



EU ETS Compliance Forum Event

Brussels 8th February 2012

Electronic Reporting Demonstration Session UK Perspective on System Sharing and XETL

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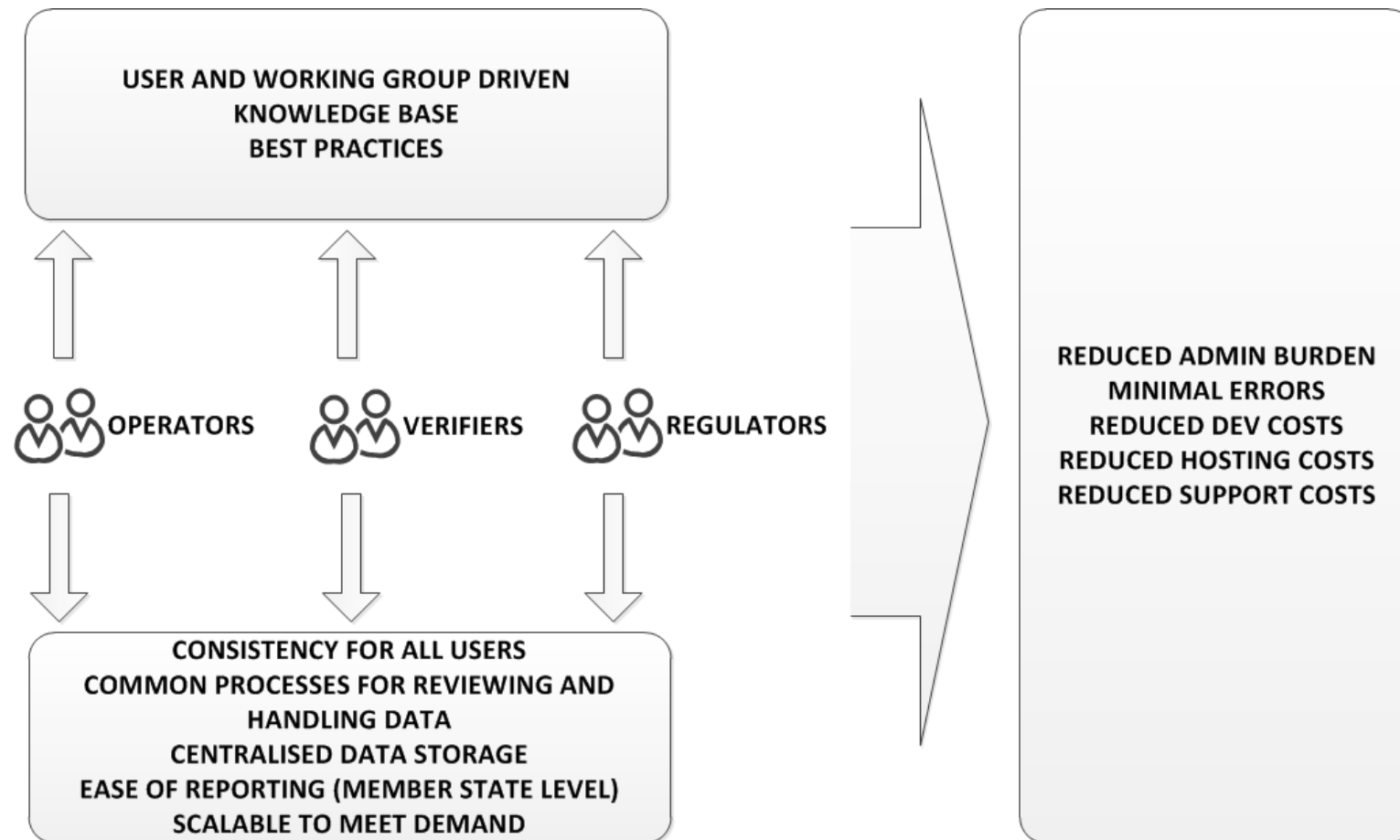
ETSWAP - Introduction & Background

- ⇒ ETSWAP JV Project started 2006 leading to MUD
- ⇒ Follow up UK Development started 2009
- ⇒ System replaces Excel .xls & Access .db
- ⇒ Aviation; Phase 3 expansion was impossible
- ⇒ UK Business Case -> saving admin burden for CA, Operators and Verifiers, status tracking & flexible reporting
- ⇒ Aviation & Operators drove web based system (firewall issues, etc)
- ⇒ System access for CA's, Operators & Verifiers
- ⇒ 2 systems deployed – UK with 3 CA's and Ireland

