIS, the Scottish Government or DfE as appropriate. Contact details can be found at http://www.gov.uk/beis, www.scotland.gov.uk and www.economy-ni.gov.uk respectively.

2. Eligibility

Chapter summary

Sets out the general Renewables Obligation (RO) eligibility requirements and specific eligibility criteria for certain technology types.

2.1 To receive support under the RO a generator must submit an application for accreditation to Ofgem. Before starting an application it is important for generators to be familiar with the eligibility criteria for the scheme as set out in the Orders[6], and summarised in this chapter. Generating stations that do not meet the eligibility criteria cannot be supported under the RO.

What are the eligibility requirements?

2.2 Table 1 lists the eligibility requirements that we assess for full and preliminary accreditation once an application is submitted to us. The rest of this chapter explains each of these eligibility requirements in more detail.

Table 1: Eligibility requirements for full and preliminary accreditation

No.	Eligibility requirement	Required For full?	Required for preliminary?
1	Has the generating station commissioned?	Yes	No
2	What is the capacity and how has it been calculated?	Yes	Yes
3	Is the generating station in the UK?	Yes	Yes
4	Do the components and equipment used constitute a generating station?	Yes	Yes
5	Is the electricity being supplied to customers in GB and/or NI and is it being used in a permitted way?	Yes	No
6	Is the technology type eligible?	Yes	Yes
7	Is there proof of how the electricity is generated and metered?	Yes	No
8	Has the station applied for another scheme which makes it ineligible to receive ROCs?	Yes	Yes
9	Has planning consent been granted?	No	Yes

[6] Articles 88 and 89 of the ROO, article 58 of the ROS and article 50 of the NIRO.

2.3 We assess applications case-by-case. We will only grant accreditation if we are satisfied that the generating station meets the eligibility criteria.

2.4 Please be aware that we cannot provide any legal or technical advice or a view on whether a station will be eligible for accreditation before an application for full accreditation or preliminary accreditation is submitted to us.

Has the generating station commissioned?

Meeting the definition of "commissioned"

2.5 Generating stations must be commissioned in order to be eligible for accreditation. The Orders define "commissioned" as:

> "commissioned", 'in relation to a generating station, means the completion of such procedures and tests in relation to that station as constitute, at the time they are undertaken, the usual industry standards and practices for commissioning that type of generating station in order to demonstrate that that generating station is capable of commercial operation.'

Demonstrating that a generating station has been commissioned

2.6 Applicants must provide us with evidence that shows the generating station has been commissioned. The usual industry standard practices for commissioning will vary depending on the type of renewable technology used. The 'RO: Essential guide to commissioning' provides more information on what is required to demonstrate a generating station has been commissioned.

Commissioning date

2.7 We would expect the commissioning date to be the date the standard tests have been completed satisfactorily and the station is capable of commercial operation. Once the commissioning date has been determined, and if it meets the requirements of the scheme, a generating station will be eligible to receive support from the later of:

- the date the application was received by us, or
- the date on which it was commissioned.

What is the capacity and how has it been calculated?

Total installed capacity (TIC) and declared net capacity (DNC)

2.8 To be eligible for support you must declare the total installed capacity (TIC) and declared net capacity (DNC) of the generating station as part of your application for accreditation.

2.9 TIC and DNC of a generating station are defined in the Orders as:

> "total installed capacity", 'in relation to a generating station means, the maximum capacity at which the station could be operated for a sustained period without causing

damage to it (assuming the source of power used by it to generate electricity was available to it without interruption).'

"declared net capacity", 'in relation to a generating station, means the maximum capacity at which the station could be operated for a sustained period without causing damage to it (assuming the source of power used by it to generate electricity was available to it without interruption) less the amount of electricity that is consumed by the plant'.

2.10 We consider the capacity rating of the generating equipment to indicate the TIC of the generating station. The capacity of any parasitic loads should be factored into the DNC.

2.11 We may request third-party verification during the accreditation process of the TIC and DNC, such as a declaration made by the installer or manufacturer of the generating equipment.

Is the generating station in the UK?

2.12 The generating station you wish to gain accreditation for will need to be in the UK. As proof of this you will need to:

- Declare the postcode of the generating station.
- Declare the grid reference of the generating station.

2.13 Generating stations outside the UK are unable to benefit from ROCs. For the purpose of the Orders, the expression "the United Kingdom" includes the territorial sea of the United Kingdom and waters in any area designated under section 1(7) of the Continental Shelf Act 1964. This also includes Renewable Energy Zones as defined in the Energy Act. Refer to table 3 for additional criteria for offshore wind stations concerning their location.

Do the components and equipment used constitute a generating station?

2.14 The purpose of this part of the assessment is to ensure that the boundaries of the station are clear to enable us to issue ROCs, and so we can assess whether the station is a single generating station or not. Table 2 (page 16) lists the factors we take into account in determining this.

Definition of a generating station (other than hydro)

2.15 There is no definition of 'generating station' in the legislation. It is defined in the Shorter Oxford English Dictionary as a "building and site for generating electrical current" and in the Oxford English Dictionary as a "power station for the generation of electricity".

Definition of a hydro generating station

2.16 The Orders define a hydro generating station as:

"a generating station driven by water (other than a generating station driven by tidal flows, waves, ocean currents or geothermal sources) and includes all turbines supplied

with water by or from the same civil works, except any turbine driven by a compensation flow supplied by or from those civil works in a natural water course where there is a statutory obligation to maintain that compensation flow in that water course (in which case that turbine and associated infrastructure is to be regarded as a separate hydro generating station)".

2.17 We interpret the term 'turbines' to also include Archimedes' Screws.

2.18 If a hydro generating station consists of more than one turbine supplied by the same civil works, we will need to be satisfied that a particular turbine is driven by a statutory compensation flow. This is so we can determine that the turbine is a separate hydro generating station for the purposes of the RO.

Components of a generating station

2.19 We generally consider any equipment which contributes to generating electricity as part of the generating station, even if that equipment has another purpose (such as incinerators, combustors, flare stacks etc.).

2.20 We will presume that sets of equipment for generating electricity are ordinarily one generating station if they are on the same premises and where they are owned and or operated by the same or connected or associated or related people, which are defined as:

- "connected" – 50% or more of the ordinary share capital of one generating station is owned directly or indirectly by the other or 50% or more of the ordinary share capital of each is owned directly or indirectly by a third body corporate
- "associated" – one is a subsidiary of the other or both are subsidiaries of the same holding company
- "related" – one is a 75% subsidiary of the other or both are 75% subsidiaries of a third body corporate, and
- "holding company" and "subsidiary" as defined in Section 1159 of the Companies Act 2006 and Section 1122 of the Corporation Tax Act 2010 as appropriate.

2.21 If several sets of equipment for generating electricity are grouped together to form multiple generating stations in a way which would ordinarily be seen as one generating station, then the generator will need to explain how these sets of equipment for generating electricity can be seen as more than one generating station.

2.22 If sets of equipment for generating electricity are operated by contractors, we will view the generators of two (or more) such sets on the same premises as sufficiently closely linked for the premises to be considered as one generating station if one is acting as the other's contractor or if both are acting as the contractor for the same third party.

Single line diagram

2.23 You will be required to submit a single line diagram as part of your application for RO accreditation. This diagram should show any generators (including standby generators), meters, interconnectors and the grid connection point. We will compare this against the information in your application to ensure consistency.

Table 2: Factors to determine what constitutes a generating station

Factors to determine a generating station	Further information
What constitutes the premises?	This might be a house or building with its grounds, or it might be an area of Crown Estate land if the generating station is an offshore wind farm.
Is there a shared electrical or mechanical connection?	Is this between any or all of the sets of equipment for generating electricity or any other equipment, apparatus or plant?
Is there common steam linkage?	Is this between any or all of the sets of equipment, apparatus or plant?
Is the same fuel used by different equipment?	Is the same fuel (or fuels in the case of co-firing) used by any or all of the sets of equipment for generating electricity and are they related functionally?
Are there multiple renewable sources on site?	For non-fuelled stations, is the electricity generated from the same renewable source or is there more than one way of generating electricity at the site in question? For example, a mix of solar PV and onshore wind.
Is the same driver used?	Is the same driver used by any or all of the sets of equipment for generating electricity and are they related functionally?
NFFO, SRO or NI NFFO contract?	Is a single NFFO (Non Fossil Fuel Obligation), SRO (Scottish Renewable Obligation) or NI NFFO (Northern Ireland Non Fossil Fuel Obligation) contract governing the sets of equipment for generating electricity?
How is planning permission governing the equipment?	Is the same planning permission and / or Section 36 consent governing the sets of equipment for generating electricity?
Is there one connection to the transmission or distribution network?	Is the same export connection to the grid used for all equipment on site or are there separate connections to the transmission or distribution network?
Is there the same or linked metering for the sets of equipment for generating electricity?	We will require there to be separate metering for separate generating stations. Although separate metering is a prerequisite for separate generating stations, it is not sufficient in itself for the sets of equipment for generating electricity to be treated as separate generating stations.
How the metering is registered under the Balancing and Settlement code?	We would expect a generating station to be separately registered under the Balancing and Settlement Code. If this is not the case we will request additional evidence to show that it is a separate generating station.
Has the station previously been accredited?	In a scenario where a previously accredited generating station is or was located on the same site which is the subject of an application for accreditation, we would consider whether the subject of the new application is the same generating station to which it is or was previously accredited.

Factors to determine a generating station	Further information
Is the generated electricity within the CHPQA scheme boundary?	The combined heat and power (CHP) uplift can only be issued on electricity generated by equipment that is within the CHPQA scheme boundary. The operator will need to provide to us: • A copy of the latest CHPQA certificate as referenced in the application for accreditation • A description of the generating equipment that is part of the CHPQA scheme as certified • The TIC of the generating equipment that is part of the CHPQA scheme as certified • A description of any generating equipment that is part of the generating station as described in the RO accreditation application that is not part of the certified CHPQA scheme • The TIC of the generating equipment that is part of the generating station as described in the accreditation application but that is not part of the certified CHPQA scheme. In most cases it is expected that the generating equipment included within the CHPQA scheme boundary will constitute all of the generating equipment described in the station's application for accreditation. Where it is the case that some generating equipment is included in the station's application for accreditation is not within the CHPQA scheme boundary, the CHP uplift cannot be claimed on any electricity generated by such equipment. In these circumstances it may be necessary for stations to submit separate accreditation applications for the generating equipment inside the CHPQA scheme boundary and that outside the CHPQA boundary in order to ensure that the CHP uplift can be awarded correctly.
Is there more than one contractor operating different sets of equipment on the same premises?	If so, and: • one is acting as the others contractor, or • both are acting as the contractor for the same third party, this will be considered to be one generating station.
What equipment (when handling and preparing fuel) is considered part of the generating station?	A generating station can include several sets of equipment for handling and preparing fuel, for example: • Sewage gas stations: any pumps or fans used to transport sewage gas to the sets of equipment for generating electricity. • Biomass stations: the use of conveyor belts to deliver a biomass fuel to the sets of equipment for generating electricity.
What equipment (when handling and preparing fuel) is NOT considered part of the generating station?	Any sets of equipment used for handling or preparing a material or substance before it is converted into the final fuel used in the station would NOT be considered part of the generating station. For example: • AD generating stations: any digesters used to treat the feedstocks and produce the biogas that fuels the station. • Gasification plant: equipment used for handling or preparing feedstocks before these are converted into syngas.

Is the electricity being supplied to customers in GB and/or NI and is it being used in a permitted way?

2.24 The Orders state that ROCs can only be issued on electricity supplied to customers in GB and NI, or electricity used in a permitted way. This can include electricity exported to the 'grid' and supplied by a licensed supplier to customers in GB and NI, electricity used on site by the operator of the generating station and electricity supplied to a customer via a private wire[7].

2.25 Each year, the generator is required to sign declarations about the supply of electricity on which ROCs are to be issued. The supply should be 'export only' or via 'permitted ways'. Before signing any declarations it is the generator's responsibility to ensure that what they are signing is correct for their generating station.

2.26 Generators may also be required to provide evidence of relevant contractual arrangements or other information to demonstrate that the electricity is supplied to customers in the UK.

Permitted ways

Own use of electricity (eligible on-site use)

2.27 Electricity (other than input electricity) that is generated and used on-site by the operator of the generating station may be eligible for ROCs. Input electricity under the RO is electricity used for a purpose directly related to the operation of the generating station.

2.28 To claim ROCs on on-site use, the operator of the generating station needs to sign a 'permitted ways' declaration and submit this to us each year. This is done through the Register.

Export to a customer via a private wire

2.29 Generators may also be able to claim ROCs if renewable electricity is supplied to a customer through a licence exempt distribution network or a 'private wire' arrangement. To do so, the operator of the generating station needs to sign a 'permitted ways' declaration and submit this to us each year. We will also look to understand the nature of the private wire arrangement, the power purchase agreement that is in place, the nature of the premises to which the electricity is supplied and whether the generator is exempt from holding an electricity supply licence.

2.30 It is important to note that, as described in article 17 of the Orders[8], where a generating station has a DNC of more than 10MW and the electricity has been supplied via part of the national transmission network or distribution network, the electricity will not be eligible for ROCs under 'permitted ways'.

2.31 If the DNC of the station is less than or equal to 10MW, and before the electricity is supplied to the customer it is transmitted or distributed via part of the licensed network, we will need contractual evidence that shows that this supply was via a licensed supplier before we could issue ROCs.

[7] Permitted ways are set out in Section 32B(10) of the Act
[8] Article 16 of the ROS and the NIRO.

2.32 If it is not clear who is consuming the electricity, we will consider who is bearing its cost. This is to determine whether the electricity is to be regarded as own use electricity or export to a customer through a licence-exempt distribution network.

Is the technology type eligible?

2.33 To be eligible for the RO the station must fall under one of the technology types shown in the tables in Appendix 3. Table 3 sets out some additional eligibility criteria for specific technology types. For more information on the definitions and criteria which affect ROC issue to fuelled generating stations, please refer to our 'RO: Fuel Measurement and Sampling guidance'. Please note that there were early closures for specific technologies, further details of which are available in Table 4.

Table 3: Eligibility criteria for specific technology types

Technology type	Eligibility criteria	Evidence required
Solar PV with a DNC <50kW in Northern Ireland	The plant or apparatus used at the generating station must meet the requirements of the Microgeneration Certification Scheme (MCS) or equivalent.	MCS certificate from the generator.
Onshore wind with a DNC <50kW in Northern Ireland	The plant or apparatus used at the generating station must meet the requirements of the MCS or equivalent.	MCS certificate from the generator.
Offshore wind - demonstration turbine in Scotland	Electricity must be generated by an offshore wind station that uses only eligible wind turbines as defined in article 30C of the ROS Order.	A written declaration from the generator confirming that the station uses only 'eligible turbines' based on the definition of 'demonstration turbine'.
Offshore wind - floating turbine in Scotland	Electricity must be generated by an offshore wind station that uses only floating wind turbines as defined in article 30D of the ROS Order. In order to accredit after 1 April 2017 the station must have preliminary accreditation that takes effect on or before 31 March 2017 and the station must have been commissioned before 1 October 2018.	A written declaration from the generator confirming that the electricity generated was generated by a generating station using only floating wind turbines based on the definition of 'floating turbine', and that the generating station is covered by a demonstration lease. The minimum evidence required to prove you meet this definition is: • A marine licence by Marine Scotland. • A full description of the generating equipment to be installed from the turbine manufacturer.

Technology type	Eligibility criteria	Evidence required
Offshore wind generating stations	Offshore generating stations may be excluded based on their location and the nature of their connections to the transmission or distribution networks.	Under the RO and ROS Orders, only the following generating stations are able to claim ROCs and apply for accreditation under the scheme: • offshore generating stations located within the territorial waters of the United Kingdom or waters in any area designated under Section 1(7) of the Continental Shelf Act 1964, and • offshore generating stations, located outside of the United Kingdom, but that are directly and exclusively connected to a transmission or distribution network located in Northern Ireland. Offshore generating stations must: • be directly connected to a transmission or distribution network in Great Britain and need to provide evidence of this when applying for the RO, or, • be directly and exclusively connected to a transmission or distribution network in Northern Ireland and need to provide evidence of this when applying for the RO.
Landfill gas	Some landfill gas stations may still be eligible for support under two new bands - 'closed landfill' gas and 'landfill gas heat recovery'.	The definitions that a generator would need to meet to be eligible for support under these bands and the appropriate level of support are set out in Appendix 3.
Biomass generating stations in Scotland with a (TIC) >15MW	No SROCs are to be issued to a generating station which commissioned on or after 1 April 2014 and has a TIC greater than 15 MW generated from 'relevant biomass' unless the generating station was accredited under CHPQA when it first commissioned and is accredited during the relevant month. In addition, should there have been a period where the	Upon application for accreditation we may request evidence of the TIC, see "What is the capacity and how has it been calculated?" section above for information on what evidence we would require. The CHPQA ROCs Eligibility Certificate should also be provided as evidence of being a qualifying combined heat and power[9] generating station.

[9] Combined Heat and Power (CHP) is a process that captures and utilises the heat that is a by-product of the electricity generation process.

Technology type	Eligibility criteria	Evidence required
	station was without CHPQA accreditation this cannot have been for part or all of 5 obligation years or more. Relevant biomass is defined as biomass "which is composed wholly or partly from wood which is not an energy crop".	
Combined Heat and Power (CHP) generating stations and CHP uplift	To claim the CHP uplift, you will need a ROCs Eligibility Certificate under the CHP Quality Assurance (CHPQA) programme[10]. In the first year the station will be issued the CHP uplift based on the latest of the following dates: • The date that the CHPQA ROCs Eligibility Certificate was issued • The date the CHP scheme commissioned • The date RO accreditation is effective from	A CHPQA certificate should be provided upon application to become a qualifying CHP station. Annual renewal information is provided to us by CHPQA. This certificate must be renewed annually. We will then apply the details from the renewed certificate to the new obligation year (1 April to 31 March). Where there is no renewed CHPQA ROCs Eligibility Certificate we will seek to ensure that ROCs issued in the January to March period do not benefit from the CHP uplift as the generating station would not meet the definition of a Qualifying CHP generating station. Please note that Renewable Heat Incentive[11] (RHI) eligibility criteria will also need to be met; please refer to section 2.43 for more information.

Table 4: Early closures of the RO

Technology type	Country	Closure date
Solar PV with TIC > 5MW	England, Scotland and Wales	31 March 2015 Grace periods close 31 March 2016
Solar PV with TIC ≤ 5MW	England, Scotland and Wales	31 March 2016 Grace periods close 31 March 2017
Onshore wind > 5MW	Northern Ireland	31 March 2016 Grace periods close 31 December 2018

[10] CHPQA programme is managed by Ricardo-AEA technology on behalf of BEIS. For more information please refer to guidance note 44 available from the CHPQA website: https://www.gov.uk/combined-heat-power-quality-assurance-programme

[11] The RHI is a government financial incentive to promote the use of renewable heat, administered by Ofgem E-Serve.

Technology type	Country	Closure date
Onshore wind	England Scotland Wales	12 May 2016 Grace periods close 31 January 2019
Onshore wind ≤ 5MW	Northern Ireland	30 June 2016 Grace periods close 31 March 2019

Is there proof of how the electricity is generated and metered?

2.34 To assess this we will review the single line diagram which, as explained previously, you will be required to submit. In addition, you will need to provide evidence to demonstrate that the station has begun generating, for example half-hourly data.

