European Commission - DG CLIMA

EU-ETS-Reporting Service Desk

EU-ETS Reporting tool - ALC User Manual

Release version 5.2

Document version 9.0

12/09/2023

DOCUMENT HISTORY

Version	Date	Author	Comments
1.0	07/05/2021	ETS Service Desk	First version.
2.0	22/06/2021	ETS Service Desk	New topic: - ALC calculations Updated: - Validate and submit ALC application - About ALC applications - View and work with ALC applications - ALC application notification e-mails - Minor corrections.
3.0	20/09/2021	ETS Service Desk	New section: - NAT submissions - Interface for NAT submissions Updated: - View and work with organisations - Upload ALC file - Work on a Draft ALC file - About ALC applications - View and work with ALC applications - ALC calculations - ALC application notification e-mails - ALC Applications - ALC Application details Minor corrections.
4.0	14/06/2022	EU-ETS Reporting Service Desk	Minor corrections
5.0	16/08/2022	EU-ETS Reporting Service Desk	Updated: - About ALC applications
6.0	31/08/2021	EU-ETS Reporting Service Desk	Updated - ALC applications workflow - NAT submission workflow - ALC Error Flags - Screenshots
7.0	20/12/2022	EU-ETS Reporting Service Desk	Updated following Release version 4.4 - Additional details on (de)activation of member's organisation by a CA - Additional information on NAT file generation for Merged Installation - Update screenshot of Organisation details screen
8.0	05/04/2023	EU-ETS Reporting Service Desk	Update: - Diagrams - Screenshots - Steps to logout - Request access

			- Switch domains and roles
9.0	12/09/2023	EU-ETS Reporting Service Desk	Removal: - - Request Access to an organisation - - Approve/reject member's access to an organisation Update: - Minor updates - ALC file 's attachments maximum numbers and size - Actions available on draft ALC files - View and work with ALC applications

Table of Contents

Document Overview 6

Conventions 7

Chapter 1. Description of the tasks 8

Overview 8

Section 1. Starting the application 9

Overview 9

About the user roles 10

Login and registration 11

Request access 12

Switch domains and roles 13

User management notification e-mails 14

Section 2. Organisations management 15

Overview 15

Register new organisations 16

Approve the registration of new organisations 17

View and work with organisations 18

Manage organisations' members 20

Organisation management notification e-mails 21

Section 3. ALC Files 22

Overview 22

About ALC files 23

Upload ALC file 25

Work on a Draft ALC file 26

Validate and submit ALC application 29

Section 4. ALC Applications 31

Overview 31

About ALC applications 32

View and work with ALC applications 34

ALC calculations 37

Submit or withdraw an ALC application 38

Add applications to a NAT file 39

ALC application notification e-mails 40

Section 5. NAT submissions 41

Overview 41

About the NAT submission process 42

View and work with NAT files 44

Generate a NAT file 46

Sign a generated NAT file 47

Notify and send the NAT submission to the European Commission 49
Transfer NAT decision to the Union Registry 50
Chapter 2. Description of the user interface 51
Overview 51
Section 1. Interface for starting the application 52
Overview 52
User registration 53
ALC Homepage 54
My Profile 56
Section 2. Interface for organisations management 57
Overview 57
Organisation search 58
Register new organisation 60
Organisation details 62
Add members 65
Section 3. Interface for ALC files 66
Overview 66
ALC file search 67
Upload a new file 68
ALC file details 69
Section 4. Interface for ALC applications 71
Overview 71
ALC Applications 72
ALC Application details 74
Section 5. Interface for NAT submissions 76
Overview 76
NAT files 77
NAT file details 78
Chapter 3. Annex 81
ALC file validation types 81
ALC file validation error messages 82

Document Overview

Introduction

Auctioning is the default method for allocating emission allowances to companies participating in the EU emissions trading system (EU ETS). However, in sectors other than power generation, the transition to auctioning is taking place progressively. Some allowances continue to be allocated for free until 2020 and beyond.

The continuation of free allocation allows the EU to pursue ambitious emissions reduction targets while shielding internationally competing industry from carbon leakage.

In phase 4, the amount of free allocation can be impacted by activity level changes, upwards or downwards.

Changes will be taken into account based on yearly reported activity levels. Furthermore, the possible impact of energy efficiency measures, as well as impacts related to other parameters maybe taken into account.

Contents

This publication contains the following chapters:

Topic	Page
Description of the tasks	8
Description of the user interface	51
Annex	81

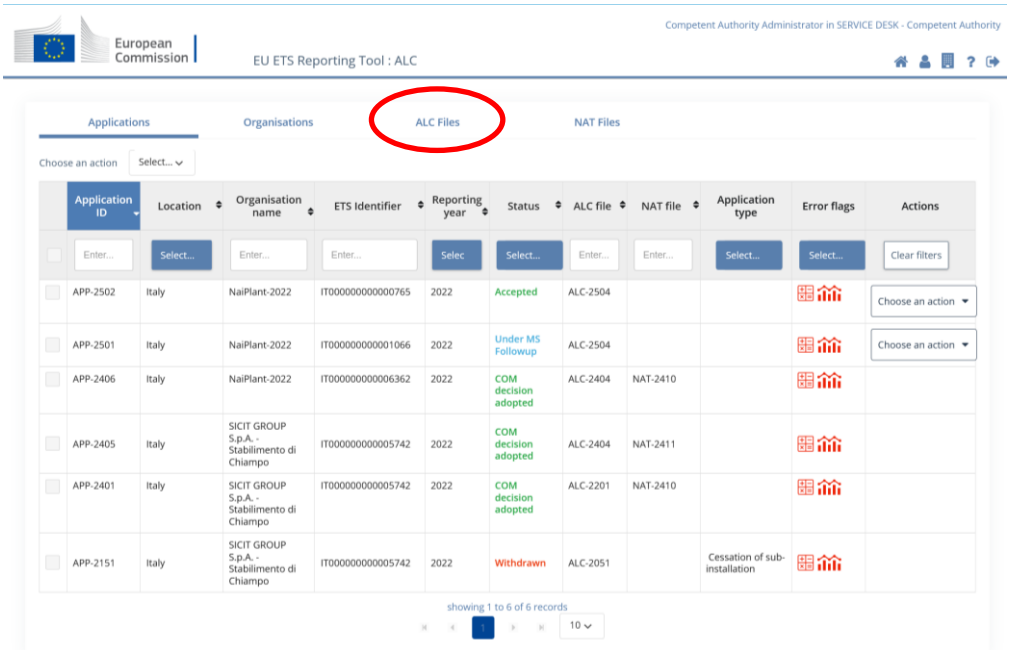
Conventions

Introduction

The following conventions are applied in this documentation.

Name of the interface topic

The name of the interface elements corresponds to the name of the page (to be found at the top of the work area).



Conventions

The following conventions are used to indicates the interface elements in the text:

Part	Function
Page name	The name of the page is written between quotes (e.g. “Organisation”, “ALC Files”).
Button	The name (label) of a button used in a procedure is written in **bold**.
Field	The name (label) of a field used in a procedure is written in **bold**.

Chapter 1. Description of the tasks

Overview

Introduction

This chapter describes the tasks to be executed by users of the ALC (Activity Level Change) domain of the EU ETS Reporting Tool.

Each procedure is described step by step and the interface elements are referenced.

They are described in next chapter.

Contents

This chapter contains the following topics:

Section	Page
Starting the application	9
Organisations management	15
ALC Files	22
ALC Applications	31
NAT submissions	41

Section 1. Starting the application

Overview

Introduction

This section describes the tasks related to the application start-up.

It includes the login/logout procedure as well as all the steps to be done to become a user of the EU ETS Reporting Tool.

Contents

This section contains the following topics:

Topic	Page
About the user roles	10
Login and registration	11
Request access	12
Switch domains and roles	13
User management notification e-mails	14

About the user roles

Introduction

The EU ETS Reporting Tool uses a combination of user types and roles to define the permissions to execute each action.

Users

The following types of users are available in ALC:

User	Definition
Competent Authority	A representative of the Competent Authority, acting as the main user type.
European Commission	This type of user acts as a system administrator.

Roles

The following types of roles are available in ALC for each user type:

Role	Definition
Viewer	A viewer can see the organisation and its data, but it has read-only access.
Administrator	An administrator has all possible rights, including management of organisations

Login and registration

Introduction

In order to access the EU ETS Reporting Tool, you need to have an EU Login user account and a second factor authentication method such as GSM/SMS authentication, token cram or the EU Login Mobile app.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
User registration	53
ALC Homepage	54

Steps to login

Execute the following steps to log into the EU ETS Reporting Tool:

Step	Action
1	Go to the EU ETS Reporting Tool homepage: https://ets-reporting.ec.europa.eu
2	You are automatically redirected to EU Login. Login by entering: - Your e-mail address - Your EU Login password - A registered second factor authentication of your choice
3	After successful login, you are redirected back to the EU ETS Reporting Tool homepage.

You should already be appointed to at least one organisation. If this is not the case, please contact the service desk.

For first time users, please continue on the “Steps to register” topic below.

Steps to register

Execute the following after having logged in to the EU ETS Reporting Tool in order to register your user for the first time:

Step	Action
1	A “You are not registered in the system” page displays your user details. Tick the checkboxes to agree with the “Terms and conditions” and the “Privacy statement”.
2	Click **Register**.
3	You can now access to the ETS Reporting tool.

Session timeout

The EU ETS Reporting Tool has a timeout of 30 minutes. After an inactivity of this duration, you will be automatically disconnected from the application.

Steps to logout

Execute the following steps to disconnect from the EU ETS Reporting Tool:

Step	Action
1	Click on the **Logout** button at the top right corner of the screen.
2	Click **Confirm**.

Request access

Introduction

When logging in to the application for the first time, you should already be appointed to at least one organisation. If this is not the case, please contact your local Competent Authority or the service desk (EU-ETS-Reporting-ServiceDesk@westpole.be).

Please note that the ALC domain is restricted to Competent Authorities and to the European Commission users.

Switch domains and roles

Introduction

One user may be appointed to multiple organisations and have different roles in each one of them.

Furthermore, a Competent Authority representative may have access to both MRV and ALC domains.

In this topic we explain how to change your role and domain.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC Homepage	54
My Profile	56

Steps to switch domains

If you have access to both ALC and MRV domains, execute the following steps:

Step	Action
1	Click on the **My Profile** button at the top right corner of the screen..
2	A list with all domains available is displayed. Select the appropriate domain.
3	Click **Switch** on the pop-up confirmation message displayed.
4	If it is the first time you are accessing the new domain, tick the checkboxes to agree with the “Terms and conditions” and the “Privacy statement” and click **Register**.
5	If you have multiple roles in the new domain, select the role you wish to access with.
6	You can see the selected domain on the top of the screen.

Steps to switch roles

Execute the following steps:

Step	Action
1	Click on the **My Profile** button at the top right corner of the screen..
2	A list with all profiles registered in the system for you (active or inactive) is displayed. Select the active profile corresponding to the organisation and role needed to perform your actions.
3	Click **Switch** on the pop-up confirmation message displayed.
4	You can see your new role displayed on the top right corner of the screen.

User management notification e-mails

Introduction

In this topic you can find a list of all notification e-mails triggered during the user management process, and the recipients of each notification e-mail.

List of notifications emails

List of user management notifications emails:

Description	Recipient
User role in an organisation is activated	The user
User role in an organisation is de-activated	The user
User is inactive for 5 months	The user

Section 2. Organisations management

Overview

Introduction

This section describes the tasks related to organisations.

Contents

This section contains the following topics:

Topic	Page
Register new organisations	16
Approve the registration of new organisations	17
View and work with organisations	16
Manage organisations' members	20
Organisation management notification e-mails	21

Register new organisations

Introduction

As a Competent Authority administrator, you have the possibility of registering new organisations in the EU ETS Reporting Tool system.

For decentralised Member States, you will need to create a Competent Authority organisation per region.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
Organisation search	58
Register new organisation	60

Steps to register an organisation

Execute the following steps to create an organisation in the EU ETS Reporting Tool:

Step	Action
1	Go to the “Organisations” tab.
2	Click the **Register New Organisation** button.
3	Select the organisation type to register.
4	Fill in the form. For installations, you can search for the EUTL Registry ID to fill in some fields automatically.
5	Click **Register**.

All organisations are created in status PENDING and need to be approved by another Competent Authority administrator.

Please refer to topic “Approve the registration of new organisations” on page 17 for further details.

You will receive an e-mail notification when the approval process is complete.

Approve the registration of new organisations

Introduction

New organisations are registered in status PENDING.

This procedure explains how you, as a Competent Authority administrator, have the possibility of validating and approving the creation of new organisations.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC Homepage	54
Organisation search	58

Steps to approve pending organisations

Only Competent Authority administrators can approve the creation of new organisations.

Execute the following steps from the “Organisations” tab:

Step	Action
1	Use the **Status** filter to search for organisations in status PENDING.
2	In the **Actions** column, select **Activate** or **Inactivate**. Click on the organisation name to see its details if you need more information before taking action. In the organisation details page, the **Activate** and **Inactivate** action buttons are also available.
3	A message is displayed to confirm the successful update of the organisation’ status.

