California Environmental Protection Agency

Air Resources Board

# User Guide - Volume I
# User Registration and Profile Management

# Compliance Instrument Tracking System Service (CITSS)

*December 2012*

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## List of Acronyms

| | |
|---|---|
| AAR | Alternate Account Representative |
| ARB | California Air Resources Board |
| AVA | Account Viewing Agent |
| CITSS | Compliance Instrument Tracking System Service |
| D&B | Dun & Bradstreet |
| DOE | U.S. Department of Energy |
| DUNS | Data Universal Numbering System number |
| EIA | U.S. Energy Information Agency |
| ETS | Emissions Trading System |
| GHG | greenhouse gas |
| ID | identification |
| KYC | Know-Your-Customer |
| MRR | Mandatory Reporting Regulation |
| $MTCO_2e$ | metric tons carbon dioxide equivalent |
| NAICS | North American Industry Classification System |
| ORIS | Office of Regulatory Information Systems |
| PAR | Primary Account Representative |
| SOS | California Secretary of State |
| WCI | Western Climate Initiative |

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# Compliance Instrument Tracking System Service User Guide

## 1.0 User Guide Introduction

The Compliance Instrument Tracking System Service (CITSS) User Guide has been developed to support individuals and entity representatives that are participating in California's Cap-and-Trade Program as they complete activities in the CITSS. The CITSS is a market tracking system that will support the implementation of California's and other jurisdictions' greenhouse gas (GHG) cap-and-trade programs. The CITSS provides accounts for market participants to hold and retire compliance instruments and to participate in transactions of compliance instruments with other account holders. The CITSS will be used to: record ownership of compliance instruments and information related to accounts; enable and record compliance instrument transfers; facilitate compliance verification; and support market oversight through the collection of relevant information.

This CITSS User Guide has been organized in volumes specific to the types of activities that users may conduct in the CITSS. As of December 2012, there are three volumes in the CITSS User Guide, as listed here:

| | |
|---|---|
| Volume I | User Registration and Profile Management |
| Volume II | Account Application and Account Management |
| Volume III | Conducting Transfers in the CITSS |

Additional volumes and updated versions will be released as needed.

If you have any questions about California's Cap-and-Trade Program, including the Cap-and Trade Regulation (Regulation), please refer to the California Air Resources Board (ARB) cap-and-trade website at: http://www.arb.ca.gov/cc/capandtrade/capandtrade.htm.

WCI, Inc. has established a Help Desk to support use of the CITSS. The WCI, Inc. CITSS Help Desk is staffed Monday through Friday 6:00 a.m. P.T. through 6:00 p.m. P.T. and is accessible for messages 24 hours a day, 7 days a week. If you have any questions about using the CITSS, please contact the WCI, Inc. CITSS Help Desk by email at: help@wci-citss.org or by phone at: 1-866-682-7561.

## 1.1 User Guide Volume 1

This volume includes content to support the following activities:

- User Registration (required for all individuals that will access the CITSS)
- Managing User Profile Information

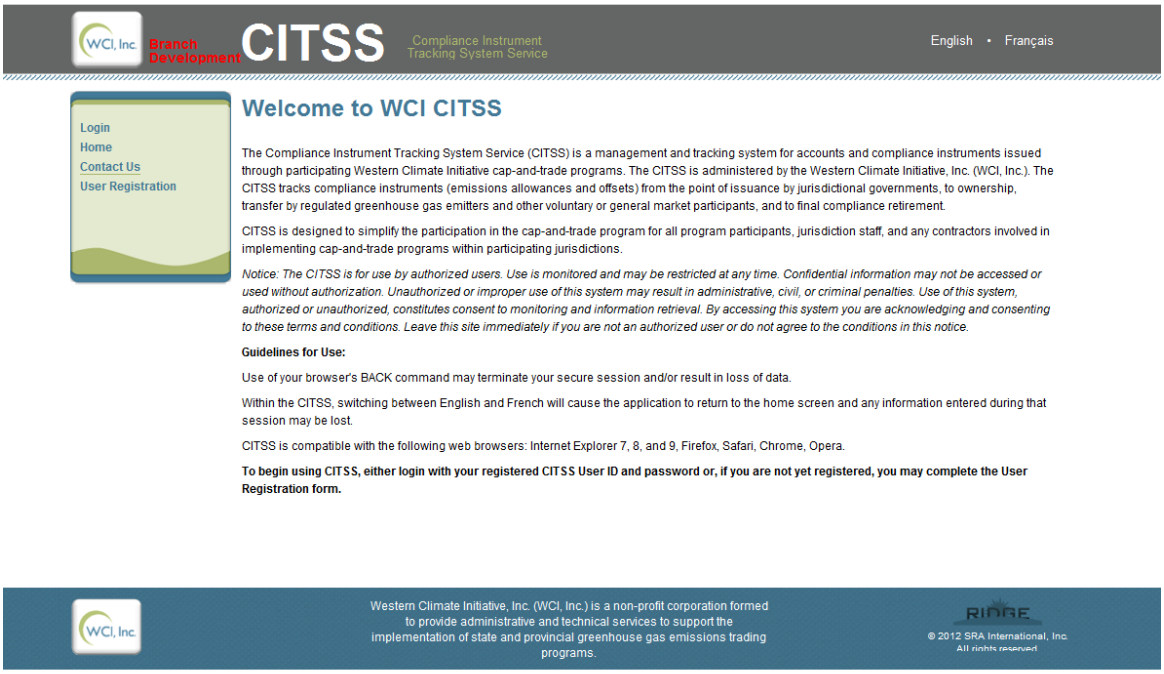
## 1.2 Accessing the CITSS

The CITSS can be accessed at https://www.wci-citss.org/.

You can also find links to access the CITSS through the ARB website, at: http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm.

The CITSS Home Page is the point of entry for any action in the CITSS. If you have an approved User ID, you will click Login and enter your personal access data to gain access to your User profile and your associated accounts. If you are new to the CITSS, you will click “User Registration” to complete the registration process.

### *Figure 1 – CITSS Welcome Page*




**General Guidelines:**

- The CITSS is compatible with the following web browsers: Explorer 7, 8, and 9, Firefox, Safari, Chrome, and Opera, Certain functions will operate with slight differences, depending on the browser.
- As a security measure, delete your browser history if multiple people can access the same computer used to create the CITSS account.
- The CITSS is typically available for access 24 hours a day, 7 days a week (except for periodic maintenance).
- The WCI, Inc. CITSS Help Desk is accessible for messages 24 hours a day, 7 days a week. The Help Desk is staffed Monday through Friday 6:00 a.m. Pacific Time through 6:00 p.m. Pacific Time.

## 1.2 CITSS User Registration and Account Application Process

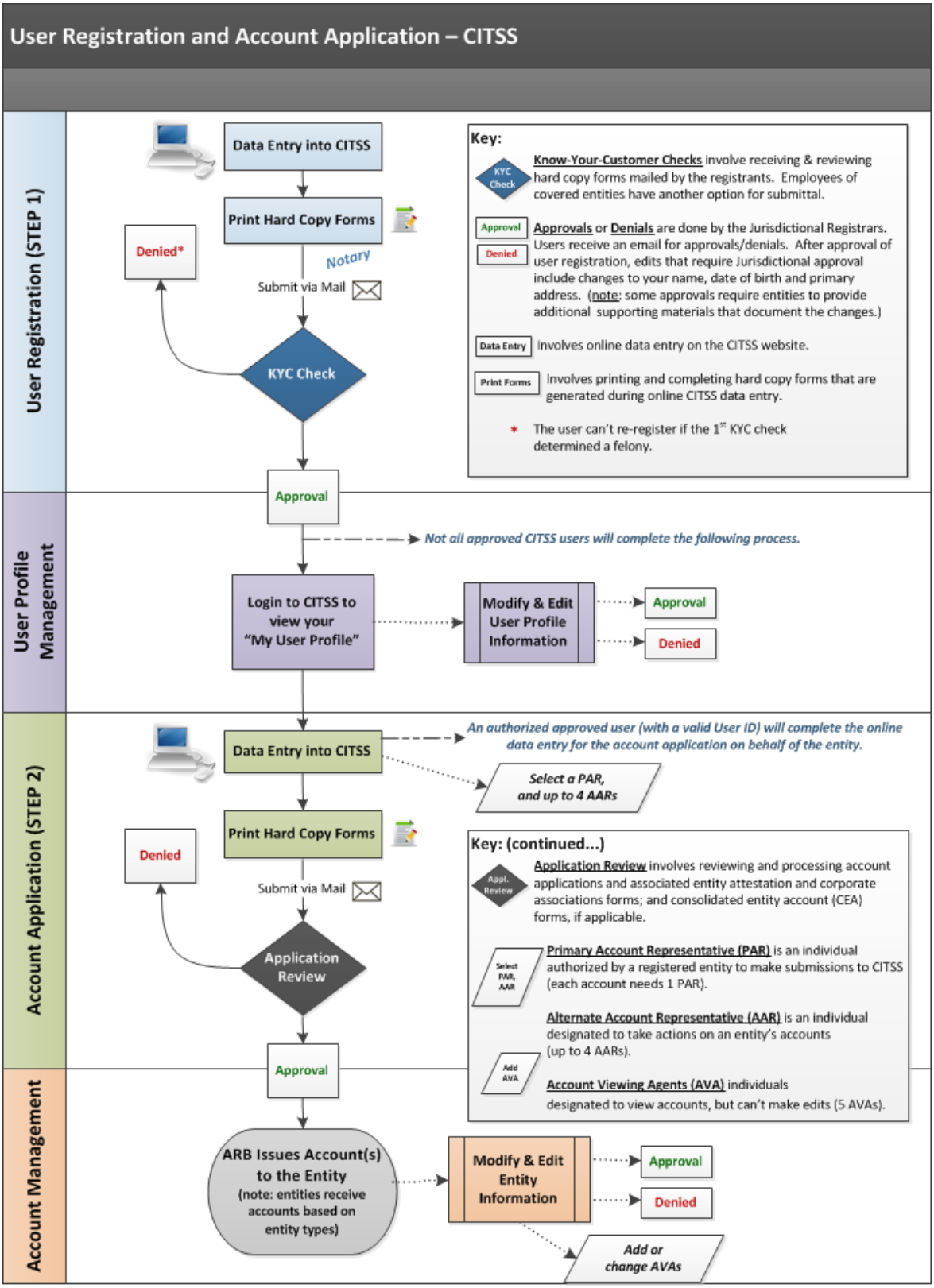
To participate in California's Cap-and-Trade Program, an individual or entity must have a CITSS account or set of accounts to hold, transfer, and retire compliance instruments. More information on the types of accounts is found in Volume III of the CITSS User Guide. To obtain CITSS account(s), an individual or entity must complete user registration for at least two representatives and subsequently complete the account application. Figure 1 provides an overview of the process.

1. **Complete User Registration to receive CITSS User IDs.** All individuals who will be representatives on an individual or entity's account(s) must complete user registration to receive an approved CITSS User ID. Except for a general market participant applying as an individual, an account must have at least two representatives: the Primary Account Representative (PAR) and an Alternate Account Representative (AAR). Both representatives must complete user registration before an account application can be completed in the CITSS.

   To complete user registration, an individual provides information in the CITSS and subsequently submits hard-copy documentation. At the end of the electronic submission, the CITSS provides three forms that are printed to support submittal of the additional information and required documentation. Every individual requesting CITSS user registration must meet Know-Your-Customer requirements that involve the verification of personally identifiable information. CITSS user registration is subject to review and approval by ARB, and User IDs are only issued to natural persons, not entities. **CITSS User Registration is covered in this volume, Volume I of the CITSS User Guide.**

2. **Submit an Account Application.** After an individual has been approved as a CITSS User and the User ID is active, that individual will be able to apply for accounts on behalf of an entity or individual that has authorized them to do so. Creating an account to hold compliance instruments in the CITSS includes completing an electronic application in the CITSS and mailing required information and attestations to the California Registrar. After completing the electronic Account Application, the CITSS provides three forms that are printed to support submittal of the additional information and attestations. The forms require the signatures of the PAR, the AAR(s), and an officer or director of the entity. CITSS account applications are subject to review and approval by ARB. **Account Application is covered in Volume II of the CITSS User Guide**

## *Figure 2 – User Registration and Account Application Illustration*



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## 2.0 User Registration Overview

All individuals that will take action in the CITSS must first complete user registration and receive an approved CITSS User ID. Following approval of user registration, an individual can access the CITSS with the User ID to apply for, manage, or view accounts held by covered entities, opt-in entities, and general market participants. The following is a list of basic requirements for each User ID:

- User IDs are only issued to natural persons, not entities.
- Each natural person may have only one User ID in the CITSS.
- A User ID is required for logging into the system and ties the access to an identifiable person, not to a position.
- A User ID is required for anyone to act upon or view any data in the CITSS or submit an account application on behalf of an entity or an individual that has authorized them to do so.
- User ID applicants must sign a “terms of use” declaration and have their identity documentation confirmed before approval.

When registering for a CITSS User ID, individuals are not required to identify the role they will serve on an entity or individual’s accounts, but it is helpful to understand the potential roles an individual may fill. On any CITSS account or set of accounts, the following roles exist:

**Primary and Alternate Account Representatives**

Account Representatives are individuals with the authority to represent the entity in the CITSS. The Account Representatives can edit entity information, propose to change representatives, and report the transfer of compliance instruments. Except for individual general market participant accounts, each account must have at least two representatives, the Primary Account Representative (PAR) and one Alternate Account Representative (AAR). Individual general market participant accounts only require a PAR but are allowed to designate AARs if they choose. All accounts may have up to four AARs. The PAR and the AARs must be different individuals and must have active CITSS User IDs.

**Account Viewing Agents**

Account Viewing Agents (AVAs) are individuals with the capability to view the entity registration, account holdings, and transfer data in the CITSS. AVAs cannot edit entity information, propose to change representatives, or report the transfer of compliance instruments. Each account may have up to five AVAs.

On any one entity’s accounts, a user may not be assigned multiple roles. A user may be assigned different roles on different entities’ accounts (for instance, a user may be a PAR on one entity’s account and be an AVA on an account held by a different entity). AVAs are added after an account application has been approved.

## 2.1 Preparing for CITSS Registration

To help you prepare the information required for CITSS user registration, a summary is provided below.

**User Registration Online Data Entry**

Each applicant will provide the following in the CITSS online system:

- Name
- Date of Birth
- Addresses (mailing and primary residence)
- Employer name, contact information, and address
- Telephone numbers and email address
- Requested username, password, and security questions

**User Registration Forms and Documentation**

To complete the CITSS user registration, each individual will print three (3) forms that are generated in the CITSS after submitting the online data. The first form provides a checklist and the California Registrar's address for the individual's reference. The second and third forms must be completed and submitted as directed. The forms are:

1. User Registration Checklist (for your reference)
2. User Registration Form (review, sign, and submit)
3. Proof-of-Identity Form (complete, attach hard-copy documentation, and submit)

The following describes the hard-copy documentation that is required to complete the Proof-of-Identity Form.

- To provide documentation of your name, primary residence address, and date of birth, as well as photographic evidence of your identity, acceptable forms of documentation include photocopies of a valid driver's license, identity card, passport, or other government-issued identity document that includes the required information. Multiple documents may be necessary to document all required information.
- To provide documentation of your employer's name and address, and contact information for a supervisor, acceptable forms of documentation include an employment verification letter containing all information, or photocopies of a recent paycheck with your employer name and address clearly printed and contact information for a supervisor. Information such as pay, benefits, and Social Security number may be redacted from this documentation, if included.
- To provide documentation of an open bank account, acceptable forms of documentation include photocopies of a recent bank statement, a letter from the bank documenting an open bank account, or a voided check from an open bank account in your name. Information such as balances and transactions may be redacted from this documentation, if included.

Your Proof-of-Identity Documentation must be notarized by a notary public no more than three months prior to submittal. To notarize your Proof-of-Identity Documentation, ARB recommends that you request a jurat from a notary public.