ETSWAP Roadmap

- ➔ Module 1 – Aviation developed and in use
 - ➔ Module 2 – Ground based installations – in use
 - ➔ Module 3 – Phase 3 permitting & new GHGs Aug. 2012
 - ➔ Module 4 – Registry Link & Enforcement Dec. 2012
-
- ➔ Meets 90-95% of Commission Must Have/Should Have Requirements list
 - ➔ Enabled submission of 70% of Aviation AEM and TKM Reports by deadline (600) – 83% now

Benefits of Sharing



UK Perceived Benefits of an Integrated System

- ⇒ Common Data (no duplication)
- ⇒ Low number of security intrusion points
- ⇒ Reduced messaging (workflow inherent in system)
- ⇒ Minimal training – train once
- ⇒ No compatibility issues between modules
- ⇒ Improved flexibility with changing requirements
- ⇒ 3rd party (XETL) messaging only at inputs and outputs

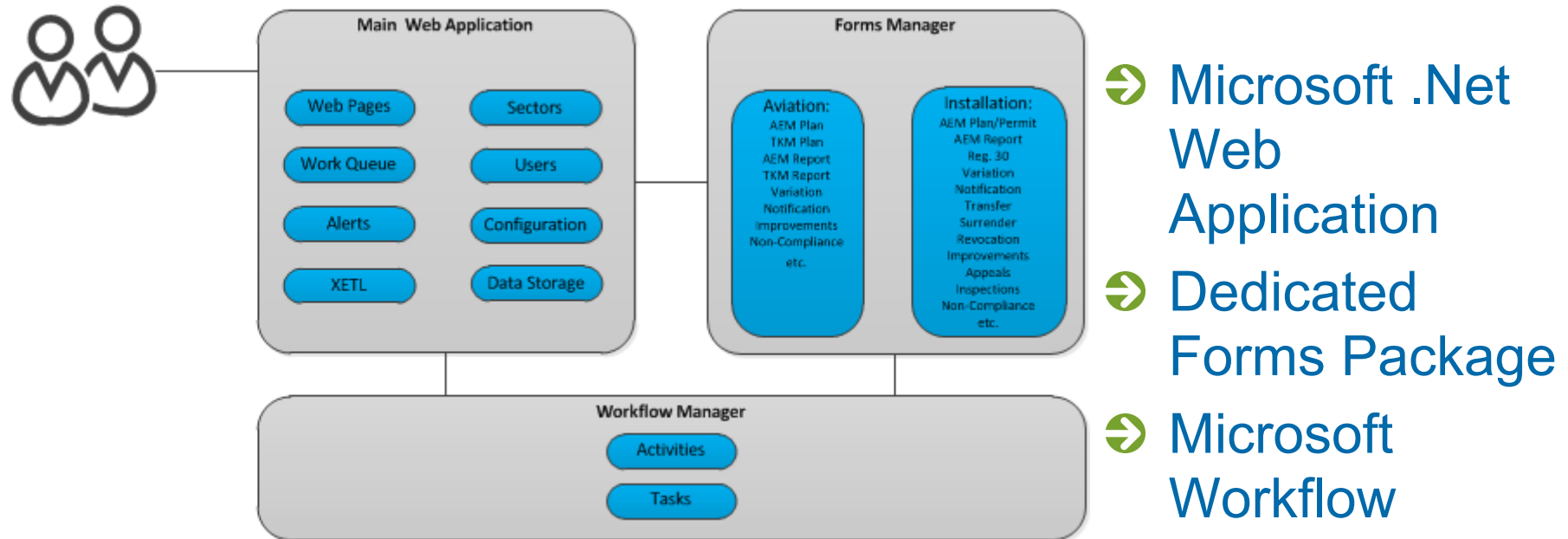
ETSWAP - Key System Features (1)

- ➔ Fully scalable implementation
 - ➔ One to Many Member States
 - ➔ One to Many CA's
- ➔ Single Integrated Application (CA's, Operators and Verifiers)
- ➔ Common Workflow Activities and Tasks
- ➔ Common Form Building Blocks
- ➔ Multi-Sector Capability
- ➔ CA specific content (Notices, Emails, Forms, Workflows etc)
- ➔ Comprehensive user roles and permissions (Member State, CAs, Operators and Verifiers)

ETSWAP - Key System Features (2)

- ➔ Data segregated for different CAs
- ➔ Application and Infrastructure accredited to ISO27001 security standards
- ➔ Meets international standards for Usability and Accessibility (W3C, DDA, OWASP etc)
- ➔ Multi Browser compatible (IE6, Firefox, IE9 etc)
- ➔ Tailored hosting -> performance, availability and cost driven
- ➔ System proven for up to 2000 Operators
- ➔ Multi-Lingual Capability (needs translation support)

