# 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

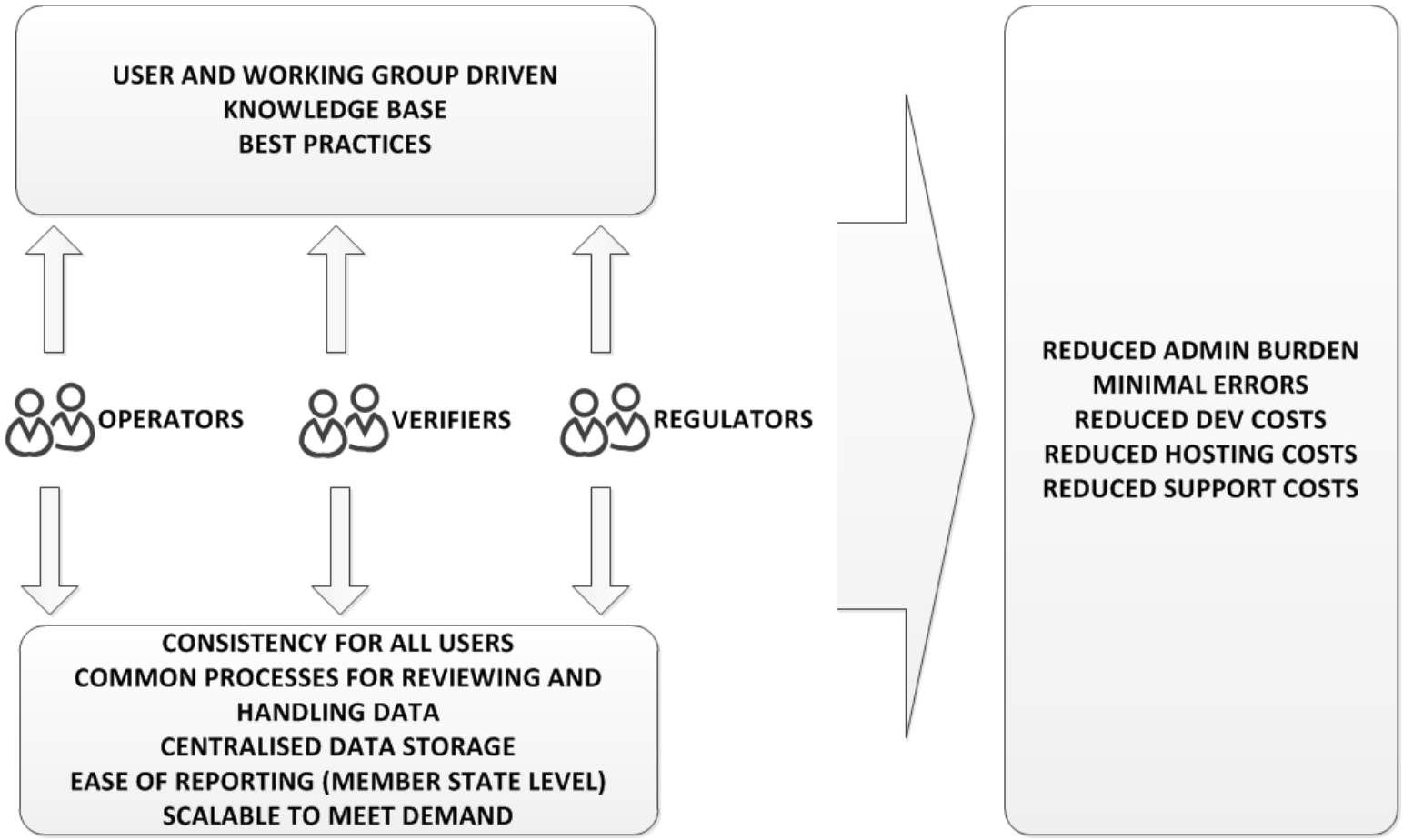
- ETSWAP JV Project started 2006 leading to MUD
- Follow up UK Development started 2009
- System replaces Excel .xls & Access .db
- Aviation; Phase 3 expansion was impossible
- UK Business Case -> saving admin burden for CA, Operators and Verifiers, status tracking & flexible reporting
- Aviation & Operators 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

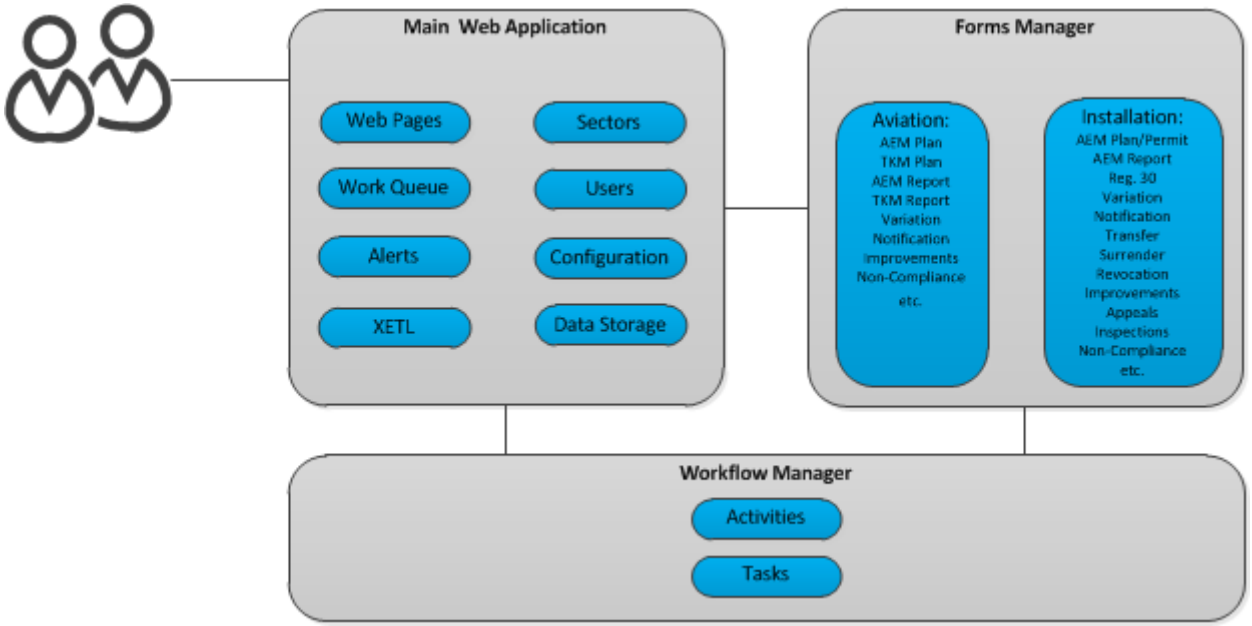
# ETSWAP - Key System Features (1)