## 2.2 Covered and Opt-in Entity KYC Documentation Options

Covered entities and opt-in covered entities have two (2) options for submitting the required KYC documentation for their employees that are completing user registration in the CITSS and will act as representatives for the covered or opt-in entity (see below). Employees should work with the appropriate entity representatives to decide which option will be completed. A brief, general description of the options follows:

**Option 1:** Each individual submits all forms and documentation to ARB as described on the registration forms and in Section 3.3 of this guide.

**Option 2:** The employees of the entity will submit their User Registration Form, Proof-of-Identity Form, and identity documentation to a representative of the entity. The entity will maintain the Proof-of-Identity Form and all proof-of-identity documentation for its employees and submit to ARB the following

1. User Registration Forms for each employee;
2. Know-Your-Customer Compliance Documentation with Covered Entity Attestation Form; and
3. Know-Your-Customer Compliance Documentation with Individual Attestation Form (complete one for each employee).

ARB retains the right to review the original documentation at any time.

Complete guidance and all necessary forms are available on the ARB website in the document, *Know-Your-Customer Documentation Options for Individuals Registering in the CITSS.* The options are also discussed in more detail in Section 3.3.1of this Volume of the User Guide.

## 3.0 Completing CITSS User Registration

CITSS user registration requires individuals to provide information online in the CITSS, accept the CITSS Terms and Conditions, and provide hard-copy documentation to support verification of data provided and KYC checks. Hard-copy documentation must be signed, notarized, and transmitted to ARB for review. Upon receipt of complete electronic information and hard-copy documentation, ARB will review the information and either approve or deny an individual's user registration. ARB will notify the applicant via email if their request was approved, denied, or if further information is required. If approved, an individual only needs to complete the CITSS User ID registration process once. The following section summarizes all the steps necessary to complete user registration.

**General Data Entry Guidelines**

- Use of your browser's BACK command may terminate your secure session and can result in a loss of data. Use the navigation buttons in the CITSS to move through the pages.

- Within the CITSS, switching between English and French will cause the application to return to the home screen and any information entered during that session may be lost.

### 3.1 Entering Electronic Data

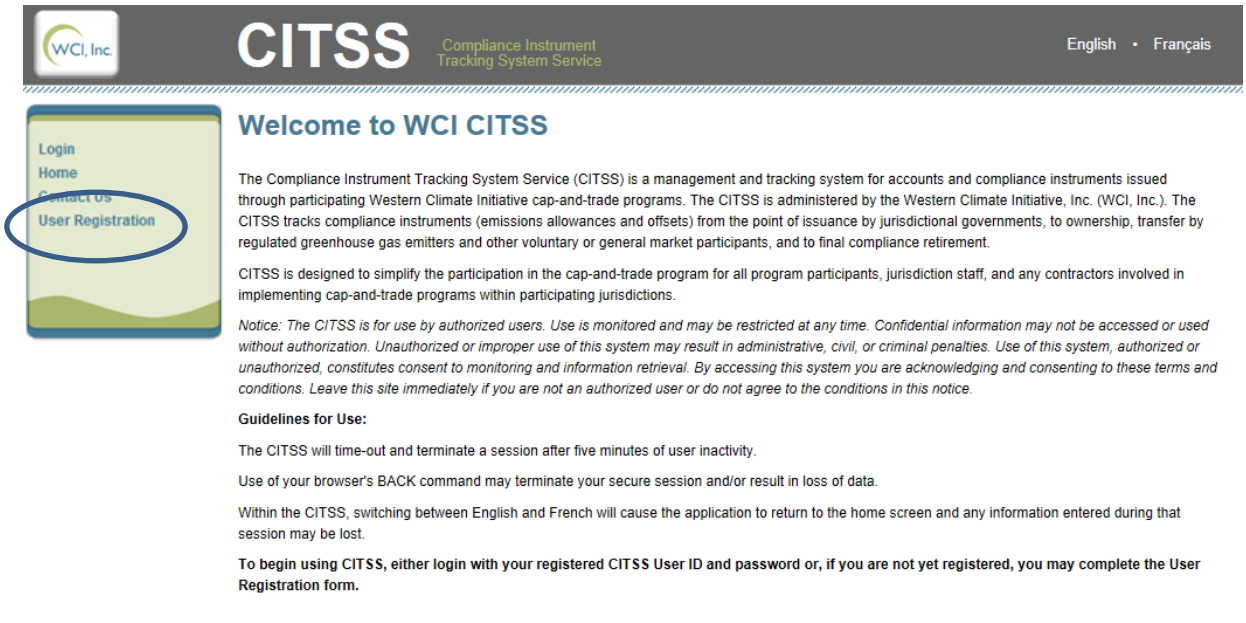
**To start a new CITSS user registration, an individual will access the online entry by taking the following steps:**

**STEP 1** **Access the CITSS Home Page through the link provided.** The CITSS Home Page, illustrated in Figure 3, is the starting point for user registration. All CITSS users should read the introduction and notices provided on this page.

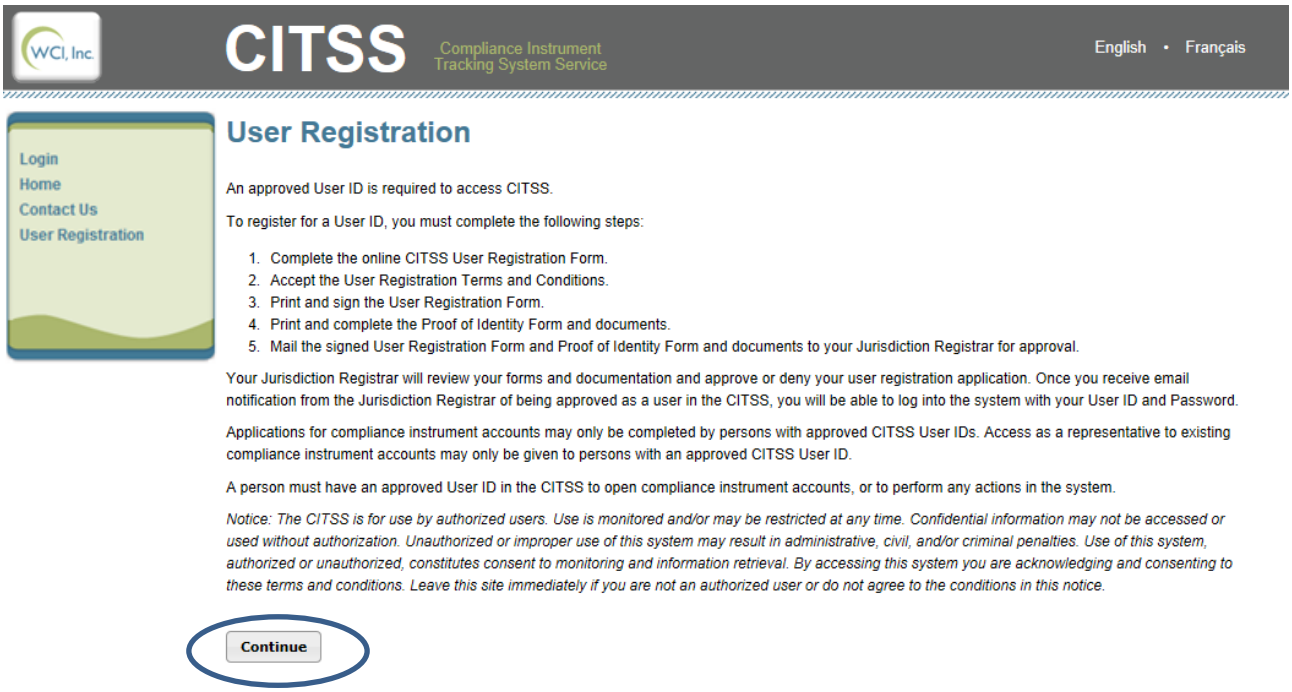
**STEP 2** **To start a new CITSS User Registration, Click "User Registration" on the left navigation menu.** You will be directed to the CITSS User Registration Page, which provides an overview of the User Registration process before you begin. The CITSS is for use by authorized users. Use is monitored and may be restricted at any time. Use of this system, authorized or unauthorized, constitutes consent to monitoring and information retrieval. By accessing this system you are acknowledging and consenting to these terms and conditions. Leave this site if you do not agree to the conditions in the notice provided on this page.

**STEP 3** **On the CITSS User Registration Page. Read the instructions and notices and click "Continue."** See Figure 4.

## *Figure 3 – CITSS Welcome Page*




## *Figure 4 – CITSS User Registration Page*



### 3.1.1 User Registration (Data Entry) Page

The User Registration form (Figure 5) is now displayed. Use this form to provide the electronic portion of the registration data.

Fields required for registration are indicated by an asterisk (*). Due to the length of the screen, this guide has divided the description of the data entry in the Registration Form into three sections: personal and contact information (upper portion), addresses (middle portion), and login/security information (lower portion).

**Personal and Contact Information**

The upper portion of the User Registration form is where the registrant will provide personal and contact information. Required fields include: first name, last name, date of birth, telephone, email, and correspondence language. The registrant will be submitting hard-copy documentation to verify some of this data.

**STEP 1** **In the individual name fields, enter your legal name.** First and Last name are required fields. Enter verifiable data, such as using your full legal name rather than a nickname, in all required fields. All hard-copy documentation will be compared to the data entered. If your name has changed since your ID documents were issued, there are options available to document the change. These options are discussed in section 3.3.2 of this volume of the User Guide.

**STEP 2** **Enter your date of birth using the drop-down menus.** A commonly encountered error has been individuals accidentally selecting the wrong drop-down selections, especially in the year. Verify that you have selected the proper drop-down options.

**STEP 3** **Enter your job title, employer, and the department in which you work.** Employment information is not required in the online data entry, but hard-copy documentation of employment is required for CITSS registration.

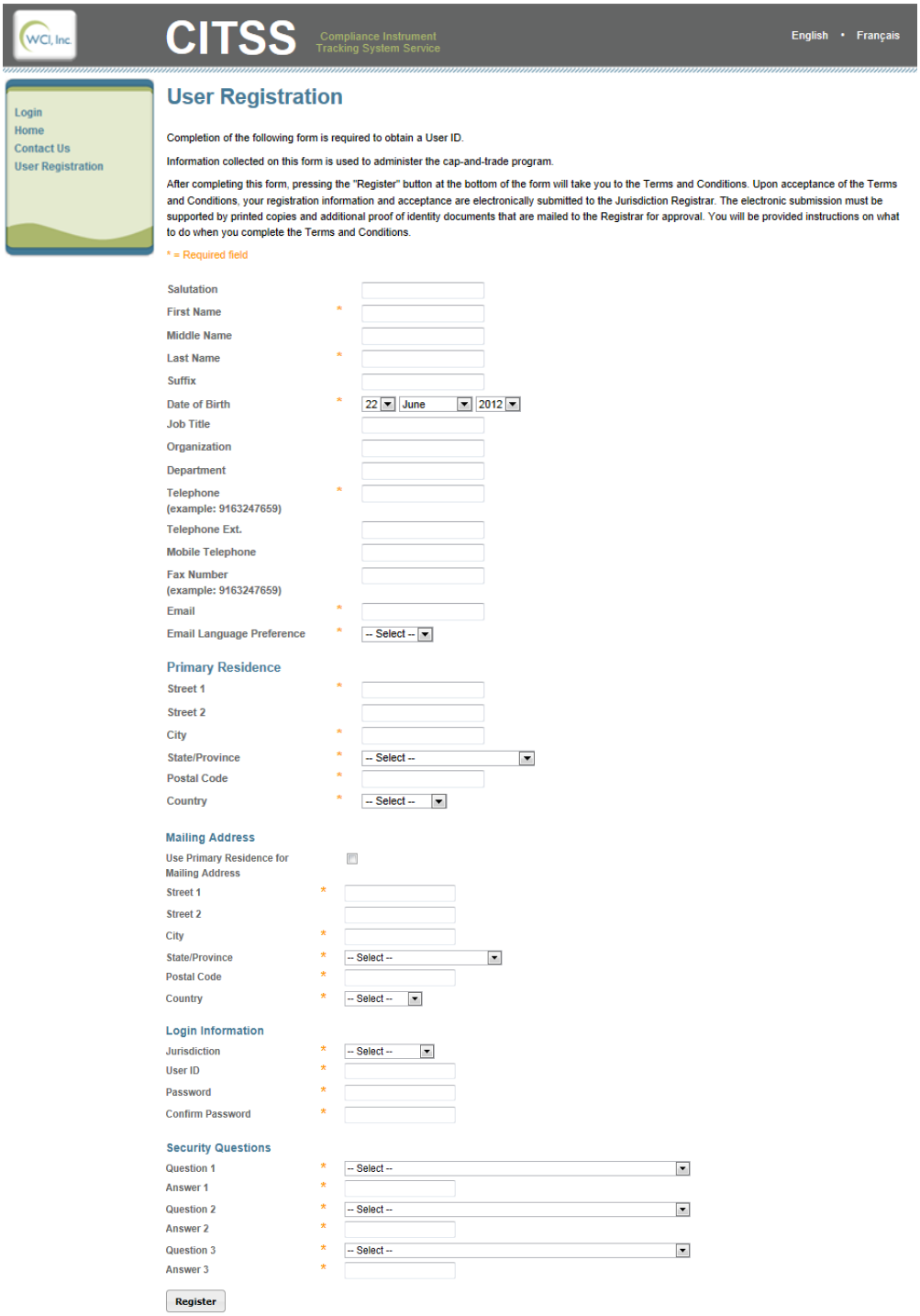
**STEP 4** **Enter a primary contact telephone number for communication related to the CITSS, including compliance account actions.** Telephone numbers must be entered with numbers only—no spaces, dashes, or parentheses.

**STEP 5** **Enter a mobile phone number and/or fax number.** This entry is not required, but may be used if you cannot be reached at your primary number.

**STEP 6** **Enter an email address.** This email address will be the primary communication point for all correspondence related to your CITSS registration and any of your associated compliance instrument accounts. Each CITSS User ID registration must be associated with a unique email address. No two registrations can use the same email address.

**STEP 7** **Choose a correspondence language from the drop-down menu.** It is best for California participants to select English as the correspondence language. French has been developed primarily to support CITSS use by individuals in other jurisdictions' cap-and-trade programs.

## *Figure 5 – User Registration Form*



WCI, Inc.

CITSS Compliance Instrument Tracking System Service

English • Français

Login
Home
Contact Us
User Registration

### User Registration

Completion of the following form is required to obtain a User ID.

Information collected on this form is used to administer the cap-and-trade program.

After completing this form, pressing the "Register" button at the bottom of the form will take you to the Terms and Conditions. Upon acceptance of the Terms and Conditions, your registration information and acceptance are electronically submitted to the Jurisdiction Registrar. The electronic submission must be supported by printed copies and additional proof of identity documents that are mailed to the Registrar for approval. You will be provided instructions on what to do when you complete the Terms and Conditions.

* = Required field

Salutation
First Name *
Middle Name
Last Name *
Suffix
Date of Birth * 22 June 2012
Job Title
Organization
Department
Telephone * (example: 9163247659)
Telephone Ext.
Mobile Telephone
Fax Number (example: 9163247659)
Email *
Email Language Preference * -- Select --

**Primary Residence**

Street 1 *
Street 2
City *
State/Province * -- Select --
Postal Code *
Country * -- Select --

**Mailing Address**

Use Primary Residence for Mailing Address
Street 1 *
Street 2
City *
State/Province * -- Select --
Postal Code *
Country * -- Select --

**Login Information**

Jurisdiction * -- Select --
User ID *
Password *
Confirm Password *

**Security Questions**

Question 1 * -- Select --
Answer 1 *
Question 2 * -- Select --
Answer 2 *
Question 3 * -- Select --
Answer 3 *

Register

## Addresses

The middle portion of the User Registration form (Figure 6) consists of the users' "Primary Residence" and "Mailing Address."

**STEP 1** **Enter your primary residence address, street, and city.** The address entered here is the individual's residence address. DO NOT ENTER YOUR BUSINESS ADDRESS. P.O. Boxes are not allowed. The information will be verified against the hard-copy documentation provided and through KYC checks, and it must therefore reflect the current residence address.

**NOTE:** If you are an employee of a covered or opt-in entity that has chosen to complete Option 2 for submittal of KYC information, described in Section 3.3.1, you are permitted to enter your business address in these fields. P.O. Boxes are still not permitted.