ETSWAP Technical Overview



- ➔ Commercial Off The Shelf Software
- ➔ Up to date, widely available and proven technologies

ETSWAP Functionality – Highlights (1)

- ➔ Workflow specific Tasks, Alerts, Emails and Notices
- ➔ Same look and feel for all users
- ➔ User functions tailored to user type
- ➔ Work Queue for clear task and priority definition
- ➔ Forms designed for ease of use
- ➔ Forms tailored to Operator type
- ➔ High reuse of data
- ➔ Full Reporting Capability (including Article 21)
- ➔ Online and Offline Payments
- ➔ Simple to Configure - some by CA, some by supplier

ETSWAP Functionality – Highlights (2)

- ⇒ CA specific functionality includes
 - ⇒ Determination of Reportable Emissions
 - ⇒ Non-Compliance
 - ⇒ Inspections
 - ⇒ Appeals
 - ⇒ Recording Notes against Operators
 - ⇒ Adding Operators and Verifiers

ETSWAP Functionality - Homepage

The screenshot shows the ETSWAP homepage with several key elements highlighted by arrows:

- www.zealsoft.com**: URL in the top left corner.
- AAA Help You are not logged on**: User status in the top right corner.
- Log on**: A section containing a login form with fields for Username and Password, and buttons for Login and Recover Password.
- Welcome**: A green header for the login section.
- Information**: A green header for the right-hand sidebar.
- News Item Title 1**: A news item in the sidebar with body text: "This is the body text for the first news item in system test. Welcome to System Test 2.0.11".
- Assistance**: A section with links for Help and System Support.
- Further Information**: A section with a list of external links: Contact the Environment Agency, Go to the Environment Agency's website, Go to the Scottish Environment Agency's website, Go to the Northern Ireland Environment Agency's website, Go to the Europe Union's website, Go to the Department of Energy and Climate Change's website, and Go to the Department for Transport's website.
- creating a better place**: Slogan in the bottom right.
- © Environment Agency 2010 | Terms and conditions | System Support**: Footer text in the bottom left.
- Author: The Environment Agency | enquiries@environment-agency.gov.uk, Version 4.0.1, Last updated: 30 Jun 2011**: Footer text in the bottom right.

Shared system, News, Support, Login status

ETSWAP Functionality - Login

Log on

Welcome

Please enter your username and password to access the Emis:
If you enter the wrong Password more than three times since yo

Username:

Password:

Login

If you have forgotten your password, click the following button.

Recover Password

Log on

Welcome

Now please enter the following digits of your PIN number.
If you enter the wrong PIN number or password more than three ti

Enter the following numbers from your PIN:

Please enter the 1st number

Please enter the 4th number

Please enter the 6th number

Login

Cancel

Username, Password and PIN login

ETSWAP Functionality – Operator

Go to my work queue

Please select your Aircraft Operator from the list below to go to your work queue.

- Aviation Operator - Air Leron - 4 tasks
- Aviation Operator - Icarus Air - 2 tasks, 7 alerts
- Aviation Operator - Orville Air - 4 tasks
- Aviation Operator - Palmtree Airways - 4 tasks
- Aviation Operator - Wing Walk - 4 tasks

Operator/Installation Selection

ETSWAP Functionality – Work Queue

Work Queue

Below is your list of tasks in order of priority together with recent alerts.

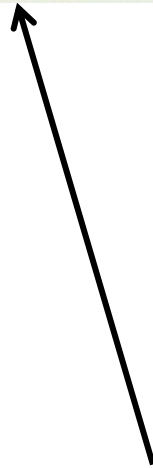
My Tasks

Priority	Workflow	Task Description
	TKM Report 10 days remaining	Complete your benchmarking report Your benchmarking report is available for completion.
	Benchmarking Plan 102 days remaining	Create benchmarking plan Creating your benchmarking (or TKM) plan allows you to apply for free allowances.

Work queue with Priority, Task Name, Deadline and Task Description

ETSWAP Functionality - Alerts

14 Sep 2011	AEM Report Submitted
Please be aware that the emissions report for Icarus Air has been submitted for verification.	



