

*Status: Point in time view as at 31/12/2020.*

*Changes to legislation: There are currently no known outstanding effects for the Commission  
Delegated Regulation (EU) 2019/331, ANNEX IV. (See end of Document for details)*

## ANNEX IV

### Parameters for baseline data collection

Without prejudice to the power of the [F<sup>1</sup>regulator] to request additional particulars in accordance with Article 15(1), operators shall submit for the purposes of the baseline data report, the following data at installation and sub-installation level for all calendar years of the [F<sup>2</sup>baseline period beginning on 1 January 2019]. For new entrants, the data report shall cover the data listed in sections 1 and 2 at installation and sub-installation level.

#### Textual Amendments

- F1** Words in Regulation substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 2**
- F2** Words in [Annex 4](#) substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(2)**

#### 1. GENERAL INSTALLATION DATA

##### 1.1. Identification of the installation and the operator

This item contains at least the following information:

- (a) Name and address of the installation;
- (b) Installation identifier used in the [F<sup>3</sup>registry];
- (c) F<sup>4</sup> ...
- (d) Permit identifier and date of the most recent F<sup>5</sup>... permit, if applicable;
- (e) Name and address of the operator, contact information of an authorised representative and of a primary contact person, if different.

#### Textual Amendments

- F3** Word in [Annex 4 s. 1.1](#) substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(3)(a)(i)**
- F4** Words in [Annex 4 s. 1.1](#) omitted (31.12.2020) by virtue of [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(3)(a)(ii)**
- F5** Word in [Annex 4 s. 1.1](#) omitted (31.12.2020) by virtue of [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(3)(a)(iii)**

##### 1.2. Verifier information

This item contains at least the following information:

- (a) Name and address of the verifier, contact information of an authorised representative and of a primary contact person, if different;
- (b) Name of the national accreditation body which accredited the verifier;
- (c) Registration number issued by the national accreditation body.

##### 1.3. Activity information

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This item contains at least the following information:

- (a) List of [<sup>F6</sup>regulated activities] carried out in the installation;
- (b) The installation's NACE code (revision 2) in accordance with Regulation (EC) No 1893/2006 of the European Parliament and of the Council<sup>(1)</sup>;
- (c) [<sup>F7</sup>Whether the installation meets condition A, B or C referred to in paragraph 6 of Schedule 7 to the UK ETS Order or the relevant condition referred to in paragraph 3 of Schedule 8 to that Order.]

#### Textual Amendments

- F6** Words in Annex 4 s. 1.3 substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(3)(b)(i)**
- F7** Words in Annex 4 s. 1.3 substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(3)(b)(ii)**

#### 1.4. Eligibility for free allocation

This item contains at least the following information:

- (a) Whether the installation is an electricity generator <sup>F8</sup> ...;
- (b) [<sup>F9</sup>Whether the installation is used for any of the following:
  - (i) the capture of greenhouse gases from other installations for the purpose of transport and geological storage in a storage site;
  - (ii) the transport of greenhouse gases by pipelines for geological storage in a storage site;
  - (iii) the geological storage of greenhouse gases in a storage site;]
- (c) Whether the installation produces heat not used for electricity production.

#### Textual Amendments

- F8** Words in Annex 4 s. 1.4 omitted (31.12.2020) by virtue of [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(3)(c)(i)**
- F9** Words in Annex 4 s. 1.4 substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(3)(c)(ii)**

#### 1.5. List of sub-installations

This item contains a list of all sub-installations at the installation.

#### 1.6. List of connections to other EU ETS [<sup>F10</sup>or UK ETS] installations or non-ETS entities for the transfer of measurable heat, intermediate products, waste gases or CO<sub>2</sub> for use in that installation or permanent geological storage

This item contains at least the following information for each connected installation or entity:

- (a) Name of installation or entity connected;
- (b) Type of connection (import or export: measurable heat, waste gases, CO<sub>2</sub>);

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- (c) Is the installation or entity itself under the scope of the EU ETS [<sup>F11</sup>or UK ETS]?  
— If yes, [<sup>F12</sup>Union Registry or registry] ID and Permit ID, contact person;  
— If no, name and address of entity, contact person.