**STEP 2** **Choose the State/Province from the drop-down list provided.**

**STEP 3** **Enter your Postal Code.** A dash can be entered in the postal code if needed to indicate an extension.

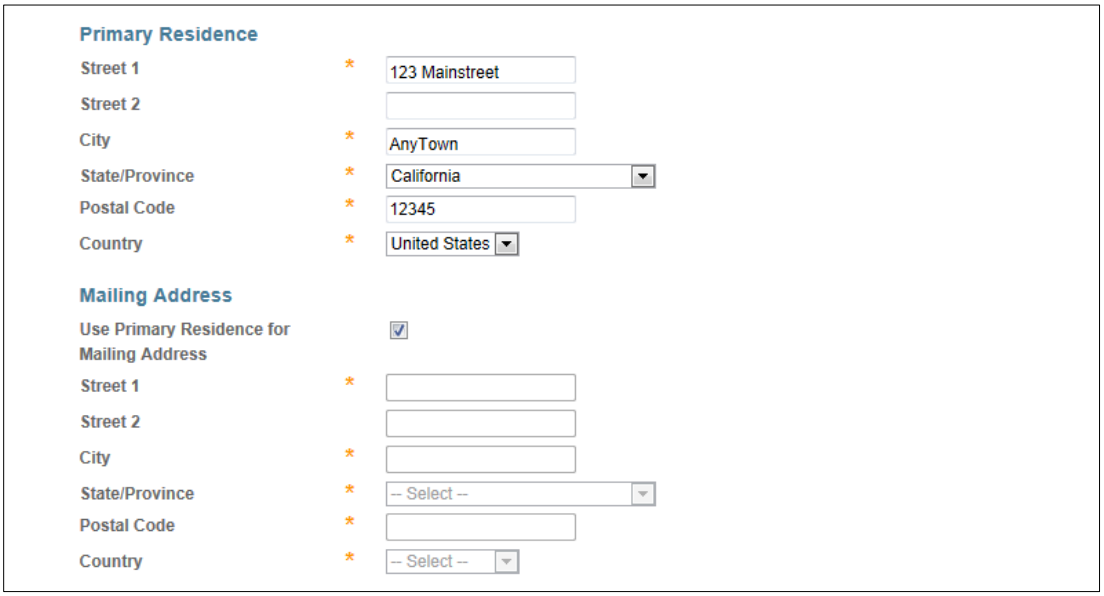
**STEP 4** **Enter the Country of your residence, choosing from the drop-down list provided.**

Your next entry depends on whether or not you want to receive mail at your residence address entered above or at a different address, such as a P.O. Box or your business address.

**STEP 5a** **If your mailing address will be exactly the same as your primary residence address, click the box at the top of the mailing address entry.** If selected, you will not be able to enter data in the mailing address fields.

**STEP 5b** **If you choose to designate a separate mailing address for written correspondence related to the CITSS, enter that address following the same process as STEPS 1 through 4 above.**

## *Figure 6 – User Registration Page (middle portion)*



## Login and Security Information

The lower portion of the User Registration form (Figure 7) includes "Login Information" and user-selected "Security Questions." All fields are required. Each user will create a User ID and password and will also choose three security questions and provide unique answers for each question. The security questions are only used in the event that a user forgets his or her password. CITSS support staff will not have access to passwords or security questions.

**STEP 1** **For Jurisdiction, choose California from the drop-down list as the jurisdiction in which you are participating.** Individuals registering for participation in California's program select California as the jurisdiction.

**STEP 2** **Enter a self-selected User ID.** The User ID is self-selected, must be at least six characters long, and is not case sensitive. User IDs can contain numbers and special characters but cannot contain spaces.

CITSS User IDs must be unique, so if you select a User ID that has already been requested, you will be asked to submit a different User ID. If a CITSS user registration is denied, the User ID will be disabled and cannot be used again in a new application.

**STEP 3** **Enter a self-selected password.** Passwords must be at least eight characters and must contain one uppercase letter, one lowercase letter, and one number.

**STEP 4** **Re-enter your password to confirm.**

**STEP 5** **In each of the three security question fields, choose a security question from the drop-down list provided and enter a unique answer to each selected question.** Answers to the security questions must be at least three characters long and are case sensitive. Each answer must be unique, so an answer cannot be the same as one that was entered for either of the other two security questions.

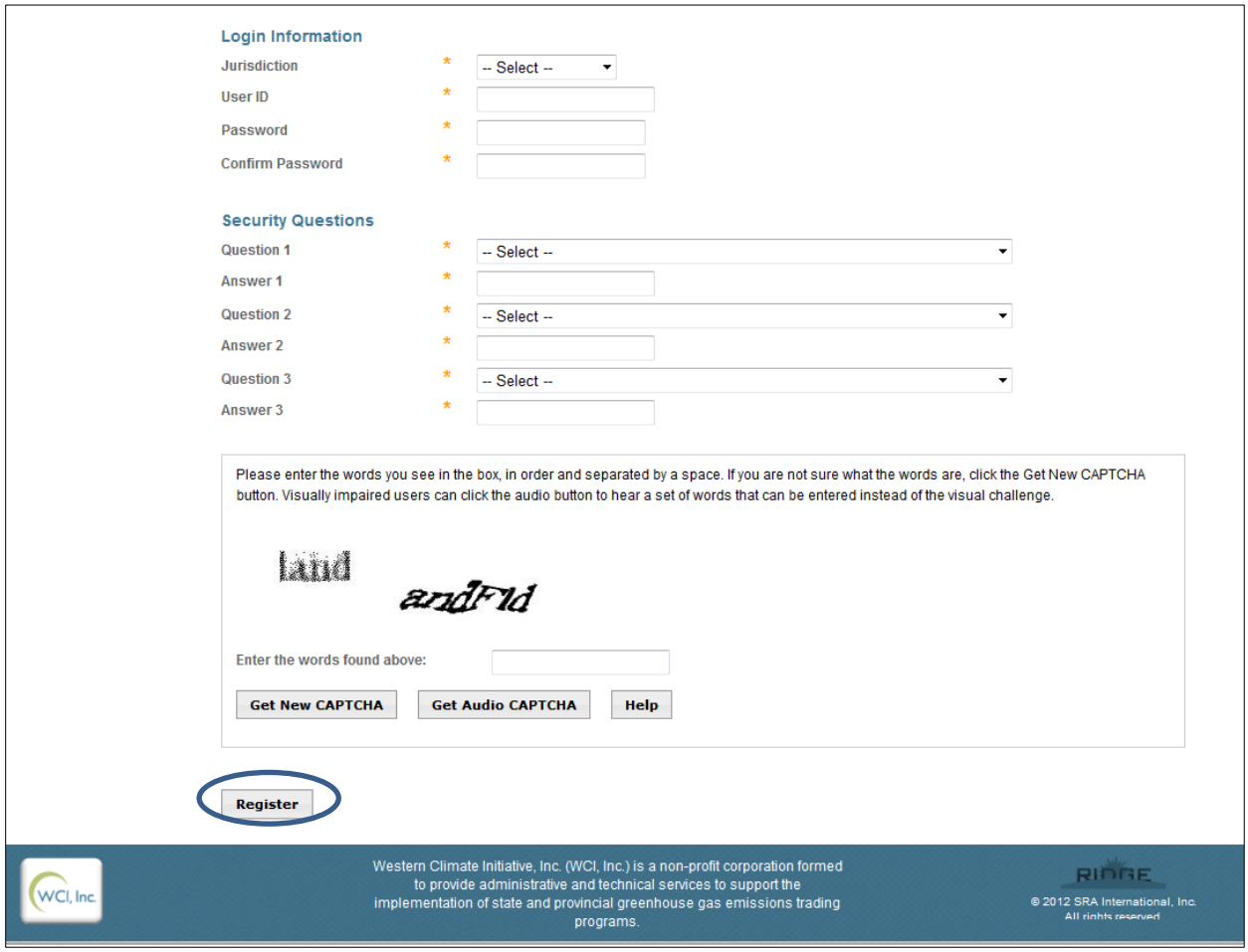
You have now completed all the online data entry necessary for the CITSS User registration. Before clicking the "register" button, review all the answers provided. You will **not** be able to change any data entries after the "Register" button has been selected.

**STEP 6** **Review all entries in the form.**

**STEP 7** **Complete the CAPTCHA verification.**

**STEP 8** **Click on the "Register" button to submit the data.**

## *Figure 7 – User Registration Page (lower portion)*



### 3.1.2 Submitting Data – Error Codes

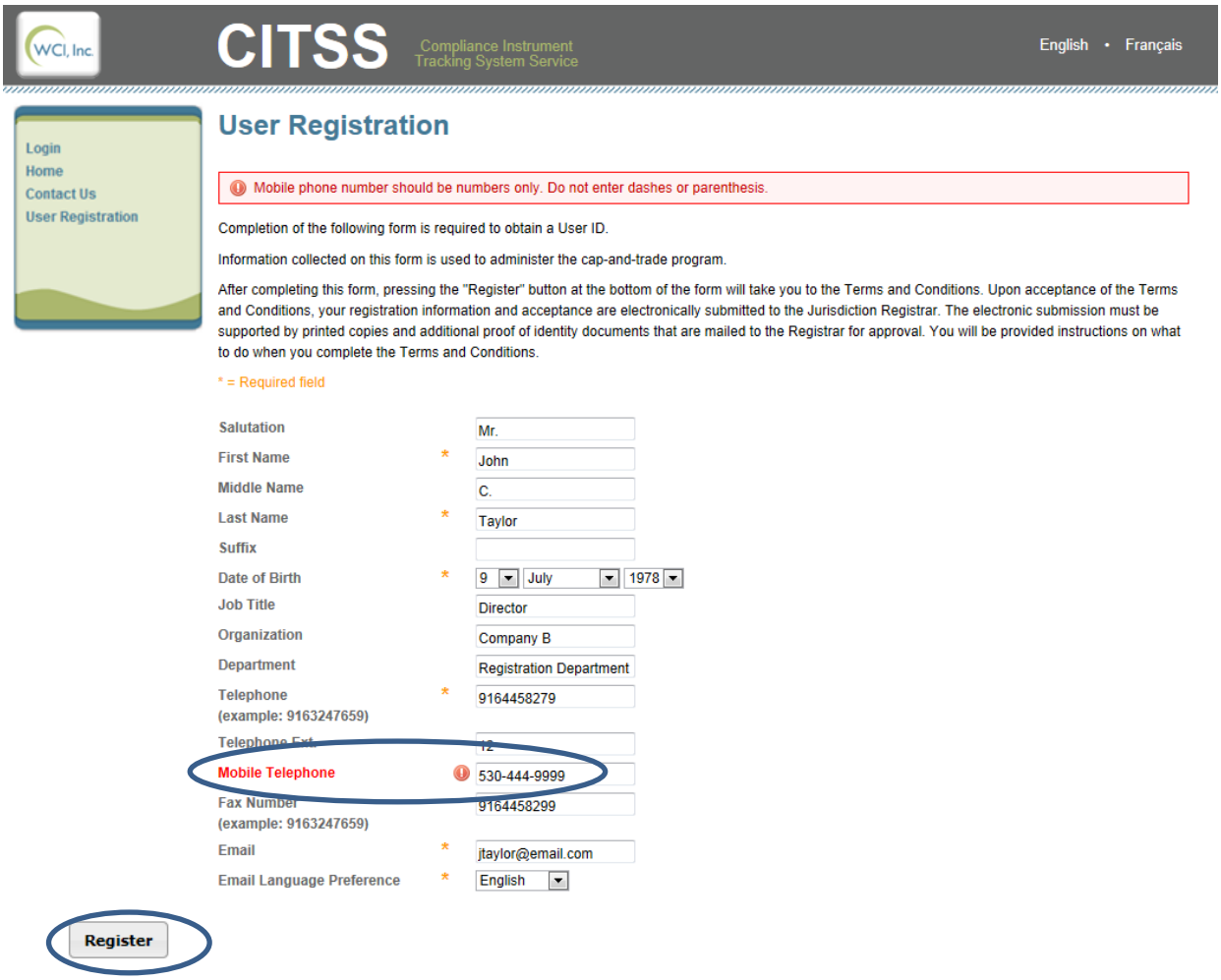
If you have missed any required data fields or entered anything in an improper format, when you enter Register, the registration page will not be submitted, and an error message will be displayed at the top of the page. The error message will contain an explanation of the data entry that needs to be added or corrected. You can correct the highlighted fields; you will not need to re-enter all of the data.

**In the example illustrated in Figure 8, a registrant added dashes in the mobile telephone entry. The steps to correct this are listed below as an example.**

**STEP 1 To fix this error, move the cursor to the mobile telephone field and remove the dashes.**

**STEP 2 Click on the "Register" button to submit the registration.**

*Figure 8 – User Registration Page Error Message*



### 3.1.3 Terms and Conditions

After the initial registration information is submitted, the "Terms and Conditions" page is displayed (Figure 9). Each registrant must agree to the Terms and Conditions to submit their user registration.

**STEP 1 Read the "Terms and Conditions."**

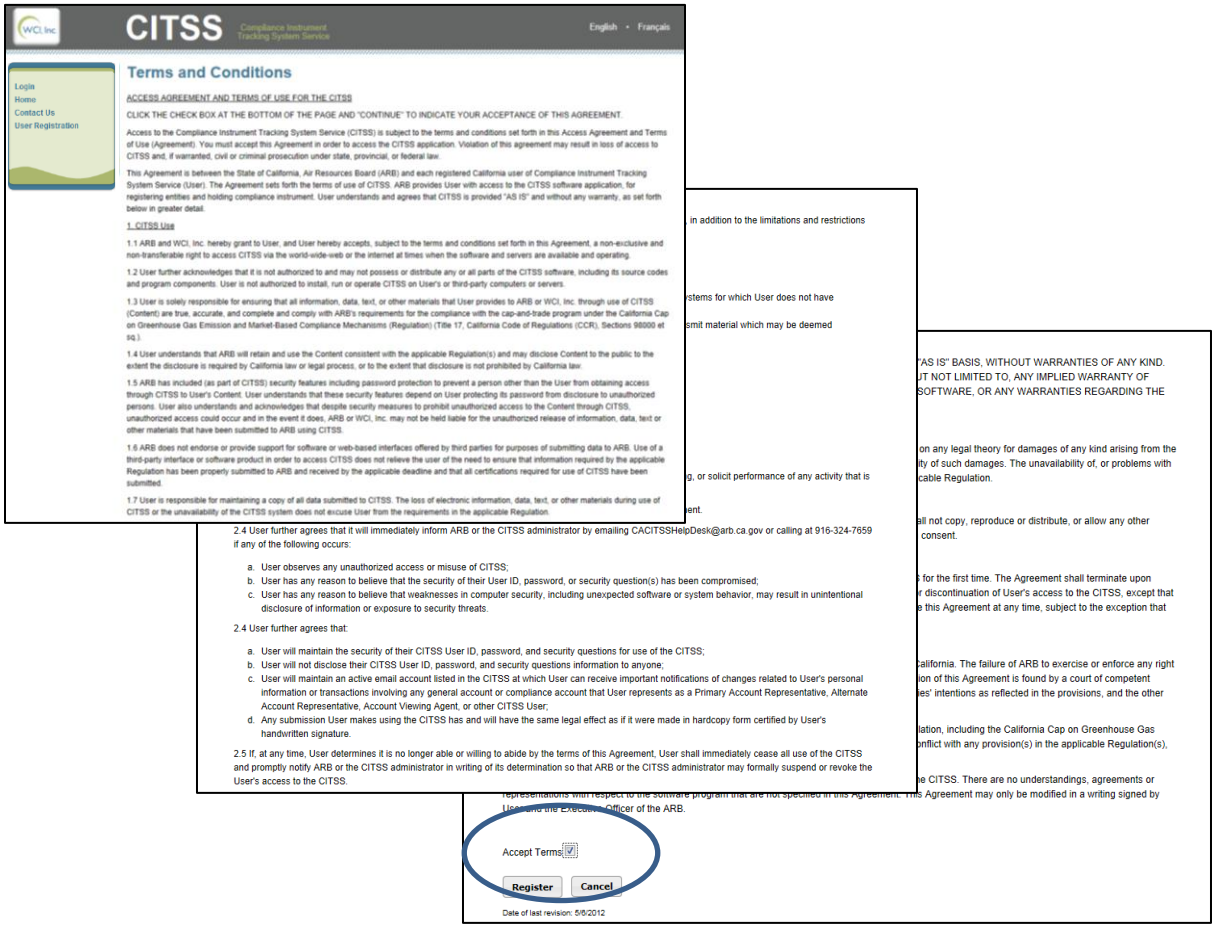
**STEP 2 Click the checkbox to accept the Terms and Conditions**.