Clear Alerts conveying Workflow Information (copied as email)

ETSWAP Functionality – Form Homepage


Annual Emissions Monitoring Plan

Below is the current status of your emissions plan together with


Current Status

The AEM plan has been unlocked for the competent authority to

Current version

 [AEM10312 v1.0 \(PDF 283KB\)](#)

Attachments

 [Example Document.docx \(DOCX 0KB\)](#)

Change Requests

Date Created

13 Sep 2011

13 Sep 2011

History - AEM Plan

Date	User Category	User
13 Sep 2011	CA	SU
13 Sep 2011	Organisation	Gra
13 Sep 2011	Organisation	Gra
13 Sep 2011	Organisation	Gra

AEM Plan Homepage:

Current Status

Latest Approved Version

Linked Variations and Notifications

Complete Form History showing all previous versions


ETSWAP Functionality – Form Access

Annual Emissions Monitoring Report

Below is the current status of your emissions report together with any

Current Status

This AEM report is available for edit by the operator prior to being sub

 The monitoring period for this report is still in progress.

Task: Complete your AEM report

Your AEM report is available for completion.

- Complete your AEM report

Click the following button to open the AEM report form. Once you ha

[Open AEM report form](#)

AEM Report:
Current Status
Tasks relevant to user type
Link to Form

ETSWAP Functionality – Part of Form

AEM Report Form - Operator Details

Items marked * must be completed

Identification

* Aircraft Operator Name

Operator Name as it appears on the Commission list

CRCO Reference Number

Do you specify an ICAO designator in the call sign used for Air Traffic Control purposes?
* Yes No

* Please specify unique ICAO designators used as call signs for Air Traffic Control purposes

Air Operating Certificate Details

Do you hold an Air Operating Certificate?
* Yes No

Sections, Mandatory data, Data from core system and Plan

ETSWAP Functionality – Tailored Forms


* Have you been using the simplified approach allowed for small emitters pursuant to section 4 of Annex XIV of the MRG?

Yes No

Flights and Emissions

Please report the total number of flights covered by the EU ETS in each four-month period during the reporting year for which you are the aircraft operator:

* Number of Flights - January to April

6 

* Number of Flights - May to August

8

* Number of Flights - September to December

8

Number of Flights - Total

22

Total emissions in the reporting year

515.7

Confirmation of eligibility for simplified approach

You are still eligible for simplified procedures as your annual emissions are less than 10,000 t CO2 or you have operated less than 243 flights in each a four-month period.

Forms tailored to Operator Type

Field Level Help

ETSWAP Functionality - Letters

Letters

Date Created	Name	Edit	View	Form	Send	Status
13 Sep 2011	AEM Plan Approval	Edit details	View	View	Send	Supressed

Create Letter

Use the drop down list below to manually create a letter.

If the letter template pulls in data from a workflow (like a task completed)

LetterTemplate:

Ad-hoc Letter

Workflow:

None

[Create Letter](#)

