

**Appendix G to California's Proposed Compliance  
Plan for the Federal Clean Power Plan:  
Documentation for the Compliance Instrument  
Tracking System Service**

This appendix provides user guides and related documentation for California's Compliance Instrument Tracking System Service (CITSS). It is intended to further document the system's capabilities, and its ability to support compliance with CPP requirements.

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California Environmental Protection Agency



# **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 <sub>2</sub> e	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](mailto: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

WCI, Inc. Branch Development **CITSS** Compliance Instrument Tracking System Service English • Français

**Welcome to WCI CITSS**

The Compliance Instrument Tracking System Service (CITSS) is a management and tracking system for accounts and compliance instruments issued through participating Western Climate Initiative cap-and-trade programs. The CITSS is administered by the Western Climate Initiative, Inc. (WCI, Inc.). The CITSS tracks compliance instruments (emissions allowances and offsets) from the point of issuance by jurisdictional governments, to ownership, transfer by regulated greenhouse gas emitters and other voluntary or general market participants, and to final compliance retirement.

CITSS is designed to simplify the participation in the cap-and-trade program for all program participants, jurisdiction staff, and any contractors involved in implementing cap-and-trade programs within participating jurisdictions.

*Notice: The CITSS is for use by authorized users. Use is monitored and may be restricted at any time. Confidential information may not be accessed or used without authorization. Unauthorized or improper use of this system may result in administrative, civil, or criminal penalties. 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 immediately if you are not an authorized user or do not agree to the conditions in this notice.*

**Guidelines for Use:**

Use of your browser's BACK command may terminate your secure session and/or result in loss of data.

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.

CITSS is compatible with the following web browsers: Internet Explorer 7, 8, and 9, Firefox, Safari, Chrome, Opera.

**To begin using CITSS, either login with your registered CITSS User ID and password or, if you are not yet registered, you may complete the User Registration form.**

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.

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### 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

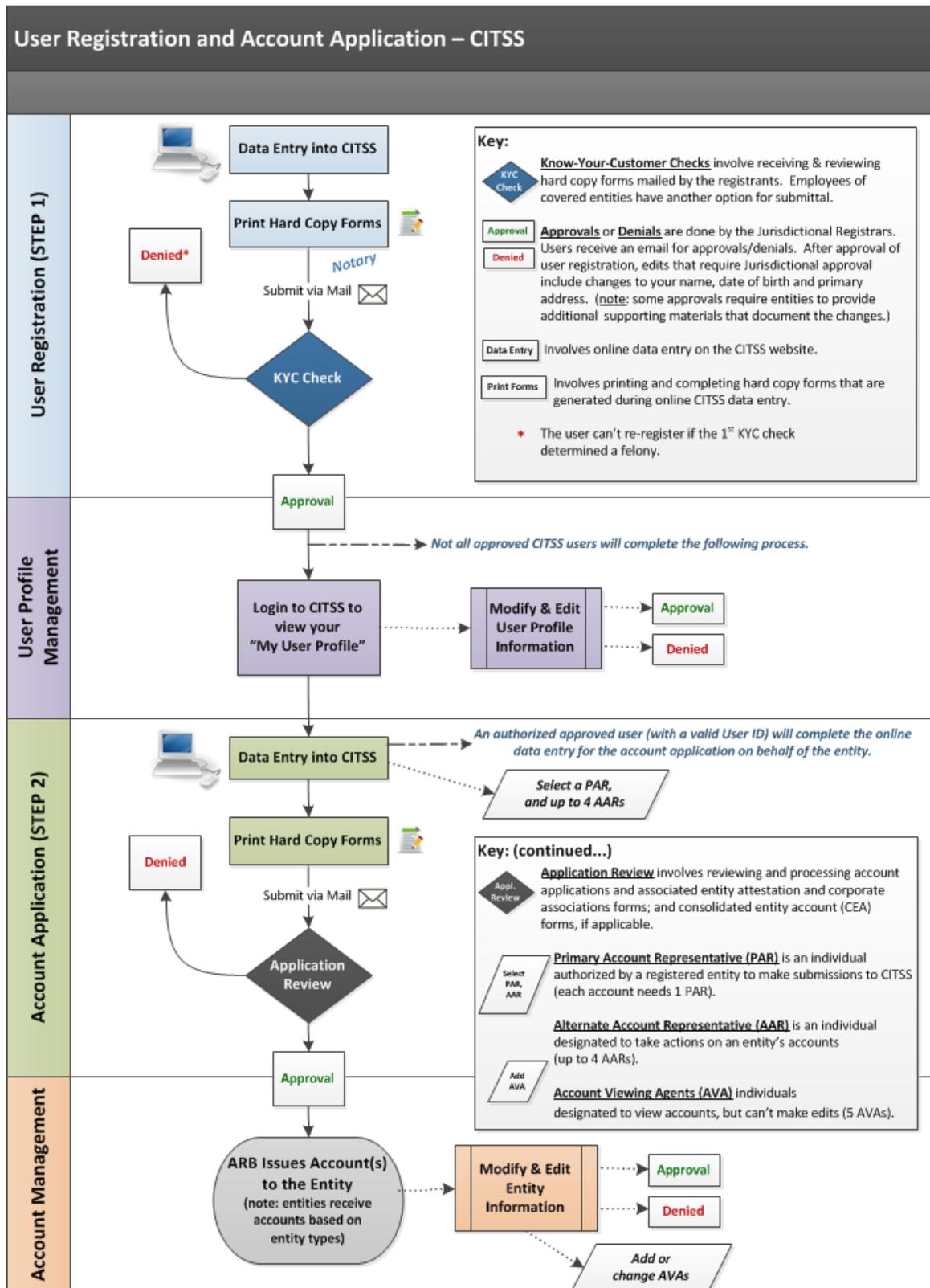
To participate in California's Cap-and-Trade Program, an individual or entity must have a CITSS account or set of accounts to hold, transfer, and retire compliance instruments. More information on the types of accounts is found in Volume III of the CITSS User Guide. To obtain CITSS account(s), an individual 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 3.3.1 of 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