View and work with organisations

Introduction

In this topic you can find information about how to retrieve, edit and add more information about the organisations you are appointed to.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC Homepage	54
My Profile	56
Organisation details	62

Steps to find an organisation

Execute the following steps:

Step	Action
1	Go to the “Organisations” tab.
2	Use the different search criteria to filter the list of organisations.
3	You can also use the search text box at the top right of the screen to filter the results on the organisation’s id, name, type or location.
4	The search results table is populated automatically.
5	Click the **Clear Filters** button to reset your filters.
6	Once you find the organisation, click on it to see its details.

ALC CA administrators can view and take actions on organisations of their location and sub-locations.

Steps to edit the details of an organisation

Execute the following steps from the organisation details page:

Step	Action
1	Click **Edit**.
2	Perform the necessary modifications.
3	Click **Update**.
4	A message is displayed to confirm the successful update of the organisation’s details.

You will receive an e-mail notification confirming the update.

Continued on next page

View and work with organisations, Continued

Steps to add attachments to an organisation

Execute the following steps from the organisation details page:

Step	Action
1	Click **Add attachment**.
2	Search in your computer for the file to upload.
3	The file is uploaded and can be found by any user having access to the organisation details page.

Steps to view and download attachments from an organisation

Execute the following steps from the organisation details page:

Step	Action
1	Retrieve the attachment to view or download.
2	Click .
3	Depending on your browser configuration, you might need to browse a location and click **Save**.

Steps to delete attachments from an organisation

Execute the following steps from the organisation details page:

Step	Action
1	Retrieve the attachment to delete.
2	Click .
3	A confirmation message is displayed. Click **Delete** to confirm.
4	A message is displayed to confirm the successful deletion of the attachment.

Manage organisations' members

Introduction

In this topic you can find information about how organisation administrators can add and delete members to it.

In ALC, you can only manage the members of your Competent Authority organisation.

A CA is not able to activate/deactivate users from another CA organisation at same location.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC Homepage	54
My Profile	56
Organisation details	62
Add members	65

Steps to add members

Execute the following steps, from the "Organisation details" page:

Step	Action
1	Click the **Add New Member** button.
2	Select a role from the dropdown list and enter the member's EU Login account e-mail address. The first and last name fields are not mandatory since the information is retrieved from EU Login.
3	Click **Add Member**.
4	A message is displayed to confirm the successful creation of the member.

The new member is added as ACTIVE. The new member will receive an e-mail notification when the approval process is complete.

Organisation management notification e-mails

Introduction

In this topic you can find a list of all notification e-mails triggered during the organisation management process, and the recipients of each notification e-mail.

List of organisation notifications emails

List of organisation management notifications emails:

Description	Recipient
Register a new organisation	- All users of the same organisation - All CA users of the organisation's location and parent location - European Commission
Edit an organisation	- All users of the same organisation - All CA users of the organisation's location and parent location - European Commission
Change the status of an organisation	- All users of the same organisation - All CA users of the organisation's location and parent location - European Commission

Section 3. ALC Files

Overview

Introduction

Activity level change list (ALC list) is an Excel file (xlsx) submitted by Competent Authorities.

This file contains information about the expected amount of free allocations granted to installations.

This section describes the tasks related to submission of ALC lists.

Content

This section contains the following topics:

Topic	Page
About ALC files	23
Upload ALC file	25
Work on a Draft ALC file	26
Validate and submit ALC application	29

About ALC files

Description

ALC applications are entered in the system by uploading an ALC file in Excel format (xlsx).

The ALC file is a compiled list of installations' allocations generated by the UBA tool.

If the ALC file is compliant with the expected structure, it is stored as **Draft**.

Please note that the ALC applications are not yet submitted at this point.

The system then analyses the content of ALC file and displays a validation report, indicating if there is any blocking error in the data.

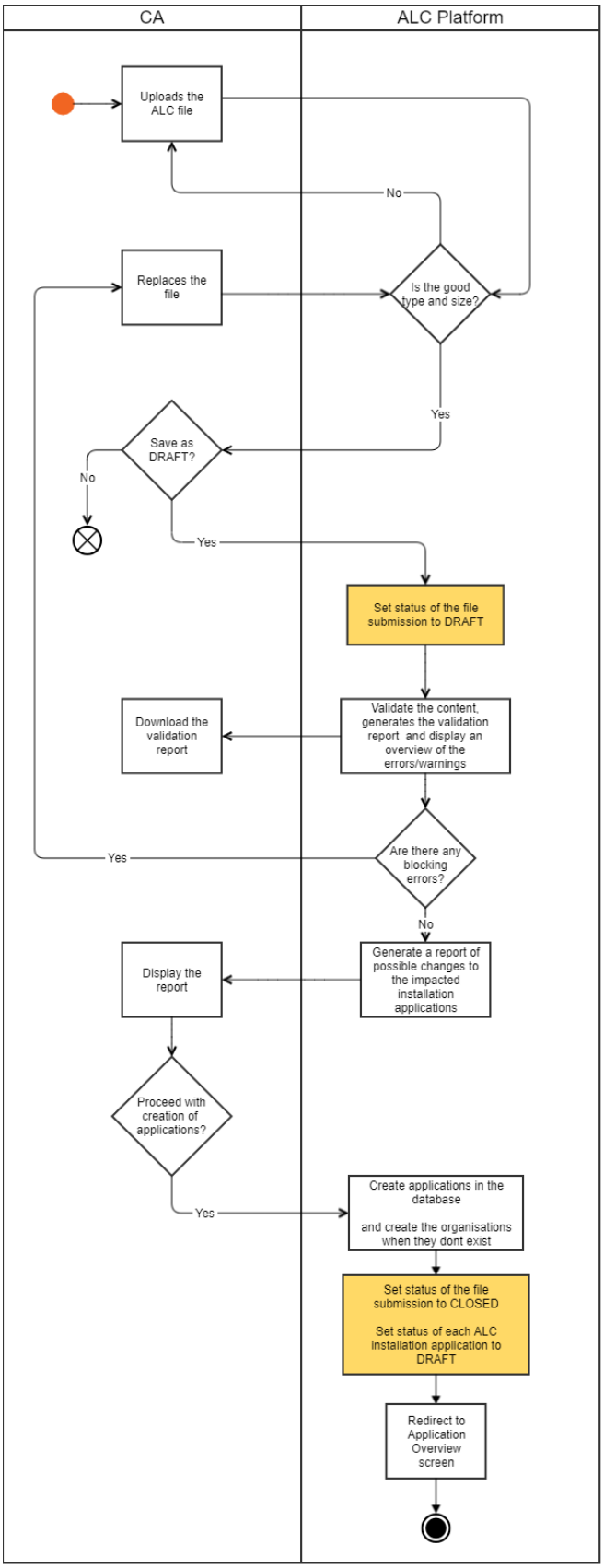
Based on the results of the validation report, an ALC file that is in Draft can be deleted or updated before being **Submitted**.

When an ALC file is finally Submitted, one ALC application will be created per installation in the ALC Applications tab.

Continued on next page

About ALC files, Continued

Workflow



Upload ALC file

Introduction

In this topic you can find information about how to upload an ALC file.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC file search	67
Upload a new file	68

Upload an ALC file

Execute the following steps from the homepage of the application.

In the case of de-centralised Member States, please submit the ALC list at country level, i.e. from the Competent Authority parent location:

Step	Action
1	Select the “ALC Files” tab.
2	Click **Upload a new file**.
3	Select the reporting year from the dropdown list.
4	You may add a **Name** to the ALC file.
5	Click **Browse** in the “ALC file” field to select the xlsx file to upload. The maximum file size for it is 20 Mb. The ALC file is a compiled list of installations' allocations generated by the UBA tool.
6	You may upload additional files as **attachments**, meeting the following requirements: - Maximum number of files: 50 - Maximum size: 20 Mb - Supported file types: docx, doc, xls, xlsx, ppt, pptx, pdf, jpg, png, vsd, vsdx. Click therefore **Browse** in the **Attachments** field. - When uploading attachments, you can define their visibility as described in “Visibility of attachments and comments”.
7	Click **Save As Draft**. You will not be able to save the upload as a draft if the ALC file does not have the expected format and size.

Note that the ALC file is not yet submitted for assessment.

Please refer to following topics “Work on a Draft ALC file” and “Validate and submit ALC application” to continue the process.

Work on a Draft ALC file

Introduction

This topic describes the standard actions you can do on uploaded ALC files.

Note that the ALC file is not yet submitted for assessment. Please refer to topic “Validate and submit ALC application” to continue the process.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC file search	67
ALC file details	69

How to view a draft ALC file

Execute the following steps from any page of the EU-ETS reporting tool:

Step	Action
1	Select the “ALC Files” tab.
2	Use the different search criteria to sort or filter the results.
3	You may click the **Clear Filters** button to reset your filters.
4	Click on the expected result to see its details.

ALC CA administrators can view and take actions on the ALC files and applications of their location and sub-locations.

Continued on next page

Work on a Draft ALC file, Continued

Actions available on draft ALC files

The following actions are available:

Action	Interface
Download the ALC file	ALC file*
Download the ALC file validation report	Validation report
Upload a New Version of the ALC file	Upload A New Version
Edit, Delete or Submit the ALC file	Edit Delete Submit
Download all attachments (depending on the visibility selected when uploading an attachment)	Download All
Add attachments [1]	Add Attachment
View attachments (depending on the visibility selected when uploading an attachment)	Attachments
Delete attachments uploaded by you	Attachments
Add comments to it[1]	Add Comment
View comments (depending on the visibility selected when posting your comment)	Comments
Edit and delete comments submitted by you	
Consult the **History of submission** of all changes applied to the ALC file. You can also download previous versions of the ALC file from the History.	History of submission
Allow you to **download the full workflow history** of the ALC file.	Download submission history

Continued on next page

[1] Functionality not available to viewer roles

Work on a Draft ALC file, Continued

How to add comments

Execute the following steps from the ALC file details page:

Step	Action
1	Click **Add Comment**.
2	Define the visibility of your comment and write your comment.
3	Click **Add**.

How to add attachments

Execute the following steps from the ALC file details page:

Step	Action
1	Click **Add Attachment**.
2	Click **Browse** to search in your computer for the file to upload. The attachments needs to meet the following requirements: - Maximum number of files: 10 - Maximum size: 10 Mb - Supported file types: docx, doc, xls, xlsx, ppt, pptx, pdf, jpg, png
3	Define the visibility of the attachment as described in “Visibility of attachments and comments” below.
4	If you wish to upload more attachments, click the “+” button and repeat steps 2 and 3 of this procedure.
5	To finalise the upload of attachments, click **Upload**.

Visibility of attachments and comments

When posting comments or uploading attachments, you can define their visibility:

- **Visible to all Submission Viewers**: Anyone having access to this submission will see it. For example, comments entered with this visibility by a Competent Authority will not be visible to European Commission users and the other way around. Please refer to topic “About the user roles” on page 10 for more details about users.
- **Visible only to my organisation members**: Only members of the same user type as you will see it.
- **Visible only to me**: Only you can see it.

E-mail notifications

Based on their visibility settings, the addition, edition and deletion of comments and attachments trigger e-mail notifications.

- **Visible to all Submission Viewers**: Triggers e-mail notifications to all European Commission and Competent Authority users in the organisation’s location and parent location.
- **Visible only to my organisation members**: Triggers e-mail notifications to all users of the organisation and parent location.
- **Visible only to me**: It doesn't trigger any email notification.

Validate and submit ALC application

Introduction

In this topic you can find information about how to submit an ALC application from a file.

Upon upload of the ALC file, you will be provided a validation report. If the report presents blocking errors, you will need to upload a corrected file.

Please refer to annex “ALC file validation error messages” on page 82 for more details.

Once the validation report is successful, you will be able to submit your ALC file and proceed with the creation of the ALC application.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC file search	67
Upload a new file	68

How to review the validation report

Execute the following steps from the ALC file details page:

Step	Action
1	In the “Validation report” area, you can see if there are any errors or warnings. **Download** the validation report to see more details.
2	Open the excel report and go to the **Validations** worksheet.
3	You must correct your original ALC file with any remark tagged as “Error”. Warnings are recommended to be corrected, although they are not blocking the ALC submission.
4	Click **Upload A New Version** and select the corrected ALC file.

Continued on next page

Validate and submit ALC application, Continued

Submit ALC application

Execute the following steps from the ALC file details page:

Step	Action
1	In the "Validation report" area, you can see that no errors are identified.
2	Click **Submit**.
3	A "Submission confirmation" modal dialogue opens, indicating: - The number of installations being created upon this submission - The number of ALC applications being created from scratch upon this submission - The number of new ALC applications being created for existing installations upon this submission - The number of ongoing ALC applications being updated upon this submission Click **Submit**.
4	The ALC file entry will be marked as Closed, whilst an ALC application will be created or updated for each installation.

All Competent Authority administrators will receive an e-mail notification when the ALC file is submitted.

If the ALC file is uploaded by a Competent Authority administrator of the parent location:

- if the installation exists, the application will have the same sub-location
- if the installation is new, the organisation and its ALC application will be created at parent location level.

If the ALC file is uploaded by a Competent Authority administrator of the sub- location:

- if the installation exists in another sub-location or parent location, the system will display an error message and prevent the submission.
- if the installation is new, the organisation and its ALC application will be created at sub-location level.

Section 4. ALC Applications

Overview

Introduction

This section describes the validation process of ALC applications.