- 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




- Microsoft .Net Web Application
- Dedicated Forms Package
- Microsoft Workflow

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

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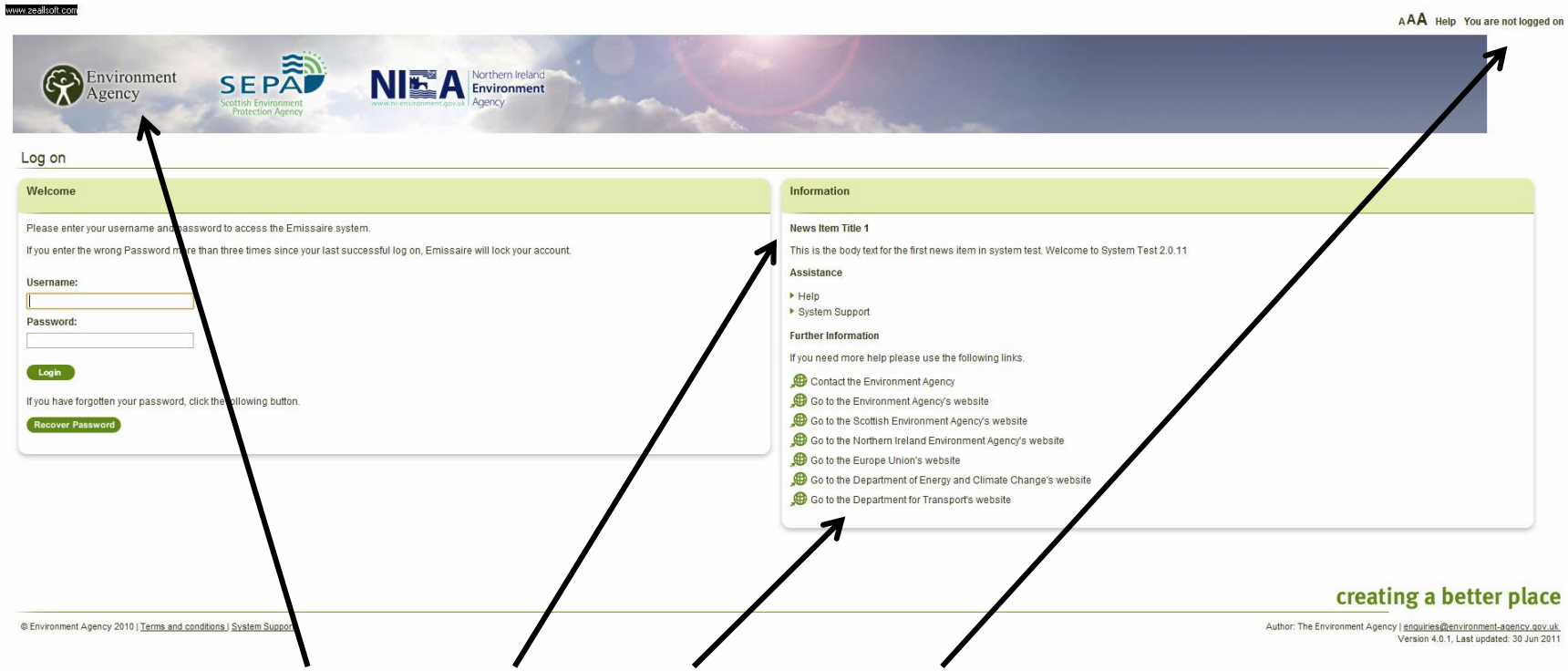
# ETSWAP Functionality – Highlights (1)

- 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)

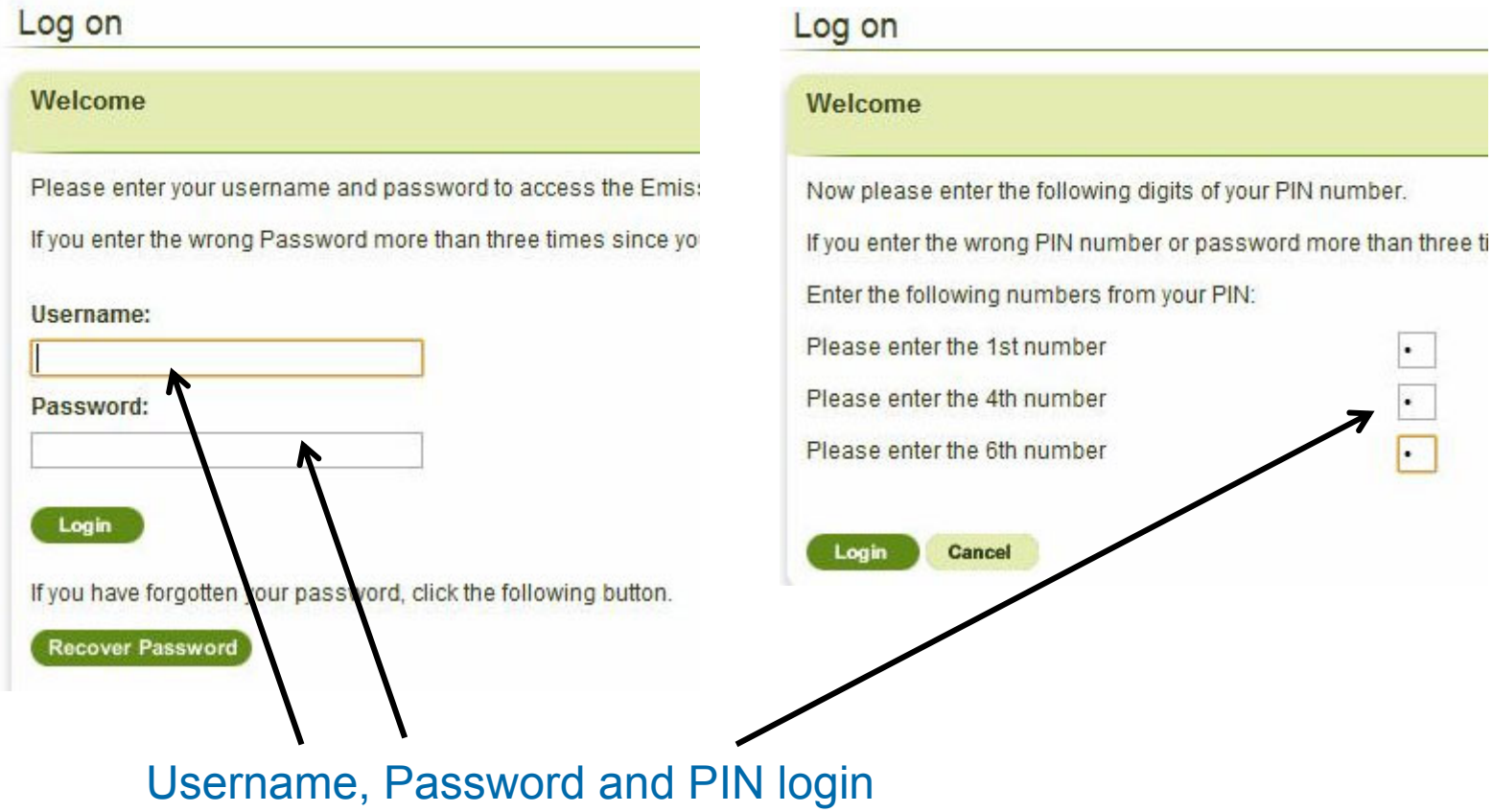
- CA specific functionality includes
  - Determination of Reportable Emissions
  - Non-Compliance
  - Inspections
  - Appeals
  - Recording Notes against Operators
  - Adding Operators and Verifiers

