



# Registration of Designated Consumers(DCs) with Registry for dealing in ESCerts

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## Chronology of Regulations, Orders and Procedures

Date	Description
05.01.2016	The Ministry of Power, Government of India, has assigned the functions of a Registry of ESCert trading under PAT Scheme under National Mission for Enhanced Energy Efficiency (NMEEE) to POWER System Operation Corporation (POSOCO)
27.05.2016	Central Electricity Regulatory Commission (Terms and Conditions for Dealing in Energy Savings Certificates) Regulations, 2016,
14.02.2017	Hon'ble CERC Approved Procedures for Transaction of ESCerts
24.03.2017	Order for Determination of ESCert Fees and Charges

# Process involved in dealing of ESCerts

- Issuance of ESCerts - Ministry of Power
- Registration of DCs – Registry (NLDC, POSOCO)
- Trading of ESCerts on – Power Exchanges
- Facilitation of trading of ESCerts - Registry
- Updation of accounts of DCs- Registry
- DC submit ESCerts for compliance – Bureau
- Extinguishment of ESCerts- Registry
- Database of ESCerts / Banked ESCerts-Registry

# Important provisions of CERC Regulations

## Definitions

**Administrator** means the Bureau of Energy Efficiency;

**Registry** means the agency designated by Government of India in the Ministry of Power to perform such functions as defined in these regulations with respect to ESCerts. Provided that NLDC operating under Power System Operation Corporation Limited ( POSOCO) , shall function as registry for ESCerts,

**Cycle** means a period as specified in PAT Rules, commencing from the 1st day of April of the starting year and ending on the 31st day of March of the target year. The first Cycle would cover a period of 3 years commencing from the 1st April, 2012 and ending on the 31st March, 2015;

**Eligible entity** means any designated consumer registered with Registry who has been issued or deemed to have been issued ESCerts and desire to sell or purchase such ESCerts for compliance with the energy consumption norms and standards specified under clause (g) of section 14 of the EC Act.

**'Transaction of ESCerts'** means Sale or purchase of ESCerts under the Perform, Achieve and Trade (PAT) scheme on Power Exchanges, and includes delivery of ESCerts.

# Important provisions of CERC Regulations

**Value and Validity of ESCerts** - as specified in the Energy Conservation Rules.

**Eligible Entity** - means any designated consumer registered with Registry

- ✓ DCs to whom ESCerts have been issued
- ✓ DCs who wish to purchase ESCerts to comply Rules and Regulations
- ✓ Any other eligible entity, as permitted in the EC Act

Power Exchanges shall permit only the Eligible entities to place either buy or sell bids

**Dealing in the Certificates** - only through the Power Exchange and not in any other manner

**Pricing of Certificate** -

- one ESCert shall be equal to one metric Ton of Oil Equivalent
- The market price of ESCerts shall be as discovered through the process of bidding at the respective Power Exchange

## Functions of Registry

- Registration of Eligible Entity
- Assistance in development of IT Platform for maintaining database of ESCerts
- Signing of Non-Disclosure Agreement with the Administrator
- Formulate protocol for sharing of information related to transaction of ESCerts in 'electronic form' with Power Exchange(s) and Administrator.
- Blocking and freezing transactions of 'defaulters', Record keeping of ESCerts.
- Extinguishment of ESCerts from the Registry Account and
- Maintaining records of ESCerts viz issuance, dealing etc.
- Dissemination of information
- Any other functions, as suggested by CERC

## Important provisions of the CERC Approved Procedures

- **Registration** of all DCs as 'Eligible Entity' for **each PAT Cycle**.
- **Validity of Registration** - till the compliance period of the next PAT cycle
- **ESCCerts once purchased cannot be resold**
- **Bilateral trading** even within the same corporate group, inter-sector self-retention / transfer of ESCerts - not permitted
- **Validity of issued ESCert** - until the completion of the compliance period of the next PAT cycle, or until the submission of such ESCerts to the Administrator, whichever is earlier.