**WCI, Inc.** **CITSS** Compliance Instrument Tracking System Service English • Français

**Welcome to WCI CITSS**

The Compliance Instrument Tracking System Service (CITSS) is a management and tracking system for accounts and compliance instruments issued through participating Western Climate Initiative cap-and-trade programs. The CITSS is administered by the Western Climate Initiative, Inc. (WCI, Inc.). The CITSS tracks compliance instruments (emissions allowances and offsets) from the point of issuance by jurisdictional governments, to ownership, transfer by regulated greenhouse gas emitters and other voluntary or general market participants, and to final compliance retirement.

CITSS is designed to simplify the participation in the cap-and-trade program for all program participants, jurisdiction staff, and any contractors involved in implementing cap-and-trade programs within participating jurisdictions.

*Notice: The CITSS is for use by authorized users. Use is monitored and may be restricted at any time. Confidential information may not be accessed or used without authorization. Unauthorized or improper use of this system may result in administrative, civil, or criminal penalties. 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 immediately if you are not an authorized user or do not agree to the conditions in this notice.*

**Guidelines for Use:**

The CITSS will time-out and terminate a session after five minutes of user inactivity.

Use of your browser's BACK command may terminate your secure session and/or result in loss of data.

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.

**To begin using CITSS, either login with your registered CITSS User ID and password or, if you are not yet registered, you may complete the User Registration form.**

Figure 4 – CITSS User Registration Page

**WCI, Inc.** **CITSS** Compliance Instrument Tracking System Service English • Français

**User Registration**

An approved User ID is required to access CITSS.

To register for a User ID, you must complete the following steps:

1. Complete the online CITSS User Registration Form.
2. Accept the User Registration Terms and Conditions.
3. Print and sign the User Registration Form.
4. Print and complete the Proof of Identity Form and documents.
5. Mail the signed User Registration Form and Proof of Identity Form and documents to your Jurisdiction Registrar for approval.

Your Jurisdiction Registrar will review your forms and documentation and approve or deny your user registration application. 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 User ID and Password.

Applications for compliance instrument accounts may only be completed by persons with approved CITSS User IDs. Access as a representative to existing compliance instrument accounts may only be given to persons with an approved CITSS User ID.

A person must have an approved User ID in the CITSS to open compliance instrument accounts, or to perform any actions in the system.

*Notice: The CITSS is for use by authorized users. Use is monitored and/or may be restricted at any time. Confidential information may not be accessed or used without authorization. Unauthorized or improper use of this system may result in administrative, civil, and/or criminal penalties. 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 immediately if you are not an authorized user or do not agree to the conditions in this notice.*

**Continue**

### 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



# 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		<input type="text"/>
First Name	*	<input type="text"/>
Middle Name		<input type="text"/>
Last Name	*	<input type="text"/>
Suffix		<input type="text"/>
Date of Birth	*	<input type="text" value="22"/> <input type="text" value="June"/> <input type="text" value="2012"/>
Job Title		<input type="text"/>
Organization		<input type="text"/>
Department		<input type="text"/>
Telephone	*	<input type="text"/>
(example: 9163247659)		
Telephone Ext.		<input type="text"/>
Mobile Telephone		<input type="text"/>
Fax Number		<input type="text"/>
(example: 9163247659)		
Email	*	<input type="text"/>
Email Language Preference	*	-- Select --