# ETSWAP Functionality - Homepage



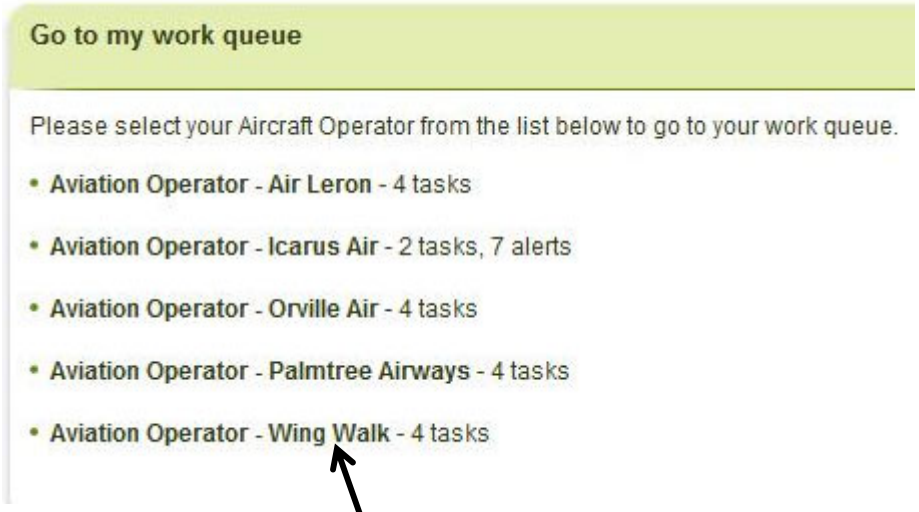

Shared system, News, Support, Login status

# ETSWAP Functionality - Login



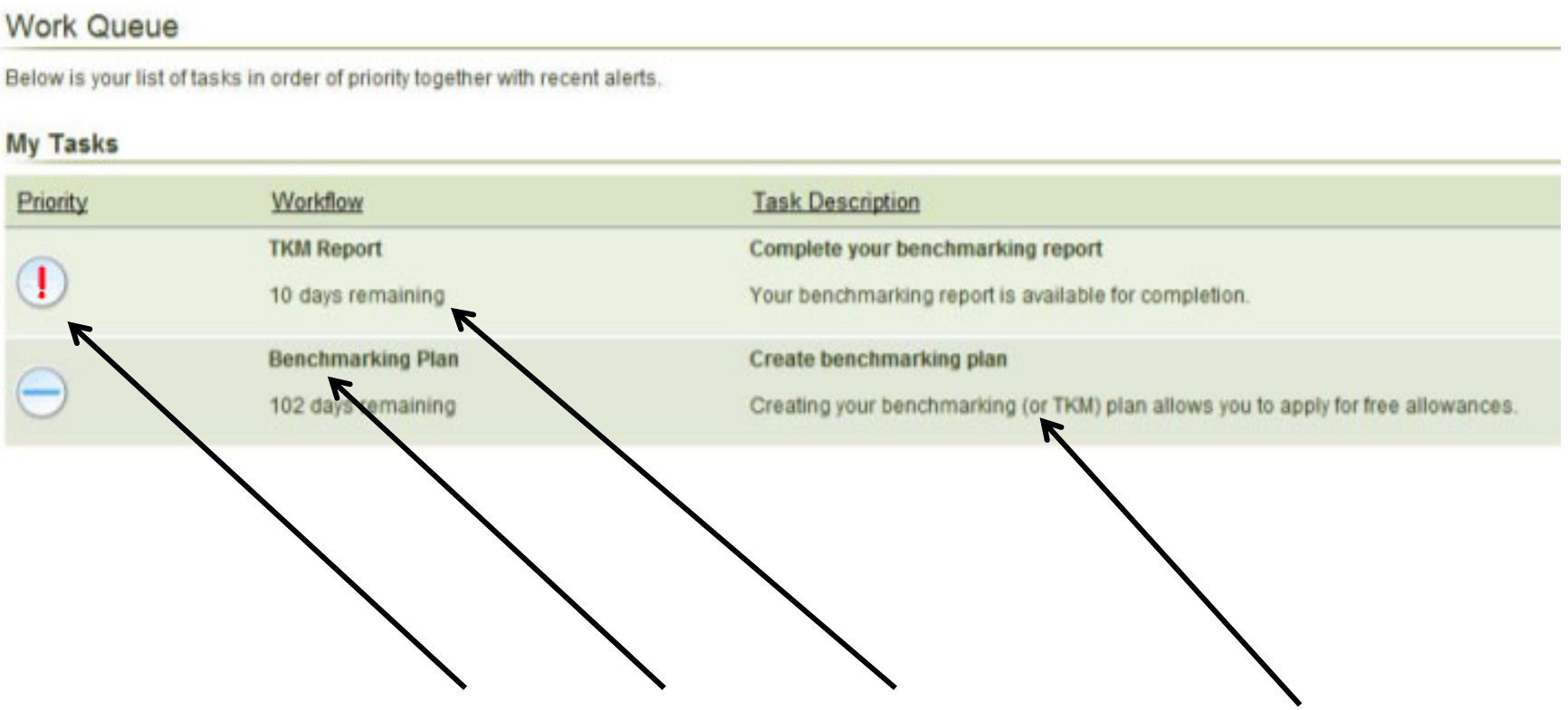

Username, Password and PIN login

# ETSWAP Functionality – Operator




Operator/Installation Selection

# ETSWAP Functionality – Work Queue




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

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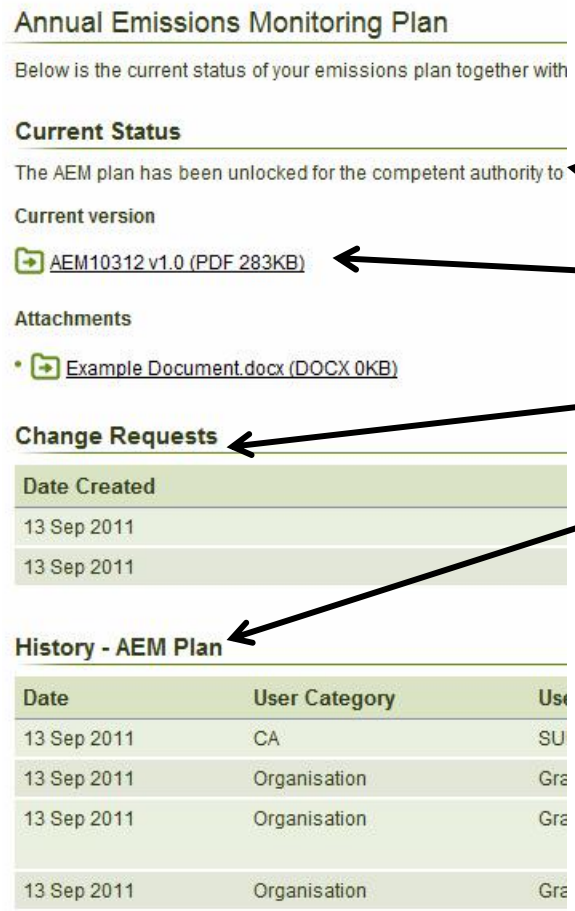
# ETSWAP Functionality - Alerts

Clear Alerts conveying Workflow Information (copied as email)