**CERC Order 24.03.2017 - ESCert Fee** to be paid by DCs to whom ESCerts have been issued **@ Rs. 5 per Certificate through** Electronic Clearing System/online payment facility

# Procedure for Registration of a Designated Consumer

STEP 1: DC applies to the Registry through PATNet Portal

STEP 2: Registry to do preliminary scrutiny to ensure completeness / issues comments  
(within 7 working days)

STEP 3: DC furnishes requested details to Registry within 7 working days, - > REGISTRATION of the applicant

STEP 4: DC registered by Registry (within 15 working days from date of receipt of complete Application)

STEP 5: Registry verifies & ascertain the availability of requisite documents as per checklist

STEP 6: Registry shall release the electronic "Certificate of Registration" to the respective DC



# Procedure for Registration of a Designated Consumer

## STEP 1:

- DCs may apply for Registration through PATNet Portal as per Format 1.1 and Submit the same information in physical form duly signed by Authorized signatory to the Registry.
- Application to contain following information:
  - i) PAT Cycle details
  - ii) Owner(s) Details
  - iii) Details of Fees and Charges
  - iv) Declaration
  - v) Attachments (scan copy of PAN, TAN, CIN, Service Tax Number, Authorization Letter, Registration under Shops and Establishment Act, and EPFO registration for Proprietorship Firm and Partnership firm)
  - vi) Details of issued / entitled ESCerts
  - vii) Any other relevant information as prescribed by Administrator /Registry from time to time.

# Procedure for Registration of a Designated Consumer

## STEP 2:

- Registry shall undertake preliminary scrutiny about the completeness of the application within 7 working days.
- Comments of the Registry will be reflected in dashboard of DCs

## STEP 3:

- DCs furnishes the requested details to Registry within 7 working days, to enable the Registry to undertake the registration of the applicant.
- Registry may abandon the registration of the applicant in case information requested by the Registry, is not furnished within stipulated time frame.

## STEP 4:

- DCs is registered by the Registry within 15 working days from date of receipt of complete Application (in all respects, including payment of fees and charges) and issue the “Certificate of Registration”.
- Registry to communicate the concerned Designated Consumer, if Application is rejected (through PATNet Portal and also through email to the registered email id.

## Procedure for Registration of a Designated Consumer

### STEP 5:

While considering the application, Registry shall verify and ascertain the availability of the following information:

- Permanent Account Number (PAN)
- Tax Deduction and Collection Account Number (TAN)
- Corporate Identity Number (CIN)
- Service Tax Number
- Details of payment of registration fees / charges
- Hard copy of Application Signed and stamped on each page including declaration on letter head of the company
- Authorization Letter, Details of ESCerts issued or entitled to purchase.

### STEP 6:

- Registry shall release the electronic “Certificate of Registration” to the respective DCs and share the list of Eligible Entities with the Power Exchange(s) and Administrator.

# Sample copy of Registration Certificate

पावर सिस्टम ऑपरेशन कारपोरेशन लिमिटेड  
(भारत सरकार का उद्यम)  
**POWER SYSTEM OPERATION CORPORATION LIMITED**  
(A Govt. of India Enterprise)



B-9, 1st FLOOR QUTAB INSTITUTIONAL AREA, KATWARIA SARAI, NEW DELHI - 110016

## CERTIFICATE OF REGISTRATION

This is to certify that 'Lakwa Thermal Power Station, Maibella, P.O. Suffry, Sivasagar, Assam' with Designated Consumer Registration Number 'TPP0014AS' having Address 'LAKWA THERMAL POWER STATION, MAIBELLA, City: SIVASAGAR, District: SIVASAGAR, State: Assam, Pincode: 785689' has been registered with Registry as 'Eligible Entity' for the PAT Cycle - 1(2012-15).

This registration is granted subject to fulfilling the Rules, Regulations and Procedures specified by the CERC/Administrator/Registry from time to time.

The expiry of this certificate is due on the compliance of next PAT Cycle.

Date of Issue: 21/05/2017

POWER SYSTEM OPERATION CORPORATION LIMITED

This is a computer generated Certificate and needs no signature

# Check-list for submission of application for Registration

## CHECK LIST FOR REGISTRATION APPLICATION

1. Hard Copy of Application signed and stamped on each page.
2. Declaration of Applicable Clauses given in online application on letter head of the concerned Designated Consumer.
3. Details of payment of registration fees/charges
4. Letter for authorised signatory if application is not signed by MD/CEO.