#### Textual Amendments

**F11** Words in Annex 4 s. 1.6 inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(3)(d)(ii)(aa)**

**F12** Words in Annex 4 s. 1.6 substituted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(3)(d)(ii)(bb)**

#### Textual Amendments

**F10** Words in Annex 4 s. 1.6 heading inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(3)(d)(i)**

## 2. DETAILED ANNUAL DATA FOR EACH YEAR IN THE BASELINE PERIOD

### 2.1. Detailed annual verified emissions data at installation level

This item contains at least the following information:

- (a) For each source stream: Activity data, calculation factors used, fossil emissions, emissions from biomass, in case of fuels (including if used as process input) energy input calculated from the Net Calorific Value (NCV);
- (b) For each emission source for which continuous emission monitoring systems have been used: fossil emissions, emissions from biomass, annual hourly average of [<sup>F13</sup>greenhouse gas] concentration and flue gas flow; in case of CO<sub>2</sub>: proxy data for energy input associated with the emissions;
- (c) Where a fall-back approach in accordance with Article 22 of [<sup>F14</sup>the Monitoring and Reporting Regulation 2018] is used, the fossil and biomass emissions determined, proxy data for energy input associated with the emissions, if applicable;
- (d) The amount of transferred CO<sub>2</sub> imported and/or exported.

#### Textual Amendments

**F13** Words in Annex 4 s. 2.1 substituted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(a)(i)(aa)**

**F14** Words in Annex 4 s. 2.1 substituted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(a)(i)(bb)**

[<sup>F15</sup>The report may include] only aggregated emission figures.

#### Textual Amendments

**F15** Words in Annex 4 s. 2.1 substituted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(a)(ii)**

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## 2.2. Annual emissions per sub-installation

This item contains a complete balance of emissions, identifying the quantity of emissions attributable to each sub-installation.

## 2.3. Annual installation-wide balance of heat import, production, consumption and export

This item contains at least the following information:

- (a) The total amount of energy input used in the installation contained in fuels;
- (b) If applicable, the energy content of imported waste gases;
- (c) If applicable, the amount of energy in fuels exported to other directly technically connected EU ETS [<sup>F16</sup>or UK ETS] installations or non-ETS entities;
- (d) If applicable, the energy content of waste gases exported to other EU ETS [<sup>F17</sup>or UK ETS] installations or non-ETS entities;
- (e) The amount of energy input from fuels used for electricity production;
- (f) The amount of energy input from fuels attributed to fuel benchmark sub-installations (reported separately for carbon leakage and non-carbon leakage fuel benchmark sub-installation);
- (g) The amount of fuel input used for production of measurable heat;
- (h) Total amount of measurable heat produced in the installation;
- (i) Net amount of measurable heat imported from installations covered by the EU ETS [<sup>F18</sup>or UK ETS];
- (j) Net amount of measurable heat imported from installations and entities not covered by the EU ETS [<sup>F19</sup>or UK ETS];
- (k) Net amount of measurable heat consumed for electricity production within the installation;
- (l) Net amount of measurable heat consumed for product benchmark sub-installations within the installation;
- (m) Net amount of measurable heat exported to EU ETS [<sup>F20</sup>or UK ETS] installations;
- (n) Net amount of measurable heat exported to installations or entities not covered by the EU ETS [<sup>F21</sup>or UK ETS];
- (o) Net amount of measurable heat exported for the purpose of district heating;
- (p) Net amount of measurable heat attributable to heat benchmark sub-installations (reported separately for <sup>F22</sup>... heat benchmark and district heating sub-installations [<sup>F23</sup>that serve and do not serve sectors or subsectors set out in the Annex to Commission Delegated Decision (EU) 2019/708]);
- (q) The amount of heat losses, if not already included in the data referred to in points (a) to (p).

### Textual Amendments

- F16** Words in Annex 4 s. 2.3 inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(b)(i)**
- F17** Words in Annex 4 s. 2.3 inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(b)(ii)**
- F18** Words in Annex 4 s. 2.3 inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(b)(iii)**
- F19** Words in Annex 4 s. 2.3 inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(b)(iv)**
- F20** Words in Annex 4 s. 2.3 inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(b)(v)**
- F21** Words in Annex 4 s. 2.3 inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(b)(vi)**
- F22** Words in Annex 4 s. 2.3 omitted (31.12.2020) by virtue of The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(b)(vii)(aa)**
- F23** Words in Annex 4 s. 2.3 inserted (31.12.2020) by The Greenhouse Gas Emissions Trading Scheme (Amendment) Order 2020 (S.I. 2020/1557), art. 2(2), **Sch. 1 para. 34(4)(b)(vii)(bb)**

## 2.4. Annual attribution of energy to sub-installations

This item contains at least the following information:

- (a) Amount of energy input from fuels, including their respective emissions factor, to:
- each product benchmark sub-installation;
  - each heat benchmark and district heating sub-installation;
  - each fuel benchmark sub-installation;
- (b) Amount of measurable heat imported:
- by each product benchmark sub-installation;
  - from nitric acid product benchmark sub-installations;
  - from sub-installations producing pulp;
- (c) Amount of measurable heat exported by:
- each product benchmark sub-installation.