Content

This section contains the following topics:

Topic	Page
About ALC applications	32
View and work with ALC applications	34
ALC calculations	37
Submit or withdraw an ALC application	38
Add applications to a NAT file	39
ALC application notification e-mails	40

About ALC applications

Description

Upon the submission of ALC files, an application is created for each installation.

ALC applications are created in status **Draft**, pending for your action.

Competent Authorities must progress an application to status **Submitted** or **Withdrawn**. On the other hand, if an ALC file is submitted for an ongoing application, the workflow of the application will restart from **Draft**.

A **Submitted** application can be **Accepted**, **Rejected**, or moved to **Under MS follow up**. The status "Under MS follow up" is used when additional information is needed from the Competent Authority, or when the application needs to be updated.

The upload of a correction ALC file can be done when the application is in status **Draft**, **Submitted** or **Under MS Follow Up**.

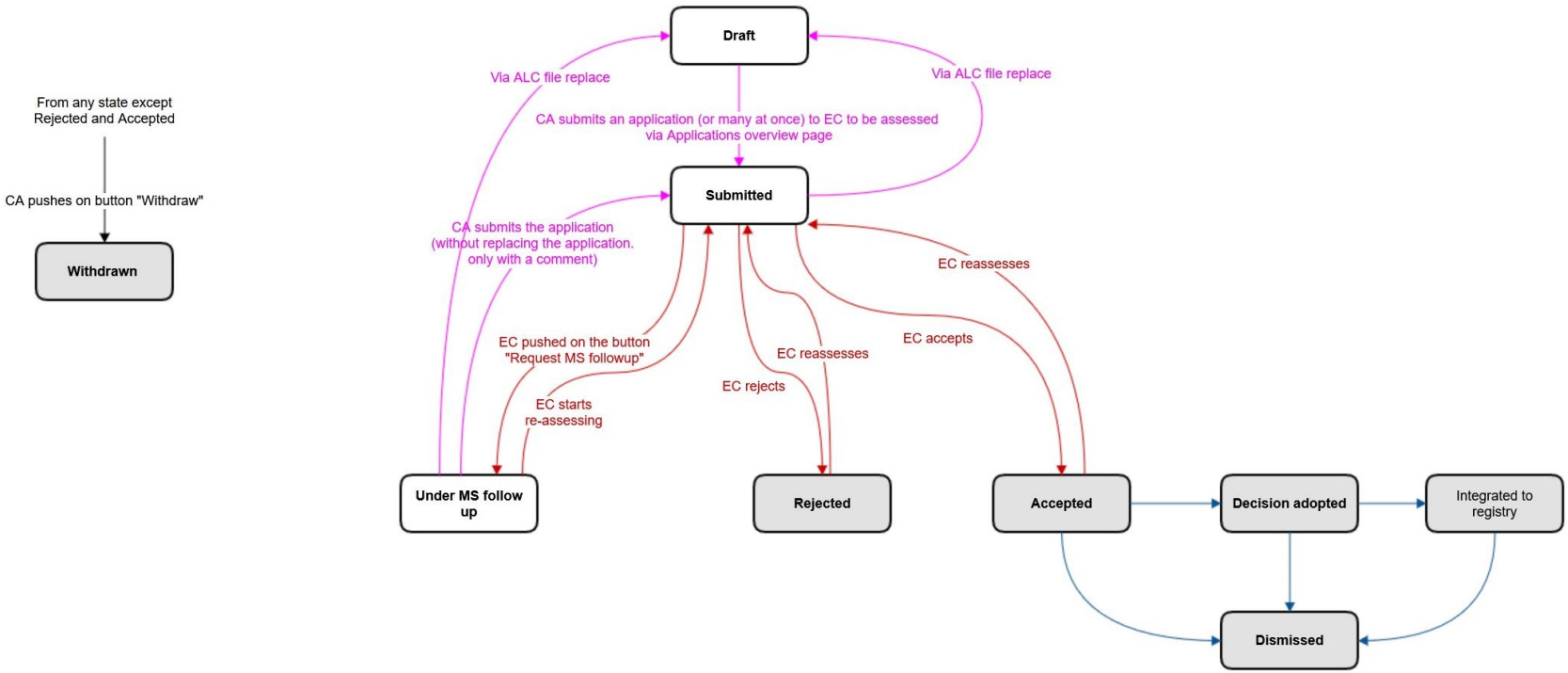
Finally, Competent Authorities can *withdraw* the application from any status, except **Rejected** or **Accepted**.

Once an application has been **Accepted**, it can be **Dismissed** by the European Commission.

Continued on next page

About ALC applications, Continued

Workflow



View and work with ALC applications

Introduction

This topic describes the actions that you can do on ALC applications at any stage of the workflow.

Note that the ALC application is not yet submitted for assessment. Please refer to topics “ALC calculations” and “Submit or withdraw an ALC application” to continue the process.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC Applications	72
ALC Application details	74

How to view the details of an ALC application

Execute the following steps from any page of the EU-ETS reporting tool:

Step	Action
1	Select the “Applications” tab.
2	Use the different search criteria to sort or filter the results.
3	You may click the **Clear Filters** button to reset your filters.
4	Click the expected result to see its details.

ALC CA administrators can view and take actions on the ALC files and applications of their location and sub-locations.

Continued on next page

View and work with ALC applications, Continued

Actions available on ALC applications

The following actions are available on ALC applications:

Action	Interface
Add attachments[2] - Maximum number of files: 50 - Maximum size: 20 Mb - Supported file types: docx, doc, xls, xlsx, ppt, pptx, pdf, jpg, png, vsd, vsdx.	Add Attachment
Download all attachments	Download all attachments
View attachments (depending on the visibility selected when uploading an attachment)	Attachments
Delete attachments uploaded by you	Attachments
Add comments to it[2]	Add Comment
View comments (depending on the visibility selected when posting your comment)	Add a comment
Edit and delete comments submitted by you	Comments
Consult the **Workflow History** of all changes applied to the ALC application. From the **View full history** link, you can also : • Download previous versions of the application • Download the full workflow history of the ALC application.	Workflow history View full history Download submission history

Continued on next page

[2] Functionality not available to viewer roles

View and work with ALC applications, Continued

How to add comments to an ALC application

Execute the following steps from the application details page:

Step	Action
1	Expand the “Comments” area on the right panel.
2	Click **Add Comment**.
3	Define the visibility of your comment and write your comment.
4	Click **Add**.

How to add attachments to an ALC applications

Execute the following steps from the application details page:

Step	Action
1	Expand the “Attachments” area on the right panel.
2	Click **Add Attachment**.
3	Click **Browse** to search in your computer for the file to upload. The attachments needs to meet the following requirements: - Maximum number of files: 10 - Maximum size: 10 Mb - Supported file types: docx, doc, xls, xlsx, ppt, pptx, pdf, jpg, png
4	Define the visibility of the attachment as described in “Visibility of attachments and comments” below.
5	If you wish to upload more attachments, click the “+” button and repeat steps 2 and 3 of this procedure.
6	To finalise the upload of attachments, click **Upload**.

Visibility of attachments and comments

When posting comments or uploading attachments, you can define their visibility:

- **Visible to all Submission Viewers**: Anyone having access to this submission will see it.
- **Visible only to my organisation members**: Only members of the same user type as you will see it. For example, comments entered with this visibility by a Competent Authority will not be visible to European Commission users and the other way around. Please refer to topic “About the user roles” on page 10 for more details about users.
- **Visible only to me**: Only you can see it.

E-mail notifications

Based on their visibility settings, the addition, edition and deletion of comments and attachments trigger e-mail notifications.

- **Visible to all Submission Viewers**: Triggers e-mail notifications to all European Commission and Competent Authority users in the organisation’s location and parent location.
- **Visible only to my organisation members**: Triggers e-mail notifications to all users of the organisation and parent location.
- **Visible only to me**: It doesn't trigger any email notification.

ALC calculations

Introduction

In this topic you can find information about how the system compares the stored baseline data with the ALC application values for an installation.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC Applications	72
ALC Application details	74

Calculation details

Upon submission of ALC file, the following values are compared:

- HAL (Historic activity level)
- EnEff: Specific energy consumption (Energy efficiency correction)
- Non-ETS heat (Imported heat factor)
- ElExch-F (Exchangeability factor)
- HVC (High Value Chemicals)
- VCM (Vinyl Chloride Monomer factor)

The “Calculation results” field determines if the calculated allocation is the same as the reported number. In case of mismatch, you can find the error in the highlighted tab.

The “Baseline comparison” flag determines if there is any difference between the baseline data and the ALC file. In case of mismatch, it is highlighted in tab 8.

For each version of submission, the value of the “Baseline comparison” field will be overridden for all applications of the installation based on the comparison results as described in the table below:

Comparison results	Baseline comparison value
At least one of the values do not match	Mismatch
All values match	Passed

Submit or withdraw an ALC application

Introduction

In this topic you can find information about how to work with an ALC application in status DRAFT or UNDER MS FOLLOW UP.

If you consider that the ALC application is no longer valid, you can **Withdraw** it.

To update the application, submit a new ALC file.

When you consider the application is ready for EC assessment, you can **Submit** it to the European Commission for approval.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC Applications	72
ALC Application details	74

Submit/Withdraw one application

Execute the following steps from the "Applications" page:

Step	Action
1	Expand the **Choose an action** list from the application.
2	Select **Submit** or **Withdraw**, as appropriate.
3	Click **Submit** or **Withdraw** in the confirmation modal dialogue displayed.

Submit/Withdraw multiple applications in bulk

Execute the following steps from the "Applications" page:

Step	Action
1	As the bulk action is only available for one page, increase if needed the number of items to display up to 50.
2	Expand the **Choose an action** list from the top of the screen.
3	Select **Submit** or **Withdraw**, as appropriate.
4	Checkboxes will enable for the applicable applications. Select the boxes of the applications to Submit or Withdraw.
5	Click **Confirm action**.
6	Click **Submit** or **Withdraw** in the confirmation modal dialogue displayed.

Add applications to a NAT file

Introduction

When ALC applications are reviewed and approved by the European Commission, the status of the applications become “Accepted”.

In this topic you can find information about how CA administrators can add accepted ALC applications to a NAT file.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
ALC Applications	72
ALC Application details	74

Add application to a NAT file

As a CA administrator, execute the following steps from the “Applications” page:

Step	Action
1	Expand the **Choose an action** list from an application in status “Accepted”.
2	Select **Add to NAT file**.
3	If you wish to add the NAT to an existing NAT file, select the submission ID from the dropdown list and click **Add to the selected NAT file**.
4	If you wish to start a new NAT submission, click **Create a new NAT**.

Add multiple applications to a NAT file in bulk

As a CA administrator, execute the following steps from the “Applications” page:

Step	Action
1	Expand the **Choose an action** list from the top of the screen.
2	Select **Add to NAT file**.
3	The list will be filtered by applications in status Accepted and not yet added to a NAT Select the boxes of the applications to add.
4	Click **Confirm action**.
5	If you wish to add the NAT to an existing NAT file, select the submission from the dropdown list and click **Add to the selected NAT file**.
6	If you wish to start a new NAT submission, click **Create a new NAT**.

ALC application notification e-mails

Introduction

In this topic you can find a list of all notification e-mails triggered during the ALC application workflow, and the recipients of each notification e-mail.

List of ALC application notifications emails

List of ALC application notifications emails:

Description	Recipient
ALC application is withdrawn	All CA administrators of the same location and parent location
ALC application is submitted	All CA administrators of the same location and parent location
ALC application is Under MS follow-up	All CA administrators of the same location and parent location
ALC application is accepted	All CA administrators of the same location and parent location
ALC application is rejected	All CA administrators of the same location and parent location

Section 5. NAT submissions

Overview

Introduction

This section describes the process of generating and submitting NAT changes for approval of the European Commission before transferring the update to the Union Registry.

Content

This section contains the following topics:

Topic	Page
About the NAT submission process	42
View and work with NAT files	44
Generate a NAT file	46
Sign a generated NAT file	47
Notify and send the NAT submission to the European Commission	49
Transfer NAT decision to the Union Registry	50

About the NAT submission process

Description

The NAT submission can be initiated upon the selection of one or multiple ALC applications in status **Accepted** and it will be created in status **Draft**. As long as a NAT submission is in status **Draft**, you are allowed to add or remove applications from it.

Once you decide that the NAT submission is ready, you can progress it to status **Generated**. The NAT XML file is created and available for you to download it and verify its validity before signing it and uploading it back to the system. If this process is successful, the status of the submission will become **CA signature received**.

At this stage, you need to inform the European Commission. You will only be able to send your NAT submission to the European Commission after uploading the official notifications. Then, the status of the submission will become **Notification received**.

The European Commission will assess the requests and progress them to status **COM decision adopted**.

After the adoption, you gain control again of the NAT submission, in order to apply the changes to the Union Registry. The status of the NAT submission becomes **Transferred to registry**. An automatic process will confirm that the transfer is successful and then the status will become **Integrated to registry**.