Has the station applied for another scheme which makes it ineligible to receive ROCs?

Support under Contracts For Difference (CfD)

2.35 Until the RO closes entirely to new capacity, including capacity eligible for a grace period (available up to 31 March 2019), eligible generating stations have a one-off choice as to whether they apply for the RO or the CfD scheme which opened in October 2014. This 'transition period' only applies to stations in England, Scotland and Wales.

2.36 A station that applies for CfD has exercised its 'choice of scheme' and will not be eligible to apply for accreditation under the RO. We work closely with National Grid to check that the same applicants are not applying for both schemes. If an applicant is rejected from the CfD scheme they will regain their choice of scheme and can apply to the RO. Similarly, stations that have entered into an investment contract[12] will not be eligible for the RO, unless the investment contract has been terminated. An application for preliminary accreditation under the RO is not considered a 'choice of scheme', so generating stations that have applied for or been granted preliminary accreditation under the RO will be able to apply for a CfD.

2.37 An operator that has been granted an Enabling Financial Decisions grace period has not made a 'choice of scheme' and can therefore still apply for the CfD scheme. However, if the application for a CfD is successful the operator will not be eligible to apply for RO accreditation.

[12] Investment contracts are an early form of CfD launched under the government's Final Investment Decision (FID) enabling programme to enable developers to take final investment decisions ahead of the CfD scheme being in place. See www.gov.uk/beis for further details.

2.38 In certain circumstances a station could receive support under both schemes as a dual scheme facility: a station with some capacity under the RO and some under the CfD. Please see Appendix 4 for further information.

Support under Feed-in Tariffs (FIT)

2.39 Wind, PV, AD and hydro generating stations >50kW DNC and ≤5MW TIC located in England, Scotland and Wales have a one-off choice to receive support under either the RO or FIT schemes. This choice must be declared as part of your application for full accreditation (through the ROO-FIT accreditation process). Once your generating station has received full accreditation under the chosen scheme, it is not possible to switch to the other scheme.

2.40 Wind, PV, AD and hydro generating stations ≤50kW are only eligible for the FIT scheme and not the RO.

2.41 Extending capacity >5MW

2.42 If an accredited FIT installation is extended above 5MW, the station would no longer be eligible for FIT and an application could be made to the RO. Please refer to our guidance on Feed-in Tariffs for further information regarding FITs.

Support under Renewable Heat Incentive (RHI) for CHP stations

2.43 Operators of CHP generating stations may only claim support for their heat use under the RO in certain circumstances, see Table 5:

Table 5: RO CHP uplift and RHI

Capacity type	Interaction with RHI
Pre-2013 capacity	Operators of a generating station with a CHPQA certificate and who became a qualifying CHP station before [commencement day] do not need to make a declaration under the RO and can opt to claim the CHP uplift subject to meeting the eligibility criteria. Operators of a generating station with a CHPQA certificate and who became a qualifying CHP station for the first time on or after [commencement day] must make a declaration under the RO if they wish to claim the CHP uplift. This declares they have not sought, and will not seek support for their heat under RHI. For stations in Northern Ireland this applies to accreditations or additional capacity added before 1 May 2013.
2013-15 capacity	Operators of a generating station with a CHPQA certificate must make a declaration under the RO if they wish to claim the CHP uplift. This declares they have not sought, and will not seek support for their heat under RHI. For stations in Northern Ireland this applies to accreditations or additional capacity added between or 1 May 2013 and 31 March 2015.
2015-16 capacity	Operators of a generating station with a CHPQA certificate can only claim the CHP uplift if their technology/fuel is not eligible under RHI scheme. To do this they must make a declaration under the RO specifying that they cannot get support under RHI.

Capacity type	Interaction with RHI
	For stations in Northern Ireland this applies from 1 October 2015 – 31 March 2016 only. For the period 1 April 2015 – 30 September 2015 the operator still has a choice and if they wish to claim the uplift would do so with a declaration such as that set out for 2013-15 capacity.
Post-2016 capacity	Operators of a generating station with a CHPQA certificate can only claim the CHP uplift if their technology/fuel is not eligible under RHI scheme. To do this they must make a declaration under the RO specifying that they cannot get support under RHI.

2.44 A template for each declaration can be requested from Ofgem by emailing FuellingandSustainability@ofgem.gov.uk. Once a generating station has opted for the RO CHP support and made the relevant declaration for a particular capacity this choice cannot be withdrawn. For further information on the eligibility requirements for the RHI, please refer to our website: www.ofgem.gov.uk/rhi.

The Non Fossil Fuel Obligation (NFFO) arrangement

2.45 Article 53 of the ROO[13] sets out specific conditions for generating stations at locations where a NFFO, SRO or NI NFFO contract[14] (or "NFFO arrangement" in the legislation) exists[15].

Connected or linked person

2.46 To establish whether a generating station that will be on a site where there is a NFFO arrangement can claim ROCs and become accredited, we have to determine whether the station is owned or operated by someone who is party to the applicable NFFO arrangement.

2.47 The Orders define a "connected person" and a "linked person" as:

- A "connected person": in relation to the owner or operator of a generating station, or any party to a NFFO arrangement, means any person connected to that owner, operator or party within the meaning of section 1122 of the Corporation Tax Act 2010.[16]
- A "linked person": in relation to a person who is a party to a NFFO arrangement ("the first person"), means another person who has given or who has arranged to give to the first person or has ensured or has arranged to ensure that the first person is given a financial or other inducement relating to any right or interest in, or in respect of, the construction or operation of a generating station at the location.

Has planning consent been granted?

Applicants for preliminary accreditation must provide evidence that planning consent for the station has been granted and that it is current. Refer to section 3.47 for further details.

[13] Article 21 of the ROS and article 20 of the NIRO.
[14] Article 52 of the ROO, article 20 of the ROS and article 19 of the NIRO.
[15] Where the contract provides or provided for the building of a generating station.
[16] Section 839 of the Income and Corporation Taxes Act 1988 was repealed by the Corporation Taxes Act 2010 and replaced under section 1176 the Corporation Taxes Act 2010 with definitions of "Connected person" and "Control" in sections 1122 and 1124.

3. Accreditation under the RO

Chapter summary

Here we explain the process of seeking accreditation under the RO. There is also an explanation of how accreditation is granted, the conditions of accreditation we may attach, and how withdrawal of accreditation is dealt with.

3.1 This chapter covers:

- What are the different types of application?
- How to apply for accreditation
- Full accreditation
- Preliminary accreditation
- Amended applications
- Withdrawal of accreditation
- Audits

What are the different types of application?

3.2 There are three types of application that can be submitted through the RO accreditation process:

1) **"Full" accreditation**

   For generating stations which have either been commissioned already or are due to be commissioned within two months of the application being made to us.

2) **Preliminary accreditation**

   For proposed generating stations that have the necessary planning permission or consent in place and are more than two months away from being commissioned. Preliminary accreditation is not a prerequisite for applying for full accreditation.

3) **Amended applications**

   For generating stations that are already accredited and where the generating station or fuel used by the generating station has been altered or updated in any way. For example, if new meters have been installed or additional capacity has been added. The operator needs to notify Ofgem within two weeks of an alteration or update occurring.

   Further information on each of these application types is provided later in this chapter.

How to apply for accreditation

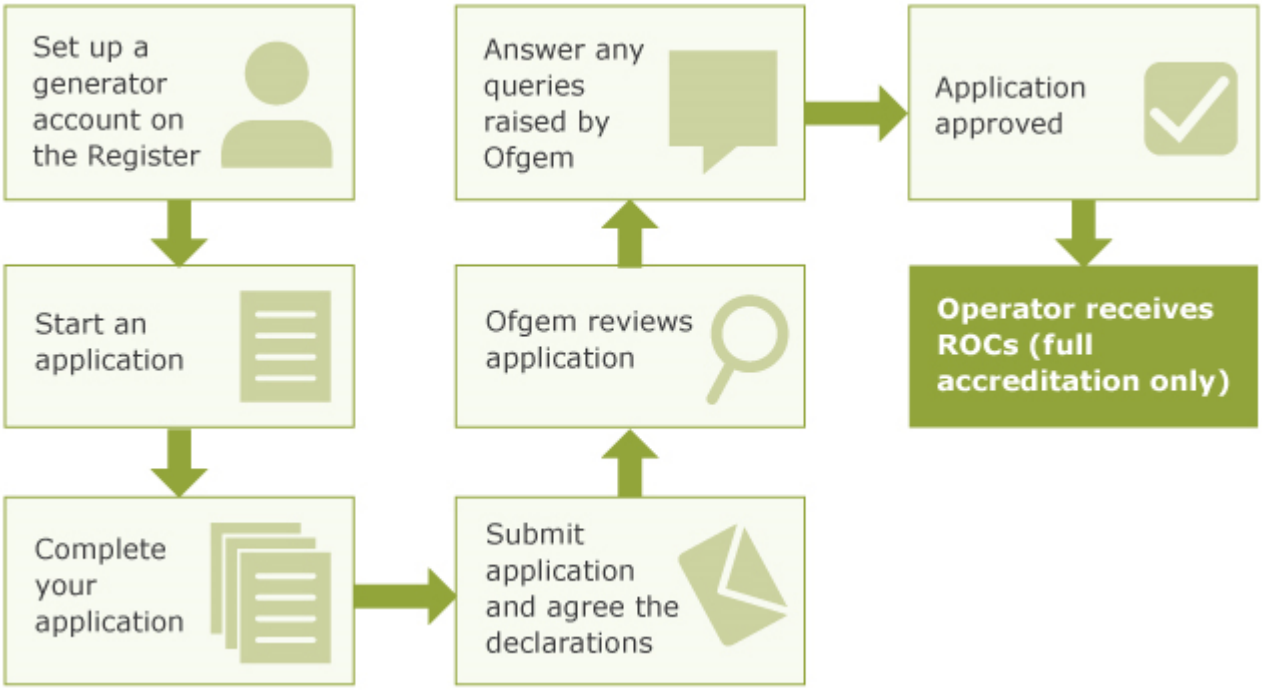
3.3 Operators that want to gain accreditation under the RO for their generating station and receive Renewables Obligation Certificates (ROCs) need to apply for the scheme and be accredited by us as a generating station capable of generating electricity from eligible renewable sources. You can make applications for full accreditation or preliminary accreditation via the Renewables and CHP Register ('the Register'). Please refer to our Register User Guides:

- How to create an account on the Renewables and CHP Register
- How to submit an application on the Renewables and CHP Register
- How to agree declarations on the Renewables and CHP Register

3.4 If your query is not covered in the above guides, please read our Renewables and CHP Register – User Guide ('the User Guide') for information.

3.5 Figure 2 outlines the steps involved in applying for the scheme. This is followed by further detail on each of these steps.

Figure 2: Steps to take to apply for the scheme.



Set up a generator account on the Register

3.6 Ofgem need to approve the generator account before an application can be submitted, so you should make sure this is done before the date you want to submit your application.

3.7 To set up an account you must be the operator of the generating station or a suitable representative from within the company who owns or will own the generating station. This person

will become the account superuser. Operators of generating stations with a declared net capacity (DNC) of 50kW or less may appoint an agent to act on their behalf. See our website for further information.

3.8 Your account provides access to the Register only and is not an application for accreditation.

3.9 The operator (or organisation) needs to provide us with an authorisation letter signed by a suitable representative of their organisation. There is a template provided on our website. For individuals this is not required.

3.10 An account superuser can nominate somebody to act on their behalf in the Register by adding 'normal users' to their account. This can be done in the My Account section by clicking 'Add New Contact'. You will then be able to select the required permissions for any additional users. This can, for example, allow the superuser to nominate a suitable person to submit output data, but prevent them from carrying out ROC transfers. Users should not share their passwords with anyone and the Register should only be accessed through your own account.

3.11 For more information on setting up an account, refer to the User Guide.

Start an application

3.12 Make sure you are familiar with the guidance and legislation before you start your application.

3.13 To start a new application click 'Accreditation' and then 'Apply for a New Accreditation'.

Complete your application

3.14 The Register will ask you a series of questions which you will need to answer. It will also ask you to attach various pieces of data and evidence, depending on the type of application you are submitting.

3.15 The answers you give should be as accurate as possible at the time of application. When we review the application there will be opportunities to amend answers that are not correct.

3.16 Please complete all relevant sections and attach all the evidence required before moving to the next step. Any additional documentation can be emailed to renewable@ofgem.gov.uk clearly stating the station name in the email title.

3.17 Follow these checks to make sure your application is complete:

- Are all the questions complete with no gaps?
- Are all the answers correct and consistent, with no spelling mistakes?
- For full accreditation only: Have you entered the right meter details? Do they match the single-line diagram? If you do not yet know the meter details please enter TBC, however, we will not be able to approve your application until these have been provided.
- For fuel burning generating stations: Have you completed and uploaded a fuel measurement and sampling (FMS) questionnaire? There is space to attach this to your

online application but you can also send this to fuellingandsustainability@ofgem.gov.uk. For help with FMS visit the Fuelled stations and FMS page on our website. This page contains our FMS guidance documents, the FMS questionnaires and a guidance note explaining how to complete each questionnaire.

3.18 Is there anything you are unsure of? The Renewable Electricity team are here to help and can be contacted on 0207 901 7310 or renewable@ofgem.gov.uk.

Submit application and agree the declarations

3.19 Click 'Submit' to submit your application.

3.20 The superuser must agree the relevant declarations after you have clicked 'Submit' or we will not receive it and your application will remain as 'unsubmitted' in your account. To do this the superuser must navigate to the Declaration tab of their account, to view and agree any outstanding declarations.

3.21 There are two RO declarations:

- One to confirm the manner in which the electricity generated will be used or supplied (export only or permitted ways) and,
- An information declaration which covers the information that has been and will be provided to us under the RO by the operator or anyone acting on their behalf. It includes a statement that: if, at any time, the generating station or fuel used by the generating station is altered or updated, that the generator notify Ofgem within two weeks of the change occurring.

3.22 The date we receive your application (once all declarations have been agreed) can have an impact on your accreditation date[17] (the date from which you can claim ROCs) so it is important there is no delay in submitting the declarations.

3.23 Make sure you gather the commissioning, TIC and first generation evidence (discussed in chapter 2) as we will ask for this as part of our review, although you do not need to wait for the first queries to be raised before sending though commissioning evidence. If there is any supporting evidence you were unable to upload to the application send it by email along with your commissioning evidence to renewable@ofgem.gov.uk with the generating station name in the title.

Ofgem reviews the application

3.24 The application will go through two or three stages of review depending on its complexity. We look to process an accreditation application within 12 weeks of it being submitted to us. In order for us to do this, we ask that your ensure all the relevant information is submitted in the first place and that you check your application is complete. During our assessment we will often ask clarification questions and, depending on the promptness and completeness of the response we receive, an application may take longer than 12 weeks to process.

3.25 If you are applying for a grace period you will need to provide us with additional information, see our website for further information.

[17] Also known as your effective date

3.26 For applications for full accreditation where the station has commissioned: while your application is being reviewed by Ofgem you are still required to submit monthly output data. See chapter 4 for more information.

Answer any queries raised by Ofgem

3.27 While we are reviewing your application we may raise queries which may require you to change your answers to some questions, for example in relation to the total installed capacity of the station.

3.28 These amendments will generally not affect the eligibility of the station under the scheme, but accreditation cannot be granted until we have a full set of accurate information. The onus is on you as the applicant to answer these queries and make any necessary amendments to the application in a timely manner. You should regularly check your account on the Register for outstanding queries.

3.29 You can sign-up for email alerts within your account which will notify you when queries are raised.

3.30 After amending your answers you should check if any new declarations have generated, these must be signed before the application comes back into review with us. Refer to the User Guide for how to do this.

3.31 If you are not clear on what we are asking for in the queries or are having problems amending you application please contact the team on renewable@ofgem.gov.uk.

Application approved

3.32 If your application is approved, we will email the superuser a confirmation letter. This letter will confirm your accreditation code, eligibility date and the conditions of the accreditation.

Operator receives ROCs (full accreditation only)

3.33 Once we have granted accreditation and output data has been submitted, you will be able to receive ROCs on eligible output, provided that the monthly requirements are met. See chapter 4 for information on submitting data.

Full accreditation

3.34 If you have not applied for or been granted preliminary accreditation, the operator (or agent) of the generating station must submit an application for full accreditation to us. The application must relate to the entire generating station that is to be accredited and, where necessary, be accompanied by the relevant supporting evidence (see table 3, chapter 2)[18]. For details of how to convert a preliminary accreditation to a full accreditation see section 3.52.

[18] See chapter 2: Eligibility, for information on what we consider to be a generating station for the purposes of the RO.

When is accreditation effective from?

3.35 When accreditation is granted, it will be effective from the later of the following dates:

- the date the application was received by us (the date the superuser has agreed the appropriate declarations and the application is submitted to us via the Register), or
- the date on which the generating station is commissioned.

3.36 For applications that have been converted from preliminary accreditation to full, this will always be the commissioning date.

3.37 Where details in an application need to be amended during the accreditation process as a result of our assessment, these will not usually result in the accreditation date of the station's accreditation being affected.

3.38 If your accreditation application is approved, this does not guarantee that ROCs will be issued as the station must satisfy all other statutory requirements. For example, we cannot issue ROCs if inaccurate information is submitted. Also, we can only issue ROCs once accreditation is granted. ROCs cannot be issued on any generation before the accreditation date.

3.39 ROCs can only be issued to each generating station/additional capacity for a period of 20 years and cannot be issued beyond 31 March 2037. For certain generating stations, ROCs can only be issued on generation that occurred up to the original end date of the RO (31 March 2027). See chapter 5 for further information on how long ROCs can be issued for.

Metering set up

3.40 When applying for accreditation, generators must provide the make, model and serial number of any meters used at their station. These details must also be clearly identified on the single line diagram submitted with the application. This is so that we can determine whether or not any meter used to measure eligible renewable output is approved. It also enables us to determine whether the metering set up enables the generator to accurately measure the output of the generating stations well as all input electricity.

Offshore wind generating stations

3.41 Operators of offshore wind generating stations must register turbines with us in order to claim ROCs in addition to applying for accreditation. If you are intending to submit an application for accreditation for an offshore wind station then please contact the Renewables team on 0207 901 7310 or renewable@ofgem.gov.uk.

What are the conditions of accreditation?

3.42 When a generating station is accredited it is subject to the following conditions:

(a) granting access to the premises from where the electricity is generated to any person authorised by us,

(b) providing reasonable assistance to that authorised person,

(c) allowing that authorised person to take samples and photographs,

(d) allowing that authorised person to inspect or test anything on the premises (including the inspection of meters) and remove any items for analysis and/or inspection,

(e) allowing that authorised person to inspect and/or copy records connected with the generation or supply of the electricity and the provision of meter volumes,

(f) agreeing to on-site visits and/or random checks to verify the accuracy of information provided (for example to verify the accuracy of information provided at the time of accreditation or to verify the accuracy of meter readings or volumes provided or the monthly sample analysis),

(g) where off-site measurement takes place, allowing access to off-site measurement facilities by doing all that it can to ensure that any party with which it contracts complies with conditions (a) to (f) above,

(h) agreeing to provide an annual declaration, if requested, that the operator of the generating station will comply with the relevant Order/Regulation,

(i) agreeing to provide an independent auditor's report if requested, and

(j) meeting any other evidential requirements and conditions that may be applicable in individual circumstances (this might be dependent on the type of generating station).