**STEP 3 Click "Register."**

Upon acceptance of the Terms and Conditions, your registration information and acceptance are electronically submitted to the California Registrar. The electronic submission must be supported by printed Forms and additional proof-of-identity documents that are mailed to the Registrar for approval.

This entry completes the online portion of User Registration. If you want to keep a copy of the terms and conditions, a printed version will be included in one of the forms you will print and sign during the second part of the registration process.

*Figure 9 – CITSS Terms and Conditions Page*



### 3.1.4 Confirmation of Electronic Submittal/Access to Registration Forms

The “Registration Submitted” page will be displayed after the Terms and Conditions have been accepted and the registration submitted. The “Registration Submitted” page includes the12-character User Reference Code (e.g., MC6VRG98FXZK) specific to your submitted User Registration. Figure 10 is an example of the “Registration Submitted” page and highlights a sample User Reference Code.

The three navigation buttons in the middle of the page are used to access the forms—the (1) User Registration Checklist, (2) User Registration Form, and (3) Proof-of-Identity Form—that are provided to complete user registration. The User Registration Checklist provides a summary of the information that must be completed and the address of the California Registrar. The User Registration Form and the Proof-of-Identity Form must be completed, signed, and mailed to the California Registrar along with additional required hard-copy documentation described on the Proof-of-Identity Form.

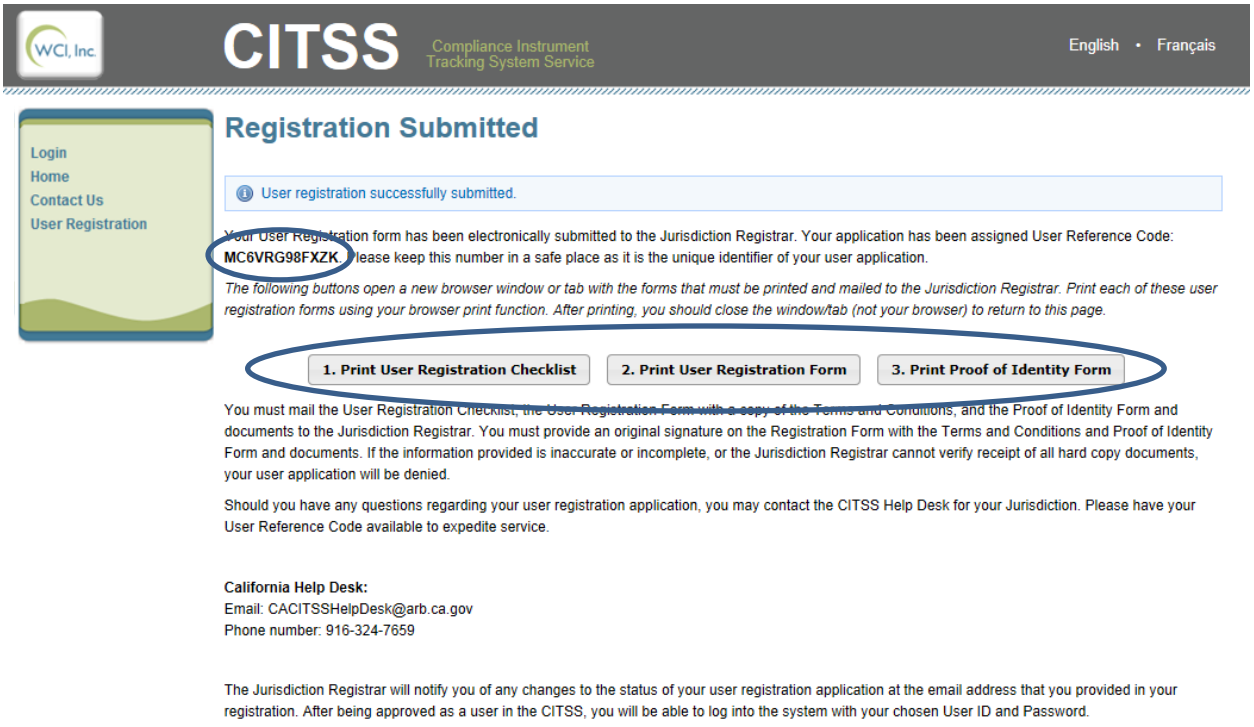
**IMPORTANT REMINDER: You must print the forms <u>before</u> you exit the CITSS. You will not be able to return to the CITSS to access the forms**. Blank forms are available on the ARB website, but if using the blank forms, you will need to provide the User Reference Code and fill in the data as it was entered in the CITSS to complete the forms.

**STEP 1** **Click on each Form Button**. Each form opens in a new browser tab.

**STEP 2** **Print each Form and then return to the Registration Submitted page** by navigating back to the original browser tab where the Registration Submitted page is displayed. You can do this by either closing the tab that displays the form or clicking on the tab for the Registration Submitted page.

**STEP 3** **Continue until all forms have been printed**.

## *Figure 10 – CITSS Registration Submitted Page*




***Email*** *- After the terms and conditions have been accepted and the registration submitted, email confirmation of the submittal will be sent to the email address provided in the application.*

This page left blank intentionally.

## 3.2 Completing Required Forms and Documentation

Following submittal of the online portion of user registration, the California Registrar will be notified that an electronic user registration submittal has been received. The Registrar will not review this submittal until all forms and hard-copy documentation have been received and verified to be complete.

The three forms have been provided for your convenience, to submit all required information. If you lose the forms or forget to print them before exiting the CITSS, you can use the blank forms available on the ARB cap-and-trade website to complete your registration submittal.

**NOTE:** DO NOT submit forms using the blank forms prior to submitting the online portion of the CITSS user registration.

### 3.2.1 User Registration Checklist

The first of the three forms is the "#1 User Registration Checklist." Figure 11 is an example of the printed version of this form.

- The User Registration Checklist includes the 12-digit User Reference Code assigned to your User ID. The User Reference Code will be used to identify your registration and will be used to associate you with accounts.
- The User Registration Checklist provides a reference of the documents that must be completed by the registrant and the mailing address for submitting all forms and hard-copy documentation.
- A sample User Registration Checklist is located in Appendix A.

## *Figure 11 – User Registration Checklist*

CITSS User Registration Checklist Page 1 of 1

**CITSS** Compliance Instrument Tracking System Service

### #1 User Registration Checklist

*Print this form (page) using your browser print function. After printing, you should close this window/tab (not your browser) to return to the CITSS application.*

**CITSS User Reference Code #:** _____

To finish user registration, you must complete the following steps:

- ❑ Print/Sign the User Registration Form (Button 2)
- ❑ Complete and notarize the Proof of Identity Form and documents (Button 3), and,
- ❑ Mail all documents (this checklist, the signed User Registration Form, and notarized Proof of Identity Form and documents) to the Jurisdiction Registrar at the address below.

**Mail the completed forms to:**

California ARB
Attn: The CITSS User Registration
1001 I Street, 6th Floor
Sacramento, CA 95814

You must have an approved User ID in the CITSS to perform any actions in the system. Once you receive email notification from the Jurisdiction Registrar of being approved as a user in the CITSS, you will be able to log into the system with your chosen User ID and password.

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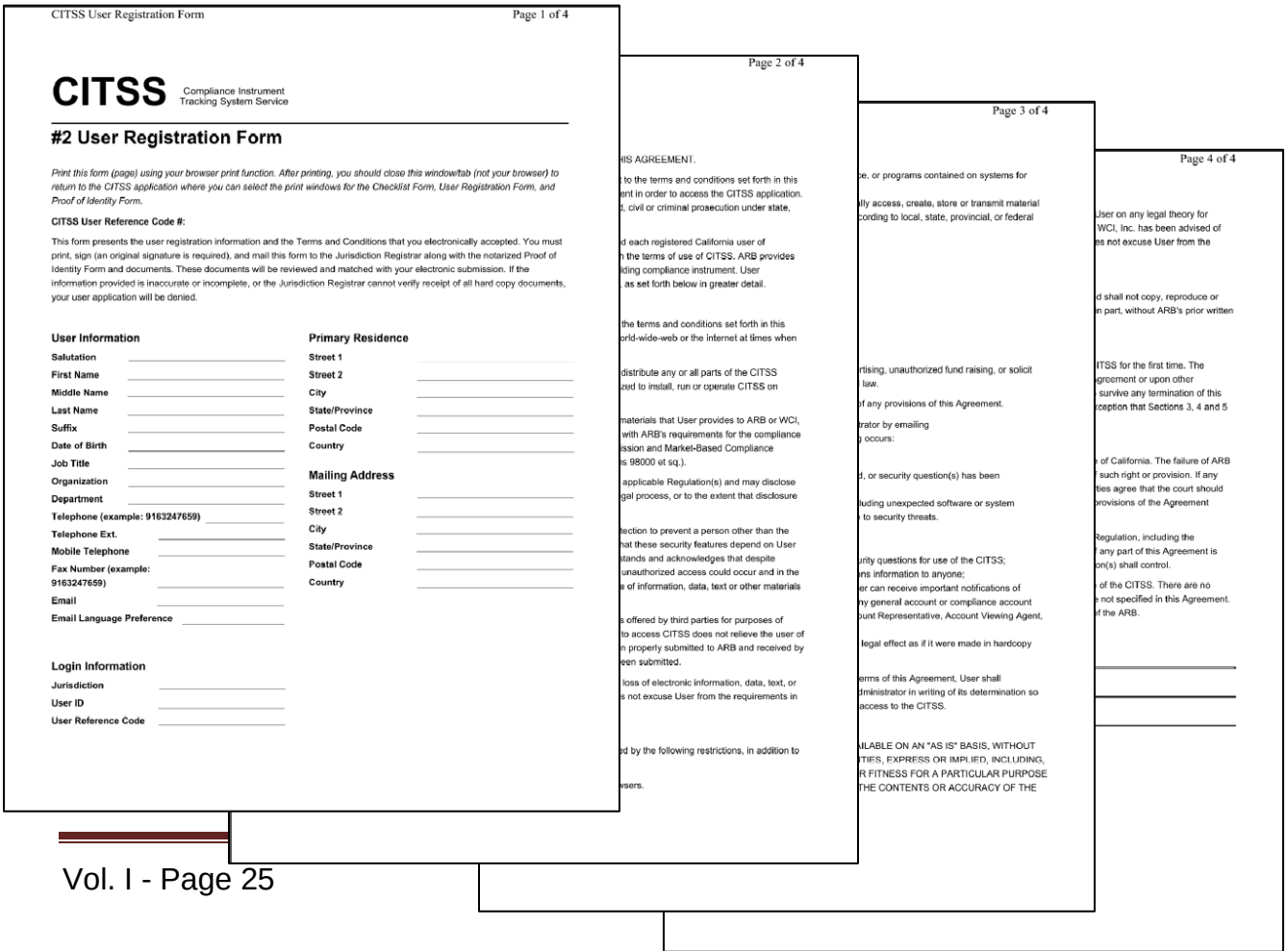
### 3.2.2 User Registration Form

The second of the three forms is the "#2 User Registration Form." Figure 12 is an example of the printed version of this form.

- You must print, sign (an original signature is required), and mail this form to the California Registrar.
- ARB recommends that you keep a copy of this form in a secure location.
- The User Registration Form includes the following:
  - User Registration information that was entered into the CITSS, except your password and security questions.
  - The User ID you entered during registration.
  - The 12-digit User Reference Code assigned to your User ID.
  - The Terms and Conditions that you accepted electronically in the CITSS.
- If you have made any errors in the online portion of the user registration, you can use this form to correct the information by lining through the errors, entering corrected information next to the lined out entries, initialing your entries, signing and submitting the original form to the address provided on the User Registration Checklist.
- A sample User Registration Form is located in Appendix A.

*Figure 12 – User Registration Form (printed)*



CITSS User Registration Form Page 1 of 4

**CITSS** Compliance Instrument Tracking System Service

**#2 User Registration Form**

*Print this form (page) using your browser print function. After printing, you should close this window/tab (not your browser) to return to the CITSS application where you can select the print windows for the Checklist Form, User Registration Form, and Proof of Identity Form.*

**CITSS User Reference Code #:**

This form presents the user registration information and the Terms and Conditions that you electronically accepted. You must print, sign (an original signature is required), and mail this form to the Jurisdiction Registrar along with the notarized Proof of Identity Form and documents. These documents will be reviewed and matched with your electronic submission. If the information provided is inaccurate or incomplete, or the Jurisdiction Registrar cannot verify receipt of all hard copy documents, your user application will be denied.

**User Information**

Salutation
First Name
Middle Name
Last Name
Suffix
Date of Birth
Job Title
Organization
Department
Telephone (example: 9163247659)
Telephone Ext.
Mobile Telephone
Fax Number (example: 9163247659)
Email
Email Language Preference

**Primary Residence**

Street 1
Street 2
City
State/Province
Postal Code
Country

**Mailing Address**

Street 1
Street 2
City
State/Province
Postal Code
Country

**Login Information**

Jurisdiction
User ID
User Reference Code

Page 2 of 4

Page 3 of 4

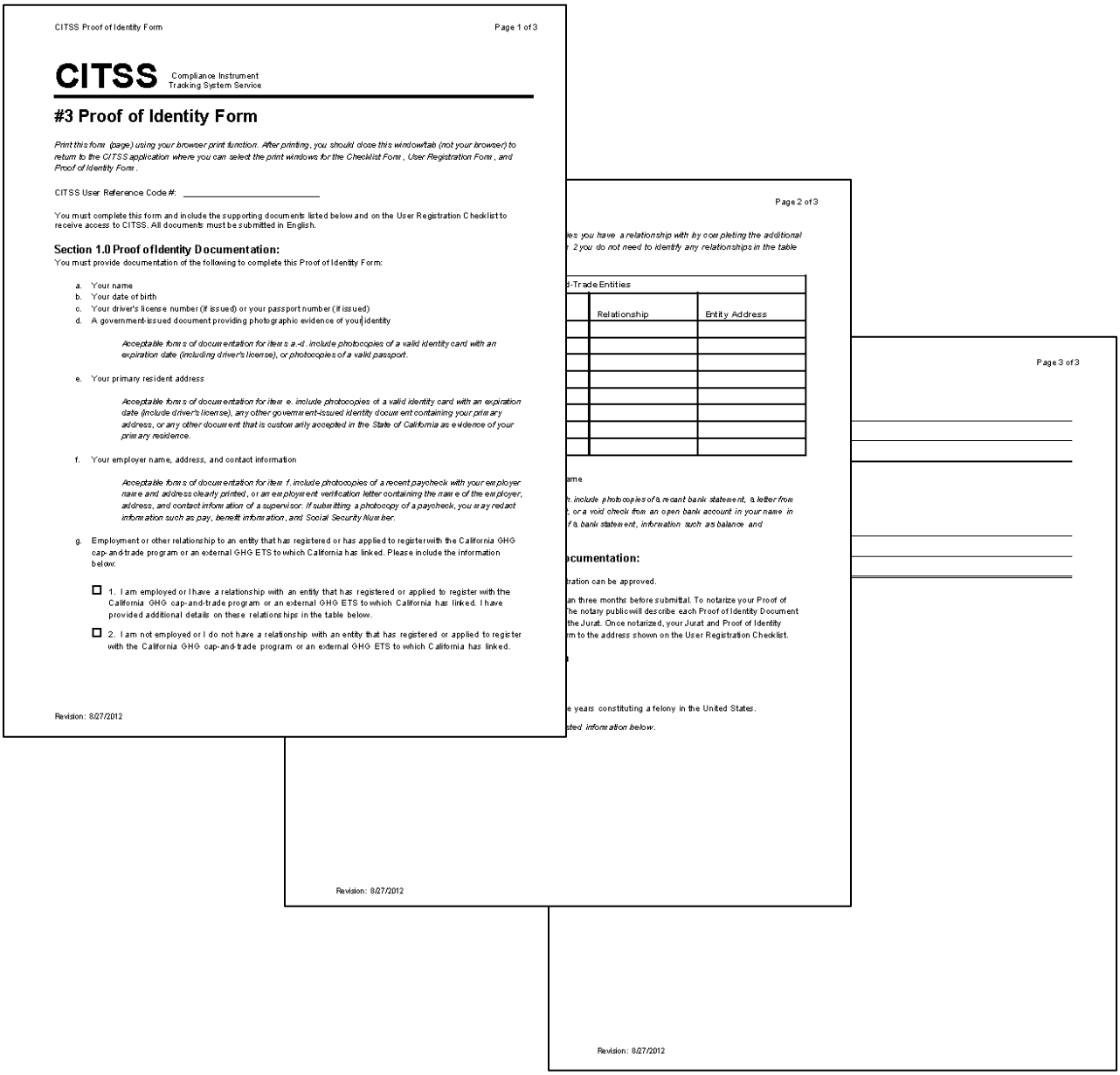
Page 4 of 4

### 3.2.3 Proof-of-Identity Form

The third form is the "#3 Proof-of-Identity Form" (Figure 13). The Proof-of-Identity Form must be completed, signed, and submitted along with the documentation of personal identification data described in the form. The information and documentation support the completion of required Know-Your-Customer (KYC) processes. The form includes a description of the acceptable forms of hard-copy documentation that can be submitted. A sample Proof-of-Identity Form is located in Appendix A.

