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**Offset Project Consistency Application**

**Forms**

**Building Sector Energy Efficiency**

**Version 1.1**

**Issued by:**

**Bureau of Energy and Technology Policy**

**CT Department of Energy & Environmental Protection**

[**http://www.ct.gov/deep**](http://www.ct.gov/deep)**/**

**April 2016**

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# Overview

To demonstrate that a building sector end-use energy efficiency offset project qualifies for the award of CO2 offset allowances, a Project Sponsor must submit to the Connecticut Department of Energy & Environmental Protection (“Department”) in accordance with instructions (see accompanying instructions packet) a fully completed *Consistency Application – Building Sector Energy Efficiency Version 1.1* (“*Consistency Application*”), including the coversheet and all forms and related attachments. An incomplete *Consistency Application* will not be reviewed to determine consistency. Following the instructions will ensure that the *Consistency Application* contains all necessary information and is submitted properly.

Each Project Sponsor should review the CO2 Budget Trading Program regulations at [section 22a-174-31a of the Regulations of Connecticut State Agencies](http://eregulations.ct.gov/eRegsPortal/Browse/RCSA/%7BAD17F047-6A0C-40AF-95A1-BF24577EC5CD%7D) (“RCSA”) addressing offset projects and the award of CO2 offset allowances. All offset application materials and other documents are available at

[www.ct.gov/deep/cwp/view.asp?a=2684&Q=440696&depNav\_GID=1619](http://www.ct.gov/deep/cwp/view.asp?a=2684&Q=440696&depNav_GID=1619).

Before the *Consistency Application* can be completed, the Project Sponsor must establish a general account and obtain an offset project ID code through the RGGI CO2 Allowance Tracking System (RGGI COATS). The Project Sponsor identified in the *Consistency Application* must be the same as the Authorized Account Representative for the RGGI COATS general account identified in the *Consistency Application*. For information about establishing a RGGI COATS general account and offset project ID code, consult the RGGI COATS User’s Guide, available at [www.rggi.org/market/tracking](http://www.rggi.org/market/tracking).

Key eligibility dates and application submittal requirements for offset projects are as follows:

* For offset projects commenced between December 20, 2005, and December 31, 2008, the *Consistency Application* must be submitted by June 30, 2009.
* For offset projects commenced on or after January 1, 2009, the *Consistency Application* must be submitted within six months after the project is commenced.
* For an offset project located in one participating state, the *Consistency Application* must be filed with the appropriate regulatory agency in that state.
* For an offset project located in more than one participating state, the *Consistency Application* must be filed in the participating state where the majority of the CO2-equivalent emissions reduction or carbon sequestration due to the offset project is expected to occur.

# Submission Instructions

Please complete this form and supporting documents in accordance with [section 22a-174-31a of the RCSA](http://eregulations.ct.gov/eRegsPortal/Browse/RCSA/%7BAD17F047-6A0C-40AF-95A1-BF24577EC5CD%7D), the RGGI Model Rule ([www.rggi.org/documents](http://www.rggi.org/documents)) and accompanying instructions to ensure the proper handling of your application. These instructions are not a substitute for the requirements of the relevant statutes and any regulations thereunder. You should review all applicable laws prior to completing this application. Remember, it is your responsibility to comply with all applicable laws. There is no fee associated with the submission of this application.

Submit one (1) complete paper hardcopy original *Consistency Application* and one (1) electronic copy in the form of a CD disk to the Department at the location specified below. The Model Rule requires that all offset project documentation, including the *Consistency Application* shall be signed by a Professional Engineer, identified by license number. Submit hardcopies of forms requiring signatures as originally-signed copies and scan such signed forms for electronic submission. Facsimiles of the *Consistency Application* are not acceptable under any circumstances.

ATTN: KERI ENRIGHT-KATO

CO2 BUDGET TRADING PROGRAM

BUREAU OF ENERGY AND TECHNOLOGY POLICY

CT DEPARTMENT OF ENERGY & ENVIRONMENTAL PROTECTION

10 FRANKLIN SQUARE

NEW BRITAIN, CT 06051

If you have any questions about this application, please contact Keri Enright-Kato at keri.enright-kato@ct.gov or at (860) 827-2642.

The *Consistency Application* has three parts, as described below. Each part comprises specified forms and required documentation. The *Consistency Application* has been created as a Microsoft Word document with editable fields. Enter information directly in the fields provided or submit information or documentation as an attachment, as directed. Include headers on all attachments indicating the form to which each is attached, the offset project name, and offset project ID code.

The Project Sponsor should save an electronic copy for his or her file to serve as a reference for any necessary remediation.