### Primary Residence

Street 1		<input type="text"/>
Street 2	*	<input type="text"/>
City	*	<input type="text"/>
State/Province	*	-- Select --
Postal Code	*	<input type="text"/>
Country	*	-- Select --

### Mailing Address

Use Primary Residence for Mailing Address

Street 1		<input type="text"/>
Street 2	*	<input type="text"/>
City	*	<input type="text"/>
State/Province	*	-- Select --
Postal Code	*	<input type="text"/>
Country	*	-- Select --

### Login Information

Jurisdiction		<input type="text"/>
User ID	*	<input type="text"/>
Password	*	<input type="text"/>
Confirm Password	*	<input type="text"/>

### Security Questions

Question 1		<input type="text"/>
Answer 1	*	<input type="text"/>
Question 2	*	<input type="text"/>
Answer 2	*	<input type="text"/>
Question 3	*	<input type="text"/>
Answer 3	*	<input type="text"/>

## **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)

<b>Primary Residence</b>	
Street 1	* <input type="text" value="123 Mainstreet"/>
Street 2	<input type="text"/>
City	* <input type="text" value="AnyTown"/>
State/Province	* <input type="text" value="California"/>
Postal Code	* <input type="text" value="12345"/>
Country	* <input type="text" value="United States"/>
<b>Mailing Address</b>	
Use Primary Residence for Mailing Address	<input checked="" type="checkbox"/>
Street 1	* <input type="text"/>
Street 2	<input type="text"/>
City	* <input type="text"/>
State/Province	* <input type="text" value="-- Select --"/>
Postal Code	* <input type="text"/>
Country	* <input type="text" value="-- Select --"/>

### **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)

**Login Information**

Jurisdiction \*

User ID \*

Password \*

Confirm Password \*

**Security Questions**

Question 1 \*

Answer 1 \*

Question 2 \*

Answer 2 \*

Question 3 \*

Answer 3 \*

Please enter the words you see in the box, in order and separated by a space. If you are not sure what the words are, click the Get New CAPTCHA button. Visually impaired users can click the audio button to hear a set of words that can be entered instead of the visual challenge.



Enter the words found above:



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.



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### 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*

The screenshot shows the CITSS User Registration page. At the top, there is a header with the WCI, Inc. logo, the text 'CITSS Compliance Instrument Tracking System Service', and language options for English and Français. On the left, a navigation menu includes 'Login', 'Home', 'Contact Us', and 'User Registration'. The main heading is 'User Registration'. A red error message box at the top states: 'Mobile phone number should be numbers only. Do not enter dashes or parenthesis.' Below this, instructions explain that completion of the form is required to obtain a User ID and that information is used to administer the cap-and-trade program. A legend indicates that an asterisk (\*) denotes a required field. The registration form contains the following fields: Salutation (Mr.), First Name (John), Middle Name (C.), Last Name (Taylor), Suffix, Date of Birth (9 July 1978), Job Title (Director), Organization (Company B), Department (Registration Department), Telephone (9164458279), Telephone Ext (12), Mobile Telephone (530-444-9999), Fax Number (9164458299), Email (jtaylor@email.com), and Email Language Preference (English). The 'Mobile Telephone' field is circled in blue, and a red error icon is next to its value. At the bottom left, the 'Register' button is also circled in blue.



### 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 the 12-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 before 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



# CITSS

Compliance Instrument  
Tracking System Service

English • Français

Login

Home

Contact Us

User Registration

## Registration Submitted

① User registration successfully submitted.

Your User Registration form has been electronically submitted to the Jurisdiction Registrar. Your application has been assigned User Reference Code: **MC6VRG98FXZK**. Please keep this number in a safe place as it is the unique identifier of your user application.

The following buttons open a new browser window or tab with the forms that must be printed and mailed to the Jurisdiction Registrar. Print each of these user registration forms using your browser print function. After printing, you should close the window/tab (not your browser) to return to this page.

1. Print User Registration Checklist

2. Print User Registration Form

3. Print Proof of Identity Form

You must mail the User Registration Checklist, the User Registration Form with a copy of the Terms and Conditions, and the Proof of Identity Form and documents to the Jurisdiction Registrar. You must provide an original signature on the Registration Form with the Terms and Conditions and Proof of Identity Form and documents. 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.

Should you have any questions regarding your user registration application, you may contact the CITSS Help Desk for your Jurisdiction. Please have your User Reference Code available to expedite service.

**California Help Desk:**  
 Email: CACITSSHelpDesk@arb.ca.gov  
 Phone number: 916-324-7659

The Jurisdiction Registrar will notify you of any changes to the status of your user registration application at the email address that you provided in your registration. After being approved as a user in the CITSS, you will be able to log into the system with your chosen User ID and Password.

Important Reminder: You must print, complete, sign, and mail the User Registration Checklist, the User Registration Form and Proof of Identity Form to obtain a User ID in the CITSS.