3.43 We may also attach bespoke conditions that we think are appropriate when granting accreditation. We will confirm all conditions of accreditation when we grant accreditation. We can also attach conditions at a later date if we decide it is appropriate.

Preliminary accreditation

3.44 A generator proposing to construct or operate a generating station is also able to apply for preliminary accreditation before full accreditation, via their generator account.

3.45 Preliminary accreditation is not a prerequisite for accreditation under the RO. Preliminary accreditation may give applicants more certainty about future accreditation at the planning stage and may also help in seeking investment for the project. It does not guarantee the issue of ROCs or the level at which ROCs might be issued once the station is commissioned.

3.46 Preliminary accreditation is effective from the date we receive the application. Once it has been granted, it is only in certain situations[19] that full accreditation would not be granted automatically when applied for later. We will assess the station against the eligibility criteria for full accreditation, including eligibility for any grace periods, at the time of conversion to full. If you want to convert to full accreditation before we have granted preliminary accreditation, please contact us at renewable@ofgem.gov.uk.

3.47 One of the following planning consents to build the generating station must be provided as a requirement of preliminary accreditation:

- consent under Section 36 of the Electricity Act 1989 or article 39 of the Electricity (Northern Ireland) Order 1992

[19] See article 89 of the ROO, article 58 of the ROS and article 50 of the NIRO.

- planning permission under the Town and Country Planning Act 1990, the Town and Country Planning (Scotland) Act 1997, or the Planning (Northern Ireland) Order 1991 (as appropriate)

- development consent under the Planning Act 2008 (which only applies to stations in England, Wales and Scotland), or

- in the case of an offshore generating station in Scotland, a marine licence under Part 4 of the Marine (Scotland) Act 2010 has been granted.

3.48 We will only grant preliminary accreditation if the consent or permission is current.

What are the conditions of preliminary accreditation?

3.49 Preliminary accreditation is granted to a generating station on the condition that the applicant tells us about major and material changes to the station after preliminary accreditation has been granted.

- 'Major changes' are changes that might affect the eligibility of the generating station under the RO.

- 'Material changes' include major changes, and any changes that mean the generating station as planned or built is no longer eligible under the RO.

3.50 It is the applicant's responsibility to keep us informed of major or material changes to the generating station in the period up to when full accreditation is sought. When we are informed of such changes, we will decide whether the preliminary accreditation is still valid. If we no longer consider it to be valid we will withdraw preliminary accreditation[20].

3.51 The Orders also permit us to attach any other conditions that we think are appropriate when granting preliminary accreditation. These will depend on the nature of the proposed generating station.

How do you obtain full accreditation where preliminary accreditation has been granted?

3.52 To convert a preliminary accreditation into full accreditation, you should use the 'convert' function within your generator account on the Register. We will require additional information when this happens, including commissioning evidence and metering information.

3.53 The operator of the generating station will need to satisfy us that any conditions of preliminary accreditation have been met before full accreditation can be granted. We will assess this in the same way as other applications and confirm accreditation when we are satisfied that the generating station is eligible.

What are the reasons why full accreditation would not be granted automatically?[21]

3.54 The following reasons would apply:

[20] See article 90 of the ROO, article 58 of the ROS and article 50 of the NIRO.
[21] Article 89 of the ROO, 58 ROS and article 50 of the NIRO, as well the RO Closure Order 2014 (as amended) and the Renewables Obligations Closure Order (Northern Ireland) 2015

- If there has been a material change in circumstances since the preliminary accreditation was granted. We will determine case by case whether the changes are material.

- If the generator's information that formed the basis of our decision to grant preliminary accreditation decision was materially incorrect. Again, we will determine this case by case.

- If there has been a change in the legislation since the preliminary accreditation was granted, that means that under the amended legislation the preliminary accreditation would not have been granted.

- For stations applying under the ROO and ROS we will not grant preliminary accreditation if a CfD has been entered into, or if an investment contract has been entered into[22], unless the investment contract has been terminated[23].

- The grace period criteria relating to any relevant closure date of the scheme are not met by the station. See our guidance on the full closure and early closures at www.ofgem.gov.uk/ro-closure for more details.

Amended applications

3.55 Once an application for accreditation has been submitted, the operator is required to notify Ofgem as to any changes made to the generating station, the way in which ROCs are to be claimed or the fuel used. Any such changes must be notified to us within two weeks of the alteration occurring.

3.56 To make changes to an accreditation, you should select the "Accreditation" tab within your generator account and then choose "View/Edit Existing Accreditation Details For A Generating Station". You can then work through the application and make the relevant changes. Once all amendments have been made, it can be submitted back to us for our review and re-approval. As an example, if you change a meter then you will need to update the meter serial number.

3.57 We encourage you to let us know in advance of making any amendments to your accreditation so we can agree the best time for you to update the application. This is because ROCs will not be issued while an amended application is in review with us. Once we have reviewed and approved the amendments, we will confirm this in writing to the operator of the station.

3.58 We appreciate that while we assess application amendments, the temporary suspension of ROCs will likely interfere with an operator's revenue stream. We will look to process amendments as soon as we are able and encourage you to provide as much information as you can about the changes that have been made. Once the amended application has been re-approved, we will review generation data that has been submitted to us during the review period and issue ROCs on any eligible claims.

3.59 We need to review and approve any accreditation amendments for several reasons. We require full details of the station as accredited so maintaining an up to date record is important. Similarly, holding the most recent information will help ensure that our independent assessors will be able to audit stations in the most effective manner, keeping the number of outstanding

[22] Article 88(2) of the ROO and article 58(2) of the ROS.
[23] Permitted termination events are defined in article 2 of the ROO and article 58(4) of the ROS.

points to a minimum. Furthermore, we need to ensure that the station continues to be eligible under the scheme and that any changes made are material in nature.

3.60 When reviewing accreditation amendments, our main focus will be to ensure that the station continues to meet all relevant eligibility requirements and that the information provided is up to date. We will also check that the electricity generated is still used or supplied in such a way that it remains eligible for ROC issue.

3.61 As discussed above, 'material changes' include any changes that mean the generating station as planned or built is no longer eligible under the scheme. Where we consider that a material change has taken place since accreditation was granted, we may withdraw that accreditation. The RO legislation does not provide for a process whereby you can obtain prior comfort or agreement from us that the changes you intend to make will not impact your station's eligibility. Despite this, we'd encourage you to discuss changes in advance with us.

3.62 Producing a definitive list of what will, and will not, constitute a material change is not practical. Examples of a non-material change would be replacing a broken meter with a new one that meets scheme requirements or changing from a ROC claim based on on-site use to one that is based on export only. Examples of a material change would be a change the power purchase arrangements such that the electricity generated was no longer supplied to customers in the UK, or a change to a station's installed capacity such that it exceeded certain prescribed thresholds.

3.63 It is important to note that, if a material change has been made, scope may exist to reverse the change such that accreditation can be maintained. It is likely that during the period of time when the material change was in effect, the station would not be eligible for ROCs, but ROC issue could generally recommence once changes are reversed.

How to amend your application for a change in capacity before the scheme closes to new capacity

3.64 If the capacity of an accredited generating station changes the generator needs to amend the details in the existing accreditation to reflect the changes. You should do this by amending your original application by logging into your account, selecting "Accreditation" and then choosing "View/Edit Existing Accreditation Details For A Generating Station". Generators must provide a revised schematic diagram showing the position of the additional generating equipment and any changes to metering. If you are adding additional capacity, you will need to update your TIC and DNC and add a line of capacity in the capacity grid at QC237.

3.65 Once the accreditation is edited and submitted back to us we will review it to ensure that the revised arrangement still allows the claiming of ROCs and doesn't make the station ineligible under the RO.

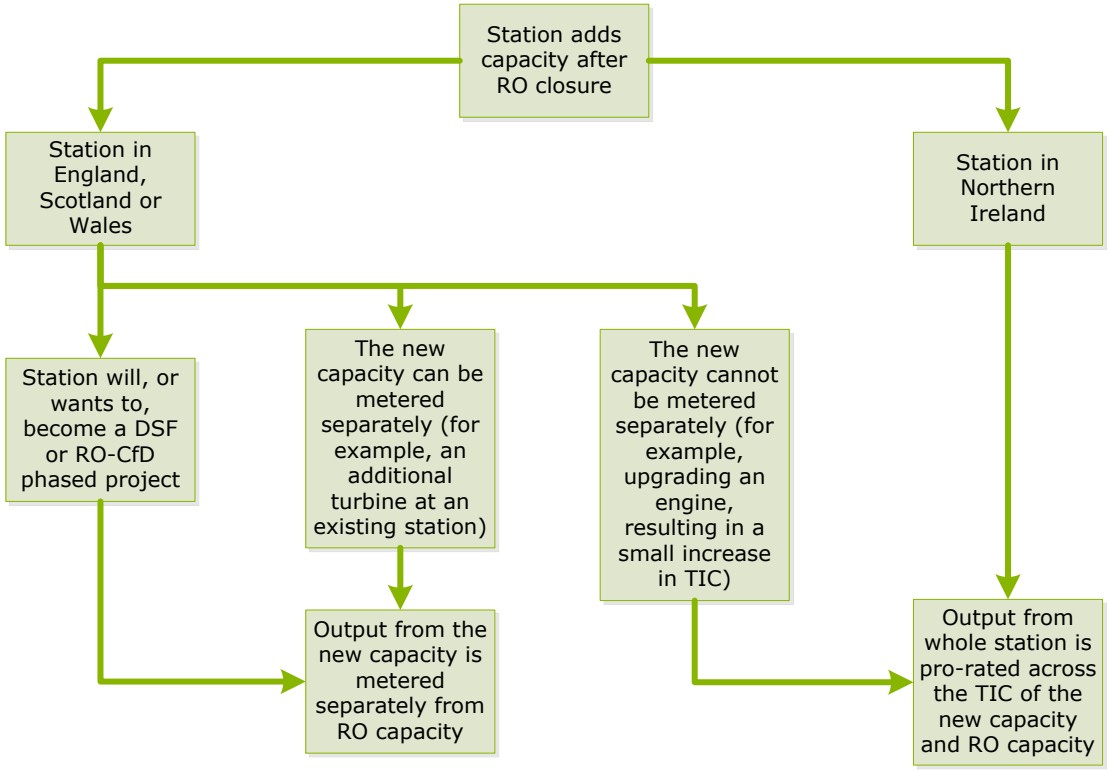
3.66 Generators may wish to ensure that any amendments to the application are made as close to the time of the change to the station as possible. This is because ROCs will not be issued while the amendment to the application is being processed. Any proposed amendments to an accredited generating station cannot be approved before the changes have actually taken place.

3.67 From 1 April 2017 the RO is closed to all new capacity. There have also been early closures prior to this date. Additional capacity added after the relevant closure date must be eligible for a grace period for you to claim ROCs on it. The grace periods available and eligibility requirements are explained in our closure guidance documents, available at www.ofgem.gov.uk/ro-closure.

Adding capacity after the closure of the scheme

3.68 After the closure of the RO to new generating capacity (see Table 4 page 21), there are a number of scenarios in which generators may choose to add new capacity which is not eligible for ROCs. These scenarios, and the processes to administer this new capacity, are different for England, Scotland and Wales, and Northern Ireland. A summary can be found in Figure 3, with further information below.

Figure 3: Summary of scenarios for adding capacity to an RO station after the closure of the scheme



3.69 We recommend that a generator intending to increase their TIC after the closure of the scheme should contact us beforehand, so that we can help time the changes to the application to minimise the delay in impact on their ROC issue. For more information see 'amended applications' on page 33.

England, Scotland and Wales

3.70 In England, Scotland and Wales new capacity is 'excluded capacity'[24].

3.71 Generators in these countries may face the following scenarios. If your specific scenario is not covered here, we will act in accordance with the legislation that is in force.

- **Adding excluded capacity for which you have, or would like to apply for, a Contract for Difference (CfD), including dual scheme facilities (DSF) and RO-CfD phased projects**: See Appendix 4 and 'separately metered output' below,

[24] As defined in article 45 of the ROO and article 2 of the ROS

- **Adding excluded capacity for which you will not seek support under any other existing scheme and can be separately metered**: The output from the excluded capacity[25] must be separately metered, for further details see 'separately metered output' below,

- **Adding excluded capacity, such that the TIC of the generating station will increase, but separate metering is not possible**: We will pro-rate output for the whole generating station across the TIC of the RO capacity and the excluded capacity, for further details see 'pro-rated output' below. Note that this is only permitted where separate metering is not possible, for example when an engine or turbine is replaced and the new equipment has a greater TIC.

Separately metered output (England, Scotland and Wales only)

3.72 Once the new capacity is commissioned you must amend your application on the Register within two weeks to update the description of the station (QE100 or QD10) and the SLD (QI100) to declare the excluded capacity and metering arrangements. You should **not** update the TIC, DNC or capacity table in the application.

3.73 The legislation requires that output electricity from excluded capacity in England, Scotland and Wales is metered separately from the output from RO capacity. When submitting your monthly output data on the Register this should only be for the RO capacity, not the excluded capacity. This can be achieved either by:

- Metering the RO capacity with 'meter A', and the excluded capacity with 'meter B'. **The generator submits the output data from 'meter A'.**

- Metering the output of the whole generating station with 'meter X', and the excluded capacity with 'meter Y'. **The generator deducts the 'meter Y' output from the 'meter X' output to determine the RO output, and submits the result of the calculation as output data.** You should continue to follow the standard processes outlined in Chapter 4 'Submitting output data and supporting evidence', including taking photos of meters and taking all readings at the same time every month.

3.74 Input electricity can either be metered separately or pro-rated by the generator[26].

Northern Ireland

3.75 Unlike the ROO and the ROS, NI legislation does not define 'NIRO capacity' or 'excluded capacity'. For clarity and consistency, we will refer to all capacity that is eligible for NIROCs as 'NIRO capacity', and all capacity that is not eligible for NIROCs as unsupported capacity.

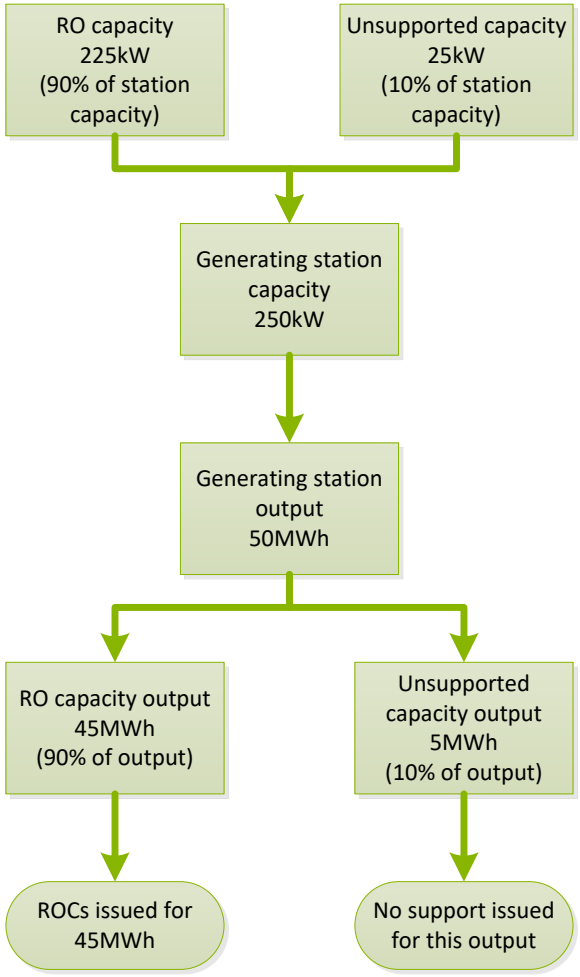
3.76 If generators in Northern Ireland choose to add unsupported capacity, we will pro-rate output of the whole generating station across the TIC of the NIRO capacity and the unsupported capacity. Pro-rating is used where the capacities are metered separately and where metering is shared. For further details see 'pro-rated output' below.

[25] RO capacity is defined in article 2 of the ROO and ROS
[26] See article 26 of the ROO and article 23A of the ROS

Pro-rated output (all regions)

3.77 The number of ROCs issued will be calculated by pro-rating input and output electricity across the TIC of the RO/NIRO capacity and the excluded/unsupported capacity. See Figure 4 for an example.

Figure 4: Example of pro-rating output for a station formed of RO and unsupported capacity



3.78 Once the new capacity is commissioned you must email Renewables@ofgem.gov.uk within two weeks stating:

- The name of the generating station
- The TIC and DNC of the RO/NIRO capacity
- The TIC and DNC of the excluded/unsupported capacity
- The commissioning date of the excluded/unsupported capacity

3.79 You must also amend your application on the Register to update the description of the station (QE100 or QD10) and the SLD (QI100) to declare the excluded/unsupported capacity and any changes to the metering arrangements.

3.80 We will agree a process for submitting monthly data on a case by case basis[27].

Note on TIC and DNC

3.81 Adding excluded/unsupported capacity increases the TIC and DNC of the generating station, but not the RO/NIRO capacity. In some places the legislation references specific TICs and/or DNCs for certain technologies and ROC bands, which you should familiarise yourself with before making changes to your station. We have outlined some scenarios here, but it remains the generator's responsibility to seek independent legal and technical advice.

'Large hydro' in England, Scotland and Wales

3.82 A 'large hydro generating station' means a hydro generating station which has, or has had, at any time since 1 April 2002, a DNC of greater than 20MW[28]. Any generating station meeting this definition is not eligible for ROCs. Should a hydro generating station, first commissioned on or before 1 April 2002, add excluded capacity that takes their DNC over 20MW, ROCs would no longer be issued for any generation by the station.

Solid or gaseous biomass

3.83 ROCs cannot be issued on any electricity generated by a generating station from solid or gaseous biomass[29] unless the generating station has a TIC of <1MW, or it meets the greenhouse gas criteria and the land criteria[30]. Therefore, if a generator adds excluded/unsupported capacity which takes the TIC to >1MW for a biomass station that does not met the greenhouse gas and land criteria, it will no longer receive ROCs on any generation.

ROC banding

3.84 In most cases ROC banding is calculated on the DNC of the whole generating station, not just the RO capacity. In Northern Ireland, this is always the case.

3.85 Generators should be aware that adding excluded/unsupported capacity may reduce the ROC rate they receive on their RO generation. For more details please refer to the ROC banding tables in Appendix 3.

Confirmation of accreditation

3.86 If we are satisfied that the generating station is eligible under the scheme, we will confirm accreditation in writing to the operator of the generating station.

3.87 For full accreditation, the confirmation letter will state the basis on which the generating station has been accredited (such as what eligible renewable source the generating station is accredited for). It will also confirm the total installed capacity of the station, the accreditation date, the accreditation code and any conditions attached to the accreditation. The letter will also explain how and when monthly generation data must be submitted to us.

3.88 For preliminary accreditation, the letter will specify any conditions attached. It will also set out the process that needs to be followed before we can grant accreditation.

[27] In accordance with article 43 of the ROO, article 36 of the ROS and article 34 of the NIRO
[28] Article 54 of the ROO, article 2 of the ROS
[29] Biomass other than animal excreta, bioliquid, landfill gas, sewage gas or waste
[30] Article 63 of the ROO, article 22ZA of the ROS, article 21ZA of the NIRO

When would we refuse accreditation?