The completion of this form and the documentation required is described in detail on the next few pages. **All data entered electronically in the CITSS must match the hard-copy documentation.** For corrections and special circumstances, refer to Section 3.3.2 in this volume of the User Guide.

*Figure 13 – Proof-of-Identity Form (printed)*



CITSS Proof of Identity Form Page 1 of 3

**CITSS** Compliance Instrument Tracking System Service

**#3 Proof of Identity Form**

*Print this form (page) using your browser print function. After printing, you should close this window/tab (not your browser) to return to the CITSS application where you can select the print windows for the Checklist Form, User Registration Form, and Proof of Identity Form.*

CITSS User Reference Code #: _____

You must complete this form and include the supporting documents listed below and on the User Registration Checklist to receive access to CITSS. All documents must be submitted in English.

**Section 1.0 Proof of Identity Documentation:**
You must provide documentation of the following to complete this Proof of Identity Form:

a. Your name
b. Your date of birth
c. Your driver's license number (if issued) or your passport number (if issued)
d. A government-issued document providing photographic evidence of your identity

*Acceptable forms of documentation for items a.-d. include photocopies of a valid identity card with an expiration date (including driver's license), or photocopies of a valid passport.*

e. Your primary resident address

*Acceptable forms of documentation for item e. include photocopies of a valid identity card with an expiration date (include driver's license), any other government-issued identity document containing your primary address, or any other document that is customarily accepted in the State of California as evidence of your primary residence.*

f. Your employer name, address, and contact information

*Acceptable forms of documentation for item f. include photocopies of a recent paycheck with your employer name and address clearly printed, or an employment verification letter containing the name of the employer, address, and contact information of a supervisor. If submitting a photocopy of a paycheck, you may redact information such as pay, benefit information, and Social Security Number.*

g. Employment or other relationship to an entity that has registered or has applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked. Please include the information below:

☐ 1. I am employed or I have a relationship with an entity that has registered or applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked. I have provided additional details on these relationships in the table below.

☐ 2. I am not employed or I do not have a relationship with an entity that has registered or applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked.

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*ies you have a relationship with by completing the additional 2 you do not need to identify any relationships in the table*

d-Trade Entities

| | Relationship | Entity Address |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
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| | | |
| | | |

ame

*n. include photocopies of a recent bank statement, a letter from , or a void check from an open bank account in your name in f a bank statement, information such as balance and*

**ocumentation:**

tration can be approved.

an three months before submittal. To notarize your Proof of he notary public will describe each Proof of Identity Document the Jurat. Once notarized, your Jurat and Proof of Identity m to the address shown on the User Registration Checklist.

e years constituting a felony in the United States.

*sted information below.*

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**Proof-of-Identity Form – Section 1.0**

**Items a. through h., in Section 1, of the Proof-of-Identity Form, include a description of the required information and the acceptable forms of documentation that the individual must provide. Review each item and prepare a copy of the required documentation.**

**STEP 1** **Items a. through d. – name, date of birth, driver's license or passport number, and photographic evidence of your identity.** All of these items can be documented through one copy of a current passport, driver's license, or other government-issued ID card that includes an expiration date.

**STEP 2** **Item e. – residence address.** If the documentation provided in **STEP 1** above includes a current residence address and is not a passport, that documentation can also be used to satisfy this item. You do not need to make an additional copy.

**NOTE:** If you are an employee of a covered entity that has chosen to submit the KYC documentation using Option 2, as described in Section 3.3.1, you were provided the option of entering a business address for the primary address in the CITSS. **However, you must still provide hard-copy documentation of your residence address in this portion of the registration.**

**STEP 3** **Item f. – employer name, address, and contact information.** Acceptable forms of documentation include an employment verification letter containing the name and address of the employer, and contact information for a supervisor, or photocopies of a recent paycheck with your employer's name and address clearly printed and contact information for a supervisor. If submitting a photocopy of a paycheck, you may redact information such as pay, benefit information, and Social Security Number.

## *Figure 14 – Proof-of-Identity Form (partial)*

CITSS Proof of Identity Form Page 1 of 3

**CITSS** Compliance Instrument Tracking System Service

# #3 Proof of Identity Form

*Print this form (page) using your browser print function. After printing, you should close this window/tab (not your browser) to return to the CITSS application where you can select the print windows for the Checklist Form, User Registration Form, and Proof of Identity Form.*

CITSS User Reference Code #: _____

You must complete this form and include the supporting documents listed below and on the User Registration Checklist to receive access to CITSS. All documents must be submitted in English.

### Section 1.0 Proof of Identity Documentation:

You must provide documentation of the following to complete this Proof of Identity Form:

a. Your name
b. Your date of birth
c. Your driver's license number (if issued) or your passport number (if issued)
d. A government-issued document providing photographic evidence of your identity

*Acceptable forms of documentation for items a.-d. include photocopies of a valid identity card with an expiration date (including driver's license), or photocopies of a valid passport.*

e. Your primary resident address

*Acceptable forms of documentation for item e. include photocopies of a valid identity card with an expiration date (include driver's license), any other government-issued identity document containing your primary address, or any other document that is customarily accepted in the State of California as evidence of your primary residence.*

f. Your employer name, address, and contact information

*Acceptable forms of documentation for item f. include photocopies of a recent paycheck with your employer name and address clearly printed, or an employment verification letter containing the name of the employer, address, and contact information of a supervisor. If submitting a photocopy of a paycheck, you may redact information such as pay, benefit information, and Social Security Number.*

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**Proof-of-Identity Form – Section 1.0 (continued)**

**STEP 4** **Item g. – Identify whether or not you are employed by, or have a relationship with, an entity that has registered or applied to register with the California GHG Cap-and-Trade Program (Figure 15).** Choose Option 1 if you are employed by or have a relationship with an **entity** that has registered or applied to register with the California Cap-and-Trade Program or an external GHG Emissions Trading System (ETS) to which California has linked and will identify you as an account representative. Choose Option 2 if this is not the case.

**For purposes of this document, "employment" or "a relationship" includes, but is not limited to, the following:**

- **employee** (paid or unpaid position, internship, full or part-time, individuals acting through temporary employment agency contracts, independent contractors working exclusively to an individual or entity)
- **contractor** (any contract/consultant relationship)
- **owner** (any ownership interest in which the individual can exercise control over the actions of the entity)

**STEP 5** **If you chose Option 1 in item g., complete the "Employment or Other Relationship to Cap-and-Trade Entities" Table** provided on the form to provide additional details on all employment and relationships. If you need additional space, provide the requested information on a separate piece of paper stapled to the Proof-of-Identity Form. Employment or a relationship can be described using the titles identified in **STEP 4**, or other titles as appropriate.

**STEP 6** **Item h. – An open bank account in the United States in your name.** Acceptable forms of documentation for item h. include photocopies of a recent bank statement, a letter from the bank documenting an open bank account, or a voided check from an open bank account in your name in the United States. Information such as balance and transactions may be redacted.

## *Figure 15 – Proof-of-Identity Form (partial)*

CITSS Proof of Identity Form Page 1 of 3

**CITSS** Compliance Instrument Tracking System Service

# #3 Proof of Identity Form

*Print this form (page) using your browser print function. After printing, you should close this window/tab (not your browser) to return to the CITSS application where you can select the print windows for the Checklist Form, User Registration Form, and Proof of Identity Form.*

CITSS User Reference Code #: _____

You must complete this form and include the supporting documents listed below and on the User Registration Checklist to receive access to CITSS. All documents must be submitted in English.

.....

g. Employment or other relationship to an entity that has registered or has applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked. Please include the information below:

☐ 1. I am employed or I have a relationship with an entity that has registered or applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked. I have provided additional details on these relationships in the table below.

☐ 2. I am not employed or I do not have a relationship with an entity that has registered or applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked.

*If you selected option 1, you must identify the entities you have a relationship with by completing the additional information requested below. If you selected option 2 you do not need to identify any relationships in the table below.*

| Employment or Other Relationship to Cap-and-Trade Entities | | | |
|---|---|---|---|
| Your **Name** | Entity Legal or Operating Name | Relationship | Entity Address |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

h. An open bank account in the United States in your name

*Acceptable forms of documentation for item h. include photocopies of a recent bank statement, a letter from the bank documenting an open bank account, or a void check from an open bank account in your name in the United States. If submitting a photocopy of a bank statement, information such as balance and transactions may be redacted.*

**Proof-of-Identity Form – Section 2.0**

**STEP 7** **Proof-of-Identify documents must be notarized.** To notarize Proof-of-Identity documents, request a jurat from a notary public. The notary public will describe each document on the jurat and attach the copies to the jurat. Your documents must be notarized no more than three months before submittal. (See Figure 16)

**Proof-of-Identity Form – Section 3.0**

**STEP 8** **Disclose any felony criminal convictions in the previous five (5) years. Check the box under Section 3 on the Proof of Identity Form if you have had any felony criminal convictions in the previous five (5) years.** If you have a felony conviction you must provide details of the conviction on the fields in Section 3. If you have more than one conviction to disclose, provide the requested information for all convictions on a separate piece of paper stapled to the Proof-of-Identity Form. (See Figure 16)

**Proof-of-Identity Form – Section 4.0**

**STEP 9** **Sign the Proof-of-Identity Form. ARB recommends that you wait to sign the form in front of the notary public.**

### *Figure 16 – Proof-of-Identity Form (partial)*

**CITSS** Compliance Instrument Tracking System Service

## #3 Proof of Identity Form

*Print this form (page) using your browser print function. After printing, you should close this window/tab (not your browser) to return to the CITSS application where you can select the print windows for the Checklist Form, User Registration Form, and Proof of Identity Form.*

CITSS User Reference Code #: _____

You must complete this form and include the supporting documents listed below and on the User Registration Checklist to receive access to CITSS. All documents must be submitted in English.

.....

### Section 2.0 Submittal of Proof of Identity Documentation:

Your documentation must be submitted before your user registration can be approved.

Your documentation must be notarized by a notary no more than three months before submittal. To notarize your Proof of Identity Documentation, request a Jurat from a notary public. The notary public will describe each Proof of Identity Document on the Jurat and attach the Proof of Identity Documentation to the Jurat. Once notarized, your Jurat and Proof of Identity documentation must be mailed with your User Registration Form to the address shown on the User Registration Checklist.

### Section 3.0 Additional Required Information

Please check the box below, if applicable.

☐ I have a criminal conviction during the previous five years constituting a felony in the United States.

*If you checked the box above, complete the requested information below.*

Type of Violation:

Jurisdiction:

Year:

### Section 4.0 Signature

Please sign the Proof of Identity Form when completed.

Print Name:

Signature:

Date:

## 3.3 Submitting the User Registration Documents

**All forms and documentation must be submitted before your user registration will be reviewed.** The User Registration Checklist provides the address for submitting all user registration forms and documentation to the California Registrar.

Covered and opt-in entities have two options available to their employees for submitting the Registration Forms and KYC Documentation. All KYC documentation must still be completed. If you are an employee of a covered or opt-in entity, you should review the options with an authorized representative of the entity.

### 3.3.1 Proof-of-Identity Form – Know-Your-Customer Documentation Options for Representatives and Agents of a Covered Entity or Opt-in Entity

Covered entities or opt-in covered entities (covered entity), as defined in section 95802 of the Regulation, have two (2) options for submitting the required KYC documentation for employees registering in the CITSS to represent the covered or opt-in entity.

**Option 1:** The covered entity may have their employees submit all documentation (CITSS #1 User Registration Checklist, #2 User Registration Form, #3 Proof-of-Identity Form, and notarized proof-of-identity documentation) directly to the California Registrar.

**Option 2:** The covered entity may accept all documentation (CITSS #1 User Registration Checklist, #2 User Registration Form, #3 Proof-of-Identity Form, and notarized proof-of-identity documentation) from their employees, provided the covered entity and each employee completes the following requirements:

1. Each employee must register in the CITSS and provide their date of birth. Employees may provide the covered entity's business address in place of their primary residence address.
2. Each employee must also complete the *Know-Your-Customer Compliance Documentation with Individual Attestation Form*.
3. Each employee must provide the following completed forms to the covered entity: CITSS #2 User Registration Form; #3 Proof-of-Identity Form; notarized proof-of-identity documentation; and Know-Your-Customer Compliance Documentation with Individual Attestation Form.
4. The covered entity must complete the *Know-Your-Customer Compliance Documentation with Covered Entity Attestation Form*.
5. The covered entity must submit the following completed forms to the California Registrar: the Know-Your-Customer Compliance Documentation with Covered Entity Attestation Form, and each employee's original CITSS #2 User Registration Form and Know-Your-Customer Compliance Documentation with Individual Attestation Form.
6. The covered entity shall retain each employee's Proof-of-Identity Form and proof-of-identity documentation. ARB's Executive Officer or his representative shall be permitted, at any time, to review and audit the documentation.

**All forms and guidance are available on the ARB cap-and-trade webpage at:** http://www.arb.ca.gov/citss**.**

### 3.3.2 Proof-of-Identity Form – Documentation Does Not Match Electronic Data

If your name or address has changed and that change is not reflected on the documentation provided, you can provide current information by completing the processes described below.

**Name Change**

If your name has changed since your identification card, license, or passport was issued, you can provide documentation in any one of the following three (3) ways:

1. If submitting a passport, provide the passport with your previous name, and a copy of the marriage certificate or court order that documents the change to your current name.
2. If submitting a driver's license or ID card, provide a copy of your driver's license or ID card issued in your prior name and either:
   - a copy of a temporary license (if issued) showing the new name, or
   - a copy of the marriage certificate or court order that documents the change to your current name from what was recorded.

Any certificate or court order that documents the change to your current name must be issued by a government agency within the United States or a foreign jurisdiction that is authorized to issue such documents. The document must be a dated, legible, and unaltered copy showing the government seal, stamp, or other official imprint.

**Address Change**

If your residence address has changed since your current driver's license or ID card was issued, additional documentation that includes the individual's name and the current residential address will be needed to document your primary residence address. Acceptable additional forms of documentation include:

- A copy of a utility bill from within the past three months. Examples are: electricity, gas, cable, or water bill from within the last three months. Balances may be redacted (covered with a black mark) before copying.
- A copy of your voter registration card.
- A copy of a current federal or state tax return.
- A copy of a current automobile registration.
- A residential lease or rental agreement that indicates a current lease term. The lease must be signed and dated by all parties. Dollar amounts may be redacted.
- A property deed for the individual's current residential address. A property deed can be either (1) a valid deed of trust for the individual's property of current residence that identifies the individual as a grantee of the trust, or (2) a valid certificate of title issued by a licensed title insurance company that identifies the individual as a title holder to his or her property of current residence.