**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

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**CITSS** Compliance Instrument  
Tracking System Service

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**#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, 8th 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.

Revision: 3/30/2012

### 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)

The figure shows a printed version of the CITSS #2 User Registration Form, which is a multi-page document. The form is titled "CITSS #2 User Registration Form" and includes instructions for printing and use. It contains several sections for user information, including User Information, Primary Residence, Mailing Address, and Login Information. The form also includes a Terms and Conditions section. The form is divided into four pages, with the first page being the most detailed and the subsequent pages containing the Terms and Conditions. The form is presented as a sample for reference.



**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
<div style="display: flex; justify-content: center; align-items: center;"> <div style="font-size: 2em; font-weight: bold; margin-right: 10px;">CITSS</div> <div> <p style="margin: 0;">Compliance Instrument Tracking System Service</p> </div> </div> <hr style="border: 1px solid black; margin: 10px 0;"/> <h2 style="margin: 0;">#3 Proof of Identity Form</h2> <p style="font-size: 0.9em; margin: 10px 0;"><i>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.</i></p> <p style="margin: 10px 0;">CITSS User Reference Code #: _____</p> <p style="margin: 10px 0;">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.</p> <p style="margin: 10px 0;"><b>Section 1.0 Proof of Identity Documentation:</b></p> <p style="margin: 10px 0;">You must provide documentation of the following to complete this Proof of Identity Form:</p> <ol style="list-style-type: none"> <li>a. Your name</li> <li>b. Your date of birth</li> <li>c. Your driver's license number (if issued) or your passport number (if issued)</li> <li>d. A government-issued document providing photographic evidence of your identity                     <div style="margin-left: 40px; font-size: 0.8em; margin-top: 5px;"> <i>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.</i> </div> </li> <li>e. Your primary resident address                     <div style="margin-left: 40px; font-size: 0.8em; margin-top: 5px;"> <i>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.</i> </div> </li> <li>f. Your employer name, address, and contact information                     <div style="margin-left: 40px; font-size: 0.8em; margin-top: 5px;"> <i>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.</i> </div> </li> </ol>	
<p style="font-size: 0.8em; margin: 0;">Revision: 8/27/2012</p>	

**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

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## #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

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## #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](mailto: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").



### 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](mailto:Help@wci-citss.org).

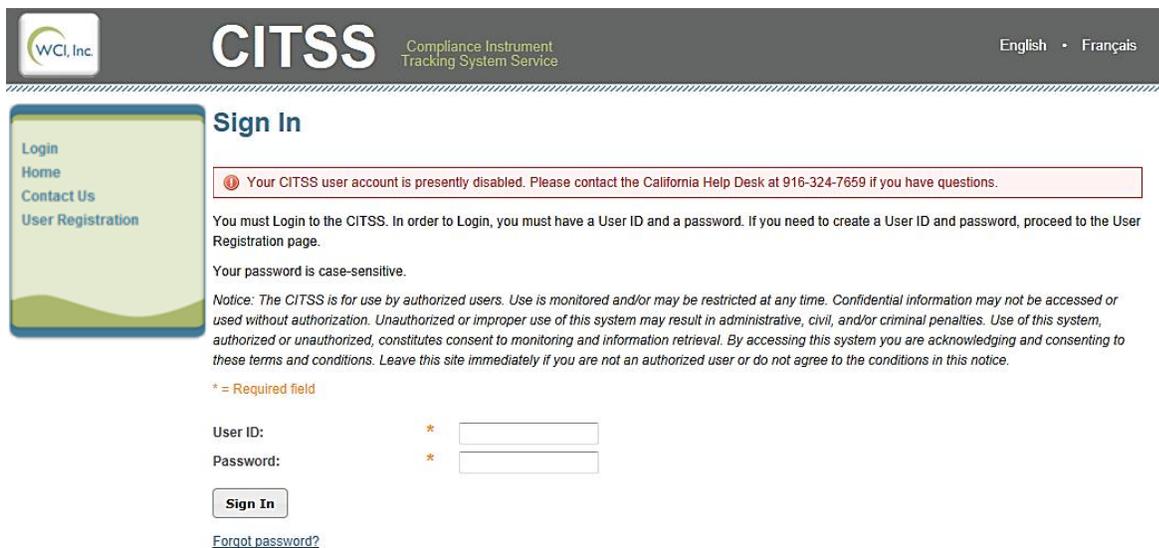
If you receive a notice that your registration was denied, please contact the WCI, Inc. CITSS Help Desk for further information.