Type of Organization	Authority or his / her authorized representative.
Public Ltd.	Board Resolution / MD / CEO
Pvt Ltd.	Director / MD
Partnership	Partner / Director / MD
Individual / Proprietorship	Owner
Cooperative / Govt. Department	Head of the Organization / Authorized representative

5. Permanent Account Number (PAN)
6. Tax Deduction and Collection Account Number (TAN)
7. Corporate Identity Number (CIN)
8. Service tax number
9. Employees Provident Fund Organisation Registration No. (wherever applicable)
10. Registration No. under Shops and Establishment Act (wherever applicable)

# Procedure for submission of the documents to the Registry

## Procedure for submission of the documents to the Registry

All communication regarding dealing in ESCerts to be addressed as follows:

The Nodal Officer,  
ESCert Registry,  
1st Floor NLDC office  
B-9, Qutab Institutional Area, Katwaria Sarai, New Delhi-110016.

All documents regarding ESCerts shall be accepted by the Courier/by hand or through services of Indian Post. However, the delivery of documents through courier/ by hand will be accepted on all working days during 10 AM to 12 noon and 3 PM to 5 PM and the same will be acknowledged through POSOCO date stamp and acknowledgement number.

The Application(s) for Registration of Designated Consumers to become eligible entities and the name of the Designated Consumer has to be clearly stated on the envelope.

Further, the requisite documents to be submitted by BEE, the Power Exchange(s) may be accepted by the POSOCO through their respective authorized e-mail.

## Important provisions of the CERC Approved Procedures - trading

Registry cross checks the cumulative Sell/ buy bids received from Power Exchange(s), regarding quantity of ESCerts available for transaction in their account maintained in PATNet Portal

- Case 1: If the quantity of ESCerts offered for Sell is less than or equal to quantity of ESCerts available for transaction in Eligible Entity's Registry Account, A Confirmation Report through their account on D-CRM to the respective Power Exchange(s), Or
- Case 2: If the quantity of ESCerts offered for Sell, exceeds the quantity of ESCerts available for transaction in Eligible Entity's Registry Account, Registry shall intimate the respective Power Exchange(s) to treat such Eligible Entity as '**Defaulter**' and any bid submitted by such entity shall not be considered by Power Exchange(s)
- Case 3: If the cumulative Buy bids exceeds the quantity of ESCerts entitled to be purchased for compliance in that PAT cycle, Registry shall allow the Power Exchange(s) to accept the bid for higher number of ESCerts

Eligible entities with more than three cases of such defaults specified in a cycle shall be barred from transaction of ESCerts for next six months

### **After Trading**

- Registry shall update the following details of the concerned eligible entities after successful trading session:
  - Opening Balance [No. of ESCerts]
  - ESCerts traded on Power Exchange (s)
  - Closing Balance [No. of ESCerts].
- Transactions of ESCerts shall be based upon First-In-First –Out (FIFO) principle.

# Facilitation for Registration

- Registry will upload Help Manual for Registration on Registry website
- FAQ will also be uploaded on Registry website

## Registry Contact Details

### National Load Despatch Centre

Power System Operation Corporation Ltd.

(A Government of India Enterprise)

#-9, Qutab Institutional Area, Katwaria Sarai, New Delhi - 110016

Name	Designation	Contact No.	E-mail ID
<u>Minaxi Garg</u>	Additional General Manager	011-26536915	minaxigarg@posoco.in
<u>Shailendra Verma</u>	Manager	011-26522227	skverma@posoco.in
<u>Kailash Chand Saini</u>	Deputy Manager	011-26561379	kcsaini@posoco.in
<u>Sumanta Sadhukhan</u>	Senior Assistant Engineer	011-26561379	sumanta@posoco.in
Registration related Query		011-26561379	
Other query related with PAT Mechanism		011-26522227 / 26536915	

Please e-mail your queries / issues according to subject as follows:

- i) Registration related at [nldc.pat@posoco.in](mailto:nldc.pat@posoco.in)
- ii) Web portal issues at [support.pat@posoco.in](mailto:support.pat@posoco.in)
- iii) Fees / Payment issues at [finance.pat@posoco.in](mailto:finance.pat@posoco.in)



# Steps for Registration to become Eligible Entity- snapshots



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**M & V Status**   **Escerts Issuance**   Check Verification   Trading   Compliance   Escerts Banked