Examples of documents that are NOT acceptable proof of residency:

- Hunting or fishing license
- Cellular phone bill

If you have any questions about completing the registration documents, please contact the WCI, Inc. CITSS Help Desk at **1-866-682-7561 or Help@wci-citss.org.**

### 3.4 Correcting Errors in Electronic Registration Data

If you discover that you have made an error in your online data entry, there are a few ways to explain and document the difference and allow the California Registrar to process your registration request.

If you entered an error in your data entry, you can correct this by completing any of the three (3) options below (Figure 17):

1. On Form #2 (User Registration Form) that is printed from the CITSS, line through any incorrect data, write in the correct information to the right, initial, and date the entry. Do not obscure the original entry, only draw a line through it.
2. Complete a "CITSS User Registration Online Data Entry Supplement" available in Appendix B and on the ARB CITSS web page at http://www.arb.ca.gov/citss. Fill in only those fields to be corrected, sign, date, and include this form with your packet of forms and hard-copy documentation.
3. Attach a signed and dated letter to your User Registration Form, describing the data entry error and providing the correct data.

**NOTE:** The following are some commonly encountered errors:

- Entering a business address as a primary address, instead of a residence address.
- Entering an error in birthdate by selecting a wrong date, month, or year from the drop-down lists.
- Entering a common name instead of legal name (example: data entry should show "James" not "Jim").

## *Figure 17 – Forms Available to Make Corrections*

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**CITSS** Compliance Instrument Tracking System Service

### #2 User Registration Form

*Print this form (page) using your browser print function. After printing, you should close this window/tab (not your browser) to return to the CITSS application where you can select the print windows for the Checklist Form, User Registration Form, and Proof of Identity Form.*

**CITSS User Reference Code #: 7MMNL3KLF4K4**

This form presents the user registration information and the Terms and Conditions that you electronically accepted. You must print, sign (an original signature is required), and mail this form to the Jurisdiction Registrar along with the notarized Proof of Identity Form and documents. These documents will be reviewed and matched with your electronic submission. If the information provided is inaccurate or incomplete, or the Jurisdiction Registrar cannot verify receipt of all hard copy documents, your user application will be denied.

**User Information**

| | |
|---|---|
| **Salutation** | |
| **First Name** | Robert |
| **Middle Name** | Michael |
| **Last Name** | Jones |
| **Suffix** | |
| **Date of Birth** | 1965-02-01 |
| **Job Title** | Manager |
| **Organization** | Company A |
| **Department** | Environmental Programs |
| **Telephone (example: 9163247659)** | 9163247659 |
| **Telephone Ext.** | 100 |
| **Mobile Telephone** | 9163241111 |
| **Fax Number (example: 9163247659)** | |
| **Email** | rjones1@ |
| **Email Lan** | |

**Primary Residence**

| | |
|---|---|
| **Street 1** | 100 Myhouse Street |
| **Street 2** | #231 |
| **City** | Anytown |
| **State/Province** | California |
| **Postal Code** | 90000 |
| **Country** | United States |

**Mailing Address**

| | |
|---|---|
| **Street 1** | 200 Business Avenue |
| **Street 2** | Suite 200 |
| **City** | Downtown |
| **State/Province** | California |
| **Postal Code** | 80000 |
| **Country** | United States |

**Login In**

**Jurisdicti**

**User ID**

**User Refe**

CITSS Compliance Instrument Tracking System Services

CITSS User Registration
Online Data Entry Supplement

This document is a supplement to the CITSS data entry provided online for the referenced CITSS User, identified by the unique CITSS User Reference Code and User ID below. Completion of this document does not guarantee approval of the CITSS User ID. If the User ID is approved, the CITSS user will be required to enter all changes documented on this form in the CITSS system within a reasonable time following User ID approval. Failure to complete the changes within the CITSS system will be cause for the User ID to be disabled.

CITSS User Reference Code: _____

User ID: _____

First and Last Name as entered in the CITSS: _____

**Updated Information (enter only those fields which are to be updated)**

**User Information**

Salutation → → → _____
First Name → → → _____
Middle Name → → → _____
Last Name → → → _____
Suffix → → → _____
Date of Birth → → → _____
Telephone → → → _____
Telephone Ext. → → → _____
Mobile Telephone → → → _____
Fax Number → → → _____
Email → → → _____
Correspondence Language → _____

**Physical Address**

Street 1 → → → _____
Street 2 → → → _____
City → → → → _____
State/Province → → → _____
Postal Code → → → _____
Country → → → _____

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CITSS Compliance Instrument Tracking System Services

**Mailing Address**

Street 1 → → → _____
Street 2 → → → _____
City → → → → _____
State/Province → → → _____
Postal Code → → → _____
Country → → → _____

Print Name: → → → _____
Signature: → → → _____
Date: → → → _____

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## 3.5 User Registration Approval/Denial

Once the online portion of the User Registration has been successfully submitted and the required hard-copy forms and documentation have been received and verified to be complete, the California Registrar will review all submitted information and documentation, and the User Registration will be either approved or denied.

You will not have access to the CITSS using the requested User ID and Password until the registration is approved. ARB expects registration review to take approximately two (2) weeks. Figure 18 is an example of the account disabled message that an individual would receive if a user tries to log in to the CITSS prior to Registrar approval.

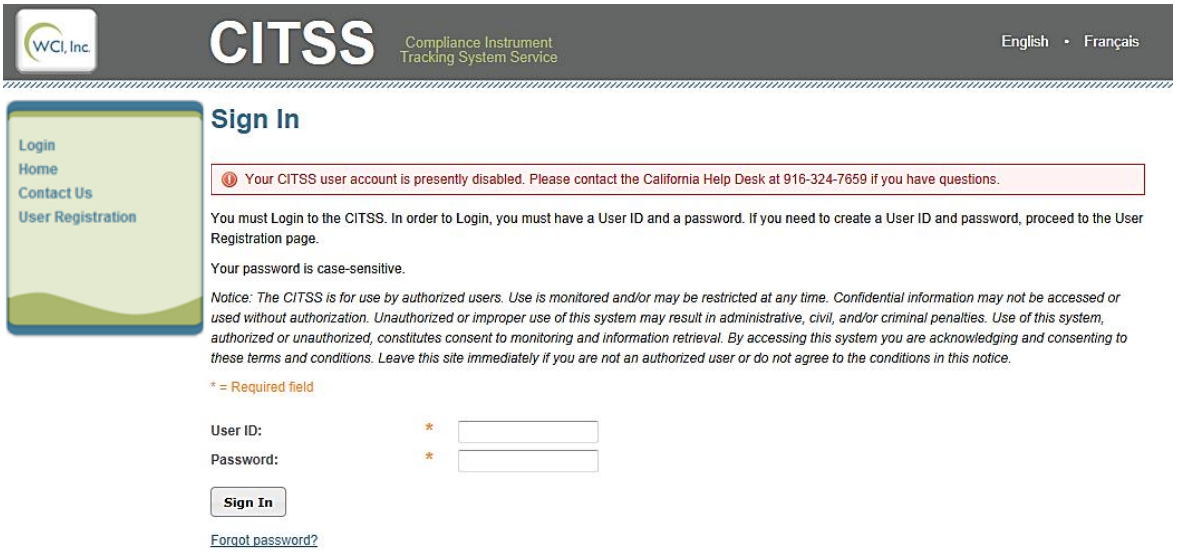
If you have not received any emails following submittal of online data or hard-copy documentation, there may be a problem with the email submitted. Please contact the WCI, Inc. CITSS Help Desk at **1-866-682-7561** or **Help@wci-citss.org.**

If you receive a notice that your registration was denied, please contact the WCI, Inc. CITSS Help Desk for further information.

Before the CITSS Help Desk personnel can answer any questions on an individual registration or an individual or entity's account(s), you will be asked to verify your identity through a series of questions based on the information in your registration.

***Email*** *- Email confirmation will be sent to the user after the California Registrar has reviewed the submitted User Registration to notify the user of either approval or denial.*

### *Figure 18 – Attempt to Login - Account is Disabled*



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## 4.0 Active CITSS Users

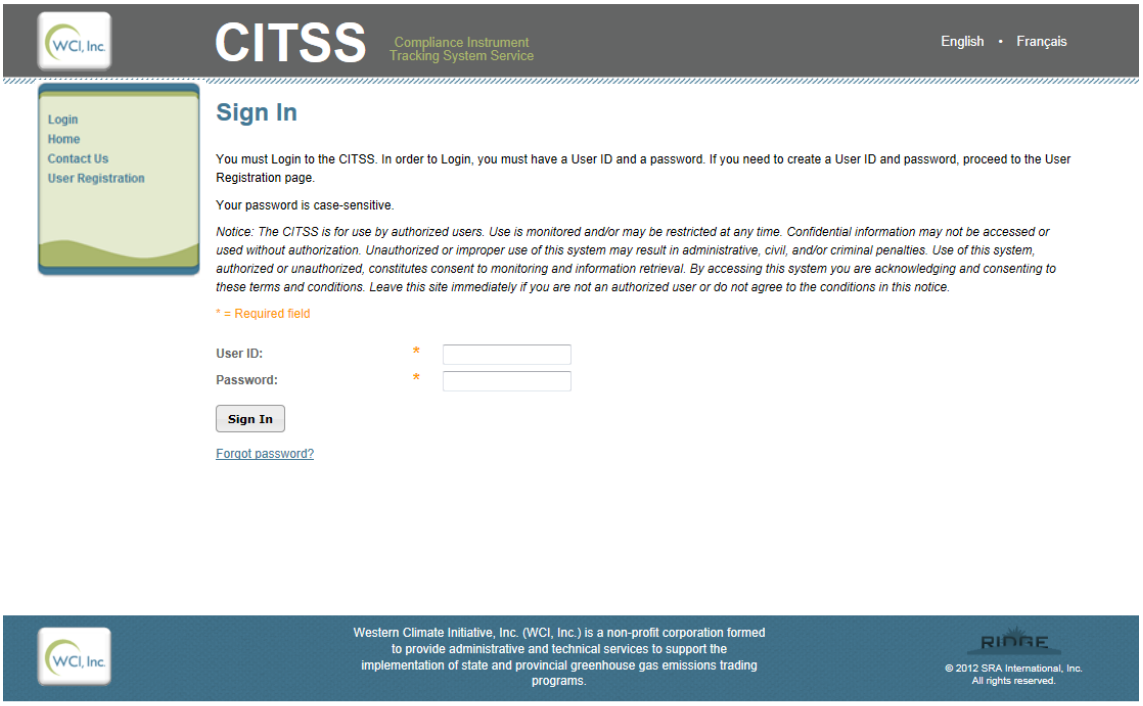
Once a User Registration has been approved by the California Registrar, the User may access the CITSS. When you are notified of your approval, login to the CITSS to review all the information you entered and update the user profile information, if necessary. If a CITSS User is approved based on corrections made on the submitted hard-copy documentation, the Registrar will not approve any account applications submitted by or designating this User as a representative until the user registration information is revised to match the hard-copy documentation.

An approved CITSS User can also apply for accounts on behalf of an entity or individual that has authorized them to do so.

**STEP 1** **Access the CITSS using the links provided. Click on "Login"** to display the Sign-In page displayed in Figure 19.

**STEP 2** **Enter your User ID and Password to gain access to your User profile and any of your associated accounts.**

*Figure 19 – CITSS Sign-In Page*



## 4.1 User Home Page

After you have logged into the CITSS, a "Welcome to WCI CITSS" screen appears. This page is your User Home Page. Your User ID appears on the upper right of the screen (circled in Figure 20). To return to this screen from other pages, you can click on this User ID or "Home" on the left navigation menu. From this screen you can navigate to your user profile to verify or change data as needed.

**The User Home Pag**e displays the following in the boxes in the center of the page:

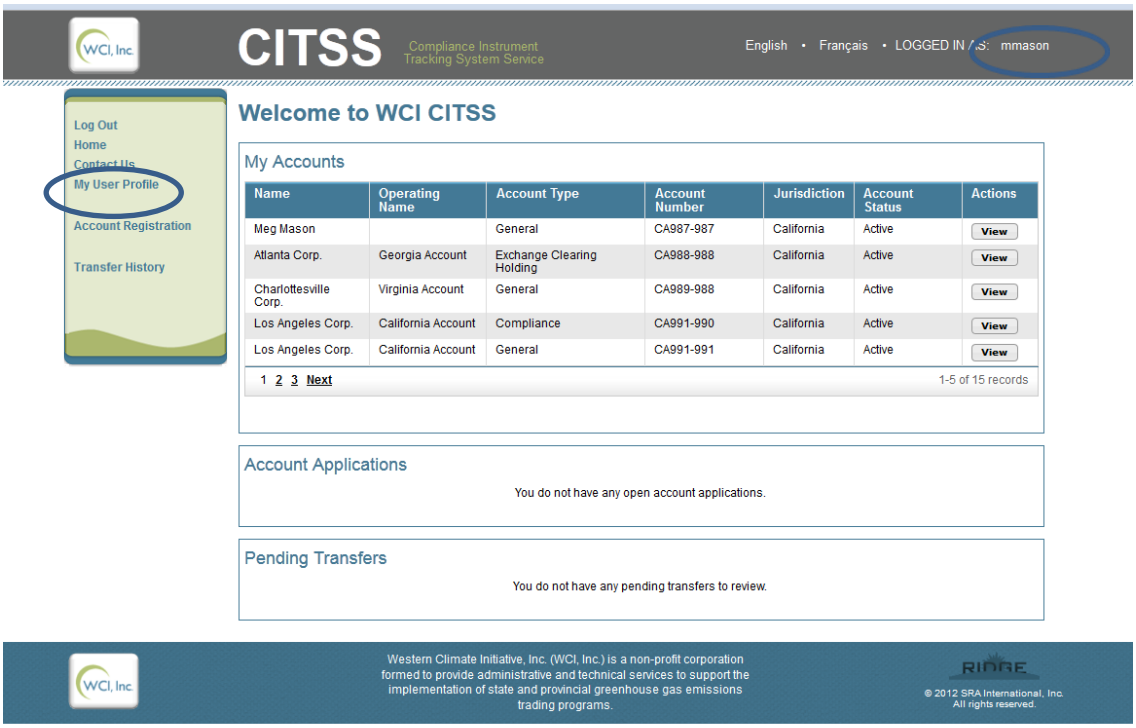
- Any accounts that the user is associated with as a representative or account viewing agent
- Any pending and in-process account applications that the user has submitted
- Any pending account transfers that are awaiting action

**The left-hand navigation list** provides access to the following:

- "My User Profile" – the approved registration data for the individual
- "Account Registration" – to submit a new account application
- "Transfer History" – a history of all transfers from all accounts that this individual is associated with as a representative or viewing agent

**Click on "My User Profile" on the left navigation menu to access your user profile.**

*Figure 20 – Welcome to WCI CITSS - User Home Page*



## 4.2 User Profile

The “User Detail” screen (Figure 21) displays all of the current user information.

**Review all data to verify what was entered during registration.** This page can be printed for your records but should of course be stored securely.

**The first field under “Personal Information” is the User Reference Code that was assigned at the time you registered.** This code may be shared with others for purposes of assigning you as a representative on entity accounts. This code will not provide access to your personal information.

**Under “Login Information.”** Notice that the password and security questions are **not** displayed; these are only known to the user. The fields will show your User ID, your role in the CITSS (“User”), the status of your access (“Active”), the terms and conditions you accepted (“CARB TERMS”), and the date you were registered.

The **Representative Assignments box** at the bottom of the page displays all representative and viewing agent assignments for this CITSS user.

**If any data needs to be revised, click on the Edit button next to the User Detail Title.**

## *Figure 21 – User Detail Page (User Profile)*

WCI, Inc.