# ETSWAP Functionality – Form Homepage




AEM Plan Homepage:
Current Status
Latest Approved Version
Linked Variations and Notifications
Complete Form History showing all previous versions

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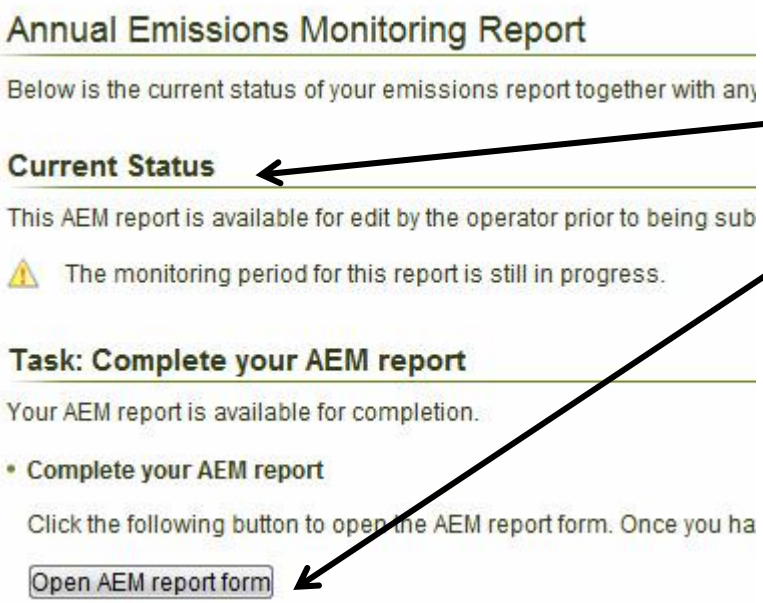
# ETSWAP Functionality – Form Access




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

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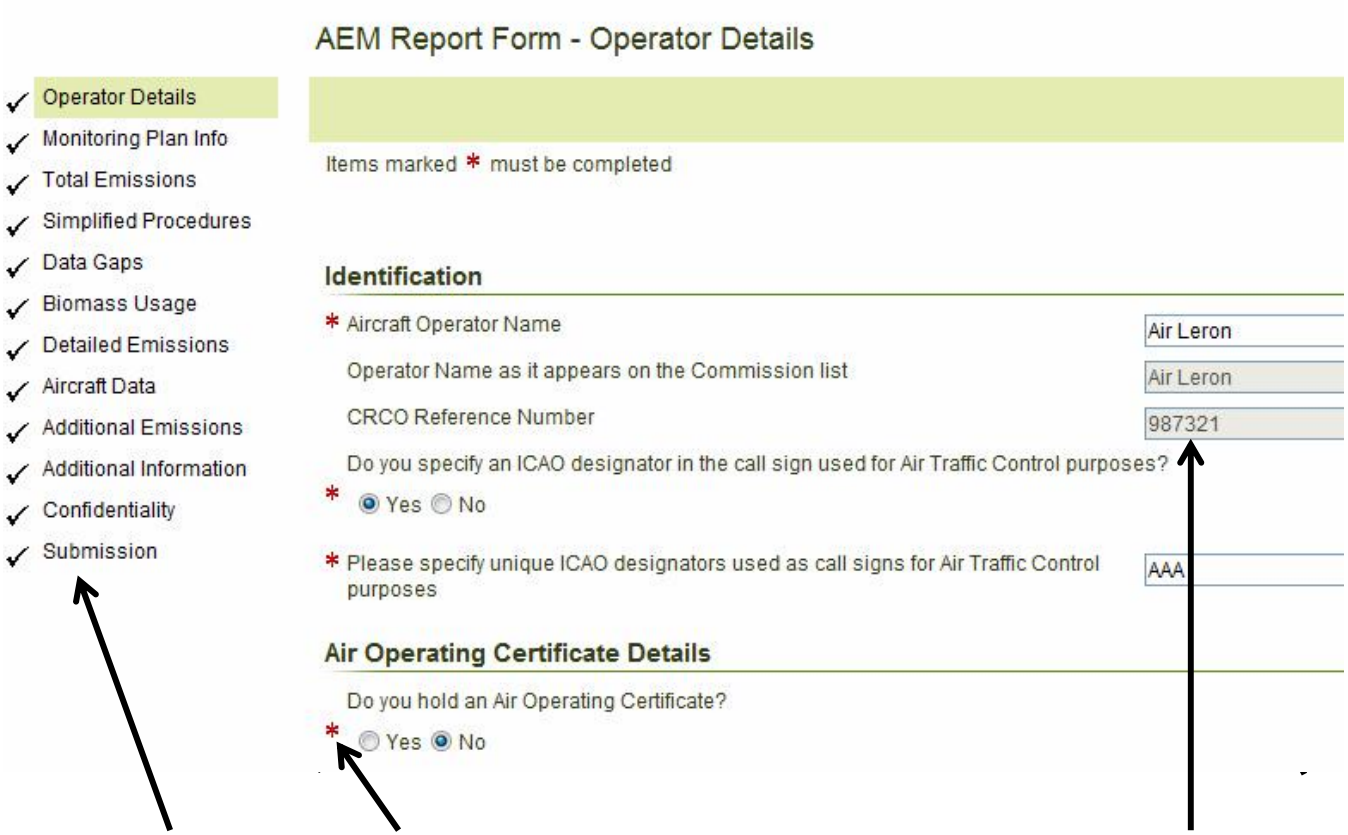
# ETSWAP Functionality – Part of Form