## 2.5. Annual installation-wide balance of electricity import, production, consumption and export

This item contains at least the following information:

- (a) Total amount of electricity produced from fuels;
- (b) Total amount of other electricity produced;
- (c) Total amount of electricity imported from the grid or from other installations;
- (d) Total amount of electricity exported to the grid or to other installations;
- (e) Total amount of electricity consumed in the installation;
- (f) For electricity consumption within product benchmark sub-installations, which are listed in part 2 of Annex I, the amount of electricity consumed that qualifies as exchangeable.

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Points (a) to (e) only have to be reported by installations that produce electricity.

## 2.6. Further annual data for sub-installations

This item contains at least the following information:

- (a) The amount of measurable heat attributed to sub-installation imported from [F<sup>24</sup>non-ETS] entities or processes;
- (b) If applicable, for each sub-installation, a list of products produced within the boundaries of the sub-installation, including their codes under the PRODCOM list referred to in Article 2(2) of Council Regulation (EEC) No 3924/91<sup>(2)</sup>, based on NACE-4 codes referred to Regulation (EC) No 1893/2006 of the European Parliament and of the Council<sup>(3)</sup> (NACE rev. 2) and the amount of production. PRODCOM shall be at least as disaggregated as the related sub-sector identification in [F<sup>25</sup>Commission Delegated Decision (EU) 2019/708];
- (c) By way of derogation from point (b), for [F<sup>26</sup>a heat benchmark sub-installation that serves a sector or subsector set out in the Annex to Commission Delegated Decision (EU) 2019/708], in case of export of measurable heat to installations or entities not covered by the EU ETS [F<sup>27</sup>or UK ETS], the NACE-4 codes (NACE rev. 2) of those installations or entities;
- (d) If applicable and available to the operator, for each sub-installation, the emission factor of the fuel mix related to the measurable heat imported or exported;
- (e) If applicable, for each sub-installation, the quantity and emission factor of waste gases imported and exported;
- (f) If applicable, for each sub-installation, the energy content (net calorific value) of the waste gases imported and exported.

### Textual Amendments

- F24** Word in Annex 4 s. 2.6 substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(4)(c)(i)**
- F25** Words in Annex 4 s. 2.6 substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(4)(c)(ii)**
- F26** Words in Annex 4 s. 2.6 substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(4)(c)(iii)(aa)**
- F27** Words in Annex 4 s. 2.6 inserted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(4)(c)(iii)(bb)**

## 2.7. Annual activity data for product benchmark sub-installations

This item contains at least the following information:

- (a) Annual production data of the product as specified in Annex I, in the unit listed in that Annex;
- (b) A list of products produced within the boundaries of the sub-installation, including their PRODCOM codes (based on NACE rev. 2). PRODCOM shall be at least as disaggregated as the related sub-sector identification in [F<sup>28</sup>Commission Delegated Decision (EU) 2019/708];