3.89 The circumstances when we would not grant accreditation include:

- if we are not satisfied that the generating station is capable of generating electricity from eligible renewable sources
- if it is unlikely that ROCs could ever be issued on electricity generated by the station
- if the generating station may have received financial support under the FIT scheme
- if the application has been made fraudulently or by a party not entitled to apply for accreditation, or was based on information that is materially incorrect[31]
- if the generating station has not commissioned
- if an application for a CfD has been made at any time, unless that application for a CfD has been rejected by National Grid (in its function as CfD Delivery Body)
- if an investment contract has been entered into, unless that investment contract has been terminated as per the "permitted termination events"[32]
- if the grace period criteria relating to any relevant closure of the scheme[33] are not met by the station.

Withdrawal of accreditation

3.90 When an application is withdrawn the station is no longer eligible to receive ROCs.

Why would we withdraw accreditation?

3.91 We may withdraw full accreditation or preliminary accreditation if[34]:

- we think there has been a material change[35] in circumstances since the accreditation was granted
- any condition of accreditation has not been complied with
- we have reason to believe that the information that the decision to grant the accreditation was based on was incorrect in a way that makes the station ineligible
- there has been a change in the applicable legislation since the preliminary accreditation was granted such that, had the application for preliminary accreditation been made after the change, it would not have been granted

[31] Article 89 of the ROO, article 58 of the ROS and article 50 of the NIRO as well as the RO Closure Order 2014 (as amended) and the Renewables Obligations Closure Order (Northern Ireland) 2015.
[32] Article 89 of the ROO and article 58 of the ROS.
[33] See guidance on the closure of the RO at www.ofgem.gov.uk/ro-closure.
[34] See article 90 of the ROO, article 58 (8) of the ROS and article 50(5) of the NIRO.
[35] See 3.60 for information on what constitutes a material change.

- there has been a change in applicable legislation since the accreditation was granted such that, in our opinion, the station to which the accreditation relates is no longer likely to generate electricity that ROCs may be issued on.

Why would the operator want to withdraw accreditation?

3.92 In order to withdraw an accreditation the operator should email us at renewable@ofgem.gov.uk clearly stating the name of the generating station in the email title and including the reasons why they wish to withdraw the accreditation. The most common reason for an operator applying to withdraw accreditation is that a station has been decommissioned. In this instance, we require the following information:

- The operator should explain why they want to withdraw accreditation and why they believe that the conditions for accreditation withdrawal have been met. The operator should refer to the circumstances in 3.91 and provide any appropriate third party evidence.

- The operator should explain exactly what changes were made to the station. This includes what equipment / infrastructure was removed and what remains in place. We will establish whether it still constitutes a generating station using this information. Chapter 2 sets out what we would define as a generating station.

- Suitable third party evidence such as decommissioning certificates, photographic evidence and other similar documents.

- A timeline of decommissioning events and photo evidence of these events, such as the station in its commissioned state and once it has been decommissioned.

- Invoices or receipts for the decommissioning process, confirming such things as equipment hire/ labour costs/ transport costs/ disposal costs etc.

3.93 We will confirm our decision, including the date of withdrawal of accreditation, as appropriate. Depending on the reason for accreditation being withdrawn, we may revoke some or all of the ROCs issued. Chapter 5 deals with the circumstances in which we may revoke ROCs.

Change of operator

3.94 In order to change the operator of a generating station, please email us at renewable@ofgem.gov.uk. We would expect to see proof of a change in ownership of the generating station.

Audits

Why do we audit stations?

3.95 We routinely carry out audit checks on both accredited generating stations and stations applying for accreditation to make sure that generators are complying with the scheme rules. Auditing can help identify and protect against errors and fraud. These checks also ensure that a generating station remains an eligible renewable generating station, that we hold the most up-to-date information for a station and that the correct number of ROCs have been issued to the generator in question.

3.96 We select generating stations for audit based on a number of reasons such as data submission issues, a large ROC claim and where we are not confident in the metering arrangements, but we also undertake random sampling.

What is reviewed during audit?

3.97 The auditors review, among other things, commissioning evidence, metering arrangements and the data that has been submitted monthly for ROC claims (see chapter 4 for information on submitting data). Operators of generating stations should keep appropriate records for at least six years so that they can provide a full audit trail at the time of audit.

What happens following an audit?

3.98 Following an audit we will write to the generator concerned outlining any issues and include a copy of the auditor's report. The generator is expected to address these issues and report back to us. In certain circumstances we can suspend ROC issue until the issues have been resolved. As explained above, we also have the power to withdraw accreditation in certain circumstances and revoke or permanently withhold ROCs as appropriate.

4. Submitting output data and supporting evidence

Chapter summary

Here you can find out what information we need to determine whether to issue ROCs. There is also a timetable for submitting information, and we explain what happens if we receive information after the deadline, or if information is inaccurate.

4.1 This chapter is for non-fuelled stations only. Fuelled stations should refer to the data chapter of the 'RO: Fuel Measurement and Sampling Guidance'. This chapter covers:

- How do you submit output data?
- What information do you need to submit?
- When should you submit output data?
- Who is responsible for data submissions?
- When would you submit estimated data?
- How is output data reviewed?
- What does your output data status mean?
- How do you amend data?

4.2 Article 29 of the Orders[36] explains how to calculate renewable output, for issuing ROCs. This is:

Net renewable output = (Gross output – Input electricity) x Renewable qualifying percentage

4.3 ROCs issued under the CHP uplift take into account the qualifying power output (QPO) and total power output (TPO) as represented on the CHPQA certificate for the relevant period. For generating stations where TPO = QPO, so 100% of generation is considered good quality, the station will receive the relevant ROC banding uplift (outlined in Appendix 3) on 100% of their RO eligible output in a given month. Where QPO ≠ TPO the relevant uplift will only apply to the percentage of output considered good quality (so QPO/TPO)[37].

4.4 Generators of accredited stations must give us accurate and reliable generating and input electricity data so we can issue ROCs. For stations using fuels, we may also need information about the fuels used, as agreed as part of the station's FMS procedures (see our guidance on this) to determine the proportion of renewable electricity generated or to assist in satisfying the sustainability reporting requirements.

[36] Article 25 of the ROS, and article 23 of the NIRO.
[37] The 'energy from waste with CHP' band is not considered the 'CHP uplift' as being a qualifying CHP generating station is an eligibility requirement. For stations generating electricity from waste ROCs are only issued on the qualifying output. The non-qualifying output would receive no ROCs.

4.5 Output data (the term used for the information you provide to claim ROCs each month) is submitted through the generator's account on the Register. Evidence to support data submissions, explained later in this chapter, should be sent to renewable@ofgem.gov.uk. All stations with a DNC of greater than 50kW must submit data every month. Microgenerators (operators of generating stations with a DNC of 50kW or less) can choose to submit data monthly or annually.

Table 6: Key terms for output data submissions

Term	Definition
Gross output	The total amount of electricity generated by a generating station[38]
Input electricity	The total amount of electricity used by the generating station for purposes directly related to the operation of that generating station. This includes fuel handling, fuel preparation, maintenance and pumping water. This is whether or not that electricity is generated by the station or used while the station is generating electricity[39]. For more information please see section 4.12.
Net output	This is the gross output minus any input electricity. You should not deduct input from the gross output when submitting the data to the Register as the Register will calculate this for you.

How do you submit output data?

4.6 Data is submitted through your account in the 'Output data' tab. When submitting output data on the Register, you will be asked to report various readings, depending on your application. All figures that you submit should be for the period of generation only, and not a cumulative meter reading. Please also see our output data FAQ.

Output data - fields on the register

4.7 Here's an explanation of what is required for each data field on the Renewables and CHP Register:

- **Total quantity of electricity produced**: this is the total renewable electricity generated by the station. If you are claiming Renewable Energy Guarantee of Origin certificates (REGOs), this is what they will be calculated from. If you are not claiming REGOs you will not see this field.
- **Output**
    - **Type of eligible output**: select what you are eligible to claim your ROCs on from the dropdown menu. Check your application (Question F100) if you're unsure.
    - **Total export output**: this is the figure showing the quantity of electricity for that month for the type of eligible output you have selected. This is what ROCs and Renewable Levy Exemption Certificates (LECs)[40] are calculated from.

[38] Article 29 of the ROO, article 25(6) of the ROS and article 23(6) of the NIRO.
[39] Article 26 of the ROO, article 24(6) of the ROS and article 22(6) of the NIRO.
[40] LECs cannot be claimed for electricity generated on or after 1 August 2015.

- **Input**
    - **Import**: this is the total electricity imported from the grid by the generating station. You should only report import which is used in the running of the generating station, not other on-site loads. You should include import associated with the generating station even when it is not generating.
    - **Generated by the generating station**: this is the electricity generated by the generating station which is then used by the generating station itself. Depending on the metering setup at the station this may or may not need to be deducted.
    - **Standby generation**: this is the electricity generated by any standby generators which provides electricity to the station, and is classed as input electricity.

Output data for offshore wind generating stations

4.8 The Orders set out that ROCs cannot be issued on any generation by offshore wind turbines that have not been registered with us. In instances where monthly output figures represent generation by registered and unregistered turbines, generators will need to contact us at renewable@ofgem.gov.uk to agree a methodology that will enable them to determine the output of the generating station that should be attributed unregistered offshore wind turbines and the part of the output eligible for ROCs.

What information do you need to submit?

Electrical information

4.9 When generators apply for accreditation under the RO, they are asked to show the position of their metering and the meters they wish to use to claim ROCs. Meters may include a single net output meter, multiple meters determining on-site usage, export and input electricity meters.

4.10 The generation and input electricity information should be based on meter readings taken by, or on behalf of, the generator. There are two types of meter readings commonly used to claim ROCs:

- **Manual meter readings**: these are readings taken from the display of the meter at the beginning or end of each month. The difference between the start and end reading should then be submitted as output or input, depending on what is being measured. We recommend you take photos at the same time as you take the readings. We don't require you to send us the photos each month, but if we query your data submission they will be useful supporting evidence. Every effort should be made to ensure that meter readings are taken at the same time every month.
- **Half-hourly data**: this is data provided to the generator by a supplier or data collector in a spreadsheet showing generation in each half-hour period in that month. The total of the readings for that month should be submitted as output or input, depending on what is being measured. We don't always require this data but we recommend having it as supporting evidence. If we have cause to question your data submission, it will show exactly what is generated by a station.

4.11 All meter readings should be recorded and retained together with supporting evidence, including photographs of the metering, invoices showing the sale of electricity, half-hourly data etc.

Input electricity

4.12 Sources of input electricity include:

- electricity generated by the generating station used by loads directly associated with the operation of the station
- imported electricity
- standby generation electricity.

4.13 All generators are required to report input electricity associated with the generating station, no matter how high or low this value may be.

4.14 Accounting for input electricity

4.15 To calculate the net renewable output, the Orders[41] require input electricity to be deducted from the gross output (if the input electricity is more than 0.5% of gross output). This deduction is calculated by the Register for the station. It includes any electricity used by the sets of equipment (as described in chapter 2) and any used for maintenance, which must also be deducted in the monthly calculations. Input deductions must not be done before submitting output figures.

4.16 The Orders also provide for the calculation of input electricity at the unit level. This is used by co-firing and conversion generating stations who fall under the annual ROC cap[42] details of which can be found in Appendix 5.

4.17 If input electricity to the generating station does not exceed 0.5% of the station's gross output in a month, the input electricity will not be deducted for issuing ROCs. You must still submit the input electricity data in this case as the Register will calculate whether the input electricity is below the 0.5% threshold.

4.18 Standby generation

4.19 Standby generation is defined in the Orders as:

> "the generation of electricity by equipment which is not used frequently or regularly to generate electricity and where all the electricity generated by that equipment is used by the generating station."

4.20 Generating stations which have standby generators must have mechanical interlocking arrangements, or equivalent, in place to prevent the electricity generated from such generators being exported or used in such a way that might augment the monthly ROC claim.

4.21 If the use of standby generation meets the definition of input electricity it must be reported as part of the stations monthly data submissions. Any standby generators must be

[41] Article 29 of the ROO, article 25 of the ROS, and articles 23 and 24 of the NIRO.
[42] Schedule 6 to Renewables Obligation (Amendment) Order 2018.

declared on the application for accreditation so we can determine how they should be treated for the purposes of claiming ROCs.

When should you submit output data?

When should you first submit your monthly output data?

4.22 ROCs can only be claimed on electricity that has been generated on or after your accreditation date. So, the first data submission may not represent the whole month generation figure (or a whole year in the case of microgenerators who submit data annually).

4.23 If a station has already commissioned when the application is submitted, applicants for both monthly and annual issue of ROCs should take an initial meter reading on the day they submit their application. This is because the reading will coincide with the accreditation date.

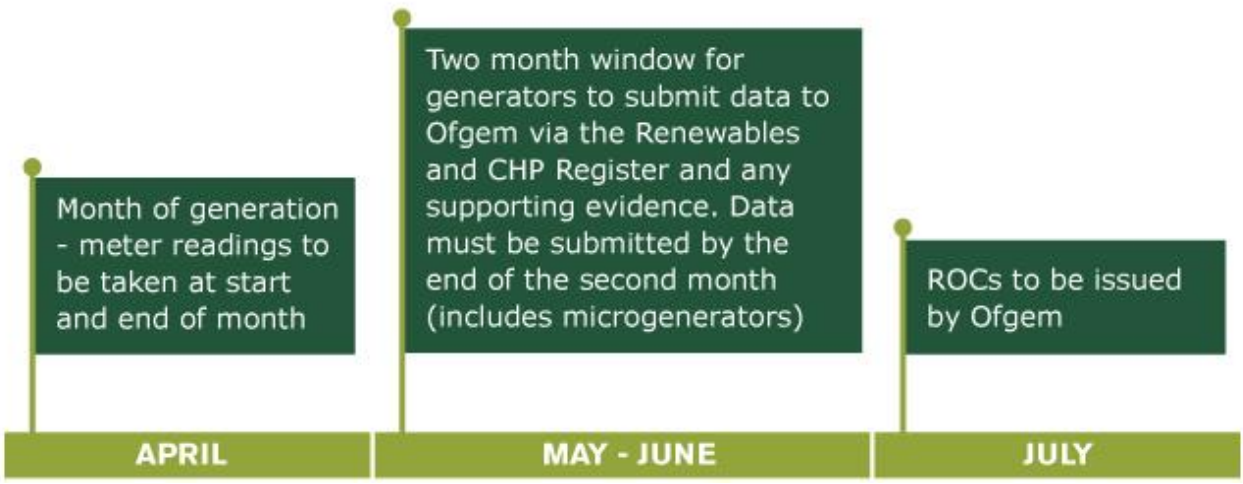
4.24 If the station has not yet commissioned when the application is submitted, applicants should take an initial meter reading as soon as the generating station has commissioned. This is because this reading will coincide with the accreditation date.

4.25 Applicants should not wait until the station has been granted accreditation before submitting data. After your initial data submission, data should be submitted for full calendar months.

Submitting data

4.26 For the majority of stations, data should be submitted on a monthly basis. Generators have two months after the month of generation to submit their data to us[43]. Figure 5 shows an example of the timeline:

Figure 5: Example timeline for submitting monthly data



4.27 The timelines for data submission and certificate issue are published annually in the 'Renewables Obligation Certificate (ROC) issue schedule' on our website. For microgenerators

[42] Article 80 of the ROO, article 53(3) of the ROS and article 45(3) of the NIRO.

making annual submissions, this two-month submission period also applies. For example, data for annual submissions (1 April – 31 March) should be received by 31 May.

4.28 As part of the initial accreditation application, microgenerators (≤50 kW DNC) can opt to claim ROCs monthly or annually.[44] The output data they provide to us will relate to the chosen period.

4.29 Some co-firing and conversion generating stations will be required to submit their monthly data on a unit by unit basis in order to monitor ROC issue against the annual ROC cap.[45] To check whether this applies to you please refer to Appendix 5.

Important things to consider when submitting data

4.30 When submitting data it is important to consider the following:

- Wait until the end of the output period before submitting data.
- Take the meter readings once a month. Do this either the day before or the day after the end of the month and at the same time each month.
- Submit the data once a month in line with the relevant deadline
- Let us know by email if you amend or submit your output data outside the two-month window. If you don't we may not know that it needs reviewing and your certificate issue might be delayed.
- Keep evidence of all your meter readings – invoices, half-hourly data or time-stamped photos. If you are taking manual reads and do not have half-hourly data, you should take photographs of the meter when it is read as proof of output. This will be important for audit purposes.

What happens if I submit late data?

4.31 If you know before the deadline that there is a reason you will not be able to submit data, contact us to discuss this before the deadline. Otherwise it will be considered as 'late data'.

4.32 We strongly recommend that you keep hold of information about when your data was sent to us in case we need evidence that the information was sent before the deadline. This could be a notification email sent by the Register. For help with setting this up, contact the team on 0207 901 7310.

4.33 The Orders give us the discretion to accept generation data submitted outside the two-month deadline[46] if we think it is right to do so. We will consider each late data submission on a case by case basis.

4.34 When deciding whether to accept late data, we take into account the reasons for the late submission, how many times data for the station has been submitted late, and any previous correspondence with a generator regarding previous late data cases. If data is regularly

[44] Article 94 of the ROO, article 60 of the ROS and article 52 of the NIRO.
[45] Schedule 6 to Renewables Obligation (Amendment) Order 2018.
[46] Article 80 (3) of the ROO, article 53(4) of the ROS and article 45(4) of the NIRO.

submitted late, the relevant ROCs will not be issued. If there have been repeated but infrequent instances of late submissions, circumstances must be truly exceptional if ROCs are to be issued.

4.35 Process for late data

4.36 When a generator submits data late via the Register, they will receive a notification which flags the data as late. At this point the data will be suspended and the generator must provide clear reasons to explain why it is late.

4.37 Supporting evidence for the late data claim should be sent to renewable@ofgem.gov.uk. The generator should also explain whether we had been previously notified that the claim would be late. This email should state the name of the generating station and the period that the claim relates to. Once we have received this information, we will review the case and inform the generator of the outcome in writing.

How do I change how often ROCs are issued?

4.38 Only microgenerators can change how often ROCs are issued. If a microgenerator of an accredited generating station wants to make this change (from monthly to annually or vice versa), they should initially contact the RO team by email at renewable@ofgem.gov.uk.

4.39 The microgenerator must then amend their accreditation on the Register by 28 February for the change to take effect from the start of the following obligation period. Once we have received this notification, we will confirm the changes to the microgenerator in writing.

Supporting evidence

4.40 When we confirm your accreditation by letter we may request supporting evidence for the data you have submitted, such as meter readings, photographs of metering, half-hourly data or any calculations agreed as part of the accreditation.

4.41 Although this evidence isn't always requested it should be kept on record by the generator in case it is required by us, for example for audit purposes.

4.42 If information cannot be provided via the Register, it can instead be sent via email to renewable@ofgem.gov.uk.

Who is responsible for data submissions?

4.43 It is the operator's responsibility to ensure we have received the information for their ROC claim within two months from the month of generation.

4.44 It is possible for the operator to authorise a third party, such as their supplier or a data collector, to provide the data on their behalf. If an operator wishes to use a third party for this, the superuser of the generator account can nominate them as a contact (see 3.10). If they do so, it's still the operator's responsibility to ensure we have received the right information.

NFFO, SRO or NI NFFO contracts

4.45 Operators of generating stations that are subject to NFFO, SRO or NI NFFO contracts do not have to provide the electricity information for the data submission to us. This information should instead be provided to NFPA for NFFO and SRO contracts and Power NI for NI NFFO

contracts. Stations using biomass or waste to generate electricity will still need to give us fuelling and sustainability information.