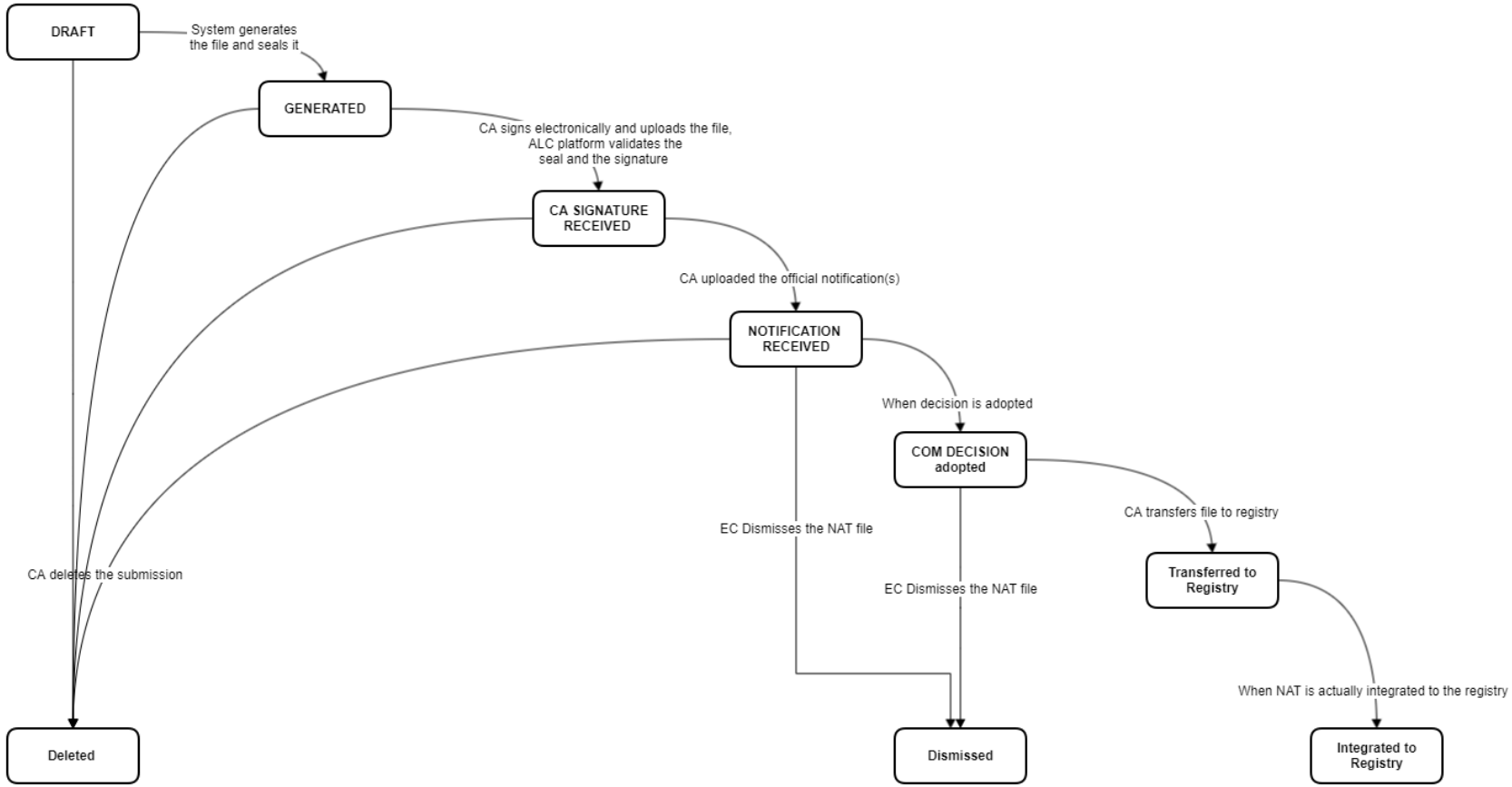
NAT submissions can be **Deleted** anytime, regardless of their status.

NAT submission which are in status **Notification Received** and **COM decision adopted** can be **Dismissed** by the European Commission.

Continued on next page

About the NAT submission process, Continued

Workflow



View and work with NAT files

Introduction

This topic describes the actions that you can do on NAT submissions at any stage of the workflow.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
NAT files	77
NAT file details	78

How to view the details of a NAT submission

Execute the following steps from any page of the EU-ETS reporting tool:

Step	Action
1	Select the “NAT Files” tab.
2	Use the different search criteria to sort or filter the results.
3	You may click the **Clear Filters** button to reset your filters.
4	Click the expected result to see its details.

ALC CA administrators can view and take actions on the NAT files of their location and sub-locations.

Actions available on ALC applications

The following actions are available on ALC applications:

Action	Interface
View the content of the NAT file	View content
Export to CSV the content of the NAT file	Export to CSV
Delete the NAT file (except viewer)	Delete
Add comments to it (except viewer)	Add Comment
View comments (depending on the visibility selected when posting your comment)	Comments
Edit and delete comments submitted by you	
Consult the **History of submission** of all changes applied to the NAT file. You can also download previous versions of the NAT file from the History.	History of submission

Continued on next page

View and work with NAT files, Continued

How to add comments to an ALC application

Execute the following steps from the application details page:

Step	Action
1	Click **Add Comment**.
2	Define the visibility of your comment and write your comment.
3	Click **Add**.

Visibility of comments

When posting comments, you can define their visibility:

- **Visible to all Submission Viewers**: Anyone having access to this submission will see it.
- **Visible only to my organisation members**: Only members of the same user type as you will see it. For example, comments entered with this visibility by a Competent Authority will not be visible to European Commission users and the other way around. Please refer to topic “About the user roles” on page 10 for more details about users.
- **Visible only to me**: Only you can see it.

E-mail notifications

Based on their visibility settings, the addition, edition and deletion of comments trigger e-mail notifications.

- **Visible to all Submission Viewers**: Triggers e-mail notifications to all European Commission and Competent Authority users in the organisation’s location and parent location.
- **Visible only to my organisation members**: Triggers e-mail notifications to all users of the organisation and parent location.
- **Visible only to me**: It doesn't trigger any email notification.

Generate a NAT file

Introduction

In this topic you can find information about how to work with a NAT file in status DRAFT.

While the status of the NAT file is DRAFT, CA administrators can add or remove applications.

When you consider that the submission is ready, you can **Generate** the NAT file.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
NAT files	77
NAT file details	78

Remove applications from the NAT

As a CA administrator, execute the following steps from the "NAT Files" details page:

Step	Action
1	Click the **View content** link.
2	A list of all installations and yearly allocation included in the NAT is displayed.
3	Click the button in front of an application to remove it from the NAT. Repeat this step for all the applications you want to remove.
4	If only one installation is listed, you will not be able to remove it from the NAT. Please delete the NAT submission instead.

If you wish to add more applications to your NAT submission, please follow the procedure "Add applications to a NAT file" described on page 39.

Generate a NAT file

As a CA administrator, execute the following steps from the "NAT Files" tab:

Step	Action
1	Find the concerned NAT and expand the **Choose an action** list. Alternatively, you can open the NAT details page.
2	Select **Generate**.
3	Confirm your action in the confirmation modal dialogue displayed.

When generating a NAT file, if an installation is a recipient of a merger or the pre-existing installation of a split, all the data until the merge/split year(included), will be excluded from the NAT file.

Sign a generated NAT file

Introduction

In this topic you can find information about how to work with a NAT file in status GENERATED.

As from this status, it is no longer possible to add or remove applications to the NAT.

A validation and signature of the generated NAT is required in order to submit it to the European Commission for approval.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
NAT files	77
NAT file details	78

Download generated NAT

As a CA administrator, execute the following steps from the "NAT file" details page:

Step	Action
1	A list of all NAT revisions is displayed on the screen. Find the NAT generated and sealed by the system.
2	Click the download button .

Sign downloaded NAT

As a CA administrator, execute the following steps:

Step	Action
1	Verify that the content of the downloaded NAT file corresponds to the submitted applications and the data is up to date and complete.
2	Without modifying the content of the XML, sign it with a valid qualified electronic signature as per one of the following accepted profiles: XAdES Baseline Profile - standard ETSI TS 103171 v.2.1.1: https://www.etsi.org/deliver/etsi_ts/103100_103199/103171/02.01.01_60/ts_103171v020101p.pdf CAdES Baseline Profile – standard ETSI TS 103173 v.2.2.1 : https://www.etsi.org/deliver/etsi_ts/103100_103199/103173/02.02.01_60/ts_103173v020201p.pdf Associated Signature Container Baseline Profile – standard ETSI TS 103174 v.2.2.1: https://www.etsi.org/deliver/etsi_ts/103100_103199/103174/02.02.01_60/ts_103174v020201p.pdf

Continued on next page

Sign a generated NAT file, Continued

Upload a signed NAT

As a CA administrator, execute the following steps from the “NAT file” details page:

Step	Action
1	Click **Upload**.
2	Select the signed NAT meeting the following requirements: - Maximum file size: 10MB - Supported file types: xml, .zip, .p7m, . p7s, .asice, .asics, .scs,
3	The file type and size are verified by the system. In case of error, a message is displayed, and the file is not stored.
4	If no structure issue is found, the file is stored, and the system runs a validation check on the seal and signature.
5	If the file is accepted, the status of the NAT becomes CA SIGNATURE RECEIVED.

Notify and send the NAT submission to the European Commission

Introduction

In this topic you can find information about how to inform the European Commission regarding your NAT change request.

At this status, it is no longer possible to upload a signed NAT file.

Please upload a proof of official notification before sending the NAT to the European Commission for approval.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
NAT files	77
NAT file details	78

Upload an official notification

As a CA administrator, execute the following steps from the "NAT file" details page:

Step	Action
1	Click **Add Official Notification**.
2	In the popup window, select up to 5 files meeting the following requirements: - Maximum file size: 10MB - Supported file types: pdf, doc, docx, xls and xlsx - Maximum number of files: 5
3	Click **Open.** The file type and size are verified by the system. In case of error, the file is not stored.
4	Click **Add Official Notification** if you need to upload additional files.

Send the NAT to the European Commission

As a CA administrator, execute the following steps from the "NAT file" details page:

Step	Action
1	Verify that at least one file has been uploaded to the "Official notifications" section.
2	Click **Send to EC**.
3	In the popup window, click **Send**.

Commission Decision adoption

Once the NAT is sent to the European Commission, the only possible action available to Competent Authority administrators is to **Delete** the NAT. You can still consult the submitted NAT and download any file linked to it.

Upon adoption of the Decision, the status of the NAT will be updated to COM DECISION ADOPTED.

Transfer NAT decision to the Union Registry

Introduction

In this topic you can find information about how to proceed after a Commission Decision is adopted in order to transfer the NAT changes to the Union Registry.

User Interface

The following interface elements are displayed when executing this procedure:

Interface element	Page
NAT files	77
NAT file details	78

Transfer NAT changes to the Union Registry

As a CA administrator, execute the following steps from the “NAT file” details page:

Step	Action
1	Click **Transfer to registry**.
2	The ETS Reporting system connects to the Union Registry in order to transfer the NAT change. If the transfer is unsuccessful, you will see an error message and the status of the NAT submission will not change. If the transfer is successful, you will receive a confirmation message and the status of the NAT submission will become TRANSFERRED TO REGISTRY.
3	As soon as the ETS Reporting system receives a confirmation from the Union Registry, the status of the NAT submission will be automatically updated to INTEGRATED TO REGISTRY. This is the final status of a NAT submission.

Chapter 2. Description of the user interface

Overview

Introduction

This chapter describes the interface elements used to execute the tasks described in “Chapter 1 - Description of the tasks”.

Contents

This chapter contains the following topics:

Topic	Page
Interface for starting the application	52
Interface for organisations management	57
Interface for ALC files	66
Interface for ALC applications	71

Section 1. Interface for starting the application

Overview

Introduction

This section describes the interface elements related to the application start-up.

Content

This section contains the following topics:

Topic	Page
User registration	53
ALC Homepage	54
My Profile	56

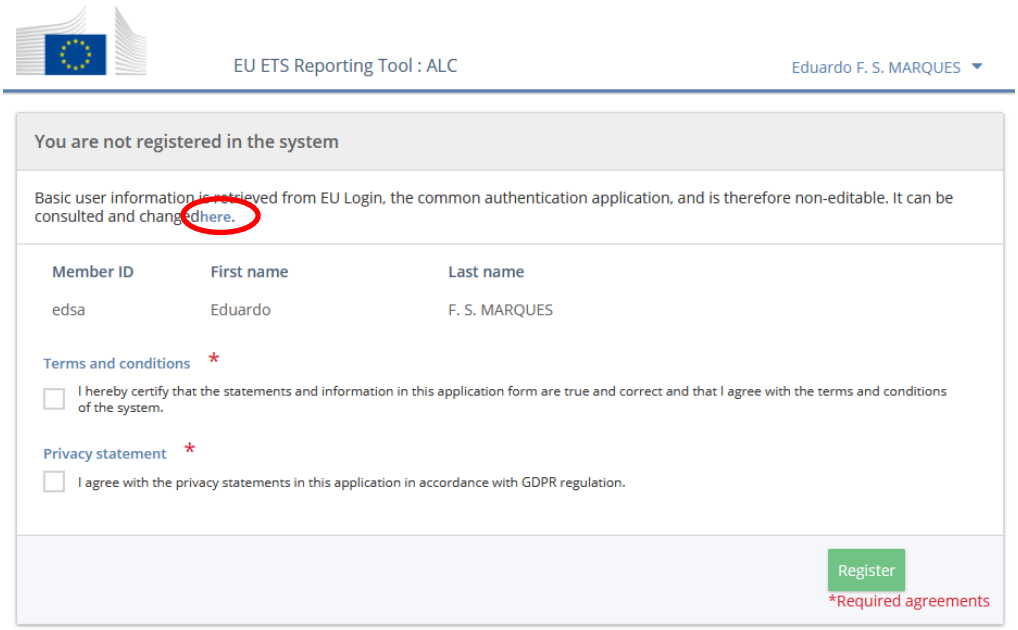
User registration

Introduction

This page is the first page you see when you access the ALC section of the application for the first time.