**CITSS** Compliance Instrument Tracking System Service

English • Français • LOGGED IN AS: mmason

Log Out
Home
Contact Us
My User Profile

Account Registration

Transfer History

### User Detail

Edit

**You last logged into CITSS on:** 2012-09-27 16:43:06 EDT

This screen shows the current user information in the system. Users may press the Edit link at the top of the screen to make changes to the information or to update their password. If the user has proposed a change to a field that requires Registrar approval, that field is identified with a "!". The change must be approved by the Registrar before the change is final. Pending changes are listed in the right column. A blank, pending change means the value was proposed to a blank value.

! = Data requires jurisdiction approval before it is final

#### Personal Information

| | |
|---|---|
| User Reference Code | 6SSNF63JFWBW |
| Salutation | |
| First Name | Meg |
| Middle Name | |
| Last Name | Mason |
| Suffix | |
| Date of Birth | 1962-10-16 |
| Job Title | Vice President |
| Organization | Mega Power Corp. |
| Department | Environmental Affairs |
| Telephone (example: 9163247659) | 5555554444 |
| Telephone Ext. | |
| Mobile Telephone | |
| Fax Number (example: 9163247659) | 5555555555 |
| Email | mmason@megacorp.com |
| Email Language Preference | English |

#### Primary Residence

| | |
|---|---|
| Street 1 | 14 Park Ave |
| Street 2 | |
| City | New York |
| State/Province | New York |
| Postal Code | 10001 |
| Country | United States |

#### Mailing Address

| | |
|---|---|
| Street 1 | 14 Park Ave |
| Street 2 | |
| City | New York |
| State/Province | New York |
| Postal Code | 10001 |
| Country | United States |

#### Login Information

| | |
|---|---|
| Jurisdiction | California |
| User ID | mmason |
| Role(s) | User |
| Status | Active |
| Terms Accepted | CARB TERMS |
| Date Registered | 2011-10-01 |

#### Representative Assignments

| Representative Type | Representative Status | Legal Name | Operating Name | Account Type | Account Number | Jurisdiction |
|---|---|---|---|---|---|---|
| Primary Account Representative | Active | Meg Mason | | General | CA987-987 | California |
| Alternate Account Representative | Active | Atlanta Corp. | Georgia Account | Exchange Clearing Holding | CA988-988 | California |
| Primary Account Representative | Active | Charlottesville Corp. | Virginia Account | General | CA989-988 | California |
| Primary Account Representative | Active | Los Angeles Corp. | California Account | Compliance | CA991-990 | California |
| Primary Account Representative | Active | Los Angeles Corp. | California Account | General | CA991-991 | California |
| Alternate Account Representative | Active | Jacksonville Corp. | Florida Account | Compliance | CA992-991 | California |
| Alternate Account Representative | Active | Jacksonville Corp. | Florida Account | General | CA992-992 | California |
| Primary Account Representative | Active | Raleigh Corp. | North Carolina Account | Compliance | CA993-992 | California |
| Primary Account Representative | Active | Raleigh Corp. | North Carolina Account | General | CA993-993 | California |
| Primary Account Representative | Active | New York Corp. | New York Account | Compliance | CA994-993 | California |

1 2 Next 1-10 of 15 records

WCI, Inc.

Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.

RIDGE

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## 4.3 Updating a User Profile

If any of the information provided during registration changes, the User is responsible to notify ARB and, if necessary, request approval of the changes. If you have been identified as a representative on any compliance instrument accounts, the Regulation requires that the CITSS User provide updated information within 10 days of the change. You can enter proposed changes electronically (see Figure 22).

Fields with an exclamation point (!) require approval by the California Registrar before the change can go into effect. The fields that do not have an exclamation point (!) can be edited immediately without approval. Depending on the nature of the change and the reason for the change, changes to information that was verified during the initial registration may require new forms to be signed and new documentation to be submitted.

On the pages that follow, Table 1 indicates what fields require approval and in what circumstances new or updated documentation will be required. Table 2 identifies user profile fields that cannot be changed or updated.

Upon review, the requested edits may be approved or denied. Until review is complete, the initial data will be used for all actions in the CITSS, and the original email address will be the email address for all correspondence. If for some reason the original email address is disabled and you are unable to receive communication from the CITSS through email until a new email address is approved, please contact the WCI, Inc. CITSS Help Desk for assistance at 1-866-682-7561.

A user is not allowed to move their CITSS User ID to another individual. In such a case, the new individual will be required to register for a new CITSS User ID.

***Email*** *- An email will be sent to the CITSS User confirming that a change to information was submitted. This email is generated to ensure that the individual intended to submit a change to his or her user account.*

## *Figure 22 – Edit User Information Page*

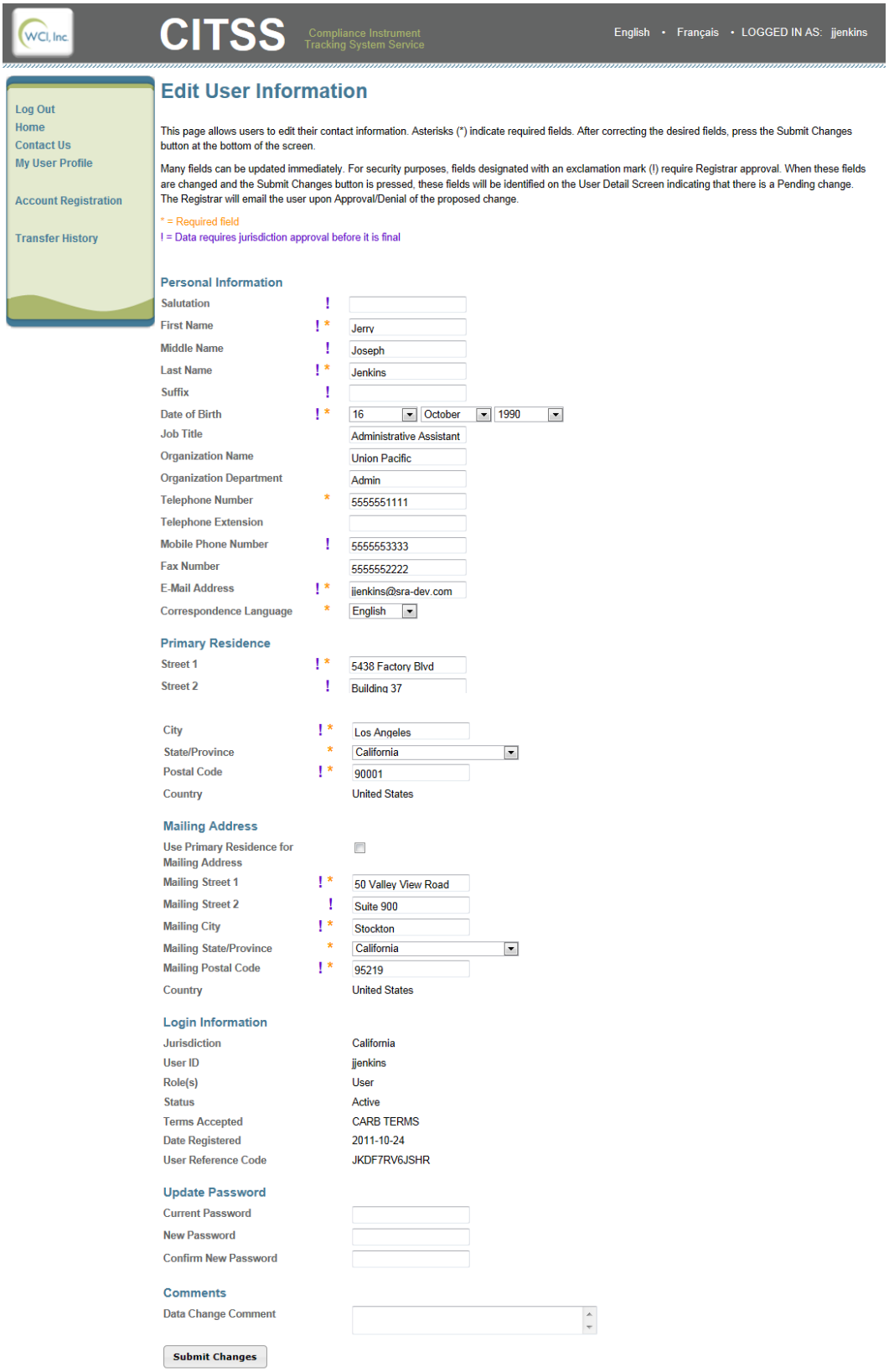


**Table 1. User Profile Fields That Can Be Changed or Updated**

| Field | Required Field | Registrar Approval Required | Additional Documentation Required |
|---|---|---|---|
| **Personal Information** | | | |
| • Salutation<br>• Suffix | N | Y | None if entry is a correction and existing KYC documents show corrected salutation and/or suffix. If it's a name change, then new, notarized KYC documentation is required. |
| • First Name<br>• Last Name | Y | Y | None if entry is a correction and existing KYC documents show corrected name. If it's a name change, then new, notarized KYC documentation is required. |
| • Middle Name | N | Y | None if entry is a correction and existing KYC documents show corrected name. If it's a name change, then new, notarized KYC documentation is required. |
| • Date of Birth | Y | Y | No change allowed except for a correction, in which case KYC documentation must show birthdate as changed. |
| • Telephone Number | Y | N | No approval or documentation required. CITSS entry will be accepted on request. |
| • Job Title<br>• Organization Name<br>• Organization Department<br>• Telephone Extension<br>• Fax Number | N | N | No approval is required. CITSS entry will be accepted on request. To meet KYC requirements, if there is a change in employment, new documentation may be requested by the Registrar. |
| • Mobile Phone Number<br>• Correspondence Language | N | Y | No documentation required. Change will be approved by Registrar on request. |
| • E-Mail Address | Y | Y | No documentation required. Following verification by test email, change will be approved by Registrar as requested. |
| **Primary Residence Address** | | | |
| • Street 1<br>• City<br>• State/Province<br>• Postal Code<br>• Country<br>• Street 2 (not required field) | Y | Y | None if entry is a correction and existing KYC documents show the corrected address. If a new address, new, notarized KYC documentation is required. |
| **Mailing Address** | | | |
| • Mailing Street 1 and<br>• Mailing Street 2<br>• Mailing City<br>• Mailing State/Province<br>• Mailing Postal Code<br>• Country | Y | Y | No documentation required. Change will be approved by Registrar on request. |
| **Password** | | | |
| • Update Password | Y | N | No registrar action, update completed by User |

**Table 2. User Profile Fields That Cannot Be Changed or Updated**

| Login Information | NOTES |
|---|---|
| Jurisdiction | Selected at initial registration; cannot be changed. |
| User ID | User IDs are unique identifiers of the user record and cannot be changed. |
| Role | Assigned by the Jurisdiction Registrar; cannot be changed. |
| Status | Assigned and managed by Registrar as required. |
| Terms Accepted | Indicates the Jurisdiction terms accepted; associated with Jurisdiction and cannot be changed. |
| Date Registered | Record of initial registration date. |
| User Reference Code | User Reference Codes are unique identifiers of the user record and cannot be changed. |

### 4.3.1 Updating a User Profile – No Approval Required

If you need to enter a change to the employment fields or your telephone extension, you can immediately make that change by entering the new data in the CITSS (Figure 23).

**STEP 1** **Move the cursor to the field to be updated and enter the new data.**

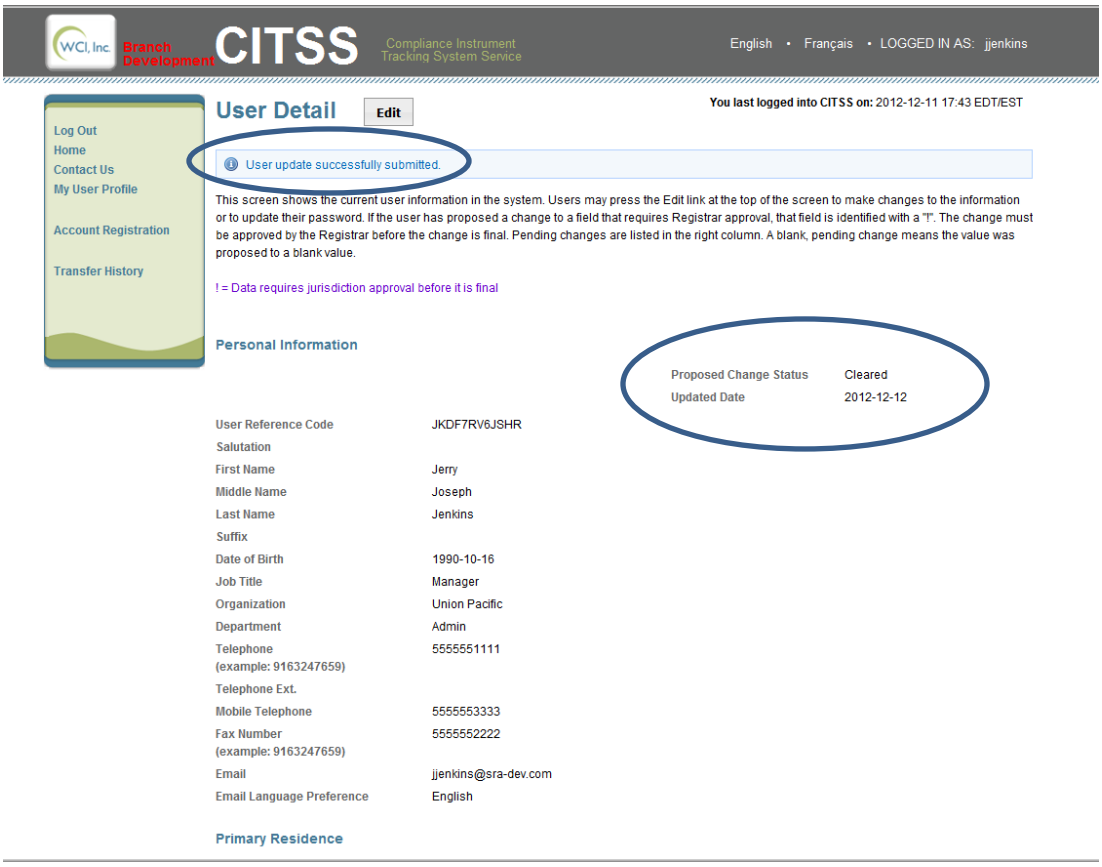
**STEP 2** **Enter a note regarding the reason for the change.** This is not required but is a recommended practice to help you track changes over time.

**STEP 3** **Click on "Submit Changes."**

**STEP 4** **Review the updated user profile. Two (2) entries will show that the changes were proposed and have been made.** At the top of the screen a message indicates **"**User update successfully submitted." This message will be displayed when any change is successfully submitted. On the right side of the screen, the most recent change submittal is described, showing status, the date updated, and who made the update.

***Email*** *- An email will be sent to the CITSS User confirming that a change to information was submitted. Even though the change does not require approval, this email is generated to ensure that the individual intended to submit a change to his or her user account.*

## *Figure 23 – User Detail Page (update completed)*



### 4.3.2 Updating a User Profile – Approval Required

If you need to enter a change to any fields that are identified as requiring Registrar approval, you can propose that change by entering the new data in the CITSS. The change will not be effective until Registrar approval.

**STEP 1** **Click on the Edit button next to the User Detail title. The Edit User Information screen is displayed.**

**STEP 2** **Move the cursor to the field to be updated and enter the new data.** You can submit multiple changes at one time if necessary.

**STEP 3** **Enter a note regarding the reason for the change.** This is not required but is a recommended practice to help you track changes over time.

**STEP 4** **Click on the Submit Changes button.**

**Review the updated user profile.** On the right side of the screen, the most recent change submittal is described, showing status, the date updated, and who entered the update. The proposed changes that are still under review are listed to the right of the current, approved data.

Most of the required data in the CITSS was verified with hard-copy documents during initial registration and proposed changes to required fields may require documentation to be submitted to support the requested change. The registrar staff will contact you with a request for required documentation after reviewing your online request.