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**



The screenshot shows the CITSS (Compliance Instrument Tracking System Service) website. At the top, there is a header with the WCI, Inc. logo, the text "CITSS Compliance Instrument Tracking System Service", and language options for "English" and "Français". On the left side, there is a navigation menu with links for "Login", "Home", "Contact Us", and "User Registration". The main content area is titled "Sign In" and features a red-bordered message box with an error icon: "Your CITSS user account is presently disabled. Please contact the California Help Desk at 916-324-7659 if you have questions." Below this message, the text reads: "You must Login to the CITSS. In order to Login, you must have a User ID and a password. If you need to create a User ID and password, proceed to the User Registration page. Your password is case-sensitive." A notice follows: "Notice: The CITSS is for use by authorized users. Use is monitored and/or may be restricted at any time. Confidential information may not be accessed or used without authorization. Unauthorized or improper use of this system may result in administrative, civil, and/or criminal penalties. 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 immediately if you are not an authorized user or do not agree to the conditions in this notice." Below the notice, there is a legend: "\* = Required field". The form includes two input fields: "User ID:" and "Password:", both marked with an asterisk. A "Sign In" button is located below the fields, and a "Forgot password?" link is positioned at the bottom left of the form area.

**This page blank intentionally**

## 4.0 Active CITSS Users

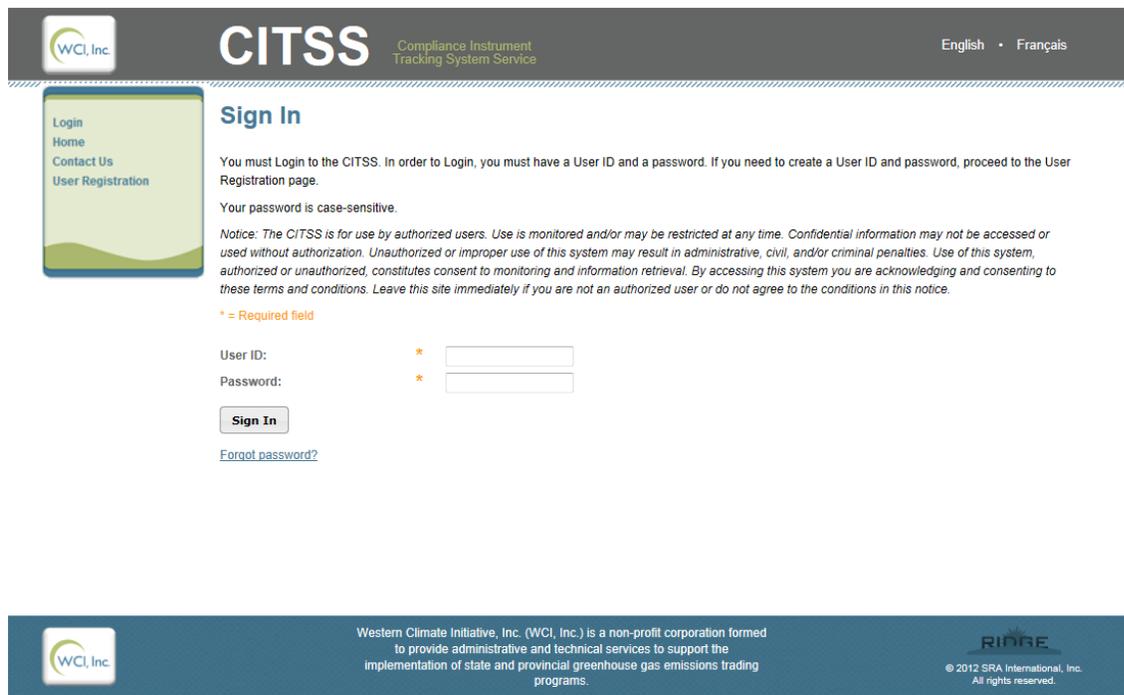
Once a User Registration has been approved by the California Registrar, the User may access the CITSS. When you are notified of your approval, login to the CITSS to review all the information you entered and update the user profile information, if necessary. If a CITSS User is approved based on corrections 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*



WCI, Inc. **CITSS** Compliance Instrument Tracking System Service English · Français

[Login](#)  
[Home](#)  
[Contact Us](#)  
[User Registration](#)

### Sign In

You must Login to the CITSS. In order to Login, you must have a User ID and a password. If you need to create a User ID and password, proceed to the User Registration page.

Your password is case-sensitive.