Sections, Mandatory data, Data from core system and Plan

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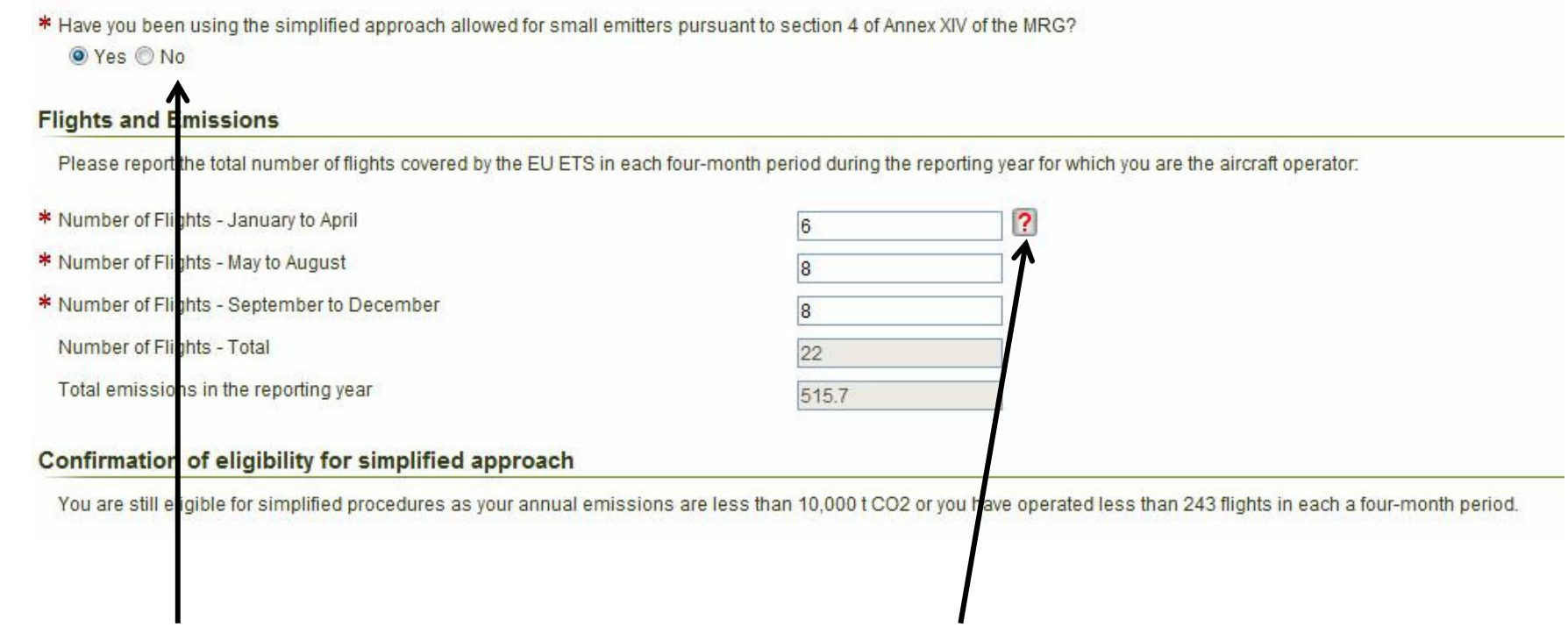
# ETSWAP Functionality – Tailored Forms




Forms tailored to Operator Type

Field Level Help

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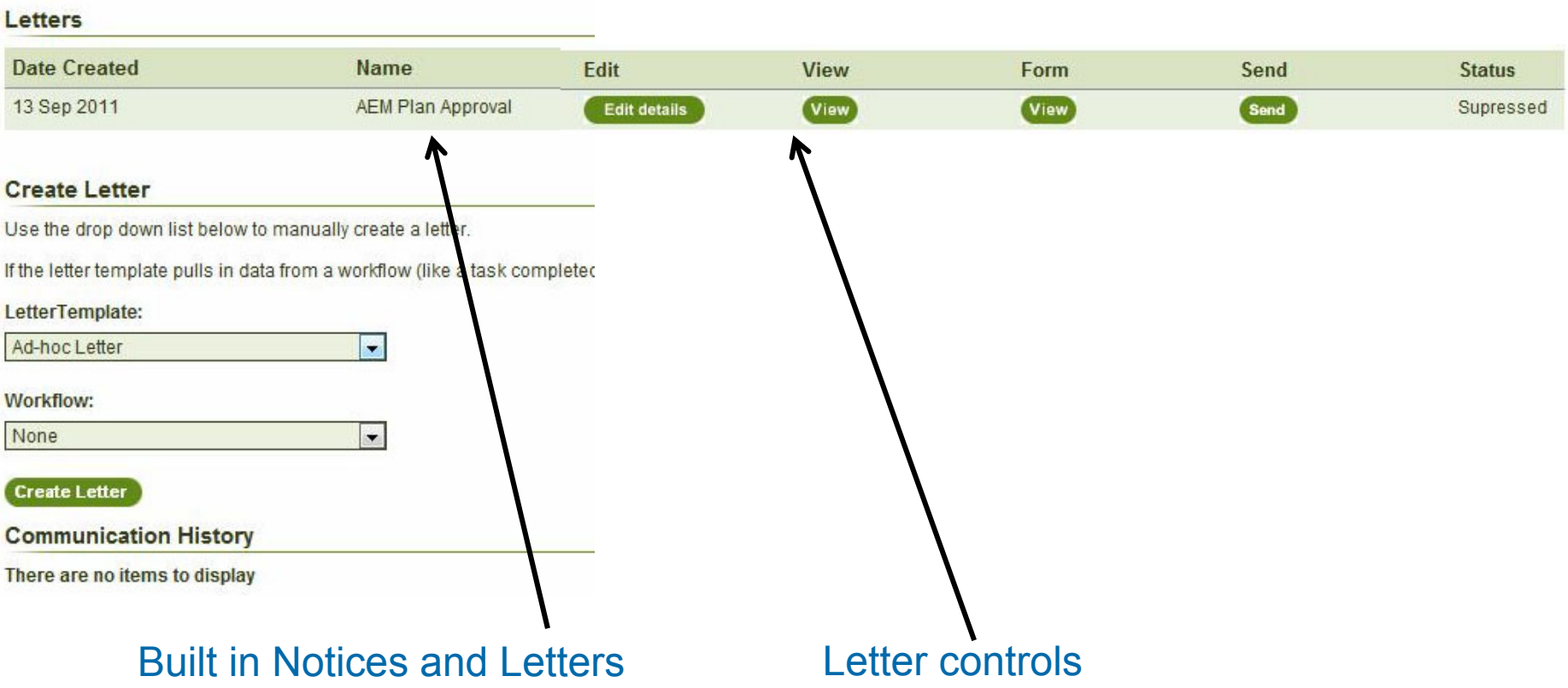
# ETSWAP Functionality - Letters