Functions are restricted until you accept the terms and conditions and agree with the privacy statements.

Image



Description of the page

The page is composed of the following significant elements:

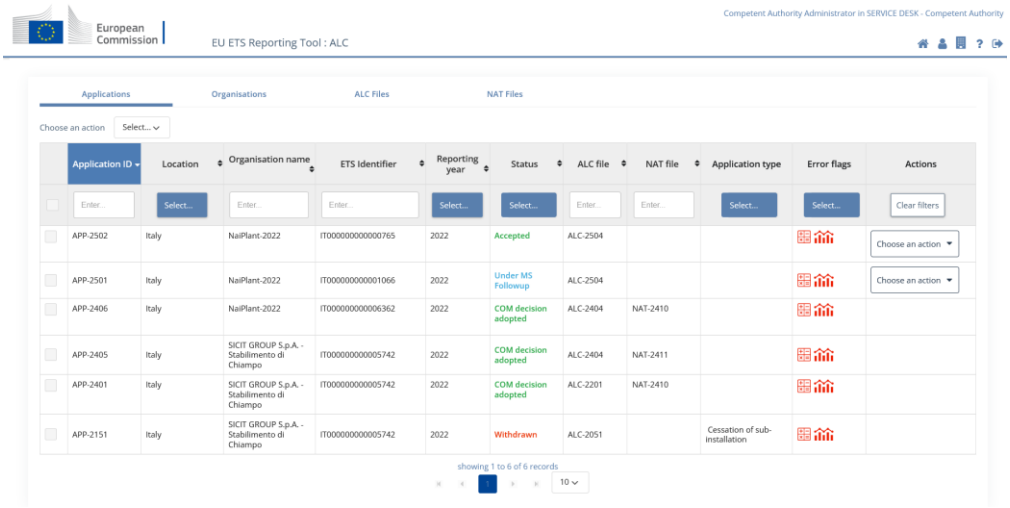
Part	Description
Here	Link to your EU Login account details page, from which your personal information is retrieved.
Personal details	Basic user information retrieved from EU Login in order to register your user in the system: - Member ID (i.e. your EU Login username) - First Name - Last Name
Terms and conditions	Checkbox to agree with the terms and conditions. This is a mandatory field.
Privacy statements	Checkbox to agree with the privacy statements. This is a mandatory field.
Register	Button to finalise your registration. All mandatory fields must be filled in to be able to complete this action.

ALC Homepage

Introduction

This page is the main page displayed when you access the ALC domain.

Image



Description of the header area

The area is composed of the following significant elements:

Part	Description
Domain	Label showing the name of the system and the domain selected, e.g. EU ETS Reporting Tool: ALC.
User identification	It shows your user type and role, plus your organisation: <user type> <role> in <organisation name> e.g. Competent Authority Administrator in SERVICE DESK - Competent Authority.
	Button to go to the application homepage.
	Button to access the "**My Profile**" page where you can switch domains or see your roles in the application and switch from one to another.
	Button to access to your "**Organisation details**" page.
	Button to open the "Emission Trading System – ALC reporting" help page, containing the documentation and other training material.
	Button "Logout". It disconnects you from the EU ETS Reporting Tool application.

Continued on next page

ALC Homepage, Continued

Description of the main area

The area is composed of the following significant elements:

Part	Description
Applications	Tab to access to the ALC application dashboard.
Organisations	Tab to access to the Organisations dashboard.
ALC Files	Tab to access to the ALC Files dashboard.
NAT Files	Tab to access to the NAT Files dashboard.

Description of the footer area

The area is composed of the following significant elements:

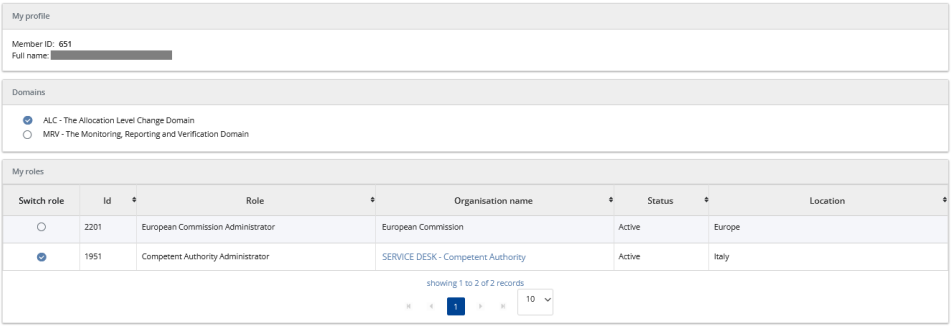
Part	Description
Contact us	It opens a draft e-mail to the EU-ETS Reporting Service Desk.
Climate Action	It opens the “EU climate action and the European Green Deal” page.
Privacy Statement	It opens the “Privacy statement for users registered with the European Commission's Identity Management Service” webpage.
Version number	Label to display the release version of the system.
Language	Link to select the language of the user interface. By default, the interface is displayed in English.

My Profile

Introduction

This page is displayed when you access your user's profile.

Image



My profile

The area is composed of the following significant elements:

Part	Description
Member ID	The identification of your user in the system.
Full name	Your first name and last name, as retrieved from EU Login.

Domains

The area is only visible to users having access to both domains, and it is composed of the following significant elements:

Part	Description
ALC	Radio button to switch to ALC domain.
MRV	Radio button to switch to MRV domain.

My roles

The area is composed of the following significant elements:

Part	Description
Switch role	Radio buttons to select the profile you wish to use.
ID	The identifier of the organisation in the system.
Role	The user type and role registered for the profile. More information can be found in topic "About the user roles" on page 10.
Organisation name	The name of the organisation you are appointed to. This field becomes a hyperlink to the "organisation details" page on the active profile.
Status	Your status on the organisation. It can be Active or Inactive.
Location	The country or region your organisation is located.

Section 2. Interface for organisations management

Overview

Introduction

This section describes the interface elements related to the organisations management.

Contents

This section contains the following topics:

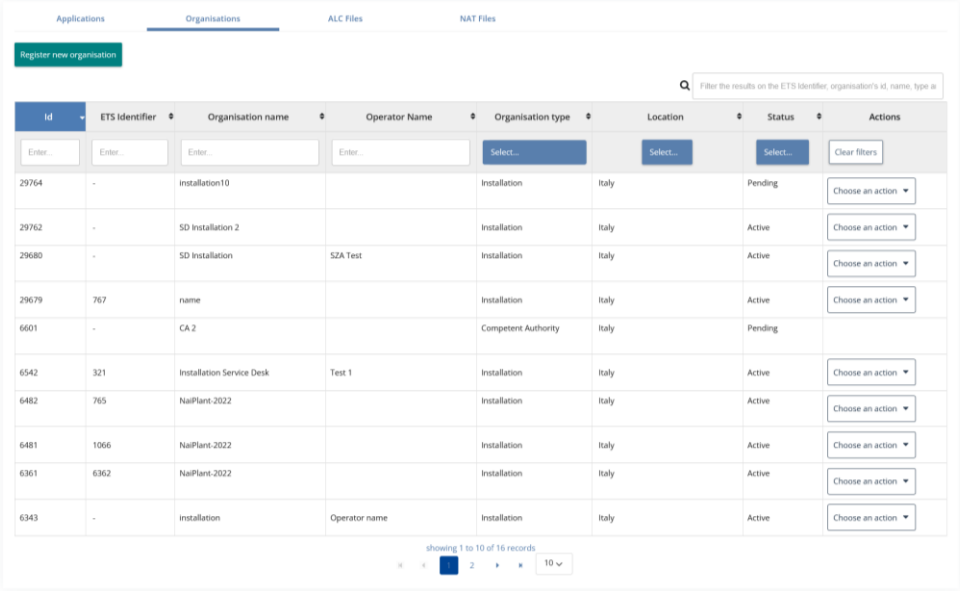
Topic	Page
Organisation search	58
Register new organisation	60
Organisation details	62
Add members	65

Organisation search

Introduction

This page is displayed when you click the “Organisations” tab.

Image



Continued on next page

Organisation search, Continued

Description

The page is composed of the following significant elements:

Part	Description
Register New Organisation	Button to start the creation of a new organisation.
Search box	Search text box to look for organisations. You can search for either the ETS identifier, organisation name, type, location, address, postal code, location or additional information.
ID	Search box to filter the list of organisations by their ID.
ETS Identifier	Search box to filter the list of organisations by their unique identifier (Registry ID for installations). Only digits are accepted.
Organisation name	Search box to filter the list of organisations by their name.
Operator Name	Search box to filter the list of organisations by operator name.
Organisation type	Select box to filter the list of organisations by type.
Location	Select box to filter the list of organisations by their location.
Status	Select box to filter the list of organisations by status (active, inactive, pending).
✖	Button displayed only on active filters. It allows you to reset one filter only.
Clear Filters	Button to reset your filters.
Actions	Dropdown list with the actions available for each organisation (i.e. activate or inactivate).

Register new organisation

Introduction

This page is displayed when you initiate the creation of a new organisation in the system.

Image (initial screen)

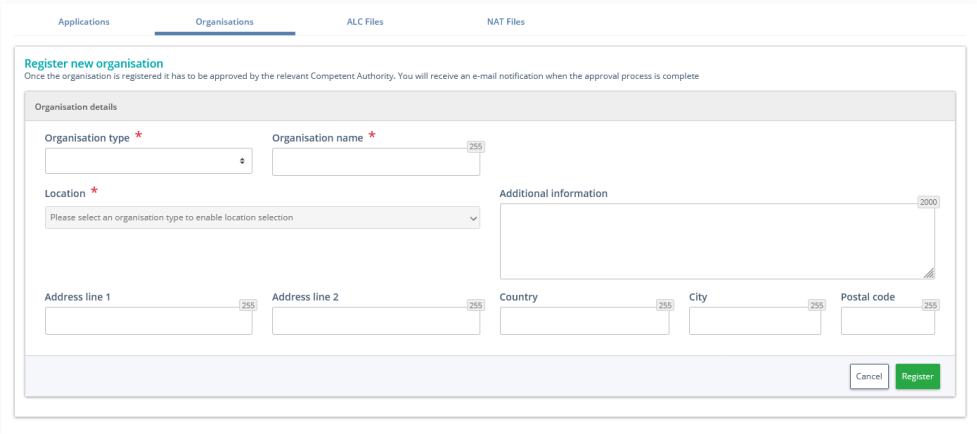
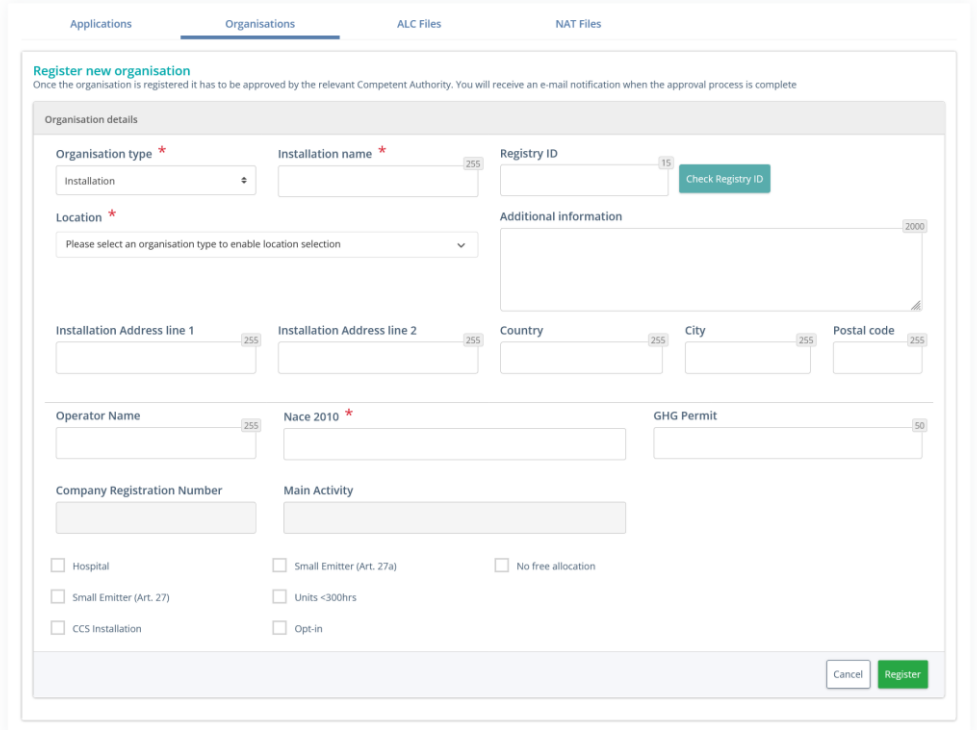


Image (installation)



Continued on next page

Register new organisation, Continued

Description of the "Organisation details" area

The area is composed of the following significant elements:

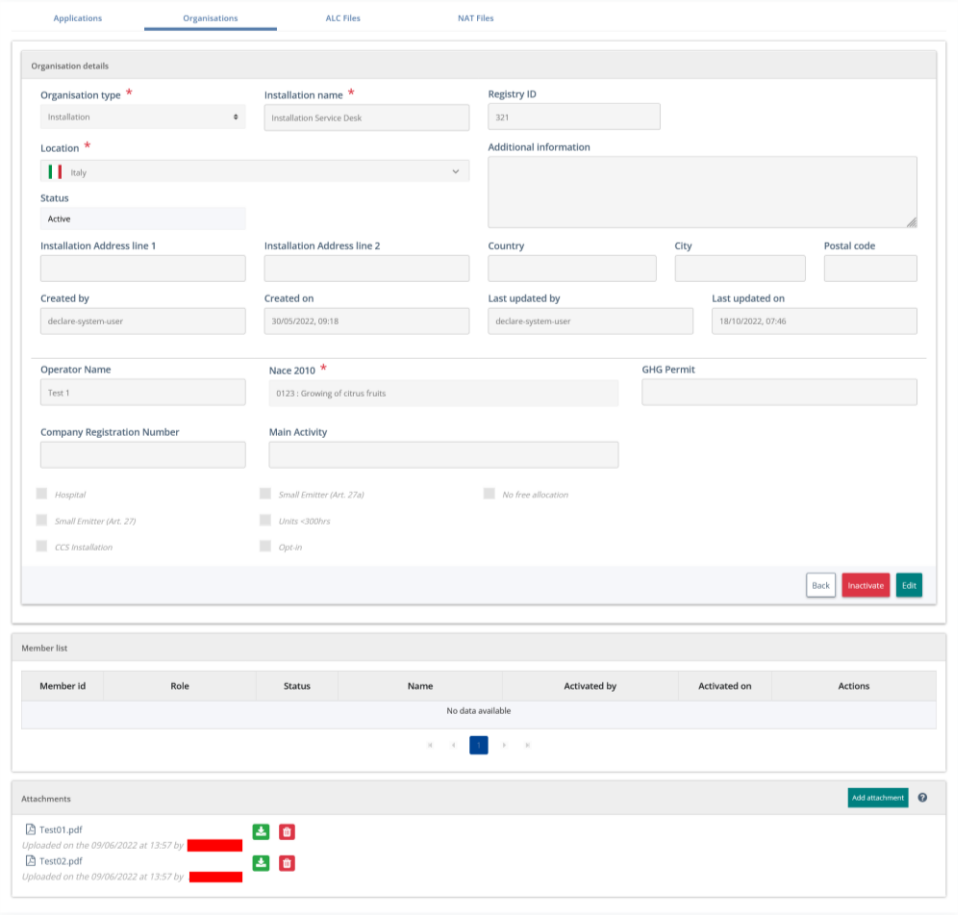
Part	Description
Organisation type	The type of the organisation, e.g. "Installation". This is a mandatory field.
Organisation name	The name of the organisation. This is a mandatory field.
Registry ID	The unique identifier of the organisation. Only digits are accepted.
Check Registry ID	Visible only when registering a new installation, this button allows you to search for the installation's registry ID to automatically retrieve part of the installation details.
Location	The country or region where the organisation is located. This is a mandatory field.
Additional information	Additional details regarding the organisation.
Address line 1	The main address of the organisation type. It does not refer to the address of the organisation holder but the address of the installation or Competent Authority.
Address line 2	Additional details regarding the address of your organisation.
Country	The country where the organisation is located.
City	The city where the organisation is located.
Postal code	The postal code of your organisation's address.
Additional installation details	For installations only, additional information is available: - Operator name - Nace 2010 (this is a mandatory field) - GHG Permit - Company Registration Number - Main Activity - Hospital - Small Emitter (Art. 27) - Small Emitter (Art. 27a) - CCS Installation - Units <3000hrs - Opt-In - No free allocation
Cancel	Button to cancel the action.
Register	Button to submit the action.

Organisation details

Introduction

This page is displayed when you access the details of an organisation.

Image



Continued on next page

Organisation details, Continued

Description of the "Organisation details" area

The area is composed of the following significant elements:

Part	Description
Organisation type	The type of the organisation, e.g. "Installation".
Organisation name	This field displays the name of the organisation.
Organisation identifier	The unique identifier of the organisation (Registry ID for installations). Only digits are accepted.
Location	The country or region where the organisation is located.
Additional information	Additional details regarding the organisation.
Status	It indicates if the organisation is active or inactive.
Address line 1	The main address of the organisation type. It does not refer to the address of the organisation holder but the address of the installation or Competent Authority.
Address line 2	Additional details regarding the address of your organisation.
Country	The country where the organisation is located.
City	The city where the organisation is located.
Postal code	The postal code of your organisation's address.
Created by	The application user who created the organisation.
Created on	The date and time when the organisation was created.
Last updated by	The application user who did the latest update to the organisation details.
Last updated on	The date and time when the latest update to the organisation details was performed.
Additional installation details	For installations only, additional information is available: - Operator name - Nace 2010 - GHG Permit - Company Registration Number - Main Activity - Hospital - Small Emitter (Art. 27) - Small Emitter (Art. 27a) - CCS Installation - Units <3000hrs - Opt-In - No free allocation
Back	Button to cancel the action.
Inactivate	Button to deactivate the organisation.
Edit	Users with an "administrator" role can see this Edit button to update the organisation details.

Continued on next page

Organisation details, Continued

Description of the "Member list" area

This table is only populated for ALC Competent Authorities. The area is composed of the following significant elements:

Part	Description
Add New Member	Only users with an "administrator" role can see this button to add a member to the organisation (Competent Authority only).
Member id	The member's EU Login username.
Role	The member's role within the organisation.
Status	It indicates the current status of the user: - Pending access approval - Active - Inactive.
Name	The member's full name, as retrieved from EU Login.
Activated by	The name of the user who granted the member with access to the organisation.
Activated on	The date when the access was granted to the organisation member.
Actions	Dropdown list to Activate or Deactivate the member's access to the organisation. Only users with an "administrator" role can see this dropdown list and modify the list of organisation members.
Navigation buttons	A set of buttons to allow you to move from one page to another on the list.

Description of the "Attachments" area

The area is composed of the following significant elements:

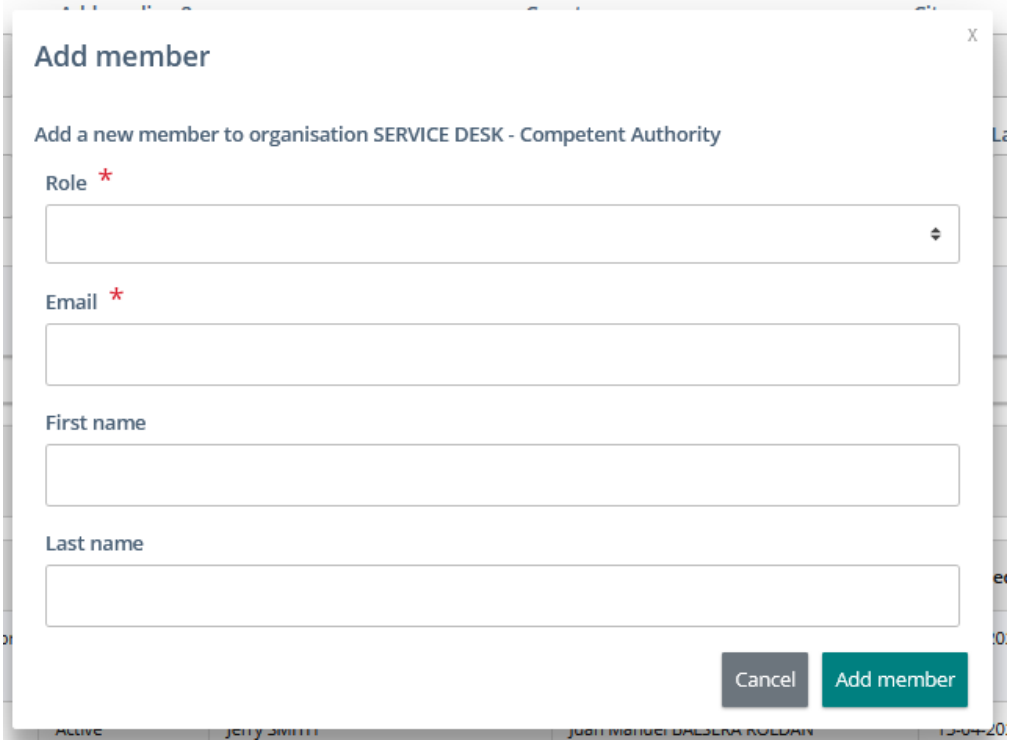
Part	Description
Add attachment	Users with an "administrator" role can see this button to attach documents to the organisation details.
	Help tip message to provide details on the pre-requisites to add attachments.
	Button to download an attachment.
	Button to delete the attachment if it was uploaded by you.
Attachment details	Full name of the user who uploaded the attachment and the date and time when the attachment was uploaded.

Add members

Introduction

This page is displayed when you initiate the addition of a new member to an organisation.

Image



Description

The page is composed of the following significant elements:

Part	Description
Role	Dropdown list with the different roles available. This field is mandatory in order to submit the action. For more details regarding user types and roles, please refer to topic “About the user roles” on page 10.
Email	E-mail address of the user. This field is mandatory in order to submit the action.
First name	First name of the user. This field is not mandatory since the information will be retrieved from the EU Login account.
Last name	Last name of the user. This field is not mandatory since the information will be retrieved from the EU Login account.
Cancel	Button to discard the action.
Add Member	Button to submit the action.

Section 3. Interface for ALC files

Overview

Introduction

This section describes the interface elements related to the ALC Files dashboard.

Contents

This section contains the following topics:

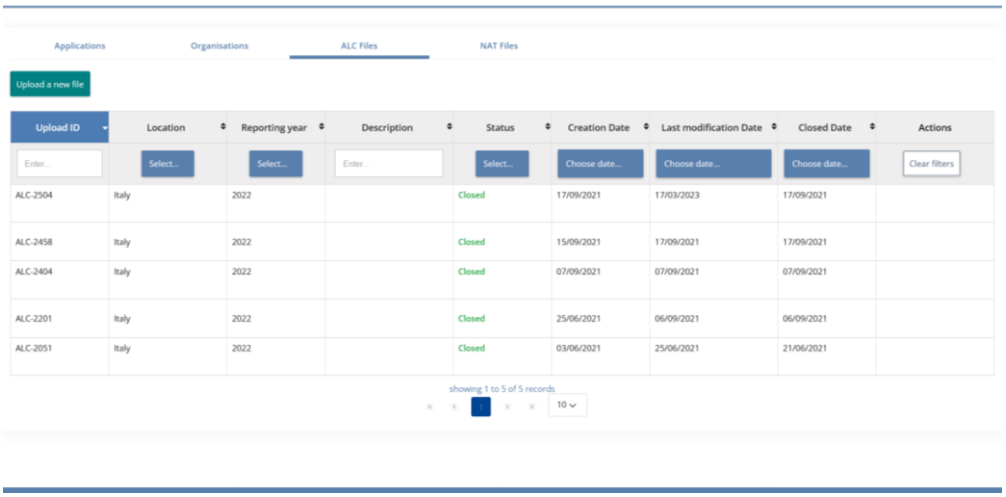
Topic	Page
ALC file search	67
Upload a new file	68
ALC file details	69

ALC file search

Introduction

This page is displayed when you click the “ALC Files” tab.

Image



Description

The page is composed of the following significant elements:

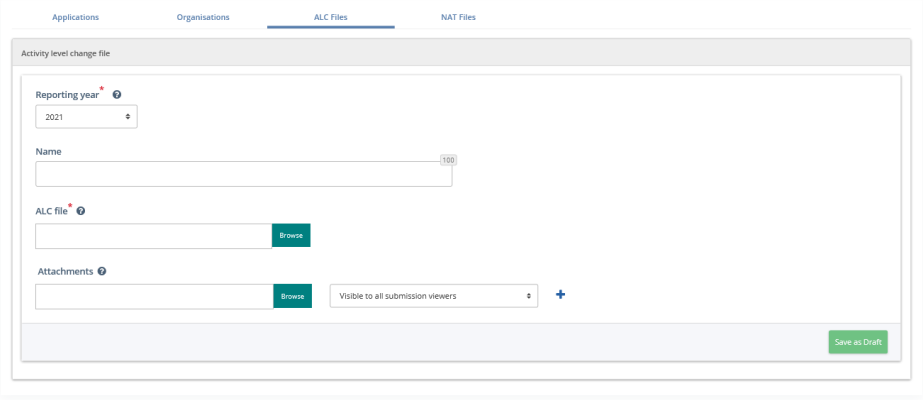
Part	Description
Upload a new file	Button to start the upload of a new ALC file.
Upload ID	Search box to filter the list by the given Upload ID.
Location	Select box to filter the list by location.
Reporting Year	Select box to filter the list by reporting year.
Description	Search box to filter the list by name.
Status	Select box to filter the list by status (closed, deleted, draft).
Creation Date	Box to filter the list by creation date.
Last Modification Date	Box to filter the list by last modification date.
Closed Date	Box to filter the list by closure date.
✖	Button displayed only on active filters. It allows you to reset one filter only.
Clear Filters	Button to reset your filters.
Actions	Dropdown list with the actions available for each ALC file (i.e. delete or submit).