*Notice: The CITSS is for use by authorized users. Use is monitored and/or may be restricted at any time. Confidential information may not be accessed or used without authorization. Unauthorized or improper use of this system may result in administrative, civil, and/or criminal penalties. 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 immediately if you are not an authorized user or do not agree to the conditions in this notice.*

\* = Required field

User ID: \*

Password: \*

[Forgot password?](#)

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## 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 Page** 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*

WCI, Inc. **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN / S: mmason

Log Out  
Home  
Contact Us  
**My User Profile**  
Account Registration  
Transfer History

### Welcome to WCI CITSS

#### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Meg Mason		General	CA987-987	California	Active	<a href="#">View</a>
Atlanta Corp.	Georgia Account	Exchange Clearing Holding	CA988-988	California	Active	<a href="#">View</a>
Charlottesville Corp.	Virginia Account	General	CA989-988	California	Active	<a href="#">View</a>
Los Angeles Corp.	California Account	Compliance	CA991-990	California	Active	<a href="#">View</a>
Los Angeles Corp.	California Account	General	CA991-991	California	Active	<a href="#">View</a>

1 2 3 [Next](#) 1-5 of 15 records

#### Account Applications

You do not have any open account applications.

#### Pending Transfers

You do not have any pending transfers to review.

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## 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)



**CITSS**  
Compliance Instrument  
Tracking System Service

English • Français • LOGGED IN AS: mmason

**User Detail** Edit

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

Log Out

Home

Contact Us

My User Profile

---

Account Registration

---

Transfer History

**Personal Information**

! = Data requires jurisdiction approval before it is final

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



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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



CITSS

Compliance Instrument Tracking System Service

English · Français · LOGGED IN AS: jjenkins

Log Out

Home

Contact Us

My User Profile

---

Account Registration

Transfer History

## Edit User Information

This page allows users to edit their contact information. Asterisks (\*) indicate required fields. After correcting the desired fields, press the Submit Changes button at the bottom of the screen.

Many fields can be updated immediately. For security purposes, fields designated with an exclamation mark (!) require Registrar approval. When these fields are changed and the Submit Changes button is pressed, these fields will be identified on the User Detail Screen indicating that there is a Pending change. The Registrar will email the user upon Approval/Denial of the proposed change.

\* = Required field

! = Data requires jurisdiction approval before it is final

### Personal Information

Salutation	!	<input type="text"/>
First Name	!*	<input type="text" value="Jerrv"/>
Middle Name	!	<input type="text" value="Joseph"/>
Last Name	!*	<input type="text" value="Jenkins"/>
Suffix	!	<input type="text"/>
Date of Birth	!*	<input type="text" value="16"/> <input type="text" value="October"/> <input type="text" value="1990"/>
Job Title		<input type="text" value="Administrative Assistant"/>
Organization Name		<input type="text" value="Union Pacific"/>
Organization Department		<input type="text" value="Admin"/>
Telephone Number	*	<input type="text" value="5555551111"/>
Telephone Extension		<input type="text"/>
Mobile Phone Number	!	<input type="text" value="5555553333"/>
Fax Number		<input type="text" value="5555552222"/>
E-Mail Address	!*	<input type="text" value="jjenkins@sra-dev.com"/>
Correspondence Language	*	<input type="text" value="English"/>

### Primary Residence

Street 1	!*	<input type="text" value="5438 Factory Blvd"/>
Street 2	!	<input type="text" value="Building 37"/>
City	!*	<input type="text" value="Los Angeles"/>
State/Province	*	<input type="text" value="California"/>
Postal Code	!*	<input type="text" value="90001"/>
Country		<input type="text" value="United States"/>

### Mailing Address

Use Primary Residence for Mailing Address

Mailing Street 1	!*	<input type="text" value="50 Valley View Road"/>
Mailing Street 2	!	<input type="text" value="Suite 900"/>
Mailing City	!*	<input type="text" value="Stockton"/>
Mailing State/Province	*	<input type="text" value="California"/>
Mailing Postal Code	!*	<input type="text" value="95219"/>
Country		<input type="text" value="United States"/>

### Login Information

Jurisdiction	California
User ID	jjenkins
Role(s)	User
Status	Active
Terms Accepted	CARB TERMS
Date Registered	2011-10-24
User Reference Code	JKDF7RV6JSHR

### Update Password

Current Password	<input type="password"/>
New Password	<input type="password"/>
Confirm New Password	<input type="password"/>