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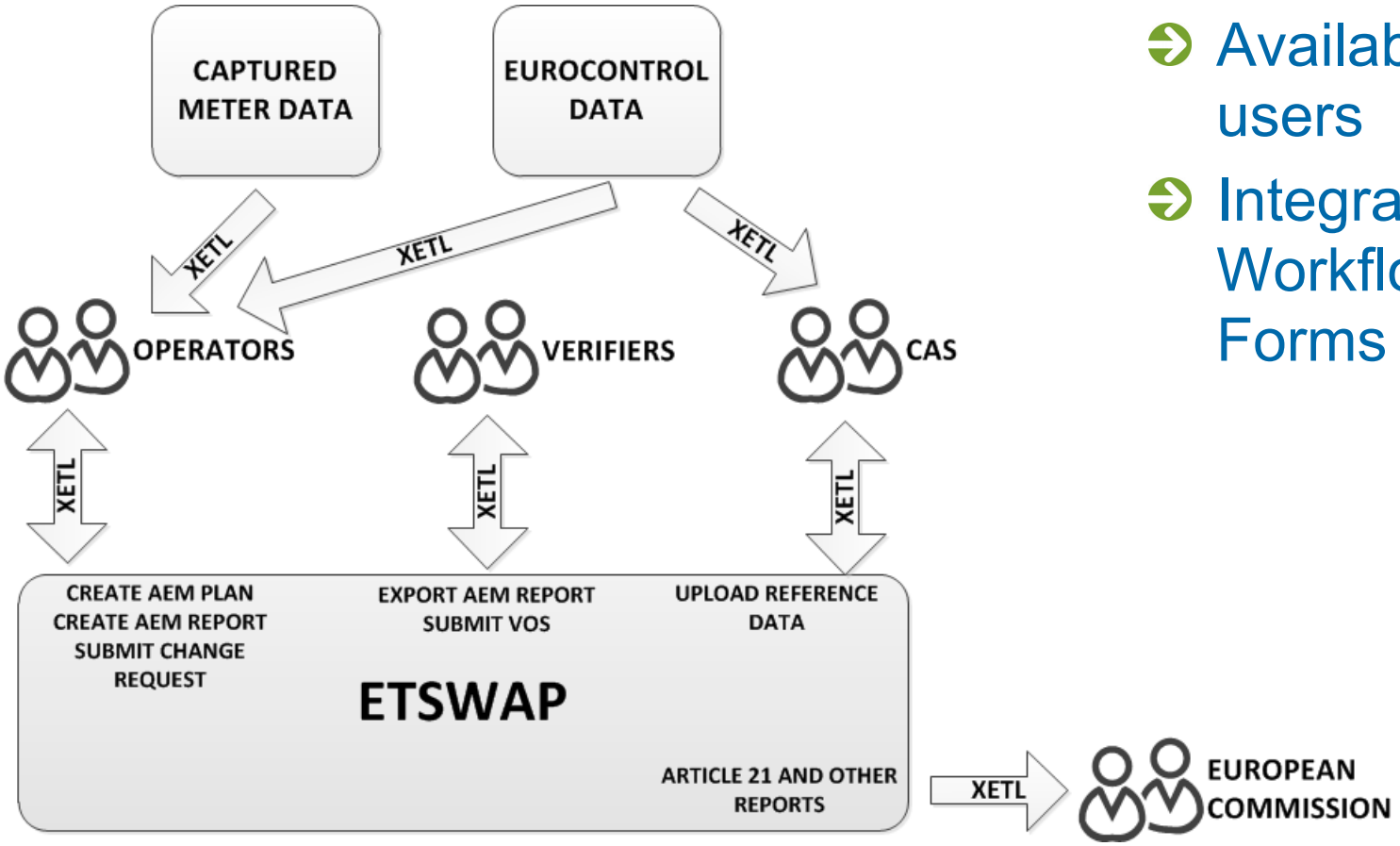
# Use of XETL in ETSWAP