4.46 When NFFO, SRO or NI NFFO contracts end, there is a process for submitting data so that the right number of certificates are issued up to the end of the contract. Generators should contact us for details.

When would you submit estimated data?

4.47 If a generator satisfies us that it will never be able to provide accurate data, we can accept estimated data for issuing ROCs. An example of this could be failure of metering equipment which means that an accurate reading is not possible.

4.48 Data estimates should be conservative, and the method agreed in advance of submitting output data. The generator should contact us as soon as the need for an estimate arises, before the deadline or, if the data has been entered erroneously, within two weeks of the need for estimated data being identified. Estimated data cases may not be accepted if they are submitted outside these deadlines.

Making an application for estimated data

4.49 The generator should make an application for estimated data via their account on the Register, which should include:

- reasons why an estimate is required and the date(s) on which the issue occurred
- the proposed methodology
- the period the estimate will cover, and
- details of how and when the issue was/will be resolved.

4.50 It is the generator's responsibility to present such cases to us with the evidence clearly laid out. To ensure that we can review the estimate promptly, once an application for estimated data has been made via the Register, the generator should email any associated documents or calculations to us at renewable@ofgem.gov.uk. This email should clearly state the name of the generating station and the period which the estimate is for. We will not calculate the estimate on behalf of the generator and the estimate will be rejected, or sent back, if it is not clear or incorrect information is used.

4.51 Once we receive the application, we will review it to determine whether the proposed methodology is appropriate. If we do not think it is, we will inform the generator and will not issue ROCs. In these circumstances the generator may wish to submit a revised or alternative methodology. If we accept estimates, we will issue the ROCs accordingly.

Generating stations that export to the network

4.52 Operators of generating stations that export to the network will need to provide correspondence from the data collector attesting that actual meter reads cannot be recovered. They should also provide evidence of export occurring for the relevant time period. They can get this from a supplier. We would prefer it in the format of a 'Supplier Export Report'.

On-site use and private wire generating stations

4.53 On-site use and private wire generating stations with meter failures will be required, as a minimum, to provide supporting correspondence from the engineer repairing/replacing the meter. They should also provide us with their proposed methodology for the estimate, clearly showing all relevant calculations.

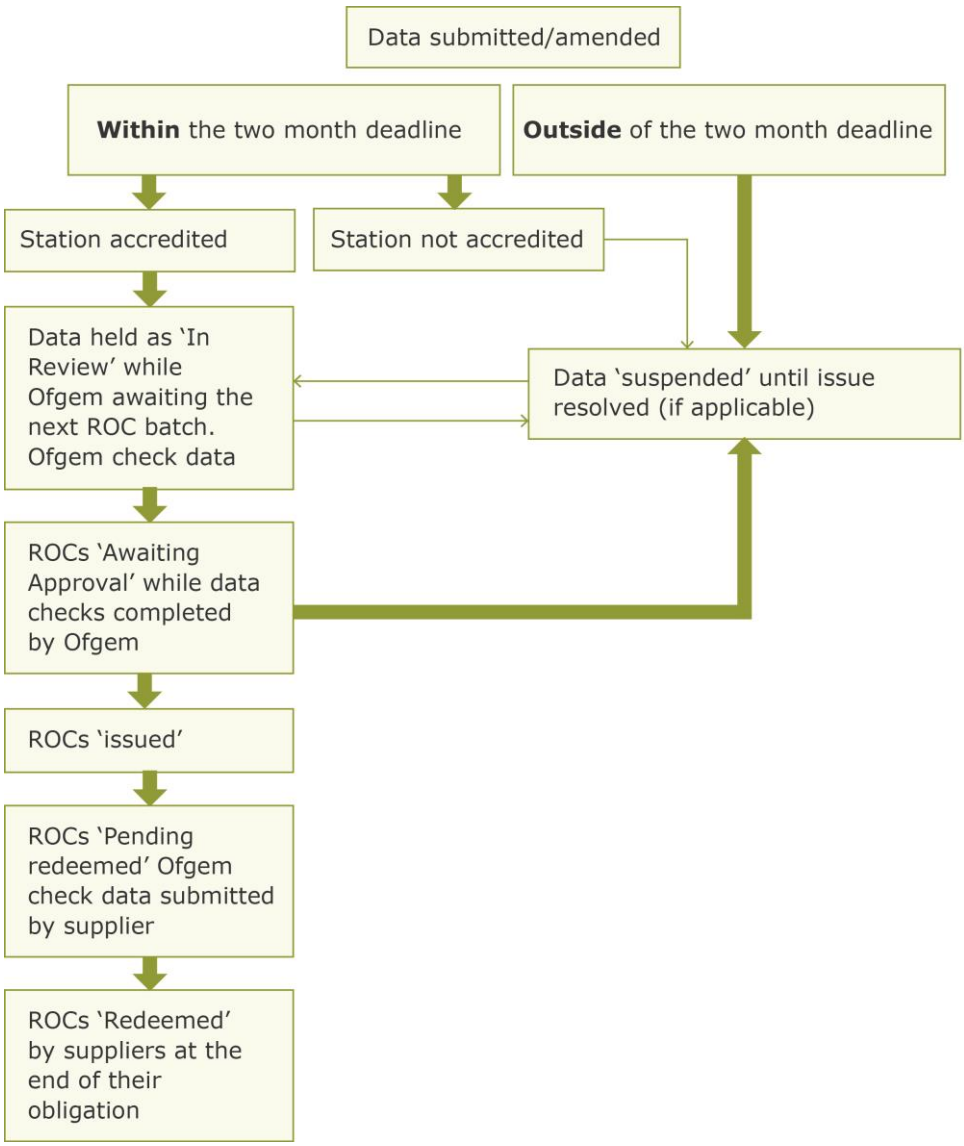
Metering communication failure

4.54 We will not accept estimated data for a metering communication failure for a period longer than a month, unless there is evidence of exceptional circumstances. If there has been a metering communication failure, but meters are still working, manual meter readings (with photographic evidence) can be taken to replace remote readings until communications are restored.

How is output data reviewed?

4.55 When the generator submits output data, we review it before we issue ROCs. The following figure shows the different statuses certificates will be in up until the point they are redeemed.

Figure 6: Certificate statuses



4.56 In addition to this internal review, the Register checks each submission. These checks include:

- the feasibility of the gross output
- a comparison with the same month in previous years
- whether the data is first submitted within the statutory two-month deadline (see 'when would you submit estimated data?', section 4.47)
- whether the data has been amended (see 'how do you amend data?', section 4.64)
- whether the accreditation has been approved, including any accreditation amendments
- whether there are any new fuels used which are pending approval, and

- whether there are any outstanding declarations to be agreed by the superuser of the account.

Output data queries

4.57 If the Register flags any queries with the output data, it will alert the user to the relevant output data anomaly (called data 'exception' on the Register) upon submission.

4.58 The Register provides a comments box to add any information which may be relevant to the data anomaly, however, note that not all data exceptions will require you to leave a comment. Please ensure you understand why this anomaly has been raised and provide an appropriate comment, with as much detail as possible to minimise delays to ROC issue. We will then review these comments as part of the data review process.

4.59 During this review, we may raise queries on the data and ask for additional information. Any queries raised will appear in your account. We will not process your data until you have responded to all queries and the requested information is provided. Please ensure you have selected the relevant notifications in your account so you are aware of them. Refer to the User Guide for how to turn these on.

How do I respond to data queries?

4.60 To check for, and respond to data queries, follow these steps:

- Click on the "Output data" tab
- Click on "Answer Ofgem queries on output"
- Click "View" next to the query
- Click "Answer" and type your response
- Click "Send query"

4.61 If you wish to save the query and add further information, you can 'Save' the query to send later, however, please note that the query will not be received by us until it is 'Sent' and we will not process the data until the response is received.

4.62 If you need to send any supporting evidence, such as half hourly data, please email it to renewable@ofgem.gov.uk. Please note, if changes are made to the data outside the two-month submission window, we will ask for evidence of these changes, such as half-hourly data.

What does my output data status mean?

4.63 As the certificates are being processed, they will have different 'Statuses'. Figure 6, on the previous page, shows how these processes fit into our checks. The meaning of these statuses are:

- **In review** – There are no issues with your data; we are waiting for the appropriate time to generate the certificates in a batch and issue certificates.

- **Awaiting approval** – Certificates have been generated, are being checked and assuming no queries need to be raised will be issued in the next few weeks. You are unable to amend your output data when in this status.

- **Issued** – The ROCs have been issued to your account. You can view or transfer them on from the certificates tab of your account.

- **Suspended** – No certificates will be issued while data is suspended. Please check your account for queries on your data or email us if you are unsure.

How do you amend data?

4.64 We can accept amended data submissions if we consider it appropriate. Data may require amendments for a number of reasons. For instance, the generator may realise that the information originally submitted is incorrect or we may have become aware of this through an audit.

4.65 Where a generator realises the original submission was incorrect they must amend the month the error occurred in order to reflect the correct figures. They must not alter the figure for the current month to account for it. Each month must reflect the generation during that month only.

4.66 We will consider each request to issue ROCs on revised data case by case. Generally, we will:

- be consistent about errors. This means that we will treat errors that result in issuing too many ROCs in exactly the same way as errors that result in issuing too few ROCs.

- correct all errors that are identified before the ROCs are issued.

- test the significance of the errors identified after the ROCs have been issued to determine if, due to the data amendment, there will be a difference to the number of ROCs issued.

4.67 If a generating station, or other party, chooses to trade a ROC that is subject to a data error enquiry, it does so in the knowledge that the ROC could be revoked at any time.

4.68 If we revoke ROCs which have already been transferred, it is the generator's responsibility to liaise with the party who receives these ROCs. Once data has been amended and certificates are to be revoked, we will email the current holder of certificates to notify them that certificates will be revoked after a 10 day period.

4.69 The Orders require us to be satisfied that the information we receive is reliable and accurate, so if there are continual errors, we may refuse to issue ROCs until we are satisfied the generating station has robust procedures in place.

Process for amending data

4.70 If data is amended by the generator outside the two-month data submission window, the register will flag this and they will receive a message showing that the output data was amended when it was resubmitted.

4.71 This is an opportunity for the generator to explain in the comment box why the data was incorrect and what amendments they have made.

4.72 So that we can review the amendment properly, we recommend that once the data has been resubmitted, the generator emails the details to us at renewable@ofgem.gov.uk. This email should state the name of the generating station and the period(s) which the amendment covers. The email should outline why the data was erroneous in the first place, what amendments have taken place, and how they will ensure procedures are robust enough to prevent it happening again.

4.73 We will review the information and the generator will be notified of the outcome. If the result is that we revoke or withhold future ROCs we will ensure that we are in contact with the generator before this happens.

5. Receiving and using Renewables Obligation Certificates (ROCs)

Chapter Summary

Describes what ROCs are, how we issue them and the circumstances in which we may revoke or refuse to issue them.

What are ROCs?

5.1 ROCs are electronic certificates issued to operators of accredited generating stations based on the net renewable electricity generated by their station.

5.2 We issue ROCs into a generator's account on the Register. ROCs can then be transferred between registered account holders whether they are other generators, suppliers or other participants in the scheme. A ROC can only be generated, issued, revoked, transferred, redeemed and retired via the Register.

5.3 The number of ROCs that can be issued for each MWh of renewable electricity generation depends on a number of factors. These include:

- the technology used at the generating station
- the location of the station
- the installed capacity of the generating station
- the date that the station was accredited under the scheme
- if applicable, the date on which any additional capacity was commissioned, and
- the fuel mix used at the station.

5.4 For more information regarding the number of ROCs issued per MWh of electricity generated by each technology as well as capacity limits, please refer to the tables in Appendix 3.

What is the process for issuing ROCs?

5.5 To claim ROCs, a generator must submit output data via their account on the Register. Chapter 4 explains how to do this. Further guidance on how to submit data can be found in the User Guide.

5.6 We carry out a number of automated and manual checks on the data once it has been submitted. We will raise queries with generators as appropriate. The Register will then generate ROCs and we will carry out checks to ensure the correct number and type of certificates has been created.

5.7 To calculate the number of ROCs, the output is rounded to give the nearest whole ROC. This may be rounded up or down. The Orders do not allow for fractions of a ROC to be carried forward to the following month.

5.8 Assuming everything is correct, the ROCs will be issued directly to a generator's account on the Register in accordance with our published ROC issue timetable. The superuser and other approved users of the account who have set up the relevant email notifications will be informed via email when this happens.

5.9 ROCs will only be issued after a station has been granted full accreditation, and will only be issued for renewable electricity that has been generated on or after the accreditation date of the station in question. Chapter 4 provides further details.

5.10 If ROCs have not been issued in accordance with our timetable, generators should check their accounts to see whether we have raised any data queries. You can set up email notifications via the Register for a variety of functions, including when a data query is raised. We would strongly recommend making use of this functionality. Although the deadline for data is a statutory deadline, the ROC issue date is not. However, we recognise the importance of maintaining stability within the ROC market and issue ROCs as per the specified date shown in the ROC issue timetable as part of our corporate strategy.

5.11 If queries relating to data submissions remain unresolved when the main certificate batch is created, the ROCs will be issued outside of the ROC issue timetable as part of weekly certificate batches.

NFFO stations

5.12 For generating stations that are subject to a NFFO, SRO or NI NFFO contract, ROCs are issued to an electricity supplier nominated by NFPA, NFPA Scotland or Power NI respectively.

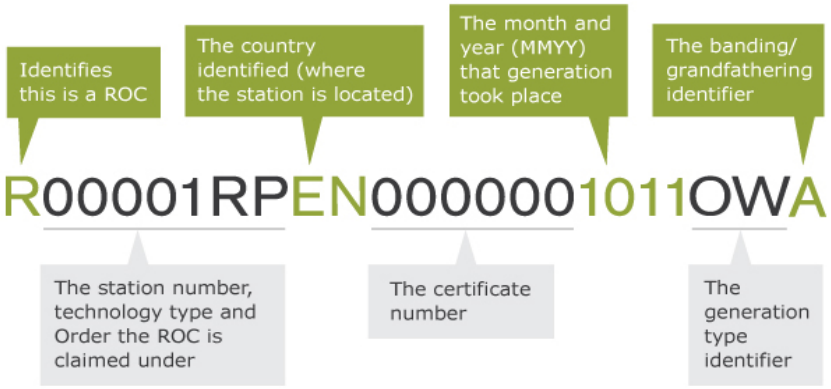
5.13 ROCs on additional metered output (AMO) can be issued to the operator of the generating station or the relevant electricity supplier. We look to the three parties mentioned above to provide us with this information as appropriate.

What information is represented by a ROC?

5.14 The Orders set out that a ROC must contain certain information[47] and each ROC is issued with a specific code along with other information in the Register, known as the ROC identifier.

[47] Schedule 4 of the ROO and ROS, Schedule 3 of the NIRO.

Figure 7: ROC identifier



5.15 Figure 7 shows a ROC identifier. It shows that this is the first ROC (certificate number 000000) in a sequence for generation that took place in October 2011. The ROC has been issued to offshore wind station '00001' located in England which is claiming under the RO Order. The ROC is issued for offshore wind generation, which is grandfathered.

5.16 ROCs are issued in ranges in ascending numerical order always beginning with 000000, so zero constitutes the first ROC. For example, if three ROCs for April 2015 are issued to an onshore wind generating station with the accreditation number of R00001RQEN, they would be issued as follows:

'R00001RQEN000000 0415NWC' to 'R00001RQEN000002 0415NWC'

5.17 It is possible for generating stations to be issued multiple ROC ranges to denote generation within a single generation period. Reasons for this may be:

- If a fuelled generating station has generated from multiple fuels, for example energy crops and regular biomass, or
- If a generating station is claiming on original and additional capacity.

5.18 Information on ROCs that have been issued, including details of the certificate range, is available via our public reports on the Register log-in page.

How long can ROCs be issued for?

5.19 In most cases, ROCs can only be issued to each generating station/additional capacity for a period of 20 years. 31 March 2037 is the ultimate cut-off date for issuing ROCs, no ROCs can be issued on any generation that occurs after this date. For certain generating stations, ROCs can be issued for generation that occurred up to the original end date of the RO, 31 March 2027. This may be a period of slightly more or slightly fewer than 20 years depending on the station's accreditation date.

5.20 The key dates and criteria are as follows:

- Operators of generating stations that have an accreditation date of on or before 25 June 2008 will not be issued with ROCs for generation beyond 31 March 2027. This includes

any additional capacity that was commissioned at the generating station on or before 25 June 2008.

- Operators of generating stations that have an accreditation date after 25 June 2008 will see their RO support end on the 20th anniversary of their accreditation date or 31 March 2037, whichever is the earlier.

- Operators of RO accredited generating stations that have commissioned additional capacity at their station after 25 June 2008 will receive RO support for 20 years from when the additional capacity was commissioned. Again, this support would end on 31 March 2037 if this date came before the 20 years had elapsed.

5.21 The 20-year period ends on the 20th anniversary of the accreditation date of a generating station (or the commissioning date of the additional capacity), subject to the 31 March 2037 cut-off. This applies even if the generator does not claim ROCs, or becomes ineligible to claim ROCs, for a particular period.

5.22 For offshore wind generating stations accredited on or after 1 April 2011 (or additional capacity added to offshore stations after that date) only, the 20 years of RO support does not apply to the accredited capacity from the point of accreditation. Instead, 20 years of RO support is realised on each group of turbines from the date on which they were registered with us. However, the 31 March 2037 cut-off still applies. Please see chapter 3 for information regarding registration of offshore wind turbines.

What is our role in trading ROCs?

5.23 We do not have any role or responsibility trading ROCs, the contractual arrangements for trading ROCs or monitoring/setting the price of ROCs.

5.24 Once ROCs have been issued to generators it is their responsibility to ensure that they are transferred promptly to their off-takers. They should also ensure that contractual arrangements are in place with such off-takers to transfer their ROCs. The Register sends notifications to inform transferors / transferees of the progress of a ROC transfer. However, it remains the responsibility of the parties involved in the transfer to ensure that the transaction is completed within the relevant statutory and contractual deadlines.

How long are ROCs valid for?

5.25 The Orders place an obligation on licensed electricity suppliers to present ROCs to us[48] on an annual basis or pay into a buyout fund. The process of producing ROCs to us for compliance is known as 'redeeming ROCs'.

5.26 Licensed suppliers must produce ROCs for compliance no later than 1 September following the end of the relevant obligation period. The Orders state that if they are making payments into the buy-out fund, they should do this by 31 August. Any suppliers who have not met their obligations by 1 September must make a late payment, subject to a daily interest penalty, by 31 October. In meeting their obligation, suppliers can only use ROCs issued in the obligation period in question or a certain percentage of 'banked ROCs' (ROCs issued in the immediately preceding obligation period), or a combination of the two. Further details on using 'banked ROCs' can be found in section 5.31.

[48] Article 7 of the ROO and article 5 of the ROS and NIRO.

5.27 For example, ROCs issued for the 2015/16 obligation period (electricity generated between 1 April 2015 and 31 March 2016) cannot be produced to us by suppliers any later than 31 August 2017.

5.28 Given this, once ROCs have been issued, the generator must transfer them promptly so that a licensed supplier can use them against their obligation. Generators should be aware that if ROCs are retained in their accounts for significant periods of time they may be unable to transfer them, or the certificates may expire and become worthless.