# Consistency Application Forms

The *Consistency Application* includes ten (10) forms divided into three parts, as follows:

**Part 1. General Information Forms**

* Form 1.1 – Coversheet
* Form 1.2 – General Information
* Form 1.3 – Attestations
* Form 1.4 – Project Sponsor Agreement
* Form 1.5 – Disclosure of Greenhouse Gas Emissions Data Reporting

**Part 2. Category-Specific Information and Documentation Forms**

* Form 2.1 – Project Description
* Form 2.2 – Demonstration of Eligibility
* Form 2.3 – Emissions Baseline
* Form 2.4 – Monitoring and Verification Plan

**Part 3. Independent Verification Form**

* Form 3.1 – Independent Verifier Certification Statement and Report

Note that although some of the forms include embedded instructions, Project Sponsors are advised to consult the accompanying instructions packet (DEP-AIR-OFFSET-INST-001) for full instructions and documentation requirements.

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| ***Offset Project Name***

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 | ***Offset Project ID Code***

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### Form 1.1 – Coversheet

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| ***Project Sponsor***

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| ***Project Sponsor Organization***

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| ***RGGI COATS General Account Name***

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| ***RGGI COATS General Account Number***

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| Each of the following forms must be submitted. Check the boxes below to indicate that the submitted *Consistency Application* includes each of the required forms: |
| [ ]  | Form 1.2 – General Information |
| [ ]  | Form 1.3 – Attestations |
| [ ]  | Form 1.4 – Project Sponsor Agreement |
| [ ]  | Form 1.5 – Disclosure of Greenhouse Gas Emissions Data Reporting |
| [ ]  | Form 2.1 – Project Description |
| [ ]  | Form 2.2 – Demonstration of Eligibility |
| [ ]  | Form 2.3 – Determination of Emissions Baseline |
| [ ]  | Form 2.4 – Monitoring and Verification Plan |
| [ ]  | Form 3.1 – Independent Verifier Certification Statement and Report |

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| ***Offset Project Name***

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### Form 1.2 – General Information

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| ***Project Sponsor (RGGI COATS Authorized Account Representative)***

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| ***Telephone Number***

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 | ***Fax Number***

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 | ***Email Address***

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| ***Street Address***

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| ***City***

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| ***Name of Offset Project***

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 | ***Application Date***

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| ***Summary Description of Offset Project***

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| ***Project City***

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 | ***Project County***

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 | ***Project Commencement Date***

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| ***Project Sponsor Organization***

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| ***Primary Street Address***

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| ***Brief Description of Project Sponsor Organization***

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| ***Telephone Number***

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 | ***Website URL***

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| ***Independent Verifier (Company/Organization)***

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 | ***States Where Verifier Accredited***

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| ***Primary Street Address***

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 | ***Website URL***

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| ***Point of Contact for Project***

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| ***Contact Telephone Number***

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 | ***Contact Fax Number***

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 | ***Contact Email Address***

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| ***Contact Street Address***

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| ***City***

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### Form 1.3 – Attestations

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| The undersigned Project Sponsor certifies the truth of the following statements: |
| 1. | The offset project referenced in this *Consistency Application* is not required pursuant to any local, state, or federal law, regulation, or administrative or judicial order. |
| 2. | The offset project referenced in this *Consistency Application* has not and will not be awarded credits or allowances under any other greenhouse gas program. |
| 3. | Check the boxes that apply: |
|  | [ ]  | The offset project referenced in this *Consistency Application* ***does not*** include an electric generation component. |
|  | [ ]  | The offset project referenced in this *Consistency Application* ***does*** include an electric generation component. Any and all attribute credits generated by the offset project that may be used for compliance with a renewable portfolio standard (RPS) or other regulatory requirement, with the exception of CO2 allowances awarded under the CO2 Budget Trading Program, will be transferred to the Department. |
|  | [ ]  | An Attribute Credit Transfer Agreement is attached. |
| 4. | The offset project referenced in this *Consistency Application* has not and will not receive any funding or other incentives from any disbursement of CO2 allowance-derived proceeds pursuant to Section 22a-174-31 of the RCSA or from any system benefit funds collected and disbursed pursuant to Sections 16-245(m) and (n) of the Connecticut General Statues (“CGS”). |
| 5. | A *Consistency Application* for the offset project or any portion of the offset project referenced in this *Consistency Application* has not been filed in any other participating state. |
| 6. | All offset projects for which the Project Sponsor or project sponsor organization has received CO2 offset allowances, if any, under the Project Sponsor’s or project sponsor organization’s ownership or control (or under the ownership or control of any entity which controls, is controlled by, or has common control with the Project Sponsor or project sponsor organization) are in compliance with all applicable requirements of the CO2 Budget Trading Program in all participating states. |