### Comments

Data Change Comment

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

Field	Required Field	Registrar Approval Required	Additional Documentation Required
<b>Personal Information</b>			
<ul style="list-style-type: none"> <li>• Salutation</li> <li>• Suffix</li> </ul>	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.
<ul style="list-style-type: none"> <li>• First Name</li> <li>• Last Name</li> </ul>	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.
<ul style="list-style-type: none"> <li>• Middle Name</li> </ul>	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.
<ul style="list-style-type: none"> <li>• Date of Birth</li> </ul>	Y	Y	No change allowed except for a correction, in which case KYC documentation must show birthdate as changed.
<ul style="list-style-type: none"> <li>• Telephone Number</li> </ul>	Y	N	No approval or documentation required. CITSS entry will be accepted on request.
<ul style="list-style-type: none"> <li>• Job Title</li> <li>• Organization Name</li> <li>• Organization Department</li> <li>• Telephone Extension</li> <li>• Fax Number</li> </ul>	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.
<ul style="list-style-type: none"> <li>• Mobile Phone Number</li> <li>• Correspondence Language</li> </ul>	N	Y	No documentation required. Change will be approved by Registrar on request.
<ul style="list-style-type: none"> <li>• E-Mail Address</li> </ul>	Y	Y	No documentation required. Following verification by test email, change will be approved by Registrar as requested.
<b>Primary Residence Address</b>			
<ul style="list-style-type: none"> <li>• Street 1</li> <li>• City</li> <li>• State/Province</li> <li>• Postal Code</li> <li>• Country</li> <li>• Street 2 (not required field)</li> </ul>	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.
<b>Mailing Address</b>			
<ul style="list-style-type: none"> <li>• Mailing Street 1 and</li> <li>• Mailing Street 2</li> <li>• Mailing City</li> <li>• Mailing State/Province</li> <li>• Mailing Postal Code</li> <li>• Country</li> </ul>	Y	Y	No documentation required. Change will be approved by Registrar on request.
<b>Password</b>			
<ul style="list-style-type: none"> <li>• Update Password</li> </ul>	Y	N	No registrar action, update completed by User

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

<b>Login Information</b>	<b>NOTES</b>
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)



# CITSS

Compliance Instrument  
Tracking System Service

[English](#) • [Français](#) • LOGGED IN AS: jjenkins

Log Out

Home

Contact Us

My User Profile

---

Account Registration

---

Transfer History

## User Detail Edit

You last logged into CITSS on: 2012-12-11 17:43 EDT/EST

!
User update successfully submitted.

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 "P". 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	JKDF7RV6JSHR
Salutation	
First Name	Jerry
Middle Name	Joseph
Last Name	Jenkins
Suffix	
Date of Birth	1990-10-16
Job Title	Manager
Organization	Union Pacific
Department	Admin
Telephone (example: 9163247659)	5555551111
Telephone Ext.	
Mobile Telephone	5555553333
Fax Number (example: 9163247659)	5555552222
Email	jjenkins@sra-dev.com
Email Language Preference	English

### Primary Residence

Proposed Change Status	Cleared
Updated Date	2012-12-12

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### 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



# CITSS

Compliance Instrument Tracking System Service

[English](#) · [Français](#) · LOGGED IN AS: [jjenkins](#)

[Log Out](#)  
[Home](#)  
[Contact Us](#)  
[My User Profile](#)  


---

[Account Registration](#)  


---

[Transfer History](#)

## User Detail

Edit

You last logged into CITSS on: 2012-12-11 17:43 EDT/EST

i User update successfully submitted.

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 "T". 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	JKDF7RV6JSHR		
Salutation		Proposed Change Status	Pending
First Name	Jerry	Updated Date	2012-12-12
Middle Name	Joseph		
Last Name	Jenkins	Mr.	!
Suffix			
Date of Birth	1990-10-16		
Job Title	Manager		
Organization	Union Pacific		
Department	Admin		
Telephone (example: 9163247659)	5555551111		
Telephone Ext.			
Mobile Telephone	5555553333		
Fax Number (example: 9163247659)	5555552222		
Email	jjenkins@sra-dev.com		
Email Language Preference	English		

## 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*

<b>Login Information</b>	
Jurisdiction	California
User ID	Jsmith4CA
Role(s)	User
Status	Active
Terms Accepted	CARB TERMS
Date Registered	2012-06-15
User Reference Code	XZ5B3YWLS3M7
<b>Update Password</b>	
Current Password	<input type="password"/>
New Password	<input type="password"/>
Confirm New Password	<input type="password"/>
<b>Comments</b>	
Data Change Comment	<input type="text"/>
<input type="button" value="Submit Changes"/>	

### 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*

WCI, Inc. Branch Development **CITSS** Compliance Instrument Tracking System Service English • Français

**Sign In**

You must Login to the CITSS. In order to Login, you must have a User ID and a password. If you need to create a User ID and password, proceed to the User Registration page.

Your password is case-sensitive.

*Notice: The CITSS is for use by authorized users. Use is monitored and/or may be restricted at any time. Confidential information may not be accessed or used without authorization. Unauthorized or improper use of this system may result in administrative, civil, and/or criminal penalties. 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 immediately if you are not an authorized user or do not agree to the conditions in this notice.*

\* = Required field

User ID: \*

Password: \*

[Forgot password?](#)

Figure 27 – Request Password Page

WCI, Inc. Branch Development **CITSS** Compliance Instrument Tracking System Service English • Français

**Request Password - Provide User ID and Email**

You may reset your password using the security questions and responses provided when you completed the security questions during user registration. In order to complete the reset process, you must answer the security question correctly. If you answer the question correctly, a temporary password will be emailed to you. If you answer the security question incorrectly three times, your CITSS user ID will be locked. If you are unable to reset your password or your CITSS user ID has been locked, you should contact the Help Desk.