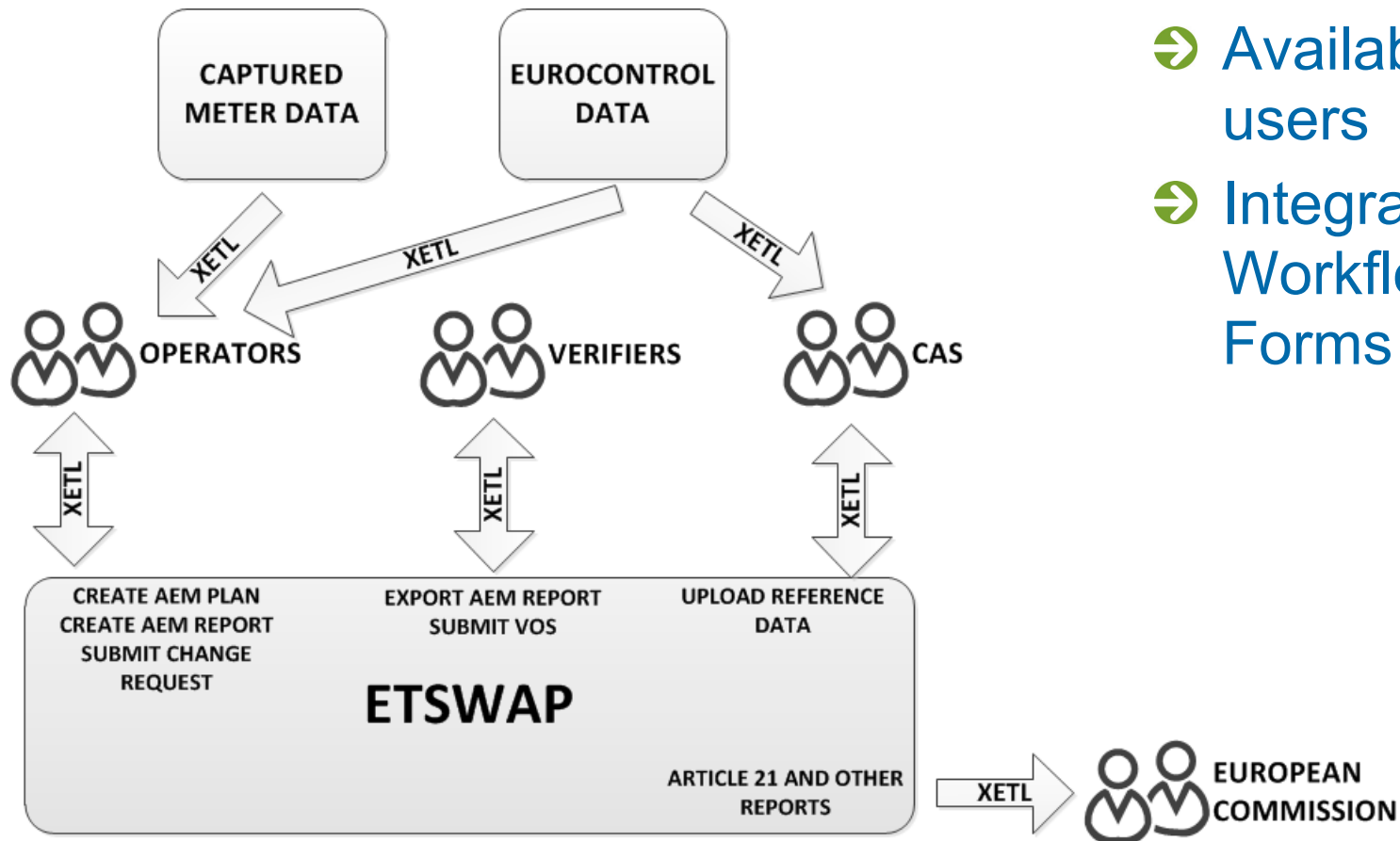
Communication History

There are no items to display

Built in Notices and Letters

Letter controls

Use of XETL in ETSWAP

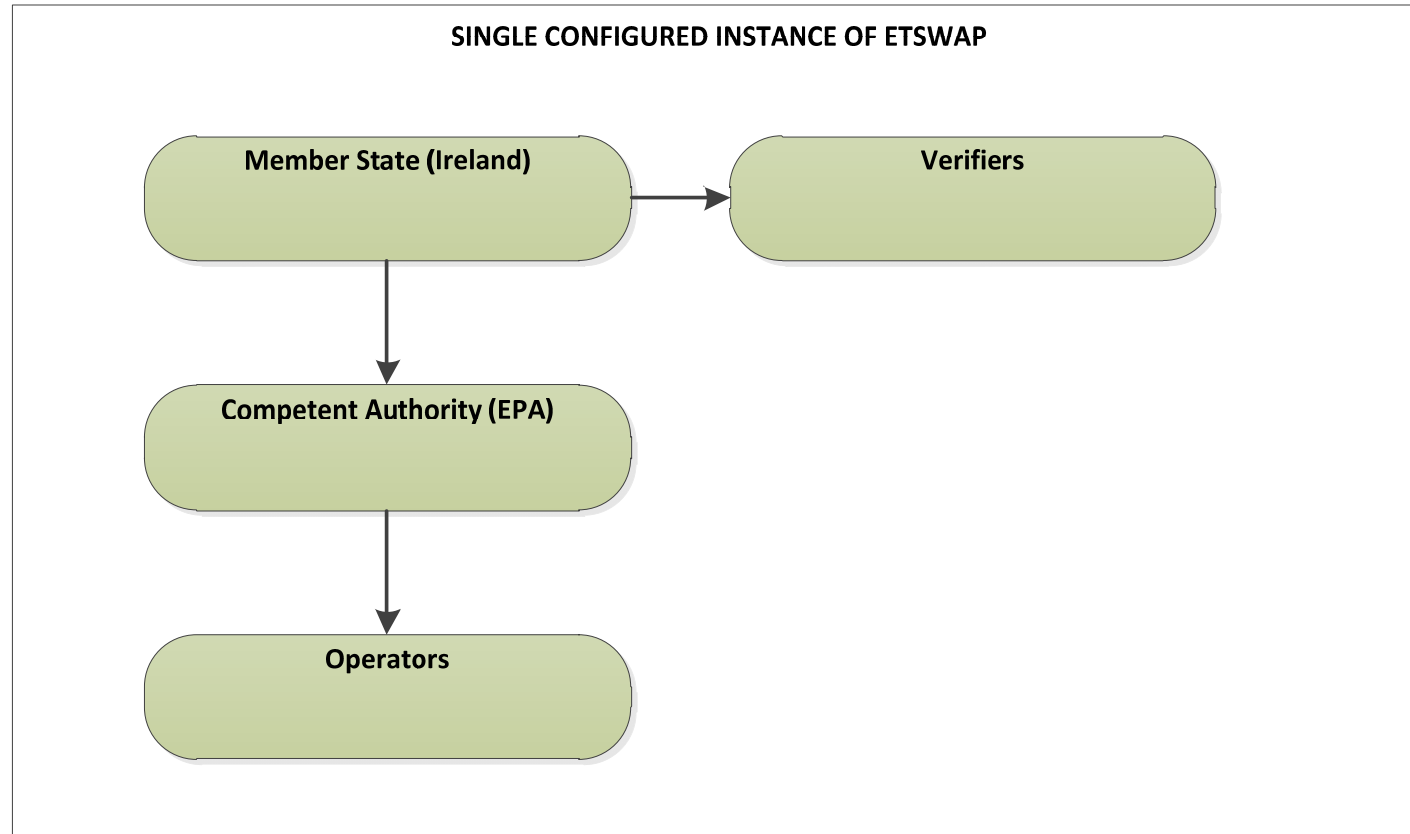


- ➔ Available to all users
- ➔ Integrates into Workflow and Forms

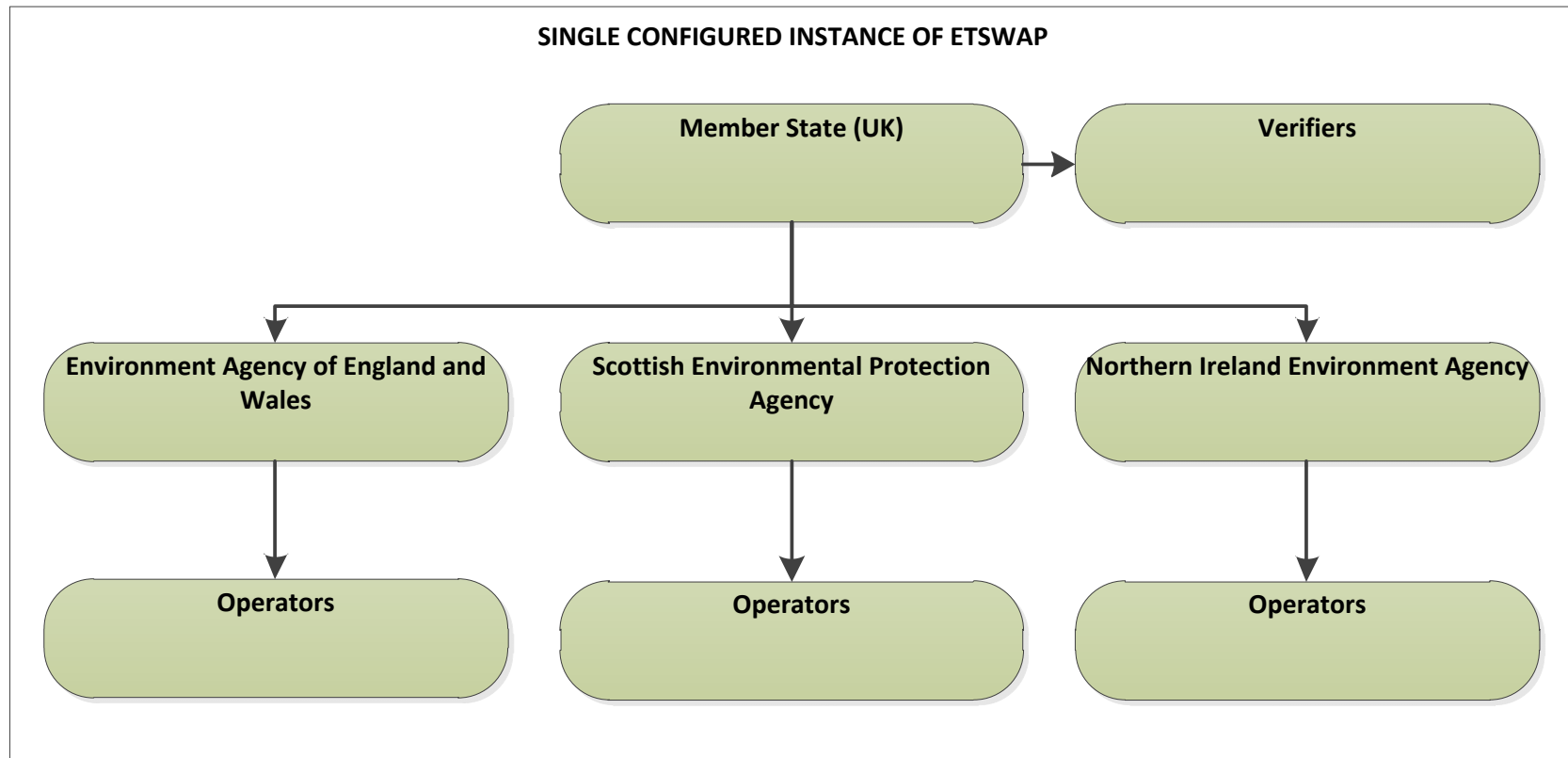
XETL – UK Perspective

- ⇒ PWC statements and guidance available