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|  Signature of Project Sponsor  |      /     /     Date (MM/DD/YYYY) |
| Name of Project Sponsor (printed) |  |
| Title |  |
| Organization |  Notary |

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|  Signature of Licensed Professional Engineer | Name of Licensed Professional Engineer |
| License Number(s) | License State(s) |

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| ***Offset Project Name***

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### Form 1.4 – Project Sponsor Agreement

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| The undersigned Project Sponsor recognizes and accepts that the application for, and the receipt of, CO2 offset allowances under the CO2 Budget Trading Program is predicated on the Project Sponsor following all the requirements of section 22a-174-31a of the RCSA. The undersigned Project Sponsor holds the legal rights to the offset project, or has been granted the right to act on behalf of a party that holds the legal rights to the offset project. The Project Sponsor understands that eligibility for the award of CO2 offset allowance under section 22a-174-31a of the RCSA is contingent on meeting the requirements of section 22a-174-31a of the RCSA. The Project Sponsor authorizes the Department or its agent to audit this offset project for purposes of verifying that the offset project, including the monitoring and verification plan, has been implemented as described in this application. The Project Sponsor understands that this right to audit shall include the right to enter the physical location of the offset project. The Project Sponsor submits to the legal jurisdiction of Connecticut. |
|  Signature of Project Sponsor  |      /     /     Date (MM/DD/YYYY) |
| Name of Project Sponsor (printed) |  |
| Title |  |
| Organization |  Notary |

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### Form 1.5 – Disclosure of Greenhouse Gas Emissions Data Reporting

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| Check the box below that applies: |
| [ ]  | No greenhouse gas emissions data related to the offset project referenced in this *Consistency Application* have been or will be reported to a voluntary or mandatory program other than the CO2 Budget Trading Program. |
| [ ]  | Greenhouse gas emissions data related to the offset project referenced in this *Consistency Application* have been or will be reported to a voluntary or mandatory program other than the CO2 Budget Trading Program. Information for all such programs to which greenhouse gas emissions data have been or will be reported is provided below. |
| ***Name of Program to which GHG Emissions Data Reported***

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| Check all that apply: |
| [ ] [ ] [ ] [ ] [ ]  | Reporting is currently ongoingReporting was conducted in the pastReporting will be conducted in the futureReporting is mandatoryReporting is voluntary | ***Enter Frequency of Reporting***

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***Enter Reporting Start Date***

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| ***Program Contact Information – Address***

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 | ***Program Website***

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| ***Categories of Emissions Data Reported***

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| ***Name of Program to which GHG Emissions Data Reported***

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| Check all that apply: |
| [ ] [ ] [ ] [ ] [ ]  | Reporting is currently ongoingReporting was conducted in the pastReporting will be conducted in the futureReporting is mandatoryReporting is voluntary | ***Enter Frequency of Reporting***

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***Enter Reporting Start Date***

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| ***Program Contact Information – Address***

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 | ***Program Website***

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| ***Categories of Emissions Data Reported***

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| *Add extra pages as needed. Any attached pages must include a header that indicates it is an attachment to Form 1.5 and identifies the offset project name and offset project ID code.* |

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| ***Offset Project Name***

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### Form 2.1 – Project Description

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| Attach a detailed narrative of the actions to be taken by the offset project. Refer to the required list below. The attached narrative must include a header that indicates it is an attachment to Form 2.1 and includes the offset project name and offset project ID code. |
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| Check the boxes below to indicate that the following required information is included in the detailed project narrative and is attached: |

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| [ ]  | 1. ***Summary Description of Project***. Narrative summary of the actions taken or to be taken as part of the offset project. |
| [ ]  | 2. ***Building Location(s) and Specifications.*** Enter required information in the Project Summary Table below. |
| [ ]  | 3. ***Owners and Operators of Buildings.*** Contact information for the owners and operators of each building included in the offset project; contact information for the facility manager for each building. |
| [ ]  | 4. ***Parties Implementing Offset Project.*** Contact information for the parties implementing the offset project; contact information for professional engineer that reviewed all project documentation. |
| [ ]  | 5. ***Equipment and Materials Specifications.*** Enter required information in the Equipment and Materials Specification Table below. |
| [ ]  | 6. ***Documentation of Equipment and Materials Specifications.*** Documentation of equipment and materials for each ECM identified in the Equipment and Materials Specification Table below. |
| [ ]  | 7. ***Building Plans and Project Technical Schematics.*** Pre-installation and post-installation building plans and technical schematics; additional measure-specific documentation as applicable to specific ECMs. |