5.29 For more information on the role of suppliers, please refer to the 'Guidance for Licensed Electricity Suppliers'.

How do compliance caps work?

5.30 Compliance caps limit the number of certain types of ROCs that a supplier can use towards meeting their obligation under the RO. This limits the overall number of those ROCs likely to be purchased by a particular supplier. There are two caps that affect suppliers under the RO: the 'banked ROCs' cap and the 'bioliquid compliance' cap.

'Banked ROCs' cap

5.31 As part of meeting their renewables obligation, suppliers can use 'banked ROCs'. These ROCs have been issued for electricity generated in the previous compliance period, for example2015/16 ROCs produced against the 2016/17 obligation period. Banked ROCs can only make up 25% of the supplier's total obligation for the period in question[49].

Bioliquid compliance cap

5.32 Licensed electricity suppliers can only meet 4% of their annual obligation by presenting ROCs issued against generation of electricity from bioliquids.

5.33 However, ROCs issued for electricity as set out below are exempt from the bioliquid cap:

- generated by microgenerators
- generated by a qualifying CHP stations with a total installed capacity of <1MW
- generated from advanced fuels
- generated in a way described as 'energy from waste with CHP', and
- for generation that took place before 1 April 2013.

5.34 For stations that use only regular biomass and also use liquid fuels alongside solid or gaseous fuels, FMS procedures will have to be agreed with us to account for the energy content of liquid fuels. This is so that ROCs can be awarded according to the physical state of the fuel and therefore ROCs subject to the cap can be identified. Please refer to our 'RO: Fuel Measurement and Sampling Guidance' for further information.

[49] Article 14(2) of the ROO and article 13(2) of the ROS and NIRO.

Why would we refuse to issue ROCs?

5.35 We may refuse to issue a ROC in the following circumstances:

a) if we are not satisfied that the information presented to us is reliable and accurate[50]

b) if we do not think that the declaration submitted in accordance with article 20 of the ROO[51] is accurate in relation to electricity upon which we are considering issuing the ROC

c) if we have reason to believe that the electricity in respect of which we are considering issuing the ROC was not supplied by an electricity supplier to customers in Great Britain or Northern Ireland[52]

d) if a station using bioliquids, or stations with TIC ≥1MW using solid biomass or biogas in England, Wales or Scotland, does not meet the sustainability criteria,[53] or

e) where an operator of a fuelled generating station is required to but does not provide certain annual sustainability information.

Why would ROCs be revoked?

5.36 If a ROC is yet to be redeemed, the Orders set out instances where we may and must revoke a ROC.[54] We may revoke ROCs if:

- the ROC has been issued on the basis of fraudulent behaviour, statement or undertaking on the part of the operator of the generating station or any connected person
- the information provided to us by a generator or agent in respect of the issue of ROCs is false
- the ROC is otherwise inaccurate
- the ROC should not have been issued
- we have reasonable doubts over the accuracy or reliability of the information on which the ROC issue was based, or
- due to a failure or refusal of any person to provide relevant information, we have not been able to check the accuracy of a ROC or any information on the basis of which the ROC was issued.

5.37 We must revoke ROCs if NIAUR has notified us that it is not satisfied that the electricity in question has been supplied to customers in Northern Ireland.

5.38 Where we intend to revoke a ROC we shall notify the person who is the registered holder of the ROC 10 working days before revocation. We will also inform the generator of the electricity

[50] Article 24 (1) of the ROO, article 41(1)(a) of the ROS and article 37(1)(a) of the NIRO.
[51] Article 36 of the ROS and article 34 of the NIRO.
[52] Article 24 (3) of the ROO and article 41(3) of the ROO and ROS.
[53] Article 22A(1) of the ROO, ROS.
[54] Article 24 of the ROO, article 41 of the ROS and article 37 of the NIRO.

to which the ROC relates. Once a ROC has been revoked, the registered holder of the ROC will be sent a notification confirming this.

5.39 All revoked ROCs will have their status changed to 'revoked' in the Register and cannot be redeemed by a licensed electricity supplier when complying with their Renewables Obligation. We publish information on revoked ROCs in our public reports, as required by the Orders.

Why would we withhold ROCs?

5.40 If ROCs cannot be revoked because they have been redeemed, we can still take action, as explained in the Orders[55].

5.41 Where these ROCs are identified and they were issued no more than six years previously, we must refuse to issue further ROCs for electricity generated by the generating station to which the original ROC was issued. The total number of ROCs withheld will align with the number of ROCs that should have been revoked in the first instance.

5.42 This action is subject to the original ROCs not being more than six years old and not being issued for electricity generated under a NFFO contract.

5.43 If we find that redeemed ROCs should never have been issued, we will contact the relevant parties and explain how we will withhold the appropriate number of ROCs from a future ROC issue.

Public information on ROCs

ROCs claimed but not issued

5.44 We are required by the Orders to publish information on the number of ROCs claimed but not issued[56]. ROCs may be claimed but not issued for a number of reasons including if data has been queried.

5.45 We will publish on our website a total of all ROCs claimed but not issued in an obligation period. These statistics will not include ROCs that we have decided not to issue. This information is also available via our public reports and published in the Renewables Obligation Annual Report.

ROCs issued or revoked

5.46 Information on ROCs issued or revoked and their current holders is in our public reports available through the Register home page: https://www.renewablesandchp.ofgem.gov.uk/.

5.47 Please note that the reports are updated overnight and therefore do not contain live information. Additionally only ROCs with a status that is not 'pending' are in the reports.

Accredited stations report

5.48 Information on the number and capacity of stations that have been accredited is available on our website: www.ofgem.gov.uk/ro.

[55] Article 25 of the ROO, article 41A of the ROS and article 37A of the NIRO.
[56] Article 86(b) of the ROO, article 57(1)(e) of the ROS and 49(1)(d) of the NIRO.

Appendix 1: Acronyms

A	
AD	Anaerobic digestion
AMO	Additional metered output
Act	Energy Act 2008
B	
BEIS	Department for Business, Energy and Industrial Strategy
C	
CfD	Contract for Difference
CHP	Combined heat and power
CHPQA	Combined Heat and Power Quality Assurance
D	
DECC	Department of Energy and Climate Change
DfE	Department for the Economy in Northern Ireland
DNC	Declared net capacity
DSF	Dual Scheme Facility
F	
FITs	Feed-in Tariffs
FMS	Fuel Measurement and Sampling
G	
GB	Great Britain
K	
kW	Kilowatt
kWh	Kilowatt hour
M	
MW	Megawatt
MWh	Megawatt hour
N	
NFFO	Non Fossil Fuel Obligation
NFPA	Non Fossil Fuel Purchasing Agency
NI	Northern Ireland
NI-NFFO	Northern Ireland Non-Fossil Fuel Obligation
NIRO	Northern Ireland Renewables Obligation 2009 (as amended)
NIROC	Northern Ireland Renewables Obligation Certificate
O	
Ofgem	Office of Gas and Electricity Markets
Q	
QPO	Qualifying Power output
R	
RFFGS	Relevant Fossil Fuel Generating Station

RHI	Renewable Heat Incentive
RO	Renewables Obligation 2015 (as amended)
ROC	Renewables Obligation Certificate
ROO	Renewables Obligation Order
ROS	Renewables Obligation Scotland 2009 (as amended)

S

SRO	Scottish Renewables Obligation
SROC	Scottish Renewables Obligation Certificate

T

TIC	Total installed capacity

U

UK	United Kingdom

Appendix 2: Definitions of technology and fuelling bands

Appendix summary

Definitions of the individual technology and fuelling based bands that partially determine the number of ROCs that will be issued to a generating station in a given month. Banding is applicable to most but not all stations and is mainly conditional on the date a station was accredited or additional capacity was added.

Advanced gasification

Electricity generated from a gaseous fuel which is produced from waste or biomass by means of gasification, and has a gross calorific value when measured at 25ºC and 0.1 megapascals at the inlet to the generating station of at least 4 megajoules per metre cubed.

Advanced pyrolysis

Electricity generated from a liquid or gaseous fuel which is produced from waste or biomass by means of pyrolysis, and (a) in the case of a gaseous fuel, has a gross calorific value when measured at 25^0C and 0.1 megapascals at the inlet to the generating station of at least 4 megajoules per metre cubed, and (b) in the case of a liquid fuel, has a gross calorific value when measured at 25^0C and 0.1 megapascals at the inlet to the generating station of at least 10 megajoules per kilogram.

Anaerobic Digestion

This is abbreviated to "AD" in the Order and means electricity generated from gas formed by the anaerobic digestion of material which is neither sewage or material in a landfill.

Closed landfill gas

Electricity generated from landfill gas (other than electricity generated using the heat from a turbine or engine) in any month in which the generating station generates electricity only from gas formed by the digestion of material in a landfill which no longer accepts waste for disposal.

Co-firing of regular bioliquid

Electricity generated from regular bioliquid in a month in which the generating station generates electricity partly from fossil fuel and partly from renewable sources.

Co-firing of regular bioliquid with CHP

Electricity generated from regular bioliquid in a month in which the qualifying CHP generating station generates electricity partly from fossil fuel and partly from renewable sources.

Co-firing of relevant energy crops

Electricity generated before 1 April 2019 by a generating station where declared net capacity has not been in excess of 50kW at any time after 31 March 2009; where electricity is generated from relevant energy crops[57] burned in a combustion unit in a month in which the energy content of the biomass burned in that unit is less than 50% of the energy content of all energy sources burned in that unit in that month; and where electricity is generated partly from fossil fuel and partly from renewable sources.

Co-firing of relevant energy crops (with CHP)
Electricity generated before 1 April 2019 by a generating station where declared net capacity has not been in excess of 50kW at any time after 31 March 2009; where electricity is generated from relevant energy crops burned by a qualifying CHP generating station in a combustion unit in a month in which the energy content of the biomass burned in that unit is less than 50% of the energy content of all energy sources burned in that unit in that month; and where electricity is generated partly from fossil fuel and partly from renewable sources.

Dedicated biomass

Electricity generated from regular biomass by a generating station which is not a relevant fossil fuel generating station and which, in any month, only generates electricity from biomass.

Dedicated biomass with CHP

Electricity generated from regular biomass by a qualifying combined heat and power generating station which is not a relevant fossil fuel generating station, and which, in any month, only generates electricity from biomass.

Dedicated energy crops

Electricity generated from energy crops by a generating station which is not a relevant fossil fuel generating station, and which in any month, generates electricity only from energy crops.

Electricity generated from sewage gas

Electricity generated from gas formed by the anaerobic digestion of sewage (including sewage which has been treated or processed).

Energy from waste with CHP

Electricity generated from the combustion of waste (other than a fuel produced by means of anaerobic digestion, gasification or pyrolysis) in a qualifying combined heat and power generating station in a month in which the station generates electricity only from renewable sources and those renewable sources include waste which is not biomass.

Geothermal

Electricity generated using naturally occurring subterranean heat.

[57] 'Relevant energy crops' are energy crops supplied to the operator of a generating station in accordance with an agreement in writing before 7 September 2012 between the owner / operator of the generating station and a person who is not connected to the owner or generator of the station. See Article 36 of the ROO, article 28D of the ROS, and article 26D of the NIRO.

Geopressure

Electricity generated using naturally occurring subterranean pressure.

Hydro-electric

Electricity generated by a hydro generating station;

A "hydro generating station" means a generating station which is wholly or mainly driven by water (other than a generating station driven by tidal flows, waves, ocean currents, geothermal sources or using a difference in tidal levels) and the "generating station" extends to all turbines supplied by the same civil works, except that any turbine driven by a compensation flow supplied by those civil works where there is a statutory obligation to maintain such compensation flow in a natural water course shall be regarded as a separate hydro generating station.

NB The current restrictions on pre-existing hydro above 20MW in capacity will continue to apply.

High-range co-firing

Electricity generated from solid and gaseous biomass or energy crops in a month in which the generating station generates electricity partly from fossil fuel and partly from renewable sources; and where the energy content of the biomass burned in a combustion unit is at least 85% (but is less than 100%) of all the energy sources burned in that unit in that month.

High-range co-firing with CHP

Electricity generated from solid and gaseous biomass or energy crops in a month in which the qualifying CHP generating station generates electricity partly from fossil fuel and partly from renewable sources; and where the energy content of the biomass burned in a combustion unit is at least 85% (but is less than 100%) of all the energy sources burned in that unit in that month; and where the fossil fuel and biomass or energy crops have been burned in separate combustion units.

Landfill gas heat recovery

Electricity generated using the heat from a turbine or engine which is generating electricity from landfill gas.

Low-range co-firing

Electricity generated from solid and gaseous biomass or energy crops in a month in which the generating station generates electricity partly from fossil fuel and partly from renewable sources; and where the energy content of the biomass burned in a combustion unit is less than 50% of all the energy sources burned in that unit in that month.

Low-range co-firing with CHP

Electricity generated from solid and gaseous biomass or energy crops in a month in which the qualifying CHP generating station generates electricity partly from fossil fuel and partly from renewable sources; and where the energy content of the biomass burned in a combustion unit is less than 50% of all the energy sources burned in that unit in that month; and where the fossil fuel and biomass or energy crops have been burned in separate combustion units.

Mid-range co-firing

Electricity generated from solid and gaseous biomass or energy crops in a month in which the generating station generates electricity partly from fossil fuel and partly from renewable sources; and where the energy content of the biomass burned in a combustion unit is at least 50% but less than 85% of all the energy sources burned in that unit in that month.

Mid-range co-firing with CHP

Electricity generated from solid and gaseous biomass or energy crops in a month in which the qualifying CHP generating station generates electricity partly from fossil fuel and partly from renewable sources; and where the energy content of the biomass burned in a combustion unit is at least 50% but less than 85% of all the energy sources burned in that unit in that month; and where the fossil fuel and biomass or energy crops have been burned in separate combustion units.

Offshore Wind

Electricity generated from wind by a generating station that is offshore. Offshore in relation to a generating station which generates electricity from wind, means a **generating station which has its wind turbines situated wholly in offshore waters, and** is not connected to dry land by means of a permanent structure which provides access to land above the mean low water mark.

Offshore wind – demonstration turbines

Electricity generated from wind by a generating station that is offshore, uses only eligible turbines, and is located on a particular area of seabed which is subject to a demonstration lease issued by the Crown Estate. Eligible turbine in relation to an offshore wind generating station using demonstration turbines, means a wind turbine which does not form part of the generating station from a date no earlier than 1 April 2014. Demonstration lease means a lease granted by the Crown Estate, one of whose purposes is testing, demonstrating and approving the viability of a wind turbine.
This definition applies to ROS stations only.

Offshore wind – floating turbines

Electricity generated from wind by a generating station that is offshore, uses only floating wind turbines, is granted preliminary accreditation which takes effect on or before 31 March 2017 and is commissioned before 1 October 2018. Floating wind turbine in relation to an offshore generating station, means a wind turbine which is fixed or connected to the seabed by means of a chain, tension leg or other flexible mooring and not by any other means.
This definition applies to ROS stations only.

Onshore Wind

Electricity generated from wind by a generating station that is not offshore (see offshore definition above).

Standard gasification

Electricity generated from a gaseous fuel which is produced from waste or biomass by means of gasification, and has a gross calorific value when measured at 25^0C and 0.1 megapascals at the inlet to the generating station which is at least 2 megajoules per metre cubed but is less than 4 megajoules per metre cubed.

Standard pyrolysis

Electricity generated from a gaseous fuel which is produced from waste or biomass by means of pyrolysis, and has a gross calorific value when measured at 25^0C and 0.1 megapascals at the inlet to the generating station which is at least 2 megajoules per metre cubed but is less than 4 megajoules per metre cubed.

Station conversion

Electricity generated from regular biomass or energy crops by a RFFGS (relevant fossil fuel generating station). The fuels used for electricity generating in any month must be biomass or energy crops.

Station conversion with CHP

Electricity generated from regular biomass or from energy crops by a relevant fossil fuel CHP generating station. The fuels used for electricity generating in any month must be biomass or energy crops.

Tidal Impoundment – Tidal Barrage

Electricity generated by a generating station driven by the release of water impounded behind a barrier using the difference in tidal levels where the barrier is connected to both banks of a river and the generating station has a declared net capacity of less than 1 GW.

Tidal Impoundment - Tidal Lagoon

Electricity generated by a generating station driven by the release of water impounded behind a barrier using the difference in tidal levels where the barrier is not a tidal barrage and the generating station has a declared net capacity of less than 1 GW.

Tidal Stream

Electricity generated from the capture of the energy created from the motion of naturally occurring tidal currents in water.

Enhanced Tidal Stream

Electricity generated from the capture of the energy created from the motion of naturally occurring tidal currents in water, where such electricity is not generated by devices built with or maintained by capital or revenue funding under a statutory grant programme operated by the Scottish Ministers or the Secretary of State; in respect of which a statutory grant was awarded on or before 19th September 2008.

Wave

Electricity generated from the capture of the energy created from the motion of naturally occurring waves on water.

Enhanced Wave

Electricity generated from the motion of naturally occurring waves on water, where such electricity is not generated by devices built with or maintained by capital or revenue funding

under a statutory grant programme operated by the Scottish Ministers or the Secretary of State in respect of which a statutory grant was awarded on or before 19th September 2008.

Solar photovoltaic

Electricity generated from the direct conversion of sunlight into electricity.

Building mounted solar photovoltaic

Electricity generated from the direct conversion of sunlight into electricity by equipment which is installed on a building by equipment not installed on the ground either:

- directly, or
- on a frame, plinth or other structure installed on the ground wholly or mainly for the purpose of supporting that equipment.

For NIRO stations only the above definition applies where the relevant generating station is not a qualifying existing solar photovoltaic station or a qualifying new solar photovoltaic station as defined in Schedule 2.

Ground mounted solar photovoltaic

Electricity generated from the direct conversion of sunlight into electricity by equipment installed on the ground either:

- directly, or
- on a frame, plinth or structure installed on the ground, and wholly or mainly for the purpose of supporting that equipment.

For NIRO stations only the above definition applies where the relevant generating station is not a qualifying existing solar photovoltaic station or a qualifying new solar photovoltaic station as defined in Schedule 2.

Unit conversion

Electricity generated from regular biomass or energy crops burned in a combustion unit in any month in which that combustion unit burns only biomass or only energy crops, and the generating station generates electricity partly from fossil fuel and partly from renewable sources.

Unit conversion with CHP

Electricity generated from regular biomass or energy crops burned by a qualifying combined heat and power generating station in a combustion unit in any month in which that combustion unit burns only biomass or only energy crops, and the generating station generates electricity partly from fossil fuel and partly from renewable sources.

Appendix 3: Banding and Grandfathering

Appendix summary

Explains the technology and capacity dependent bands that determine the level at which ROCs are issued in a given month. It also explains the conditions that influence when these bands apply and exceptions to those rules. The section covers the period 1 April 2009 to 31 March 2017 (and capacity eligible for a grace period up to 31 March 2019).

Banding reviews

To ensure that the level of support remains appropriate the government has indicated that it intends to review the banding structure to make any changes at planned four yearly intervals. The latest of such changes came into force on 1 April 2013 (or 1 May 2013 under the NIRO).

The banding structure outlined within this chapter is intended to cover the period 2009-17.