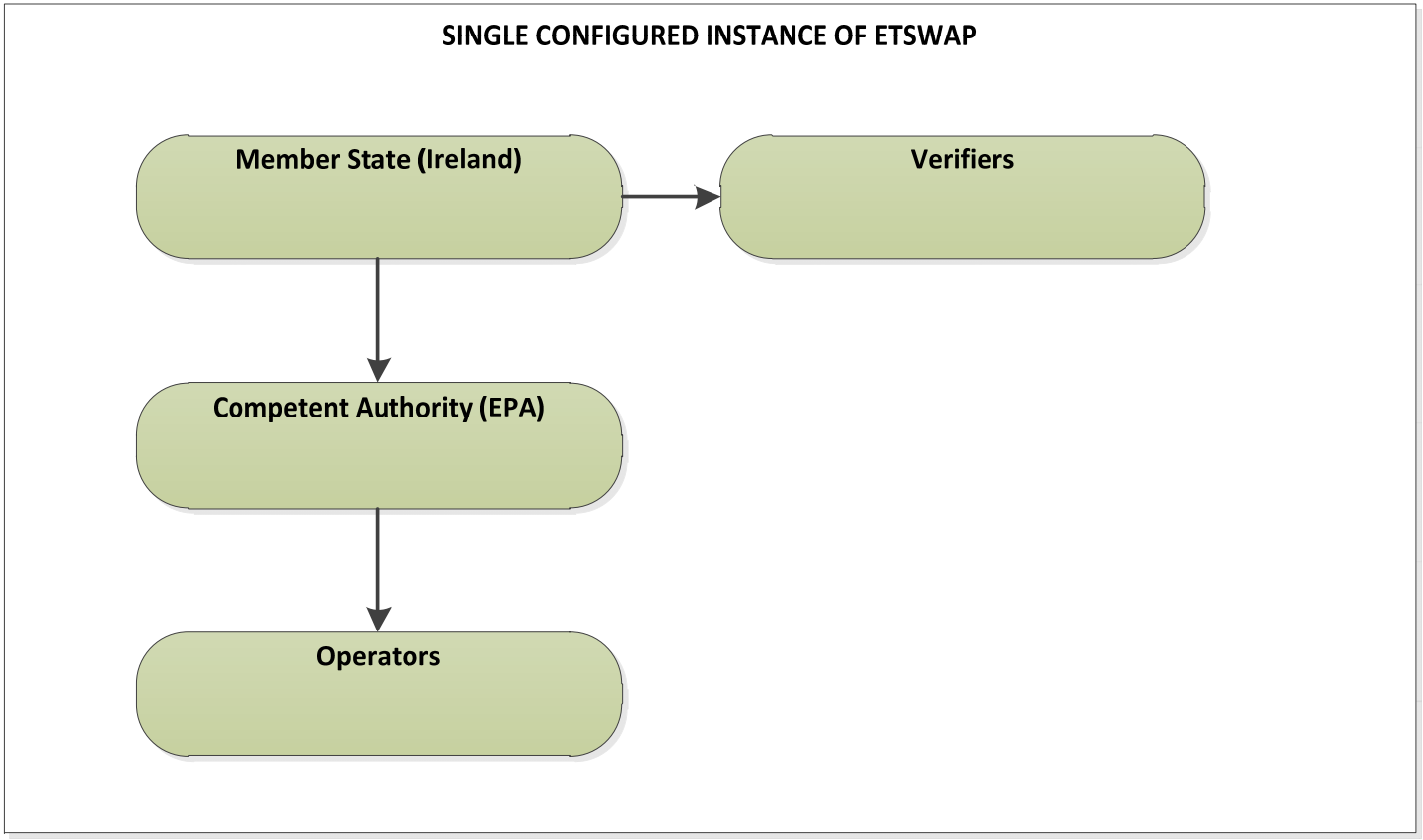



- Available to all users
- Integrates into Workflow and Forms

# 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)

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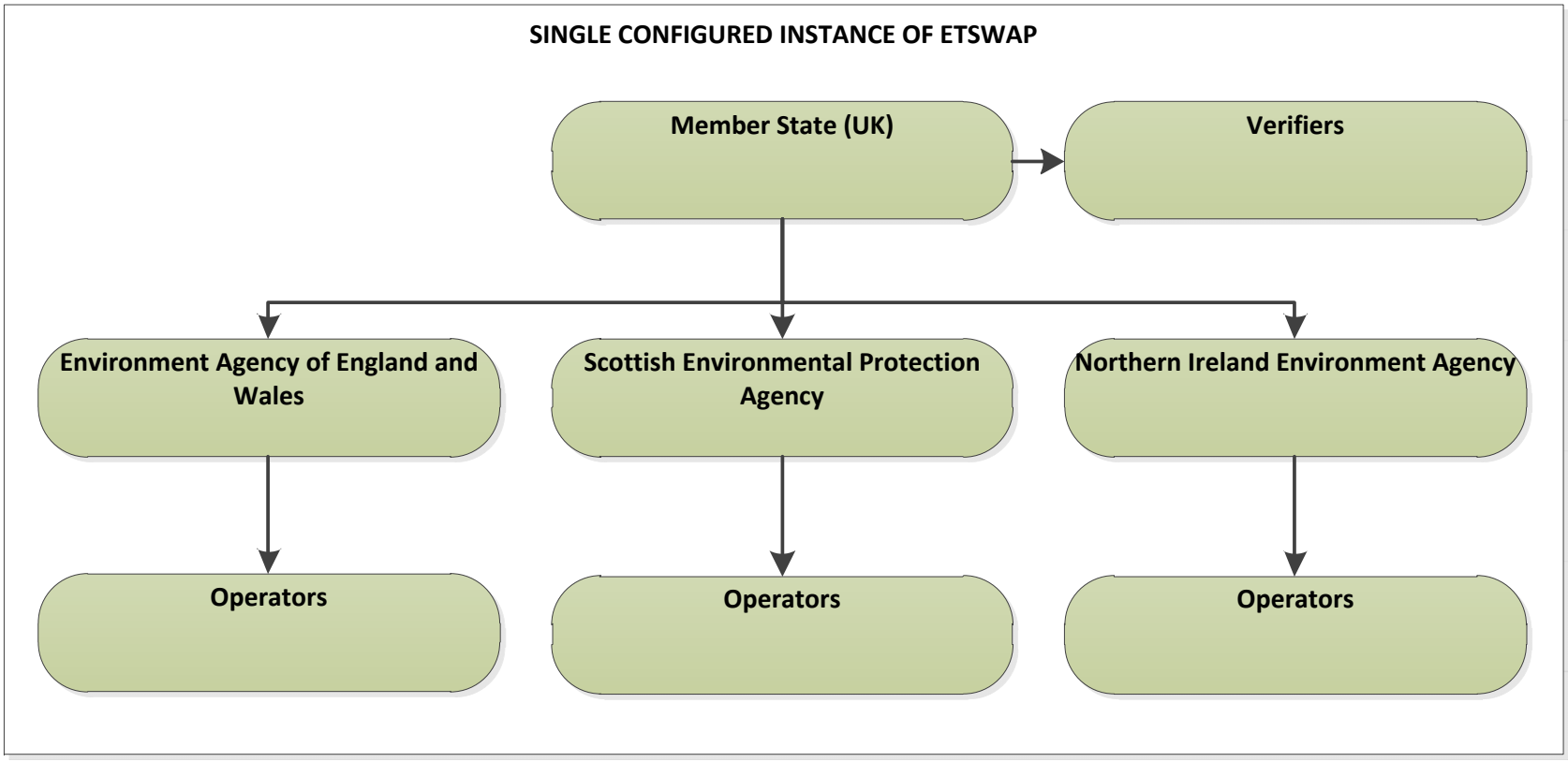
# ETSWAP – Configuration Options (2)