DC Registration No.	DC Name	PAT Cycle	No. of ESCerts ( Claimed )	No. of ESCerts (Approved by MoP)	Serial No. of Issued ESCerts	ELIGIBLE ENTITY REGISTRATION	CERTIFICATE OF REGISTRATION	Reason of Rejection / On Hold
ALM0003OR	National Aluminium Company Limited, Mines & Refinery Complex, Damanjodi, Dist- Koraput, Odisha	2012-15	29635	29635	01-00000001-ALM0003OR-281116 to 01-00029635-ALM0003OR-281116	Registration Form	CERTIFICATE	COMMENT

# Steps for Registration to become Eligible Entity- snapshots



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A statutory body under Ministry of Power, Government of India



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## Registration Form for Designated Consumer to become Eligible Entity

### Section A: PAT Cycle Details

General Details	Description
PAT Cycle:	2012-15
DC Registration Number:	ALM0003OR
DC Name:	National Aluminium Company Limited, Mines & Refinery Complex, Damanjodi, Dist- Koraput, Odisha
Sector:	Aluminium
State:	Odisha
Name of State Designated Agency:	SDA - Odisha
Plant Address:	Mines and Refinery complex , Damanjodi , City: Damanjodi , District: Koraput , State: Odisha , Pincode: 763008
Plant Head Name:	dinesh
Plant Head Contact Detail:	9434035201
Number of ESCerts Issued	29635

Details  
fetched  
from  
PATNet

# Procedure for Registration of a Designated Consumer

Postal Address: *	Damanjodi , City: Damanjod! , Di\$trict: Koraput
Year of Establishment:	1981
<b>Note : All fields marked with * are mandatory</b>	
<b>Section B: Owner Details</b>	
Name of the Applicant:	National Aluminium Company Limited, Mines & Refinery Complex, Damanjodi, Dist- Koraput, Odisha
Type of Applicant: (Individual/HUF/Partnership/Ltd Co. /Pvt. Ltd. Company /Public Ltd. Company/Cooperative Society) *	Public Limited Company
Postal Address of the Applicant: *	Damanjodi , City: Damanjod! , Di\$trict: Koraput
Town/Suburb: *	Damanjodi
State: *	Odisha
Postal Code: *	763008
Primary Contact Name: (Name of Authorised Signatory) *	S R Mohanty
Position: *	Energy Manager
Phone No. (with STD Code): *	9911363608
Fax: *	9911363608
Mobile No.: *	9911363608
E-mail Address: *	srmohanty@nalcoindia.co.in
Permanent Account Number(PAN) *	1111111111

Details to be filled by DCs

# Steps for Registration to become Eligible Entity- snapshots

Tax Deduction and Collection Account Number(TAN) *	1111111111
EPFO - Employees Provided Fund Organisation Registration No.:	
Corporate Identity Number(CIN) *	11111111111111111111
Registration No. under Shops and EStablishment Act:	
Service Tax No. *	111AAAA22222AA
Secondary Contact Name: *	MR DINESH
<b>Section C: Details of Fee &amp; Charges(In Rupees)</b>	
A.) One time Registration Fee *	15000.00
a.1) TDS deducted on Registration Fee(maximum @10% of Fee, if applicable)	0.00
a.2) Service tax @ 14% on Registration Fee *	2100.00
a.3) Swachh Bharat Cess (SBC) @ 0.5% on Registration Fee *	75.00
a.4) Krishi Kalyan Cess (KKC) @ 0.5% on Registration Fee *	75.00
Gross Amount (Including Service, SBC , KKC tax) *	17250.00
Net Amount (One time Registration Fee) *	17250.00
B.) ESCert Fee * [ 29635 x 5 ]	148175.00
b.1) TDS deducted on ESCert Fee(maximum @10% of Fee, if applicable)	0.00

Details to be filled by DCs

# Procedure for Registration of a Designated Consumer

b.2) Service tax @ 14% on ESCert Fee *	20744.50
b.3) Swachh Bharat Cess (SBC) @ 0.5% on ESCert Fee *	740.88
b.4) Krishi Kalyan Cess (KKC) @ 0.5% on ESCert Fee *	740.88
Gross Amount (Including Service, SBC , KKC tax) *	170401.00
Net Amount (ESCert Fee) *	170401.00
Total Fee to be paid by DC(Including taxes)(In Rupees) *	187651.00

Select Document Related for: \*

PAN  
  TAN  
  CIN  
  Service Tax No.  
  Authorization Letter  
  EPFO No.  
  Reg. No. under Shops and Establishment Act