- ⇒ Principle of XETL essential for the future
- ⇒ XETL enhancements from a UK Perspective
 - ⇒ Needs to added to for Phase 3 of EU ETS
 - ⇒ Business Validation e.g. Cross-Checking Emissions Totals
 - ⇒ Data Validation e.g. Date Formats, Precision for Emission Factors
 - ⇒ Conditionality Checking e.g. if Simplified Procedure used
 - ⇒ Version Control and backwards compatibility to maintain system interoperability

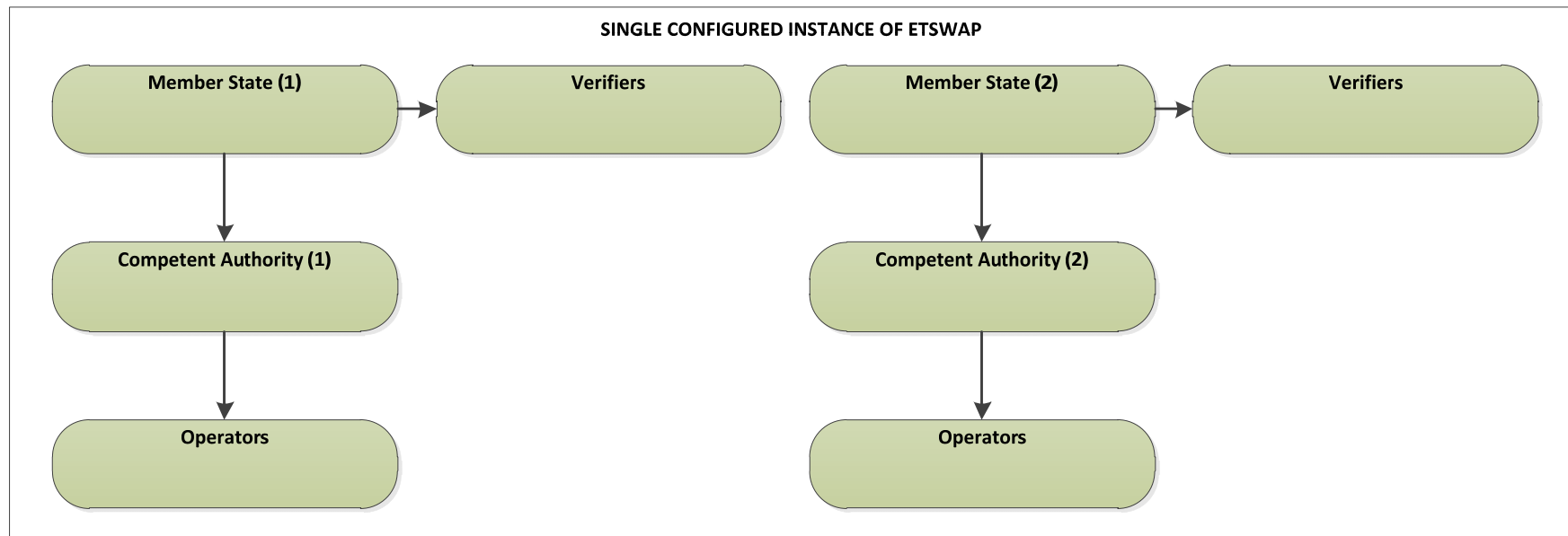
ETSWAP – Configuration Options (1)



ETSWAP – Configuration Options (2)



ETSWAP – Configuration Options (3)



Next steps for MS wanting an IT solution

➔ Develop Specification/Choose your License Option

- ➔ A licensed package for a single Member State
- ➔ A licensed package for multiple Member States