- (c) Amount of transferred CO<sub>2</sub> imported from or exported to other sub-installations, installations or other entities;
- (d) Amount of export or import of intermediate products covered by product benchmark sub-installations;
- (e) If applicable, for the refinery or aromatics product benchmark sub-installations, the annual throughput for each CWT function as specified in Annex II;
- (f) If applicable, for the lime or dolime product benchmark sub-installations, the uncorrected annual production quantity and the annual average values for m<sub>CaO</sub> and m<sub>MgO</sub> in accordance with Annex III;
- (g) If applicable, for the steam cracking product benchmark sub-installation, the total annual HVC production and the quantity of supplementary feed expressed as amounts of hydrogen, ethylene and other HVC;
- (h) If applicable, for the hydrogen or synthesis gas product benchmark sub-installations, the annual amount of hydrogen or synthesis gas production referred to hydrogen content expressed as norm cubic meters per year referring to 0 °C and 101,325 kPa and the annual production volume fraction of pure hydrogen in the hydrogen/carbon monoxide mixture;
- (i) If applicable, for the ethylene oxide/ethylene glycols product benchmark sub-installation, the annual production levels of ethylene oxide, monoethylene glycol, diethylene glycol and triethylene glycol;
- (j) If applicable, for the vinyl chloride monomer product benchmark sub-installation, the heat consumed stemming from hydrogen consumption;
- (k) If applicable, for the short fibre kraft pulp, long fibre kraft pulp, thermo-mechanical pulp and mechanical pulp, sulphite pulp product benchmark sub-installations or other pulp not covered by a product benchmark sub-installation, the annual production level of the respective pulp and the annual amount of pulp placed on the market and not processed into paper in the same or other technically connected installations;
- (l) If applicable, the amount, energy content and emission factor of waste gases produced within the system boundaries of the respective product benchmark sub-installation and flared within or outside the system boundaries of that product benchmark sub-installation, with the exception of safety flaring, and not used for the purpose of the production of measurable heat, non-measurable heat or electricity.

#### Textual Amendments

**F28** Words in Annex 4 s. 2.7 substituted (31.12.2020) by [The Greenhouse Gas Emissions Trading Scheme \(Amendment\) Order 2020 \(S.I. 2020/1557\)](#), art. 2(2), **Sch. 1 para. 34(4)(d)**

### 3. DATA FOR BENCHMARK UPDATE

#### 3.1. Annual data for product benchmark sub-installations

This item contains at least the following information for each year of the baseline period:

- (a) A list of products produced within the boundaries of the sub-installation, including their PRODCOM codes (NACE rev. 2);

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- (b) Activity level;
- (c) Attributed emissions with the exception of emissions linked to the import of measurable heat from other sub-installations, installations or other entities;
- (d) Amount of measurable heat imported from other sub-installations, installations or other entities including the emission factor, if known;
- (e) Amount of measurable heat exported to other sub-installations, installations or other entities;
- (f) Amount, energy content and emission factor of waste gases imported from other sub-installations, installations or other entities;
- (g) Amount, energy content and emission factor of waste gases produced;
- (h) Amount, energy content and emission factor of waste gases exported to other sub-installations, installations or other entities;
- (i) Quantity of electricity consumed which qualifies as exchangeable, in case of benchmarks which are listed in part 2 of Annex I;
- (j) Quantity of electricity produced;
- (k) Amount of transferred CO<sub>2</sub> imported from other sub-installations, installations or other entities;
- (l) Amount of transferred CO<sub>2</sub> exported to other sub-installations, installations or other entities;
- (m) Export or import of intermediate products covered by product benchmarks (yes/no) and a description of the type of intermediate product, if applicable;
- (n) Quantity of supplementary feed expressed as amounts of hydrogen, ethylene and other HVC, in case of the steam cracking product benchmark;
- (o) Heat consumed stemming from hydrogen consumption, in case of the for vinyl chloride monomer product benchmark.

### 3.2. **Annual data for heat benchmark sub-installations and district heating sub-installations**

This item contains at least the following information for each year of the baseline period:

- (a) Quantity of net measurable heat produced within each heat benchmark sub-installation or district heating sub-installation;
- (b) Emissions attributed to production of measurable heat;
- (c) Activity level of the sub-installation;
- (d) Quantity of measurable heat produced, imported from and exported to other sub-installations, installations or other entities;
- (e) Quantity of electricity produced.

### 3.3. **Annual data for fuel benchmark sub-installations**

This item contains at least the following information for each year of the baseline period:



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- (a) Activity level;
- (b) Attributed emissions.

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- (1) Regulation (EC) No 1893/2006 of the European Parliament and of the Council of 20 December 2006 establishing the statistical classification of economic activities NACE Revision 2 and amending Council Regulation (EEC) No 3037/90 as well as certain EC Regulations on specific statistical domains ([OJ L 393, 30.12.2006, p. 1](#)).
- (2) Council Regulation (EEC) No 3924/91 of 19 December 1991 on the establishment of a Community survey of industrial production ([OJ L 374, 31.12.1991, p. 1](#)).
- (3) Regulation (EC) No 1893/2006 of the European Parliament and of the Council of 20 December 2006 establishing the statistical classification of economic activities NACE Revision 2 and amending Council Regulation (EEC) No 3037/90 as well as certain EC Regulations on specific statistical domains ([OJ L 393, 30.12.2006, p. 1](#)).

**Status:**

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