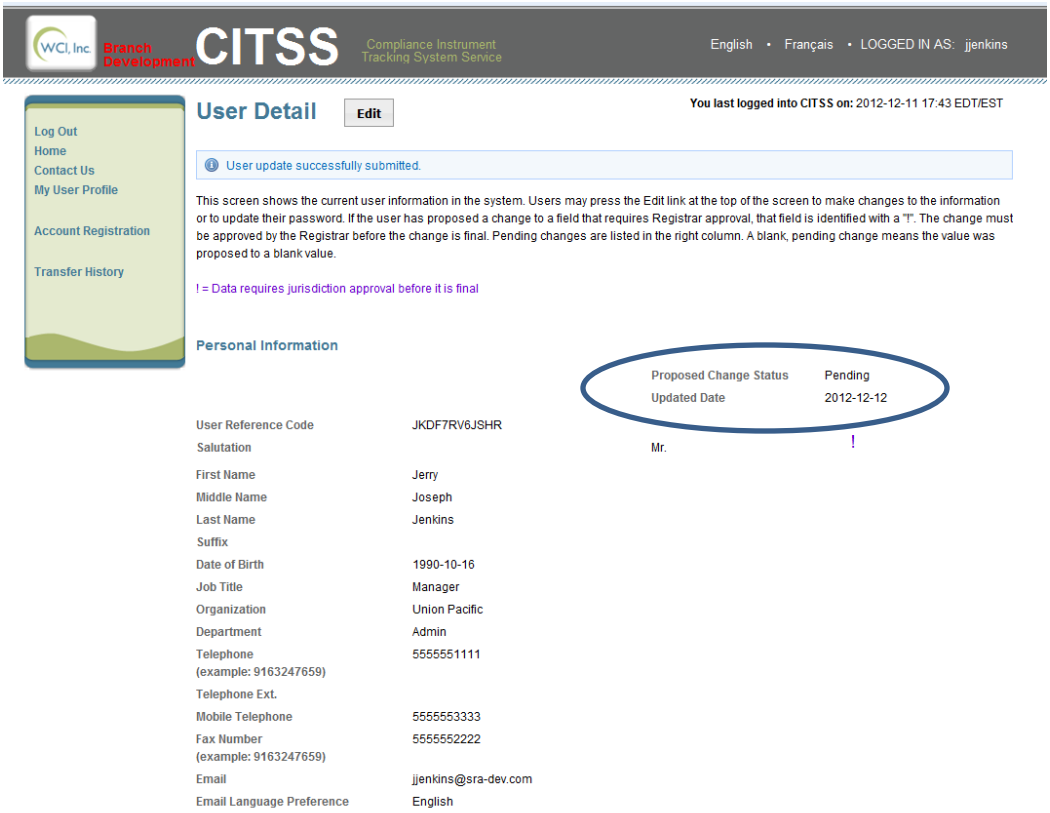
**STEP 5** **Submit any additional documentation requested by the California Registrar.**

Following Registrar approval, the new information will be shown in the User Profile.

***Email*** *- An email will be sent to the CITSS User confirming that a change to information was submitted. This email is generated to ensure that the individual intended to submit a change to his or her user account.*

***Email*** *- The California Registrar will review the user data change and either approve or deny the change. An email will be sent to the user indicating approval or denial of user profile changes.*

## *Figure 24 – Edit User Detail Page*



## 4.4 User Profile – User IDs and Passwords

CITSS Users must have their User IDs and passwords to access the system. User IDs and passwords should be kept confidential and never be shared with another individual.

### 4.4.1 User IDs

User IDs cannot be changed in the CITSS. User IDs can only be used once in the CITSS. If your registration was denied or an active registration was disabled, you cannot apply for a new registration using the same User ID. The User ID is printed on all forms generated from the CITSS. ARB recommends that each User keeps a copy of their CITSS forms in a secure location in case they need to retrieve information such as a User ID. If you forget your User ID and do not have access to your forms, you can contact the WCI, Inc. CITSS Help Desk for assistance.

### 4.4.2 Changes to Passwords

User passwords are known only to the User and can only be changed by the User. ARB staff does not have access to a User's password and cannot retrieve it for them. If a User forgets their password but can verify their identity through their security questions, the CITSS can provide a temporary password for their use to reset the password (refer to Section 4.4.3 for further directions). It is recommended that passwords be changed regularly as a security measure. The CITSS will require that each user change their password every 60 days. Users can change their password by following the process described below (see Figure 25):

**STEP 1** **From the User Home Page, click on My User Profile to access the User Detail Page.**

**STEP 2** **On the User Detail page, click on the Edit button next to the User Detail Title and scroll down to the lower portion of the page, to the section with the header "Update Password."**

**STEP 3** **Enter the current password.**

**STEP 4** **Enter a new password and enter the new password again in the Confirm New Password field.**

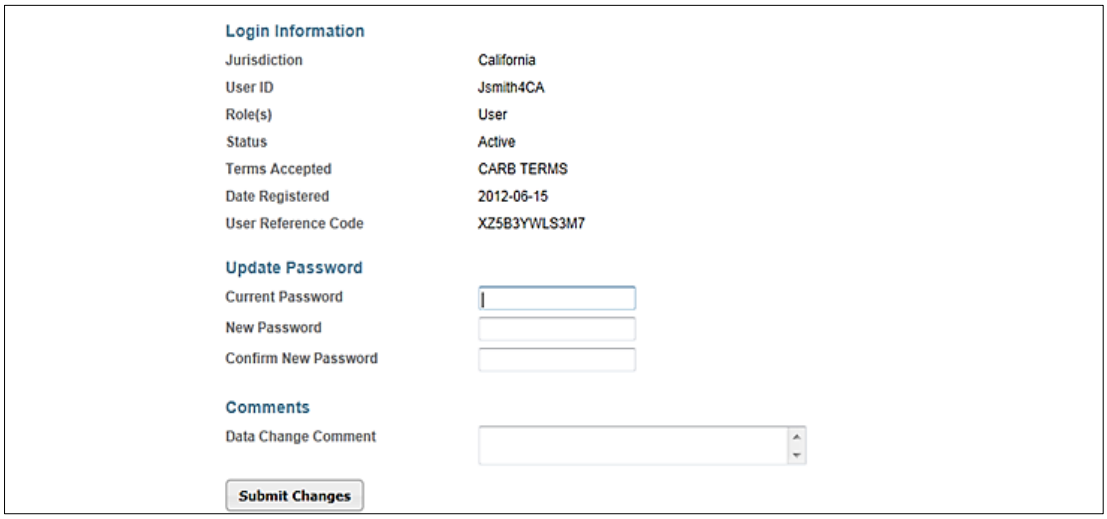
**STEP 5** **Enter a data change comment if you wish.**

**STEP 6** **Click on "Submit Changes."**

**The changes take effect immediately – no approval is required.**

***Email*** *- An email will be sent to the CITSS User confirming that a change to information was submitted. Even though the change does not require approval, this email is generated to ensure that the individual intended to submit a change to his or her user account in the CITSS.*

### *Figure 25 – User Detail - Updating User Login Information*



### 4.4.3 Lost Password

In the event that a user forgets their password, they can be issued a temporary password that will provide temporary access into the CITSS, at which time the user will have to establish a new password.

**STEP 1 Click on "Forgot Password" on the CITSS Login page.**

The page illustrated in Figure 26 below will be displayed.

**STEP 2 Enter your User ID and the email address that was provided with the User Registration.** The temporary password can only be sent to the email address previously entered by this user. If you do not have access to this email address or have forgotten the email you registered, you must call the WCI, Inc. CITSS Help Desk at 1-866-682-7561 for assistance.

**STEP 3 Complete the CAPTCHA verification and click on the continue button.**

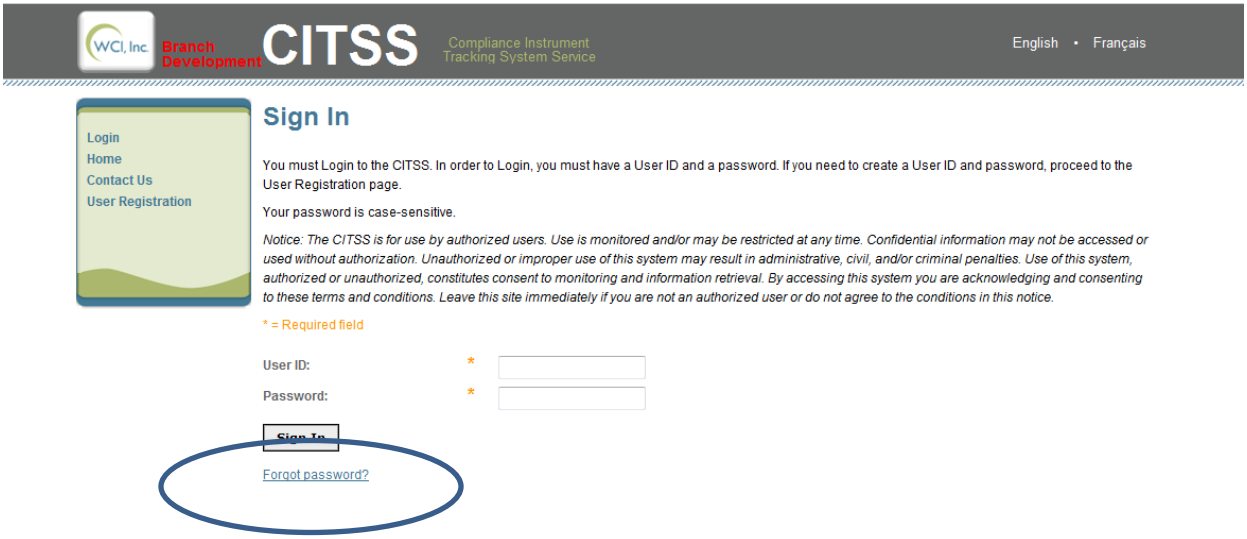
The page illustrated in Figure 27 will be displayed.

**STEP 4 One of the security questions you selected at registration will be displayed. Enter the answer you provided at registration.** See Figure 28. Answers are case sensitive.

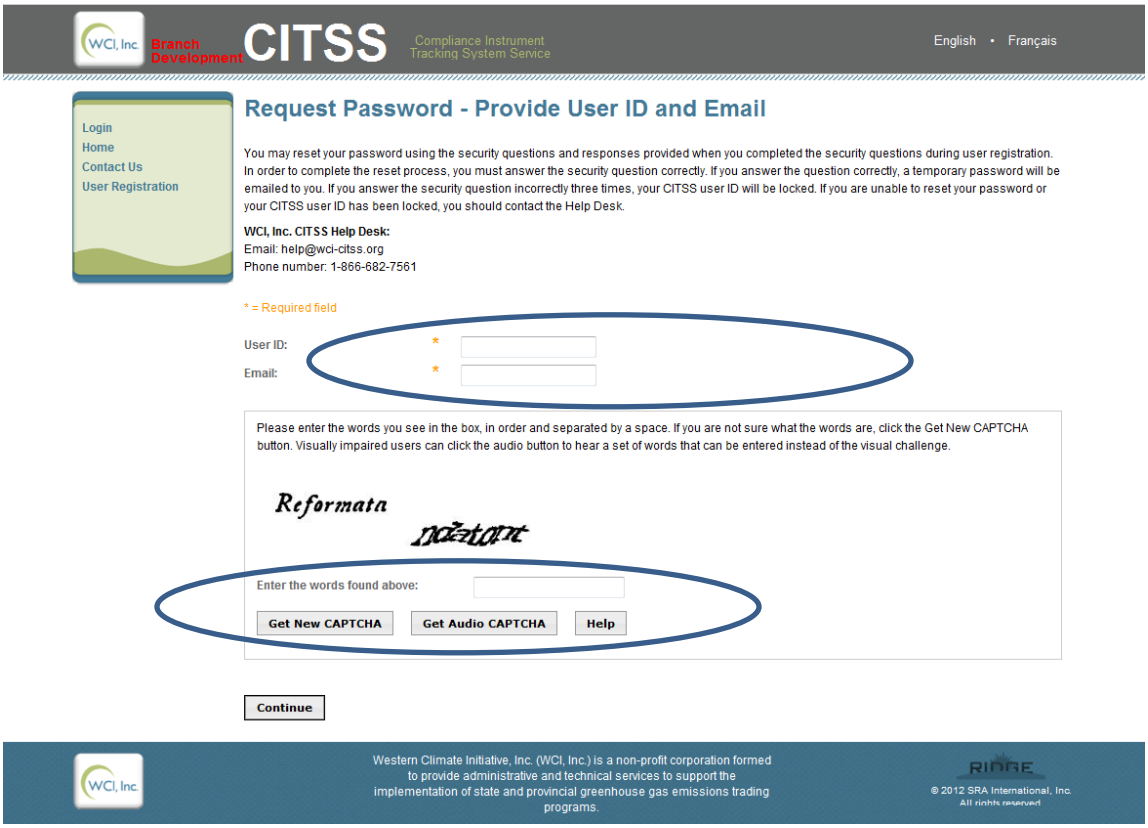
**If the security question is answered correctly**, a temporary password will be sent to the email address provided. This password is valid for 24 hours; during that time you must log in to the CITSS and change your password through the edit feature on the User Detail page. Emails will also be sent to the user for any password resets.

**If you answer incorrectly, a different question will be displayed. If you answer all three (3) questions incorrectly,** your user access will be disabled, and you will need to contact the WCI, Inc. CITSS Help Desk for assistance. If a user account is disabled, an email is sent to the user informing them that the access is disabled due to a failed login attempt.

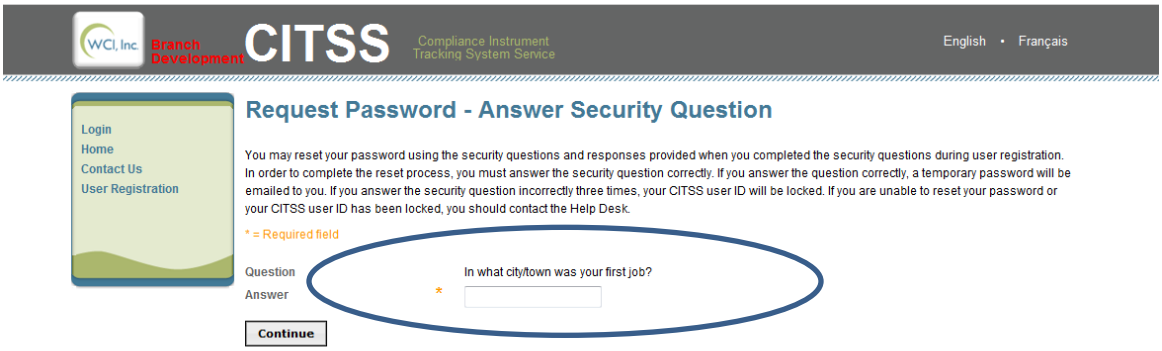
*Figure 26 – CITSS Sign-In Page*



## *Figure 27 – Request Password Page*




## *Figure 28 – Request Password –Security Questions*



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# Appendix A

To ensure access to current versions of all forms, this appendix provides links to all forms.

## User Registration Forms

**User Registration Forms:**

- User Registration Checklist
- User Registration Form
- Proof-of-Identity Form
- Know-Your-Customer Compliance Documentation with Covered Entity Attestation Form
- Know-Your-Customer Compliance Documentation with Individual Attestation Form

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# Appendix B

## CITSS User Registration

## Online Data Entry Supplement

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# CITSS User Registration
# Online Data Entry Supplement

This document is a supplement to the CITSS data entry provided online for the referenced CITSS User, identified by the unique CITSS User Reference Code and User ID below. Completion of this document does not guarantee approval of the CITSS User ID. If the User ID is approved, the CITSS user will be required to enter all changes documented on this form in the CITSS system within a reasonable time following User ID approval. Failure to complete the changes within the CITSS system will be cause for the User ID to be disabled.

CITSS User Reference Code: _____

User ID: _____

First and Last Name as entered in the CITSS: _____

**Updated Information (enter only those fields which are to be updated)**

**User Information**

Salutation _____
First Name _____
Middle Name _____
Last Name _____
Suffix _____
Date of Birth _____
Telephone _____
Telephone Ext. _____
Mobile Telephone _____
Fax Number _____
E-mail _____
Correspondence Language _____

**Physical Address**

Street 1 _____
Street 2 _____
City _____
State/Province _____
Postal Code _____
Country _____

**Mailing Address**

Street 1 _____

Street 2 _____

City _____

State/Province _____

Postal Code _____

Country _____

Print Name: _____

Signature: _____

Date: _____

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Air Resources Board