Upload a new file

Introduction

This page is displayed when you initiate the upload of a new ALC file to the system.

Image



Description

The page is composed of the following significant elements:

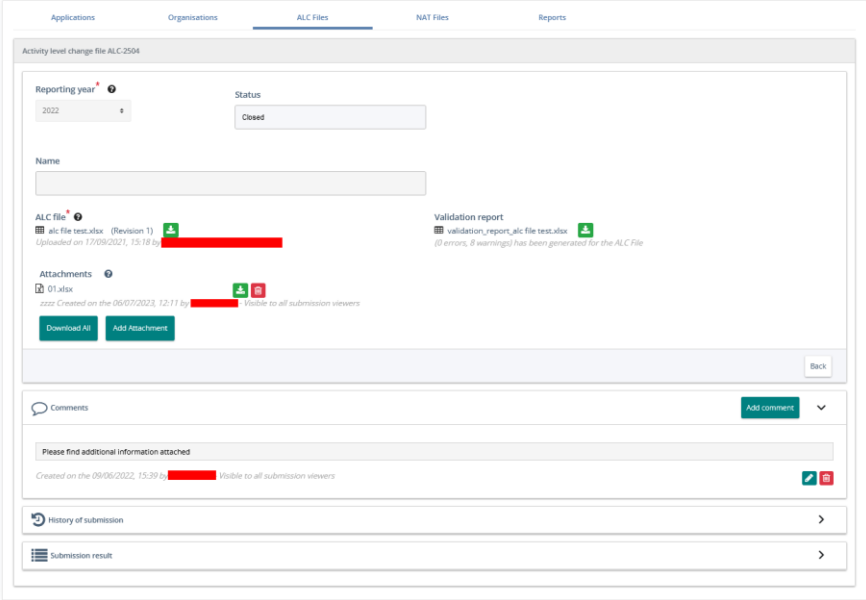
Part	Description
Reporting year	Select box to indicate the reporting year. This is a mandatory field.
Name	Textbox to enter a title name.
ALC file	Button to browse and select the ALC file to upload. The file requirements are indicated in the ? symbol. This is a mandatory field.
Attachments	Button to browse and select any additional file to upload along with the ALC file. The file requirements are indicated in the ? symbol.
Attachments visibility	Dropdown list to define the visibility of the attachments. For more details, please refer to topic “Visibility of attachments and comments” on page 28.
+	Button to allow the upload of additional attachments.
Save as Draft	Button to submit the upload.

ALC file details

Introduction

This page is displayed when you access the details of an ALC file.

Image



Description of ALC file details area

The area is composed of the following significant elements:

Part	Description
Reporting year	It indicates the year for which the ALC file is applicable.
Status	It indicates the stage of the ALC file: draft, closed, or deleted.
Name	It indicates the title given to the ALC file.
ALC file	Button to download the latest version of the ALC file.
Upload A New Version	Button to upload a new version of the ALC file.
Validation report	Button to download the validation report generated from the ALC file.
Attachments	Button to download an attachment (depending on the visibility selected when uploading an attachment).
Attachments	Button to delete an attachment uploaded by you.
Download All	Button to download all attachments (depending on the visibility selected when uploading an attachment).
Add Attachment	Button to upload an attachment.
Back	Button to cancel the action.
Edit	Users with an “administrator” role can see this Edit button to update the ALC file details.
Delete	Button to delete the ALC file.

Continued on next page

ALC file details, Continued

Description of the "Comments" area

The area is composed of the following significant elements:

Part	Description
>	Button to expand the area and show further details.
Add Comment	Button that opens a pop-up, allowing you to write your comment and define its visibility.
Comment details	Sub-area showing: - The comment - The name of the user who wrote the comment - The profile of the user who wrote the comment - The date and time when the comment was submitted - The visibility of the comment, if it was submitted by you
	Button to edit a comment submitted by you.
	Button to delete a comment submitted by you.

Description of the "History of submission" area

The area is composed of the following significant elements:

Part	Description
>	Button to expand the area and show further details.
Date	The date and time of the record.
Type	The type of action recorded.
User	The name and profile of the user performing the action.
Description	Details of the action executed. Previous versions of the ALC file and the validation report can be downloaded by clicking the button.
Submission result	Available on closed ALC files, it shows the result of the upload: - The number of organisations created - The number of ALC applications created from scratch - The number of new ALC applications created in draft for installations with a previously existing application. - The number of ongoing ALC applications updated to status draft.
Download submission history	Allow you to download the full workflow history of the ALC file.

Section 4. Interface for ALC applications

Overview

Introduction

This section describes the interface elements related to the ALC application dashboard.

Contents

This section contains the following topics:

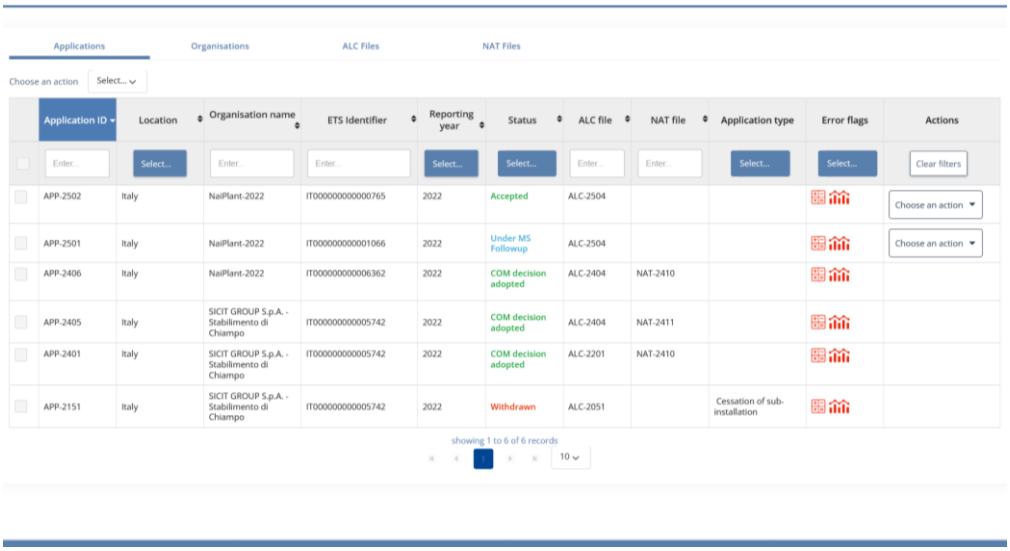
Topic	Page
ALC Applications	72
ALC Application details	74

ALC Applications

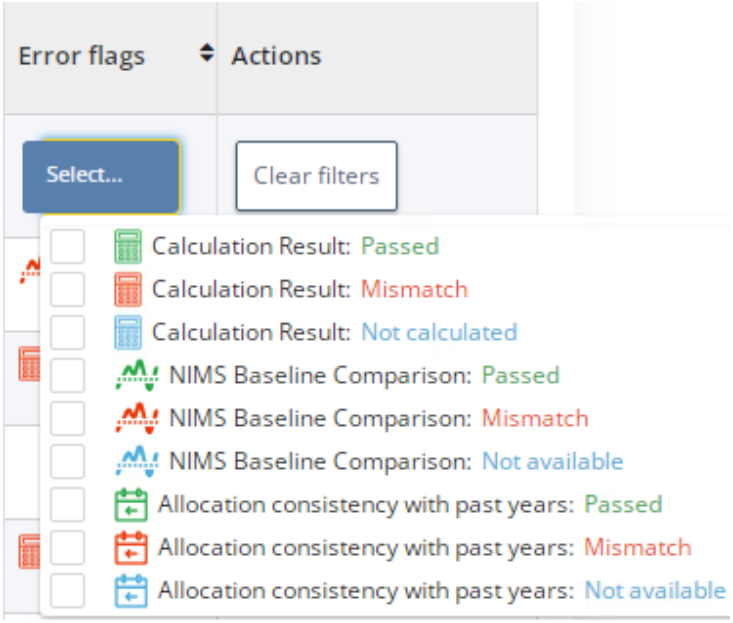
Introduction

This page is displayed when you click the “Applications” tab.

Main screen



Error Flags



Continued on next page

ALC Applications, Continued

Description

The page is composed of the following significant elements:

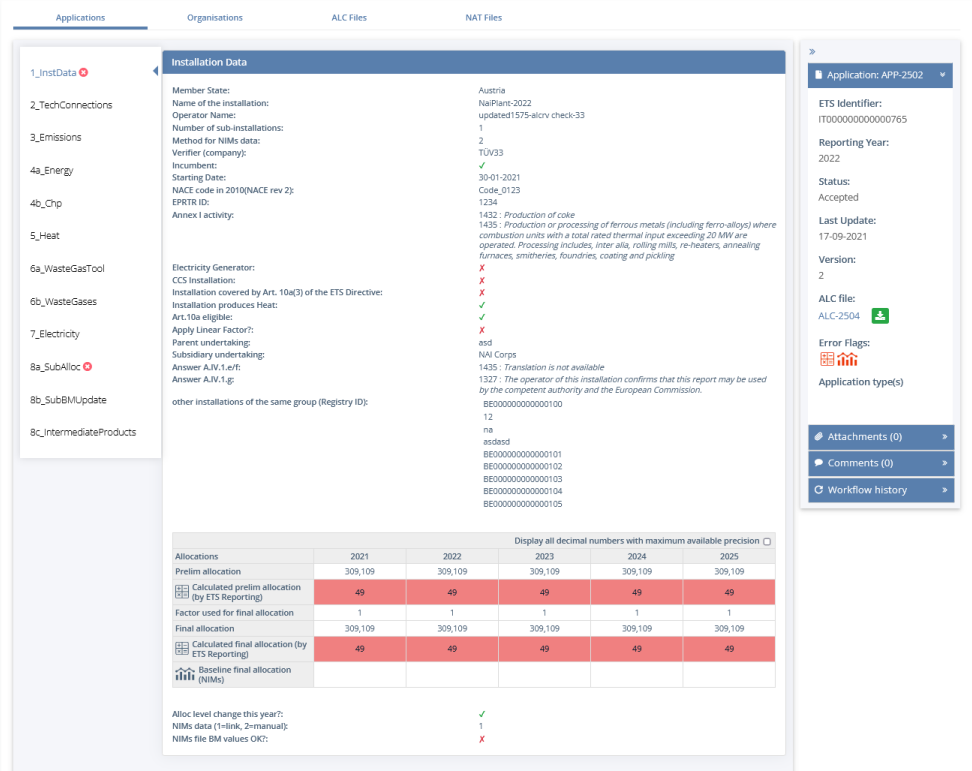
Part	Description
Choose an action	Allows you to submit, withdraw or add applications to a NAT file.
Confirm action	Button visible only after having selected one or multiple applications. It allows you to submit the selected action.
Checkboxes	Tick one or multiple applications to apply the selected action.
Application ID	Search box to filter the list by the given Upload ID.
Location	Select box to filter the list by location.
Organisation name	Search box to filter the list by the name of the organisation.
ETS Identifier	Search box to filter the list by the installation's identifier in EUTL.
Reporting Year	Select box to filter the list by reporting year.
Status	Select box to filter the list by status.
ALC file	Search box to filter the list by the Upload ID of the related ALC file.
NAT file	Search box to filter the list by applications added to a NAT ID.
Application type	Select box to filter the list by application type.
Error Flags	Select box(es) to filter the list by one or multiple criteria. Types: Calculation Result, NIMS Baseline Comparison, Allocation Consistency with Past Years Flags: Passed, Mismatch, Not Calculated IMPORTANT: the filter is a OR and not an AND so if multiple boxes are checked, the filter will show any results fitting at least one condition and not to all of them.
✖	Button displayed only on active filters. It allows you to reset one filter only.
Clear Filters	Button to reset all your filters.

ALC Application details

Introduction

This page is displayed when you click on one ALC application to see its details.

Image



Continued on next page

ALC Application details, Continued

Description

The page is composed of the following significant elements:

Part	Description
Left panel	It allows you to navigate through the information introduced in the different tabs of the ALC application. Tabs "1_InstData" and "8a_subAlloc" may display values highlighted in red in case of data discrepancy.
Main panel	It displays the information entered in the selected tab of the ALC application.
Application: ID	Expand it to see a summary of the ALC application. Tooltips are displayed upon hovering on Error Flags 's icons.
Withdraw	Button to cancel the ALC application.
Submit	Button to send the ALC application for approval.
Add to NAT file	Button to add the ALC application to a new or an existing NAT.
Attachments	Expand it to see, add or delete any additional document to the ALC application. You can also download all attachments in a zip file.
Comments	Expand it to see, add, edit or delete any comment to the ALC application.
Workflow History	Expand it to see the ALC application life cycle.
View full history	Available within the workflow history menu. Link to open a more detailed display of the ALC application workflow history. You can download previous versions of the ALC application and attachments.
Go to top	Click on it to scroll up to the top of the page.

Section 5. Interface for NAT submissions

Overview

Introduction

This section describes the interface elements related to the NAT file dashboard.