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| Project Summary TableProvide the building location and building specifications for each building included in the offset project in the Project Summary Table below:

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| ***BuildingID*** | ***BuildingLocation*** | ***Building Type*** | ***BuildingUse*** | ***BuildingSq Ft*** |
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 | [ ]  Existing[ ]  Whole-building retrofit[ ]  New construction | [ ]  Residential[ ]  Commercial |

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| *If additional space is necessary reproduce this table and attach it to the application. If table is attached to Form 2.1, enter “Table is Attached” in the table.* |
| ***Total # of Buildings:***       | ***Total Sq Ft:***       |

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| ***Offset Project Name***

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 | ***Offset Project ID***

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| **Equipment and Materials Specifications Table**Enter information for each Energy Conservation Measure (ECM) in the Equipment and Materials Specifications table below: |
| **ECM†** | **ID** | **Description of ECM** | **List the ID Numbers ofBuildings Affected bythe ECM** | **Total Equipment/MaterialInstalled** | **Fuel Type‡** |
| **QuantityInstalled** | **Unit** | **Original** | **New** |
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| *If additional space is necessary reproduce this table and attach it to the application. If table is attached to Form 2.1, enter “Table is Attached” in the table.* |
| **† Categories of Energy Conservation Measures**(a) improvements in the energy efficiency of combustion equipment that provides space heating and hot water, including a reduction in fossil fuel consumption through the use of solar and geothermal energy(b) improvements in the efficiency of heating distribution systems, including proper sizing and commissioning of heating systems(c) installation or improvement of energy management systems(d) improvement in the efficiency of hot water distribution systems and reduction in demand for hot water(e) measures that improve the thermal performance of the building envelope and/or reduce building envelope air leakage(f) measures that improve the passive solar performance of buildings and utilization of active heating systems using renewable energy(g) fuel switching to a less carbon-intensive fuel for use in combustion systems, including the use of liquid or gaseous eligible biomass, provided that conversions to electricity are not eligible**‡** NG = natural gas P = propane O = heating oil K = kerosene |

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### Form 2.2 – Demonstration of Eligibility

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| Attach documentation to demonstrate offset project eligibility. Each attachment must include a header that indicates it is an attachment to Form 2.2 and includes the offset project name and offset project ID code. |
| Check the boxes below to indicate that the following required documentation is attached: |
| [ ]  | 1. ***Documentation of ECM Installation.*** (not applicable to *in-progress* projects) |
| [ ]  | 2. ***HVAC Installation Best Practice.*** Documentation demonstrating combustion equipment and air handling equipment sized and installed according to industry best practice (only required if project includes applicable ECMs). |
| [ ]  | 3. ***Building Eligibility.*** Documentation of eligibility, as applicable to project types included in the offset project (existing building, whole-building retrofit, new building). |
| [ ]  | 4. ***Whole-Building Energy Performance.*** Documentation that each building included in offset project meets applicable energy performance standards (only applicable to projects that include a new building or whole-building retrofit). |
| [ ]  | 5. ***Combustion Equipment Performance Standards.*** Documentation that combustion equipment ECMs included in offset project meet applicable minimum energy efficiency standards (only applicable to offset projects commenced prior to January 1, 2009 that include applicable ECMs). |
| [ ]  | 6. ***Other ECM Performance Standards.*** Documentation that all non-combustion equipment ECMs included in offset project meet applicable minimum energy performance standards (only applicable to offset projects commenced prior to January 1, 2009 that include applicable ECMs). |
| [ ]  | 7. ***Market Penetration Rate.*** Documentation that ECMs included in offset project have a market penetration rate of less than five (5) percent (only applicable to offset projects commenced on or after January 1, 2009). |

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### Form 2.3 – Emissions Baseline

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| Provide documentation of the emissions baseline where indicated in the form or as an attachment, as directed below. Each attachment must include a header that indicates it is an attachment to Form 2.3 and includes the offset project name and offset project ID code. |
| ***Baseline Period (Calendar Year)***

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| ***Enter Baseline Annual Energy Usage (MMBtu) by Fuel Type*** |
| Natural Gas |

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| Propane |

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| Distillate Fuel Oil |

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| Kerosene |

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| ***Enter Baseline Annual Emissions (lbs. CO2/MMBtu) by Fuel Type*** |
| Natural Gas |