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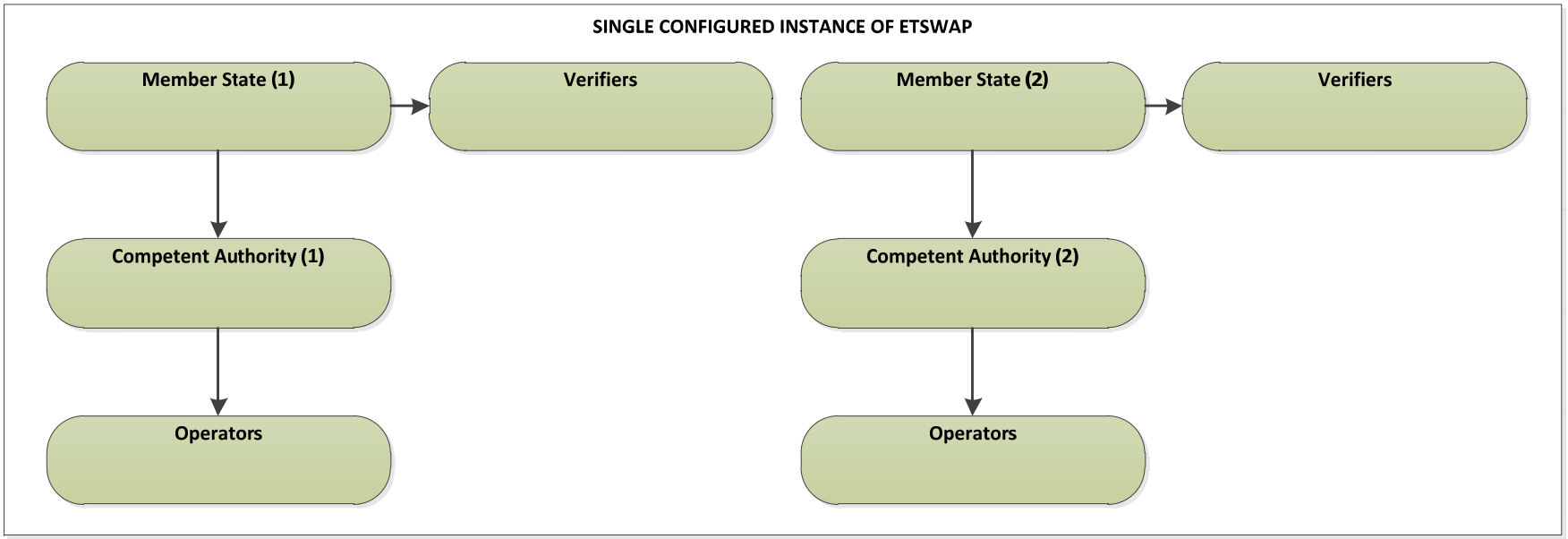
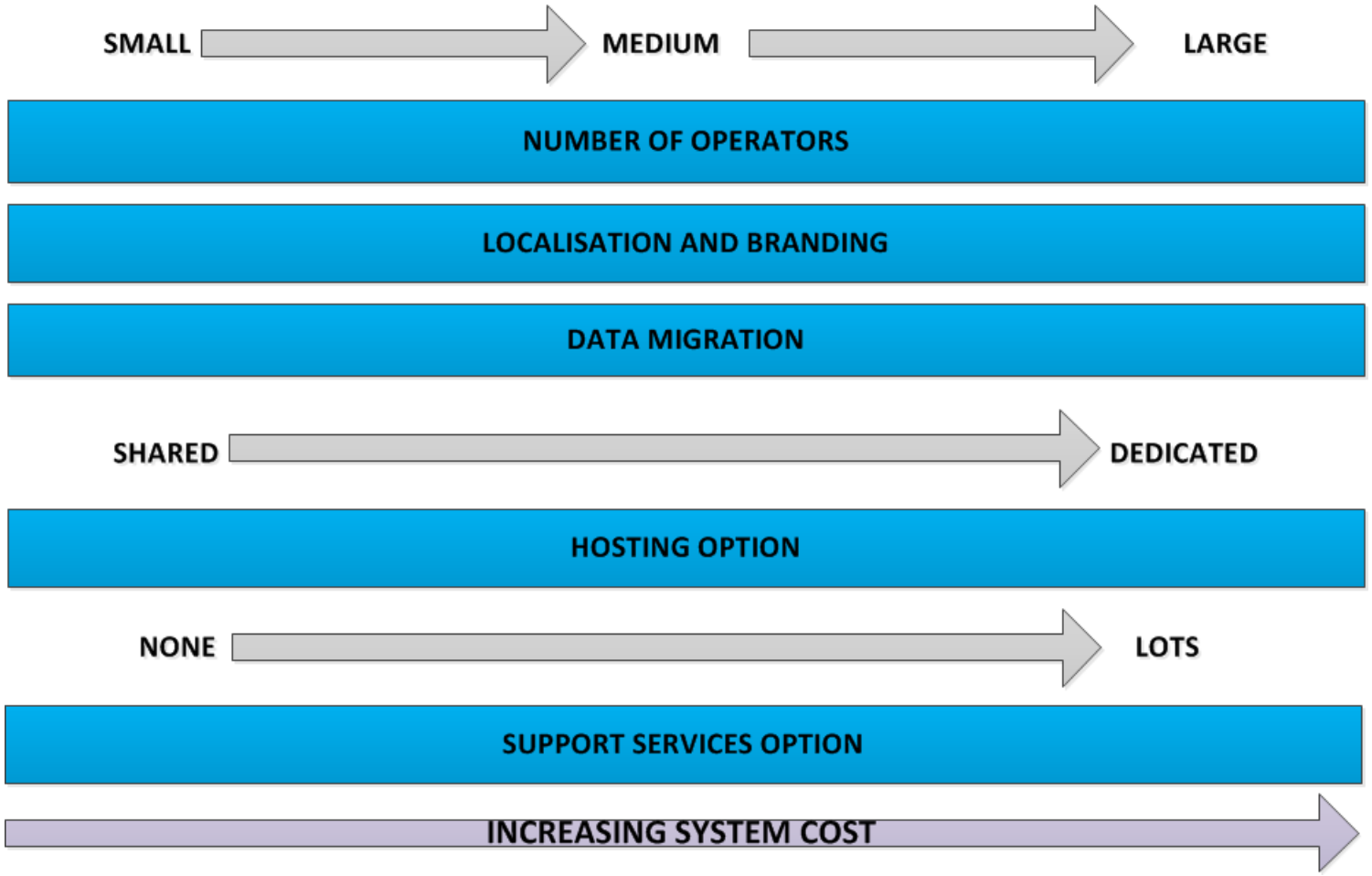
# ETSWAP – Configuration Options (3)



# 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

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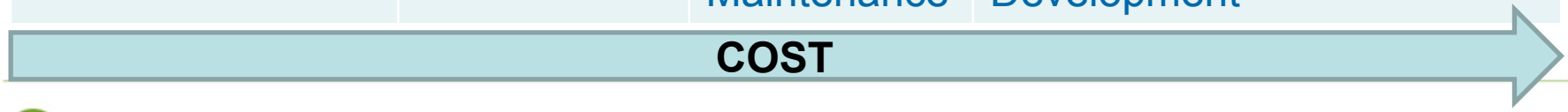
# Cost Examples

| | 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<br>Permits<br>Reports<br>Change Requests |
| Localisation | Branding | Branding<br>Forms | Branding<br>Forms<br>Workflow<br>Multi Language |
| Support Services | Support Only | Support and Maintenance | Support, Maintenance and Development |

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# 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