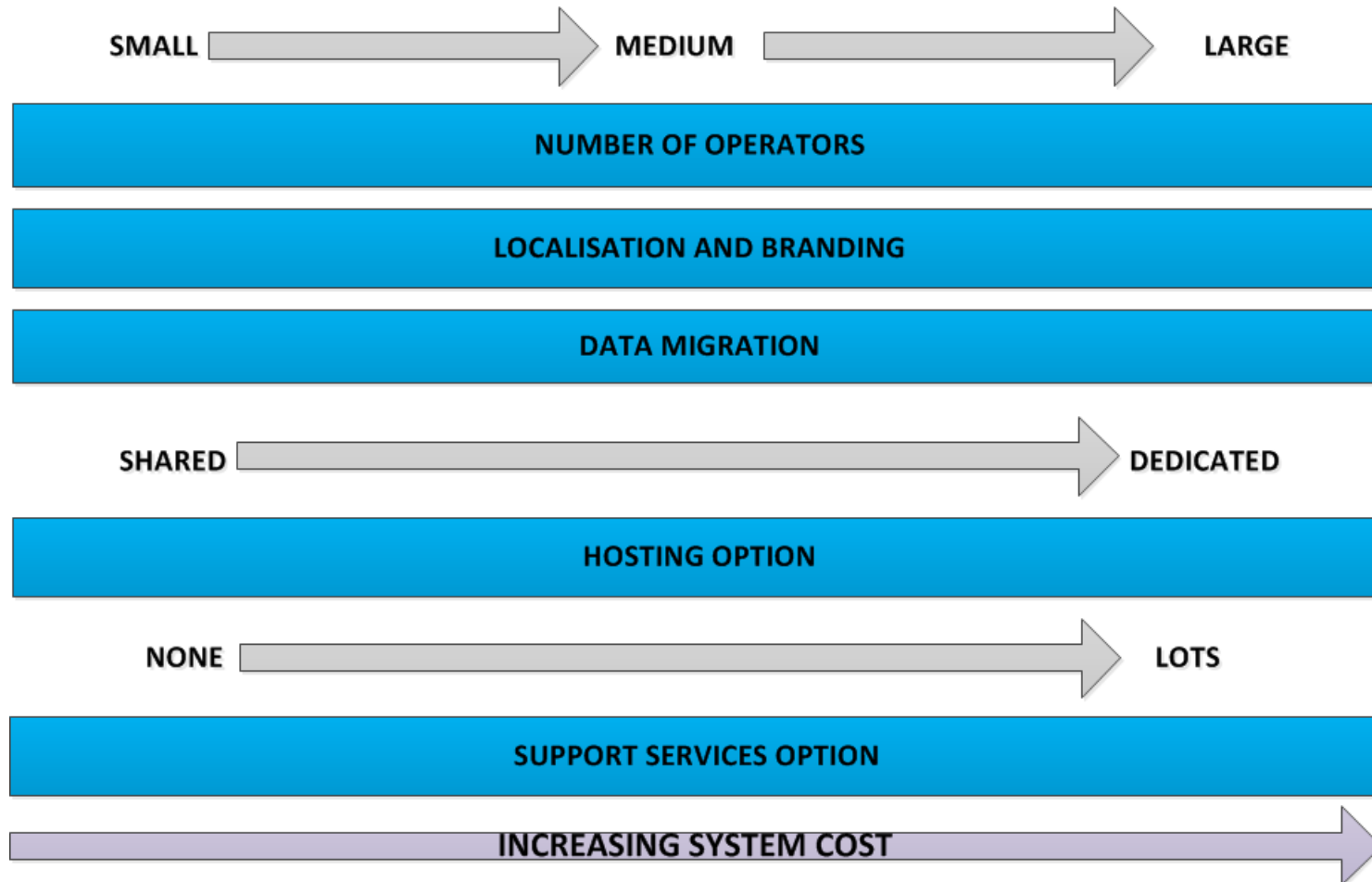
➔ Choose your Hosting Option

- ➔ Dedicated system hosted on a dedicated hosting environment
- ➔ Dedicated system hosted on a shared hosting environment
- ➔ Shared system hosted on a shared hosting environment

➔ Choose your level of support services


- ➔ Infrastructure
- ➔ Maintenance
- ➔ Future Development

Cost Drivers



Cost Examples

	Example 1	Example 2	Example 3
Number of Operators	Less than 100	Less than 500	More than 500
Hosting Option	Shared	Shared	Dedicated
Data Migration	No	Plans and Permits only	Plans Permits Reports Change Requests
Localisation	Branding	Branding Forms	Branding Forms Workflow Multi Language
Support Services	Support Only	Support and Maintenance	Support, Maintenance and Development

COST 

Conclusion

- ➔ For UK with 1000 ground based installations & 500 aviation operators web based IT system essential
- ➔ Huge reduction in admin burden for CAs & operators by using web based application
- ➔ Your next steps depend on current IT maturity, extent of system reuse and budget
- ➔ Integrated approach using forms from old system (updated) provided simplest, most cost effective solution for UK
- ➔ System flexibility going forward is essential for all
- ➔ UK happy to help if we can