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| Propane |

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| Distillate Fuel Oil |

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| Check the boxes below to indicate that the following required documentation is attached: |
| [ ]  | 1. ***Documentation of Baseline Energy Monitoring Approach.*** Documentation of energy monitoring or modeling procedures used to determine baseline energy use, including demonstration of conformance with appropriate guidelines and standard for applicable building types included in offset project. |
| [ ]  | 2. ***Baseline Energy Use Data.*** Documentation of baseline energy use for each building included in offset project. |
| [ ]  | 3. ***Isolation of Energy Use.*** Documentation of isolation of energy use for each end-use or building system targeted by eligible ECMs. |
| [ ]  | 4. ***Adjustments to Baseline Energy Use.*** Documentation of adjustments, as applicable, to account for minimum equipment or building component energy efficiency or energy performance standards; adjustments for operating or weather conditions. |
| [ ]  | 5. ***Total Baseline Energy Use.*** Spreadsheet documenting calculation of total baseline energy use. |
| [ ]  | 6. ***Baseline Emissions.*** Spreadsheet documenting calculation of baseline CO2 emissions. |

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### Form 2.4 – Monitoring and Verification Plan

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| Provide the Monitoring and Verification Plan (M&V Plan) as an attachment. The attachment must include a header that indicates it is an attachment to Form 2.4 and includes the offset project name and offset project ID code. |
| Check the boxes below to indicate that the M&V Plan includes the following required information: |
| [ ]  | 1. ***Documentation of Energy Monitoring Approach.*** Narrative documentation of energy monitoring procedures to be used during reporting period to determine energy use for each building included in offset project. If project eligible for use of representative sampling, copy of sampling protocol (for projects implementing similar ECMs in multiple residential buildings). |
| [ ]  | 2. ***Procedures for Collection of Reporting Period Energy Use Data.*** Documentation of procedures for each building included in offset project. |
| [ ]  | 3. ***Isolation of Energy Use.*** Documentation of procedures to be used during the reporting period for isolation of energy use for each end-use or building system targeted by eligible ECMs. |
| [ ]  | 4. ***Procedures for Adjustments in Energy Use to Account for Differing Conditions.*** Documentation of measurement conditions during the reporting period that may be unusual or are expected to change; documentation of adjustment factors that may be applied to account for such measurement conditions. |
| [ ]  | 5. ***Procedures to Determine Reduction in Energy Use by Fuel Type.*** Spreadsheet specifying building-specific data sources, methods, and calculations to be used for each building included in offset project to determine reporting period energy savings relative to baseline energy use. |
| [ ]  | 6. ***Documentation of Project Implementation.*** Documentation of procedures to be used to ensure offset project will be implemented as specified in *Consistency Application* (only applicable to *in-progress* offset projects not completed as of submission of *Consistency Application*). |
| [ ]  | 7. ***Quality Assurance/Quality Control (QA/QC) Procedures.*** Documentation of procedures for recording information for personnel responsible for project monitoring, documentation, and QA/QC; documentation of procedures to be used for QA/QC of project monitoring data and documentation. |
| [ ]  | 8. ***Record Keeping and Records Retention Protocol.*** Documentation of record keeping and records retention protocol that will be used to maintain offset project documentation throughout duration of the offset project. |

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### Form 3.1 – Independent Verifier Certification Statement and Report

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| An accredited verifier and licensed professional engineer must sign and date the form. Attach the accredited verifier report. The attached verifier report must include a header that indicates it is an attachment to Form 3.1 and includes the offset project name and offset project ID code. |
| ***Name of Accredited Independent Verifier***

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| I certify that the accredited independent verifier identified above reviewed the *Consistency Application*, including all forms and attachments, in its entirety, including a review of the following: |
| (a) | The adequacy and validity of information supplied by the Project Sponsor to demonstrate that the offset project meets the applicable eligibility requirements of subsections 22a-174-31a(c) and (g) of the RCSA, including the required documentation that must be provided in the *Consistency Application*. |
| (b) | The adequacy and validity of information supplied by the Project Sponsor to demonstrate baseline emissions pursuant to the applicable requirements of subsection 22a-174-31a(g) of the RCSA, including the required documentation that must be provided in the *Consistency Application*. |
| (c) | The adequacy of the Monitoring and Verification Plan in accordance with the applicable requirements of subsection 22a-174-31a(g) of the RCSA including the required documentation that must be provided in the *Consistency Application*. |
| A verification report is attached that documents the verifier’s review of the items listed above and includes evaluation conclusions and findings.

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|  Signature of Verifier Representative  |      /     /     Date (MM/DD/YYYY) |
| Name of Verifier Representative (printed) |  |
| Title |  |
|  |  Notary |

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|  Signature of Licensed Professional Engineer | Name of Licensed Professional Engineer |
| License Number(s) | License State(s) |

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