In addition to the planned reviews the primary legislation provides for emergency reviews to be carried out in the following circumstances:

- significant change in the cost regime for grid connection or transmission
- new renewable generating technology emerges with a potential to deploy on a large scale
- changes to other support schemes which will have a significant impact on the generation of electricity from renewable sources
- evidence of significant and sustained variation in net costs or reviews (for one or more technologies) changing the economic case from that assumed in the setting of banding levels
- the co-firing cap creates significant distortions in the ROC market
- over compliance, and
- any unforeseen event which could have a significant effect on the operation of the Renewables Obligation.

It will be for the Secretary of State or relevant Devolved Authority Ministers to determine what is significant in the context of these powers.

Banding (technology, fuelling and location dependent banding levels)

In 2010, the Feed-in Tariffs scheme (FIT) was introduced in Great Britain. As a result hydro, PV, wind and AD microgenerating stations (those with DNC of 50kW or less) were excluded from being supported under the RO[58].

Since a FIT scheme was not introduced in Northern Ireland, to ensure that the development of renewables was not undermined as a result, in 2010 and 2011 the Northern Ireland administration introduced additional support under the RO for generating stations of specified capacity using certain technologies[59].

Table 7 shows the banding related to the RO (in England and Wales) and the ROS (in Scotland). Table 8 shows the banding levels under NIRO (in Northern Ireland). Table 9 shows the banding level applicable for RO, ROS and NIRO stations generating electricity using regular biomass.

The tables list the banding level that applies to stations accredited and capacity added to accredited generating stations during each specific time period. For the definitions of each type of generating capacity please refer to Appendix 2.

The tables reflect the current tables in Schedule 2 of the Orders but have been adapted for ease of reference. This includes presenting the level of support as a number of ROCs per MWh of eligible electricity produced rather than MWhs of electricity to be stated in each ROC. The tables also contain footnotes that point to articles of the Orders that make alterations to the banding levels set out in the tables.

For stations with more than one combustion unit that use regular biomass on or after 1 April 2013 (or 1 May 2013 under the NIRO), banding is determined on a unit by unit basis rather than a station-wide basis. See the 'RO: Fuel Measurement and Sampling Guidance' for further information.

Please note that there is no separate band for stations that meet the 'station conversion' band definition and that use bioliquid fuels; they are supported under the 'station conversion' band.

There are some exceptions to the RO banding levels set out in Tables 7 and 9 that will apply to certain generating stations. Please refer to the section on 'Exceptions to banding and grandfathering' on page 73 for further information.

[58] Article 51 of the ROO.
[59] Article 27A to D and 29 A and B of the NIRO

Table 7: RO and ROS banding (excluding regular biomass* bands)

Band	pre-13 capacity	13/14 capacity	14/15 capacity	15/16 capacity	Post-2016 capacity
Advanced gasification/pyrolysis	2	2	2	1.9	1.8
AD	2	2	2	1.9	1.8
Energy from waste with CHP	1	1	1	1	1
Geothermal	2	2	2	1.9	1.8
Geopressure	1	1	1	1	1
Hydro	1	0.7 (1 ROS)	0.7 (1 ROS)	0.7 (1ROS)	0.7(1ROS)
Landfill gas[60]	0.25**	0	0	0	0
Landfill gas – closed landfill gas	New band	0.2	0.2	0.2	0.2
Landfill gas heat recovery	New band	0.1	0.1	0.1	0.1
Microgeneration (<=50kW DNC)[61]	2	2	2	1.9	1.8
Onshore wind	1	0.9	0.9	0.9	0.9
Offshore wind	2***	2	2	1.9	1.8
Offshore wind – demonstration turbines (ROS)	New band	New band	2.5	2.5	2.5
Offshore wind – floating turbines (ROS)	New band	New band	3.5	3.5	3.5
Other	1	1	1	1	1
Sewage gas	0.5**	0.5	0.5	0.5	0.5
Solar PV	2	Retired band, see new bands below			
Solar PV (building mounted)	New band	1.7	1.6	1.5	1.4
Solar PV (ground mounted)	New band	1.6	1.4	1.3	1.2
Standard gasification/pyrolysis	1	2	2	1.9	1.8
Tidal barrage (<1GW DNC)	2	2	2	1.9	1.8
Tidal lagoon (<1GW DNC)	2	2	2	1.9	1.8
Tidal stream[62]	2	2	2	2	2
Wave	2	2	2	2	2

[60] Article 57 of the ROO and article 24 of the ROS state that no ROCs are to be issued in respect of post-2013 capacity for landfill gas unless the electricity is generated using pre-2013 capacity, closed landfill gas or landfill gas heat recovery.
[61] Article 34 of the RO and article 29 of the ROS apply. Article 2d(a)(v) of the ROS excludes enhanced wave and tidal stream generating stations from the definition of 'microgenerator' from 1 April 2013.
[62] Under Article 40 of the ROO '2012/17 marine capacity' up to 30MW TIC receives 5 ROCs/MWh.

Band	pre-13 capacity	13/14 capacity	14/15 capacity	15/16 capacity	Post-2016 capacity
Tidal stream - enhanced (ROS)	3	3	3	3	3
Wave - enhanced (ROS)	5	5	5	5	5

* Regular biomass is defined as biomass other than (a) sewage gas, (b) landfill gas, (c) energy crops, (d) fuel produced by means of anaerobic digestion, (e) advanced fuel.

** Some of these stations may be eligible to receive 1 ROC/MWh (article 30 and 31). See 'Exceptions to banding and grandfathering' on page 73 for further information.

*** Offshore wind generating stations granted full accreditation or that have additional capacity recognised in the period 12/07/2006 to 31/03/10 are awarded 1.5 ROCs/MWh (article 39 ROO, article 30A ROS.).

Table 8: NIRO banding and DNC limits (excluding regular biomass bands)

Band		Pre-2013 capacity		13/14 capacity [63]	14/15 capacity [64]	15/16 capacity [63]	Post-2016 capacity [63]
		2009 banding	2010 & 2011 changes [65]				
Advanced gasification/pyrolysis		2	2	2	2	1.9	1.8
Anaerobic digestion[1]	<= 500kW	2	4	4	4	4	4
	>500kW-5MW	2	3	3	3	3	3
	>5MW	2	2	2	2	1.9	1.8
Energy from waste with CHP		1	1	1	1	1	1
Geothermal		2	2	2	2	1.9	1.8
Geopressure		1	1	1	1	1	1
Hydro[2]	<=20kW	1	4	4	4	4	4
	>20kW-250kW	1	3	3	3	3	3
	>250kW-1MW	1	2	2	2	2	2
	>1MW – 5MW	1	1	1	1	1	1
	>5MW	1	1	0.7	0.7	0.7	0.7
Landfill gas[66]		0.25*	1	1	1	0	0
Landfill gas – closed landfill		New band				0.2	0.2

[63] AD, hydro, PV and onshore wind <5MW based on articles 27 to 27D and 29A and B.
[64] AD, hydro, PV and onshore wind <5MW based on articles 27 to 27D and 29A and B.
[65] Article 27 to 27D and 29A and B.
[66] Article 22 of the NIRO states that no ROCs are to be issued in respect of post-2013 capacity for landfill gas unless the electricity is generated using pre-2013 capacity or 2013/15 capacity, closed landfill gas or landfill gas heat recovery.

Band		Pre-2013 capacity		13/14 capacity [63]	14/15 capacity [64]	15/16 capacity [63]	Post-2016 capacity [63]
		2009 banding	2010 & 2011 changes [65]				
Landfill gas heat recovery		New band				0.1	0.1
Microgeneration (<50kW DNC)[67]		2	2	2	2	1.9	1.8
Onshore wind[2]	<=250kW	1	4	4	4	4	4
	>250kW-5MW	1	1	1	1	1	1
	>5MW	1	1	0.9	0.9	0.9	0.9
Offshore wind		2**	2	2	2	1.9	1.8
Sewage gas		0.5*	0.5	0.5	0.5	0.5	0.5
Solar PV[3] BM = building mounted solar PV GM = ground mounted solar PV	<=50kW	2	4	4	4	4, then 3 from 1 Oct 2015.	3, then 2 from 1 Oct 2016.
	>50kW-250kW	2	2	2	2	2	2
	>250kW	2	2	1.7 BM	1.6 BM	1.5 BM	1.4 BM
				1.6 GM	1.6 GM	1.5 GM	1.4 GM
Standard gasification/pyrolysis		1	1	2	2	1.9	1.8
Tidal barrage (<1GW DNC)		2	2	2	2	1.9	1.8
Tidal lagoon (<1GW DNC)		2	2	2	2	1.9	1.8
Tidal stream[68]		2	2	2	2	2	2
Wave[69]		2	2	2	2	2	2

[1] Applies to generating stations that were first accredited on or after 1 April 2011. If the station, at any time after 26 April 2010, had a DNC above the specified maximum it would not qualify for the band[70] and standard banding rules apply.
[2] & [3] applies to:
a) Generating stations that were first accredited after 31 March 2010. If the station, at any time after that date, had a DNC above the stated maximum, it does not qualify for the band and standard banding rules apply; and
b) Stations that were accredited as of 31 March 2010, that add capacity after this date, can claim the enhanced level of NIROCs in respect of generation by the additional capacity only. Generation by the original capacity (the capacity of the station as at 31 March 2010) will continue to realise NIROCs at the relevant band that applied when the station was accredited. If the station, at any time after 31 March 2010, had a DNC above the stated maximum, it does not qualify for the band[71].

[67] Article 27 of the NIRO applies.
[68] Under article 40 of the ROO 2012/17 marine capacity up to 30MW TIC receives 5 ROCs/MWh.
[69] Under article 40 of the ROO 2012/17 marine capacity up to 30MW TIC receives 5 ROCs/MWh.
[70] Article 27C of NIRO.
[71] Articles 27 to 27B, 29A and 29B of NIRO.

* Some of these stations may be eligible to receive 1 ROC/MWh (article 30 and 31). See 'Exceptions to banding and grandfathering' on page 73 for further information.

** Offshore wind generating stations granted full accreditation or that have additional capacity recognised in the period 12/07/2006 to 31/03/10 are awarded 1.5 ROCs/MWh (article 39 ROO, article 30A ROS).

Table 9: RO, ROS and NIRO banding for stations using regular biomass* (note - for post 31 March 2013 (or post 30 April 2013 under the NIRO) generation, banding for multi unit stations is determined on a unit by unit rather than station-wide basis)

Band	pre-2013 capacity	13/14 capacity	14/15 capacity	15/16 capacity	Post-2016 capacity
Conversion (station or unit)	1	1	1	1	1
Conversion with CHP (station or unit)	1.5	1.5	1.5	1.5	1.5
Co-firing of biomass	No ROCs issued under this band for post 31 March 2013				
Co-firing (low range) †	0.5	0.5	0.5	0.5	0.5
Co-firing (mid-range)	0.6	0.6	0.6	0.6	0.6
Co-firing (high-range) †	0.9	0.9	0.9	0.9	0.9
Co-firing (low range) with CHP†	1	1	1	1***	1***
Co-firing (mid-range) with CHP	1.1	1.1	1.1	1.1***	1.1***
Co-firing (high-range) with CHP†	1.4	1.4	1.4	1.4***	1.4***
Co-firing of biomass with CHP	No ROCs issued under this band for post 31 March 2013				
Co-firing of energy crops	No ROCs issued under this band for post 31 March 2013				
Co-firing of energy crops with CHP	No ROCs issued under this band for post 31 March 2013				
Co-firing of regular bioliquid†	0.5	0.5	0.5	0.5	0.5
Co-firing of regular bioliquid with CHP†	1	1	1	1	1
Co-firing of relevant energy crops (low-range)[72]	See footnote				
Co-firing of relevant energy crops with CHP (low-range)[73]	See footnote				

[72] Under Article 36 of the ROO (28D of the ROS) 1 April 13 – 31 March 15 generation receives 0.8 ROCs/MWh and 1 April 15 – 31 March 19 generation receives 1 ROC/MWh.
[73] Under Article 36 of the ROO (28E of the ROS) 1 April 13 – 31 March 15 generation receives 1.3 ROCs/MWh and 1 April 15 – 31 March 19 receives 1.5 ROC/MWh.

Band	pre-2013 capacity	13/14 capacity	14/15 capacity	15/16 capacity	Post-2016 capacity
Dedicated biomass**	1.5	1.5	1.5	1.5	1.4
Dedicated biomass with CHP**	2	2	2	1.9	1.8
Dedicated energy crops**	2	2	2	1.9	1.8

†**Note**: For some co-firing generating stations, the banding rates differed from those set out in this table for generation prior to April 2015. Please refer to the ROO 2009 (as amended).

*Regular biomass is defined as biomass other than (a) sewage gas, (b) landfill gas, (c) energy crops, (d) fuel produced by means of anaerobic digestion, (e) advanced fuel.

**Generating stations meeting the definition of a relevant fossil fuel generating stations are not eligible to claim under these bands for any post 31 March 2013 (post 30 April 2013 under the NIRO) generation[74].

*** These support levels are only available in circumstances where support under the RHI is not available. See article 35 of the ROO, article 28 of the ROS and article 26 of the NIRO.

Exceptions to banding and grandfathering

Grandfathering

Grandfathering is the policy intent of maintaining the same level of support as was available at the point of accreditation (for additional capacity, when this was added to an accredited station) for the whole duration of its support under the RO. Part 6 of the Orders provides further information.

Subject to a number of exceptions the following grandfathering provisions apply:

- Landfill gas, sewage gas, offshore wind, wave and PV generating stations (TIC) accredited on or before 11 July 2006 (the date of the publication of the Energy Review Report) receive 1 ROC/MWh.
- Generating stations (TIC) accredited on or before 31 March 2009 and which, after the introduction of banding, would have been banded up, were moved to the appropriate higher band on 1 April 2009. This is with the exception of offshore wind, wave and PV stations.
- Landfill gas and sewage gas generating stations (TIC) accredited between 12 July 2006 and 31 March 2009 inclusive, receive 1 ROC/MWh.
- Landfill gas and sewage gas generating stations (TIC) which were granted preliminary accreditation on or before 31 March 2009 and which were commissioned before 1 April 2011, receive 1 ROC/MWh.
- Additional capacity added between 12 July 2006 and 31 March 2011 to landfill and sewage gas generating stations that were accredited as at 11 July 2006 receives 1 ROC/MWh.

[74] Refer to Schedule 2 of the ROO for the definition of the bands.

- Additional capacity added between 12 July 2006 and 31 March 2011 to landfill and sewage gas stations which were accredited on or before 31 March 2009 receives 1 ROC/MWh.
- Landfill and sewage gas generating stations which were granted preliminary accreditation on or before 31 March 2009 and commissioned on or before 31 March 2011 and subsequently added additional capacity on or before 31 March 2011, receive 1 ROC/MWh on electricity generated using both the original accredited capacity as well as the additional capacity added on or before 31 March 2011.

5.49 Exceptions to the grandfathering rules

Government policy states that certain types of station are not accommodated by grandfathering. DECC's consultation response document on the banding review[75] contains a chapter setting out the government policy intent for grandfathering; please refer to this document for further details.

In December 2015 the government announced the decision to remove grandfathering rights for small-scale solar PV capacity accredited in England and Wales after 22 July 2015. They also announced the decision to provide an exception to that removal for projects that met specified criteria for demonstrating that they had made a significant financial commitment on or before 22 July 2015. Please refer to the government response to the consultation on changes to financial support for solar PV[76] for more information.

The government has consulted on proposals for reduced support for small-scale solar PV in England and Wales with an accreditation date from 23 July 2015 onwards, unless they are eligible for the exception to the removal of grandfathering. Please refer to the consultation on the level of banded support for new solar PV under the Renewables Obligation[77] for more information. The Government response to that consultation will be published on the same web page. We will contact affected generators as and when the change in support comes into force.

5.50 Generating stations that received a statutory grant made prior to 11 July 2006[78]

Stations that received such a grant that are accredited after 11 July 2006 must have surrendered or paid back the grant prior to 31 March 2011 in order to benefit from banded ROCs. If the grant was not surrendered the station receives 1ROC/MWh or the relevant banding whichever is less.

BEIS are responsible for informing us of any generating stations in receipt of a grant before 11 July 2006 and also for informing us of when this grant has been repaid in full.

Registered grace period stations

Stations that for reasons related to delays in grid connection or radar solution deployment were unable to commission prior to 1 April 2013 (or 1 May 2013 under the NIRO) had the option to register as a grace period generating station. Stations registered as grace period generating stations are supported at the ROC level that was available prior to 1 April 2013 (or 1 May 2013 under the NIRO).

[75] https://www.gov.uk/government/consultations/supporting-large-scale-renewable-electricity-generation
[76] https://www.gov.uk/government/consultations/changes-to-financial-support-for-solar-pv
[77] https://www.gov.uk/government/consultations/consultation-on-the-level-of-banded-support-for-new-solar-pv-under-the-renewables-obligation
[78] Article 41 of the RO, Article 32 of the ROS and Article 31 of the NIRO.

Appendix 4: Biomass conversions, dual scheme facilities (DSF) and RO-CfD phased projects

A4.1 CfDs are adminstered by the Low Carbon Contracts Company (LCCC). There are three circumstances in which a generating station can gain support from both the RO and CfD at the same time:

- An RO-accredited biomass co-firing station, for which ROCs under the 'conversion' bands have never been claimed, can convert units to biomass under CfD, or to the Capacity Market (CM) by withdrawing those units from the RO. Stations with units under the RO and with 'biomass conversion' units under CfD would become a DSF.
- Operators of RO-accredited generating stations who add additional capacity ≥5MW under the CfD scheme can become a DSF.
- An RO offshore wind generating station where unregistered phases are added under CfD would become an RO-CfD phased project.

A4.2 There is a further circumstance where you can withdraw your RO accreditation and gain support from elswehere:

- An entire RO-accredited biomass co-firing station can be converted to biomass under CfD or the CM, meaning support under the RO would stop and the station would be supported entirely by the CfD scheme or CM.

Biomass conversions under CfD

A4.3 Operators of RO generating stations who wish to convert a unit or the entire station to biomass under CfD will need to send Ofgem a written CfD transfer notice[79] which:

1. Identifies the combustion unit, or generating station, to which the notice relates
2. States the conversion date (the date from which the operator of the generating station intends to start using that combustion unit, or generating station, to generate electricity only from biomass)
3. The date on which the CfD or investment contract was entered into for each combustion unit, or for the station as a whole if the entire station is converting.

A4.4 The notice should be submitted to Ofgem within 14 days of the application for a CfD being successful (considered to be once a CfD has been allocated and signed by the operator of the generating station). An example of this notice can be requested from us by email. Before the conversion date, the RO-accredited capacity in question may continue to claim the relevant co-firing ROCs.

[79] Article 21B of the Orders.

A4.5 On the conversion date, the capacity that the transfer notice relates to will no longer be eligible to receive ROCs and will instead be supported under CfD. Once a CfD transfer notice has been submitted to Ofgem it cannot be withdrawn, except in the following circumstances:

- the CfD transfer notice relates to a combustion unit which has been entered into an investment contract
- the investment contract has been terminated according to one of the permitted termination events, or
- the operator of the generating station has informed Ofgem in writing that the transfer notice is to be withdrawn before the conversion date.

A4.6 To withdraw a transfer notice the operator should ensure that these circumstances are met.

A4.7 An operator may change the conversion date stated in the transfer notice by notifying Ofgem before the original conversion date has passed.[80] In this instance, the operator may continue to receive the relevant co-firing ROCs before the amended conversion date. Conversion dates cannot be changed after 31 March 2027.