Contents

This section contains the following topics:

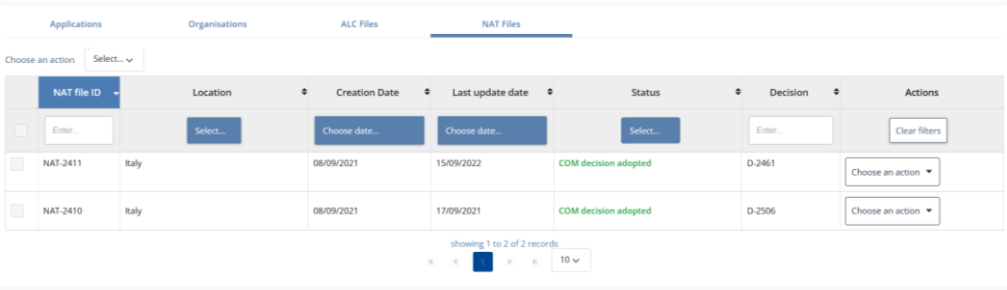
Topic	Page
NAT files	77
NAT file details	78

NAT files

Introduction

This page is displayed when you click the “NAT Files” tab.

Image



Description

The page is composed of the following significant elements:

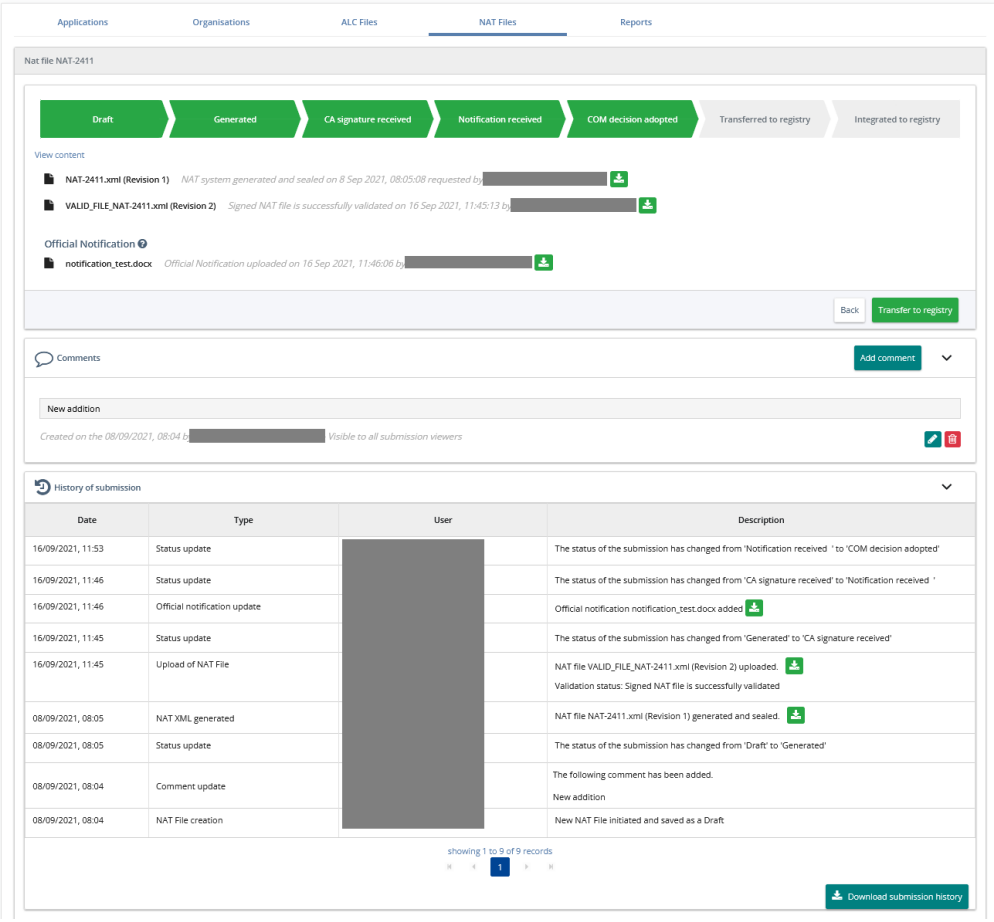
Part	Description
NAT file ID	Search box to filter the list by the given NAT file ID.
Location	Select box to filter the list by location.
Creation Date	Box to filter the list by creation date.
Last update date	Box to filter the list by last modification date.
Status	Select box to filter the list by status.
✖	Button displayed only on active filters. It allows you to reset one filter only.
Clear Filters	Button to reset your filters.
Choose an action	Dropdown list showing the available actions depending on the current status: - Delete - Generate - Send to EC - Transfer to registry.

NAT file details

Introduction

This page is displayed when you click on one NAT file to see its details.

Image



Continued on next page

NAT file details, Continued

Description of NAT file details area

The area is composed of the following significant elements:

Part	Description
Workflow status	Progress workflow bar indicating the current status of the submission.
View content	Link to open a detailed display of the applications and their allocation included in the NAT file.
NAT file	Button to download the different versions of the NAT file uploaded to the submission.
Upload	Button to upload a NAT file. This button is available only when the NAT file is in status GENERATED.
Add official notification	Button to upload the official notification of the NAT submission to the European Commission. This button is available only when the NAT file is in status CA SIGNATURE RECEIVED.
Transfer to registry	Button to apply the NAT changes to the Union Registry. This button is available only when the NAT file is in status COM DECISION ADOPTED.
Back	Button to cancel the action.
Delete	Button to delete the ALC file.

Continued on next page

NAT file details, Continued

Description of the "Comments" area

The area is composed of the following significant elements:

Part	Description
>	Button to expand the area and show further details.
Add Comment	Button that opens a pop-up, allowing you to write your comment and define its visibility.
Comment details	Sub-area showing: - The comment - The name of the user who wrote the comment - The profile of the user who wrote the comment - The date and time when the comment was submitted - The visibility of the comment, if it was submitted by you
	Button to edit a comment submitted by you.
	Button to delete a comment submitted by you.

Description of the "History of submission" area

The area is composed of the following significant elements:

Part	Description
>	Button to expand the area and show further details.
Date	The date and time of the record.
Type	The type of action recorded.
User	The name and profile of the user performing the action.
Description	Details of the action executed. Previous versions of the NAT file can be downloaded by clicking the button.
Download submission history	Button to download the whole history of submission in PDF format.

Chapter 3. Annex

ALC file validation types

Validation types

There are different types of checks done to the ALC files:

Validation type	If occurs
Technical or fatal error	- ALC file will not upload and the validation report will not be generated - User receives a red sticky error on top right of the screen
Validation error	- ALC file uploads and the validation report will be generated - Submit will be disabled for an ALC file while NIMs submission will not be blocked. - The error will be visible on error "sheet" and as a comment on the cell where the error occurs
Validation warning	- ALC file uploads and validation report will be generated - submit will not be disabled - the warning will be visible on error "sheet" and as a comment on the cell where the error occurs -

ALC file validation error messages

ID	Type	NIMs/ALC	Trigger	Description
ETS_ALC_1000	Technical/fatal error	ALC	triggered when structure is not expected. (extra or missing column(s))	Invalid Excel file structure detected. Sheet [<SHEET NAME>] : Column [<COLUMN NAME>] is expected to contain [<EXPECTED HEADER TITLE> (EXPECTED_YEAR)] but it contains [<ACTUAL_HEADER_TITLE>(ACTUAL_YEAR)] Please upload the UBA generated file
ETS_ALC_1001	Technical/fatal error	ALC	triggered when user uploads the validation report instead of the ALC file generated by UBA tool	Uploading ALC validation report is not permitted. Please upload the UBA generated file
ETS_ALC_1002	Validation error	ALC	triggered when user is not a CA admin in the location mentioned in the file	Location of this user doesn't correspond to location mentioned on the file or he does not have the right permission
ETS_ALC_1003	Validation error	ALC	triggered when user uploads a file with an installation which also exists in one or more ALC submissions in Draft	Draft submissions {listOfSubmissions} also contain Installation Identifier {installationIdentifier}. Please either remove them from this file or take action for the mentioned ALC submissions.
ETS_ALC_1004	Validation error	ALC	triggered when reporting year selected in the submission is not the same reporting year(s) in the ALC file	{year} does not match selected reporting year
ETS_ALC_1005	Validation error	ALC	triggered when an unknown installation ID or BM number is referenced	This field references unknown identifiers
ETS_ALC_1006	Validation error	ALC	triggered when installation ID is not found in EUTL	Identifier {value {installationIdentifier}} is not found in public EUTL database

Continued on next page

ALC file validation error messages, Continued

ID	Type	NIMs/ALC	Trigger	Description
ETS_ALC_1007	Validation error	ALC	triggered when installation ID is not given	Installation identifier is not found
ETS_ALC_1008	Validation error	ALC	triggered when format of the ID is not good	Identifier {value} is not in standard format: BE000000000000123
ETS_ALC_1009	Validation error	ALC	triggered when identifier is duplicated	Value {value} is not unique Please note: {value} can be a composite value, having multiple components. In this case, the components will have a dash(-) between them. Examples: ▪ ETS_ALC_1009 - Value BE000000000000123 is not unique ▪ ETS_ALC_1009 - Value BE000000000000123-2 is not unique
ETS_ALC_1010	Validation Warning/Error	NIMS	triggered when name of an installation based on difference score compared to EUTL is not accepted Note: If the difference between the installation name from EUTL and the uploaded installation name is less than or equal to 10% it will be a WARNING. If the difference is larger than 10%, it will be a WARNING/ERROR depending on the mandatory property of the field.	Name of installation does not correspond to EUTL
ETS_ALC_1011	Validation Error/Warning	ALC	triggered when the range of a field is not respected. If the field is optional, it will be a warning. otherwise it is an error	Value {value} is not within valid range

Continued on next page

ALC file validation error messages, Continued

ID	Type	NIMs/ALC	Trigger	Description
ETS_ALC_1012	Validation Error/Warning	ALC	triggered when a number is expected in the field If the field is optional, it will be a warning. otherwise it is an error	A number is expected for this field
ETS_ALC_1013	Validation Error	ALC	triggered when a field is empty	Value is required
ETS_ALC_1014	Validation Warning	ALC	triggered when NACE code is not given	Missing Nace code
ETS_ALC_1015	Validation Warning	ALC	triggered when NACE code is not given in the good format	Nace code {code} is in the wrong format
ETS_ALC_1016	Validation Warning	ALC	triggered when NACE code is not found in the list	The given Nace code does not exist
ETS_ALC_1017	Validation Warning	ALC	triggered when NACE code is not of classification level 4	Nace code must be from a classification level 4
ETS_ALC_1018	Validation Error/Warning	ALC	triggered when a value is not acceptable If the field is optional, it will be a warning. otherwise it is an error	This is not an acceptable format. Example: <example>
ETS_ALC_1019	Validation Error	NIMS	triggered when PRODCOM is not in a good format Note: This can be replaced	{value} is in the wrong format. Example: <example>

Continued on next page

ALC file validation error messages, Continued

ID	Type	NIMs/ALC	Trigger	Description
ETS_ALC_1020	Validation Error/Warning	ALC	triggered when a value of a certain field is not matching all other values for the same field that is repeated (only applies to the reporting year) If the field is optional, it will be a warning. otherwise it is an error	"{value}" is not is not equal to {values.get(0)} which is referenced in another field.
ETS_ALC_1021	Validation Warning	ALC	triggered when we receive a translation without an ID	Translation key of the corresponding translation for {propertyValue} is not found in {propertyValue,excelColumnNameForTranslationId}
ETS_ALC_1022	Validation Warning	ALC	triggered when we receive a translation without an ID	Value for this field is not found however the corresponding translation key ({translationIdPropertyValue}) is found in column ({excelColumnNameForTranslationId})
ETS_ALC_1023	Warning	NIMS	when translation is not found	Translation not found for {activity}
ETS_ALC_1024	Technical/fatal error	ALC/NIMS	triggered when an expected sheet is missing from an uploaded file	Provided workbook doesn't contain sheet {SHEET_NAME}
ETS_ALC_1025	Validation Error	ALC/NIMS	triggered during type conversion. triggered when there the cell subject to import contains an Excel error, which means the cell value starts with '#' or '!'	Cell calculation error: {cell_value}

Continued on next page

ALC file validation error messages, Continued

ID	Type	NIMs/ALC	Trigger	Description
ETS_ALC_1026	Validation Warning/Error	ALC/NIMS	triggered during type conversion, when the value provided doesn't match the defined type of the column . Implicitly means that we store *null* as data since we cannot store the given value If the column is mandatory, ERROR. Otherwise WARNING	• Could not transform:{value} to a decimal number • Could not transform:{value} to a date • Could not transform:{value} to a number • Could not transform:{value} to a number • Could not transform:{value} to a true/false
ETS_ALC_1027	Validation Error	ALC/NIMS	triggered during type conversion, when the imported sheet's "Contains data?" hidden column is not equal to "TRUE"	Column A:'Contains data?' not equals to 'TRUE'
ETS_ALC_1028	Fatal error	ALC/NIMS	triggered when it's not possible to find the country code from the full list of Installation Identifiers on the first sheet. For example: none of the Installation Identifiers matches the XX0000000000000 pattern. Or when no installation identifiers were specified	Country cannot be identified.
ETS_ALC_1029	Fatal error	ALC/NIMS	triggered when the country code was extracted from the full list of Installation Identifiers on the first sheet, but that country code is missing from our system. For example: installation identifiers are matching the XX0000000000000 schema but the country code is invalid: BB0000123456789	Country "<country code>" is unknown to the system.