Upload Image files like PAN ,TAN ,CIN , Service Tax No. , Authorization Letter , EPFO No.(wherever applicable) and Registration No. under Shops and Establishment Act (wherever applicable) \*

Choose File No file chosen

**Details to be filled by DCs**

File Name	Document For	
ALM0003OR_2012-15_CIN_CIN.PNG	CIN	<a href="#">Download</a>
ALM0003OR_2012-15_Service Tax No._Serv Tax.pdf	Service Tax No.	<a href="#">Download</a>
ALM0003OR_2012-15_TAN_TAN test.pdf	TAN	<a href="#">Download</a>
ALM0003OR_2012-15_PAN_PAN.PNG	PAN	<a href="#">Download</a>
ALM0003OR_2012-15_Authorization Letter_Authorisation letter.jpg	Authorization Letter	<a href="#">Download</a>

File format to be uploaded : Pdf, Image( .JPEG, .JPG , .PNG formats allowed).  
Max 1 MB file size is allowed.

I/We certify that all information furnished above is/are true to the best of my/our knowledge and belief. I/We shall abide by such terms and conditions that the Central Electricity Regulatory Commission may impose from time to time, to participate in the ESCerts Exchange Mechanism from time to time.

INDEMNIFICATION



# Steps for Registration to become Eligible Entity- snapshots

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## Payment Page

### Details of Payment

PAT Cycle:	2012-15
DC Registration Number:	ALM0003OR
Designated Consumer Name:	National Aluminium Company Limited, Mines & Refinery Complex, Damanjodi, Dist- Koraput, Odisha
Net Amount Payable( In Rupees ):	187651.00
Payment Mode	Online (RTGS/NEFT) ▼

Note: For the payment of fees and charges as well as payment details please see " Procedure for transaction of ESCerts" and "Fee order."

### Online (RTGS/NEFT) Payment

Select Payment Type : \* RTGS ▼

Name of the Bank : \* DATA

Transaction reference number : \* DATA11052017

Transaction Date (DD/MM/YYYY) : \* 12/04/2017

Upload Online (RTGS/NEFT) Payment Document Scan Copy \* Choose File No file chosen

File format to be uploaded : Pdf, Image( .JPEG, .JPG , .PNG formats allowed).  
Max 1 MB file size is allowed.

File Name	Document For	
ALM0003OR_2012-15_Payment_utr.png	Online (RTGS/NEFT)	Download

I/We certify that all information furnished above is/are true to the best of my/our knowledge and belief. I/We shall abide by such terms and conditions that the Central Electricity Regulatory Commission may impose from time to time, to participate in the ESCerts Exchange Mechanism from time to time.

### INDEMNIFICATION

The Designated Consumer shall keep each of the Registry indemnified at all times and shall undertake to indemnify, defend and save the Registry harmless from any and all damages, losses, claims and actions, including those relating to injury to or death of any person or damage to property, demands, suits, recoveries, costs and expenses, court costs, attorney fees, and all other obligations by or to third parties, arising out of or resulting from the Registration/Exchange of ESCerts under ESCerts Exchange Mechanism. The Designated Consumer shall keep Registry indemnified at all times and shall undertake to indemnify, defend and save the Registry harmless from any and all damages, losses, claims and actions, arising out of disputes with Administrator, SDAs, as well as with Power Exchange(s), inclusive of confidentiality issues.

Invoice: Registration Fee Invoice: ESCert Fee back

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Details to be filled by DCs

# Steps for Registration to become Eligible Entity- snapshots

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[Escerts Issuance](#)
[Check Verification](#)
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[Escerts Banked](#)

DC Registration No.	DC Name	PAT Cycle	No. of ESCerts ( Claimed )	No. of ESCerts (Approved by MoP)	Serial No. of Issued ESCerts	ELIGIBLE ENTITY REGISTRATION	CERTIFICATE OF REGISTRATION	Reason of Rejection / On Hold
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# Weblinks

- [www.cercind.gov.in](http://www.cercind.gov.in)
- [www.powermin.nic.in](http://www.powermin.nic.in)
- [www.beeindia.gov.in](http://www.beeindia.gov.in)
- [beenet.gov.in](http://beenet.gov.in)
- [www.posoco.in](http://www.posoco.in)





**THANK YOU**



**POWER SYSTEM OPERATION CORPORATION LIMITED**  
(A Government of India Enterprise) CIN: U40105DL2009GOI188682

**National Load Despatch Centre**