A4.8 If, after submitting a CfD transfer notice, an operator decides not to pursue biomass conversion, the generating station or unit in question would still no longer be eligible for ROCs from the conversion date that was notified to Ofgem.

Biomass co-firing stations transferring into the CM

A4.9 Operators in England and Wales who wish to transfer a unit or their entire generating station to CM will need to send Ofgem a written CM transfer notice[81] which:

1. identifies:
   a. the station to which the notice relates, or
   b. the Capacity Market Unit (CMU)[82] to which the notice relates, and includes a diagram that shows the RO and CM equipment, and
2. states the date on which the capacity agreement was issued, and
3. states the date of commencement of the delivery year, or first delivery year, for which that capacity agreement was issued (the capacity market participation date).

A4.10 A CM transfer notice comes into force on the capacity market participation date, unless the capacity agreement has been terminated before the earliest of either: the participation date or 1 April 2017.

[80] Article 50(5) of the RO Order (2015) and Article 21B(6) of the ROS Order 2009 (as amended).
[81] Article 48 of the RO Order 2015.
[82] Defined in the Electricity Capacity Regulations 2014.

A4.11 The notice should be submitted to Ofgem as soon as possible after the CM agreement has been issued.

A4.12 Before the capacity market participation date, the RO-accredited capacity in question may continue to claim ROCs. However, from 1 January 2016 if a station has been issued with a capacity agreement, but we have not received the transfer notice then we will not be able to issue ROCs[83]. We will only be able to issue these ROCs once we have received the transfer notice. We therefore encourage operators to submit the transfer notice as soon as possible after the capacity agreement is issued. Please contact us if you need further information on this.

A4.13 On the capacity market participation date, the capacity that the transfer notice relates to will no longer be eligible to receive ROCs and will instead be supported under CM. Once a capacity market transfer notice has been submitted to Ofgem it cannot be withdrawn.

A4.14 Stations that have converted a unit to biomass, rather than the entire station, will be subject to the dual scheme facility rules explained below.

Additional requirements for DSFs (including biomass conversions where individual units transfer from the RO to CfD or the CM)

A4.15 Operators will be required by the CfD Delivery Body to state in their CfD application that they are applying as a DSF. This information will be shared by the CfD Delivery Body with Ofgem. We will then ask operators to:

- Confirm what the total installed CfD capacity of the generating station will be.
- Update their schematic diagram on the Register, showing the entire capacity of the generating station (both the RO and CfD capacity), including the separate metering arrangements. Operators should highlight on the schematic the RO capacity and the CfD capacity so that they can be easily distinguished. Operators should also indicate what each meter is measuring and the relevant meter details.
- Update the plant description on the Register to include the CfD capacity once the CfD capacity begins generating.
- Confirm whether they want to claim Renewable Energy Guarantees of Origin (REGO) certificates on both their RO and CfD capacity. If so, monthly output data submissions for the generating station (both RO and CfD capacity) should be provided once the CfD capacity begins generating. There are specific steps that a station will need to take to do this. Refer to 83A4.22 for further details.
- For DSFs but not biomass conversions: Confirm when the CfD capacity is expected to be commissioned
- For DSFs where units have been converted to biomass under CfD (or the CM) only: Once the CfD capacity begins generating, update the RO accreditation application to amend the total installed capacity (TIC) of the RO capacity at the generating station.

[83] In accordance with Article 48 of the Renewables Obligation Order 2015 for England and Wales.

Metering arrangements at DSFs (including biomass conversions where individual units will transfer from the RO to CfD)

A4.16 Metering of the RO capacity and metering of the CfD capacity at a DSF must be separate and distinct. This is to ensure that the correct level of support is issued for the capacity that each scheme supports.

A4.17 For the RO capacity at a DSF, this will involve:

- Metering the RO output electricity[84] separately, or metering the non-RO output electricity separately and deducting it from the electricity metered for the whole generating station. It should be demonstrated to Ofgem that the metered output on which ROCs are to be claimed is only from the RO-accredited capacity. The RO capacity at a generating station should continue to meet its metering obligations under the RO.

- Calculating the RO input electricity[85] pro rata on the basis of the TIC (the RO *and* CfD capacity). The RO also provides the option of separate metering of input electricity solely used for non-RO capacity, or separate metering of all the input electricity used for the RO capacity.

- Providing separate fuel and sustainability data for the RO output electricity.

A4.18 It is the operator's responsibility to ensure that they are aware of the metering requirements for both schemes when applying as a DSF. If the operator intends to apply as a DSF we recommend that you contact Ofgem in advance. For queries specific to the CfD capacity of a generating station, please contact the LCCC.

Offshore wind generating stations

RO-CfD phased projects

A4.19 RO-accredited offshore wind generating stations that add new phases under CfD to become an RO-CfD phased project are subject to CfD phasing rules[86]. You should contact the LCCC for further information. RO and CfD phases will need to be on entirely separate strings of turbines, with no connection that allows electricity generated by RO-registered strings to be exported on a CfD string or vice versa.

A4.20 Operators undergoing phasing that wish to undertake this option should inform Ofgem on or before 31 March 2017. Operators of RO-accredited offshore wind generating stations should be aware that if they apply for a CfD for any unregistered turbines this means they

[84] This term is defined in Article 2 RO Order (2015) (as "RO output electricity") and Article 2 of the ROS Order 2009 (as amended)(as "total output electricity").
[85] This term is defined in Article 2 RO Order (2015) (as "RO input electricity") and Article 2 of the ROS Order 2009 (as amended)(as "Total input electricity").
[86] Information on the CfD metering policy for phased projects is available at: https://www.gov.uk/government/publications/electricity-market-reform-contracts-for-difference

cannot register any further turbines under the RO. This is because the operator has made their 'choice of scheme'[87].

A4.21 For further information on registering offshore wind turbines under the RO please refer to section 3.41.

DSFs wishing to claim REGOs on their RO *and* CfD capacity

A4.22 Traditionally, operators of generating stations that wish to apply for accreditation under the RO and REGO schemes submit one accreditation application to Ofgem that covers both schemes. The information required to calculate the correct certificate issue under each of the schemes is also provided by the generator in their output data submission each month via the Register. For DSFs there is a different approach and operators should contact Ofgem to discuss the process which is explained below.

A4.23 To ensure that a DSF that wishes to claim REGOs on its RO and CfD capacity gains the correct level of support from each scheme the following steps will be undertaken:

1. Ofgem will remove the REGO accreditation from the existing application on the Register so that only the RO accreditation remains. This will be effective from the date that the CfD capacity is scheduled to begin generating.

2. The operator of the DSF will be asked to make a new application for REGO for the entire capacity (the RO and CfD capacity) of the generating station before the CfD capacity begins generating. The same generating station name should be used with 'REGO' added to the end of the name so that the applications can be distinguished from each other. Ofgem will make this new application effective from the date that the CfD capacity is scheduled to begin generating.

A4.24 This means that DSFs will have two applications on the Register. One will cover the RO accreditation and the other will cover the REGO accreditation. This will ensure the correct number of ROCs are issued against the RO capacity, and that REGOs can be claimed for the entire generating capacity (both RO and CfD). Please refer to the REGO guidance for information on this scheme.

Fuel measurement and sampling (FMS), and sustainability reporting

A4.25 There are no changes to the RO concerning the fuel data provisions for the RO capacity at a DSF. However, FMS procedures may need to be revisited and agreed. Fuel use in the RO capacity should be separate and distinct from fuel use in the CfD capacity.

A4.26 Fuelled stations accredited under the RO must agree FMS procedures with Ofgem, and report against the RO sustainability criteria. DSFs will continue to do this directly with Ofgem

[87] The choice of scheme takes place when the operator (a) submits an application for full accreditation under the RO for a new generating station, (b) submits an amended RO accreditation application to register additional capacity ≥5MW under the RO at an existing RO generating station, (c) submits an application for a CfD, or (d) entered into an investment contract. Once this choice has been made, an applicant cannot apply for the other scheme, unless the original application is rejected. If an applicant chooses to withdraw their application they cannot apply for the other scheme as they have already made their choice.

for the RO capacity, as will generating stations supported under REGO. We provide the LCCC with support and advice on the FMS and sustainability reporting aspects of the CfD scheme.

Conditions of accreditation

A4.27 Under the RO, generating stations are subject to a number of conditions of accreditation. For DSFs, we will attach an additional condition of accreditation that DSFs must tell Ofgem about changes made to the CfD capacity at the generating station, as well as the RO capacity. We will do this when the station becomes a DSF. This is to make sure reporting is accurate.

Appendix 5: Annual ROC cap applicable to electricity generated by certain co-firing and conversion stations

Appendix summary

Explains the conditions that influence when and to whom the annual ROC cap applies and the mechanism that determines ROC issue to capped generating stations.

A5.1 The Renewables Obligation (Amendment) Order 2018 introduced an annual ROC cap on certain generating stations claiming co-firing and conversion ROCs in England and Wales. The purpose of this Appendix is to help generating stations to determine whether they are affected by this cap and what it means for them.

Is my station affected by the cap?

A5.2 The annual ROC cap applies to some relevant fossil fuel generating stations claiming co-firing and conversion ROCs. For these stations the legislation defines that combustion units can either be "capped" or "exempt".

A5.3 Under the annual ROC cap,[88] "relevant fossil fuel station" has a different meaning to its use in the rest of the Order. It has the meaning in Schedule 5 of the ROO 2015 but does not include:

- a generating station that received ROCs as a "dedicated biomass" generating station (including "dedicated biomass with CHP"), as defined in Appendix 2 of this guidance, before it became a "relevant fossil fuel station", or
- a microgenerator.

A5.4 Generating stations that are affected are those that include at least one capped combustion unit. A generating station is only exempt from the cap if it has no capped units, ie only exempt units.

A5.5 Subject to paragraph A5.6 of this guidance, an "exempt combustion unit" is a combustion unit of a relevant fossil fuel station where unit or station conversion (including "with CHP") ROCs were issued in respect of electricity generated before 12 December 2014.

A5.6 If your generating station is currently not effected by the cap (ie all exempt units), there is no need for you to take any immediate action.

A5.7 The Orders state that exempt combustion units will lose their exemption if, during any 6 month period, the unit generates more than 15% (by energy content) of its electricity from fossil fuels (not including fossil fuel for permitted ancillary purposes). These operators have a responsibility to monitor their status in relation to the cap and inform us of any changes such

[88] Schedule 6 of Renewables Obligation (Amendment) Order 2018

that the cap may affect them in the future by emailing FuellingandSustainability@ofgem.gov.uk.

How does the cap work?

A5.8 As described above, a station is affected by the cap if it has at least one capped unit:

- A generating station that only contains capped units is a "capped generating station".
- A generating station that has a mixture of capped and exempt units is a "mixed generating station".

A5.9 The assessment of whether a station is capped or mixed:

- for the 2018/19 obligation period takes place on [commencement date], and
- for the 2019/20 and subsequent obligation periods takes place on qualification date[89] each year.

How many ROCs can a capped generating station receive?

A5.10 A capped generating station's ROC allowance per obligation period is:

Number of capped combustion units x 125,000 ROCs

A5.11 ROC issue to capped generating stations will be monitored on a station-wide basis throughout the obligation period. Once the total allowance is reached no more ROCs will be issued to the station for the rest of that obligation year.

A5.12 The operator of the capped generating station will need to monitor the cap and provide us with information each month to demonstrate their progress against it. We will provide operators of these generating stations with a separate template spreadsheet to use to calculate how many ROCs are being claimed against each unit. This will enable the cap to be monitored.

How many ROCs can a mixed generation station receive?

A5.13 A mixed generating station's ROC allowance per obligation period is capped when both of the following tests are met:

1. ROC issue to the station meets the mixed generating station estimate, as defined in A5.13, and
2. ROC issue to capped combustion units exceeds the capped combustion unit allowance:

   Number of capped combustion units x 125,000 ROCs

A5.14 For each obligation year the Secretary of State will publish the "exempt combustion unit estimate" for each relevant exempt combustion unit of a mixed generating station in

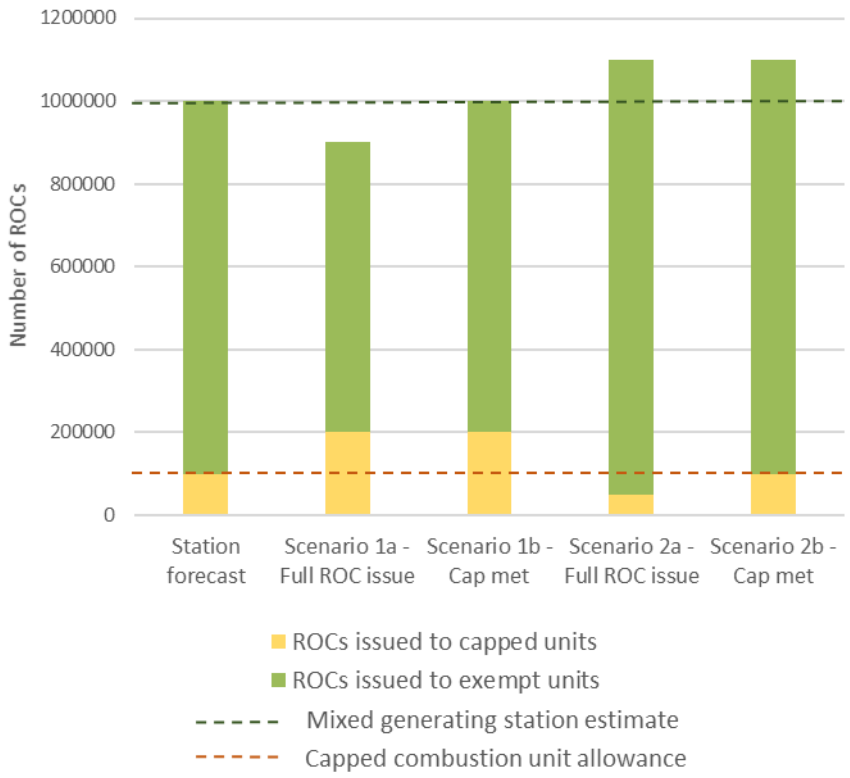
[89] As defined in paragraph 1, Schedule 6 of Renewables Obligation (Amendment) Order 2018.

accordance with Schedule 6 of the ROO. This will be used to calculate the "mixed generating station estimate":

Capped combustion unit allowance + exempt combustion unit estimate

A5.15 Scenario 1 illustrates how when the capped combustion unit allowance is met (scenario 1a), ROCs will be issued to the generating station until the mixed generating station estimate is met (scenario 1b). Scenario 2 illustrates how if the mixed generating station estimate is met first before the capped combustion unit allowance is met (scenario 2a), ROCs will be issued to the generating station until the capped combustion unit allowance is met (scenario 2b).

Figure 8: How the mixed generating station cap could operate



A5.16 Given that these mixed generating stations are now required to report at combustion unit level, they will no longer be able to claim "station conversion" or "station conversion with CHP" ROCs and instead will be issued "unit conversion" or "unit conversion with CHP" ROCs. Information on the ROC bands is provided in Appendix 3.

How will the cap be monitored for a mixed generating station?

A5.17 ROC issue to mixed generating stations will be monitored on a unit by unit basis throughout the obligation period. Metering of output electricity from each unit in a mixed generating station must be separate and distinct.

A5.18 Mixed generating stations are also required to report RO input electricity at combustion unit level. The operator will calculate their RO input electricity as normal but this will then be pro-rated and an amount attributed to each unit in accordance with Article 26A of the ROO and paragraph 9 of Schedule 6 of the Renewables Obligation (Amendment) Order 2018.

A5.19 If the total installed capacity (TIC) of a capped or exempt combustion unit of a mixed generating station does not include any excluded capacity that month, RO input electricity of the unit is equal to:

A x B / C

Where:

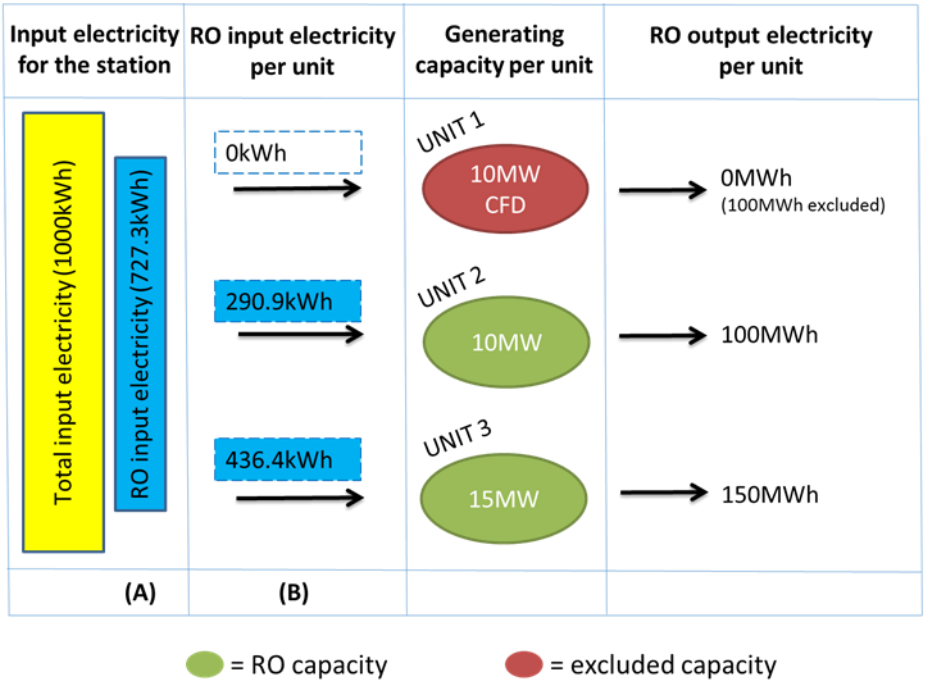
- A is the RO input electricity of the mixed generating station that month (as calculated in line with article 26A of the ROO)
- B is the total output electricity of the unit that month
- C is the sum of the RO output electricity of each capped and exempt combustion unit of the mixed generating station that month

A5.20 The Orders also make provisions for combustion units that are comprised of a combination of RO capacity and excluded capacity. More information on this can be found in the Renewables Obligation (Amendment) Order 2018.

A5.21 See figure 9 for a worked example apportioning RO input electricity across a mixed generating station. Using RO output electricity to set the proportions, the result of these workings is the RO input electricity per unit which will be used to calculate a generating station's RO eligible renewable output. The RO eligible output is what we would issue ROCs for, providing the station cap is not met.

A5.22 The operator of the mixed generating station will need to monitor the cap and provide us with information each month to demonstrate their progress against it. Data submissions on the Renewables and CHP Register will not change and the operator will still need to provide their fuel information at the unit level and their electrical information at the station level. We will provide operators of these generating stations with a separate template spreadsheet to use to report their output and input electricity at the unit level in order to calculate how many ROCs are being claimed against each unit. This will enable the cap to be monitored.

Figure 9: A worked example of RO input calculated per combustion unit



(A) RO input electricity for the station is calculated in accordance with article 26 of the ROO.

(B) RO input electricity per combustion unit is calculated in accordance with article 26A of the ROO.

What do I do if my station is affected by the cap?

A5.23 Operators of generating stations affected by the cap have a responsibility to inform us of their status in relation to the cap by contacting the team: FuellingandSustainability@ofgem.gov.uk. Operators should monitor their status on an ongoing basis and make us aware of any changes.