WCI, Inc. CITSS Help Desk:  
Email: help@wci-citss.org  
Phone number: 1-866-682-7561

\* = Required field

User ID: \*

Email: \*

Please enter the words you see in the box, in order and separated by a space. If you are not sure what the words are, click the Get New CAPTCHA button. Visually impaired users can click the audio button to hear a set of words that can be entered instead of the visual challenge.

*Reformata*  
*NOISELIFE*

Enter the words found above:

Get New CAPTCHA Get Audio CAPTCHA Help

Continue

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Figure 28 – Request Password –Security Questions

WCI, Inc. Branch Development **CITSS** Compliance Instrument Tracking System Service English • Français

**Request Password - Answer Security Question**

You may reset your password using the security questions and responses provided when you completed the security questions during user registration. In order to complete the reset process, you must answer the security question correctly. If you answer the question correctly, a temporary password will be emailed to you. If you answer the security question incorrectly three times, your CITSS user ID will be locked. If you are unable to reset your password or your CITSS user ID has been locked, you should contact the Help Desk.

\* = Required field

Question In what city/town was your first job?

Answer \*

Continue

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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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Back Cover  
Volume I CITSS User Guide

California Environmental Protection Agency

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 **Air Resources Board**

California Environmental Protection Agency



# **User Guide - Volume III**

## **Conducting Transfers in the CITSS**

# Compliance Instrument Tracking System Service (CITSS)

*December 2012*

*Sections of this User Guide have been Superseded.  
Please see inside cover.  
February 2015*

## **Superseded Information**

***This CITSS User Guide Volume III***, released in December 2012, provides guidance on the compliance instrument transfer process conducted in CITSS. Since release of the CITSS User Guides Volumes I-III, the California Cap-and-Trade Regulation (Regulation) has been amended and CITSS has been updated to incorporate changes and new functionality.

The basic processes for conducting transfers in CITSS as described in this User Guide have remained essentially unchanged, e.g., the transfer process continues to implement the user “Propose-Approve-Accept” model for conducting general transfers, and general transfers are still required to be completed within 3-days of being entered into CITSS.

CITSS Version 5.0, released in January 2015, incorporates changes to the required data for a transfer of compliance instruments pursuant to changes in the Regulation that became effective January 1, 2015. The updated processes and screens require account representatives to be more specific in identifying the type of transfer being conducted and to provide more detailed information about individual transfers. Some of the transfer terms in this User Guide, such as Agreement Date and Settlement Date, have been updated to more closely align with the new transfer types.

Portions of this User Guide (*CITSS User Guide Volume III*) that depict transfer screens and describe the information required to complete a transfer have been superseded. Users consulting this User Guide for guidance on transfers should also refer to User Reference CITSS Version 5.0, available on the ARB CITSS Information webpage at:

<http://www.arb.ca.gov/citss>

*User Reference CITSS Version 5.0* does not replace *CITSS User Guide Volume III*, but rather supplements the information with updated screenshots and guidance for the new transfer requirements. .

The complete set of CITSS User Guides is anticipated to be updated in 2015.

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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
EDU	Electrical Distribution Utility
EIA	U.S. Energy Information Agency
ETS	Emissions Trading System
GHG	greenhouse gas
ID	identification
KYC	Know-Your-Customer
MRR	Mandatory Reporting Regulation
MTCO <sub>2e</sub>	metric tons carbon dioxide equivalent
NAICS	North American Industry Classification System
ORIS	Office of Regulatory Information Systems
PAR	Primary Account Representative
POU	Publicly Owned Utility
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. The CITSS is a market tracking system that will support the implementation of greenhouse gas (GHG) cap-and-trade programs for California and other jurisdictions.

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.

The CITSS User Guide is 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:

- 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 ARB cap-and-trade website at: <http://www.arb.ca.gov/cc/capandtrade/capandtrade.htm>.

WCI, Inc. has established a Help desk to support 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 at [help@wci-citss.org](mailto:help@wci-citss.org) or by phone 1-866-682-7561.

### 1.1 User Guide Volume III

This volume includes content to support the following activities:

- Conducting Transfers of Compliance Instruments. Examples are provided for:
  - *General Account* of one entity to *General Account* of another entity
  - *General Account* of an entity to *Compliance Account* of the same entity
  - *General Account* of an entity to *Early Retirement Account* (Jurisdiction Account)
  - *General Account* to an *Exchange Clearing Service Provider*
  - *Limited Use Holding Account* of an entity to *Auction Account* (Jurisdiction Account)

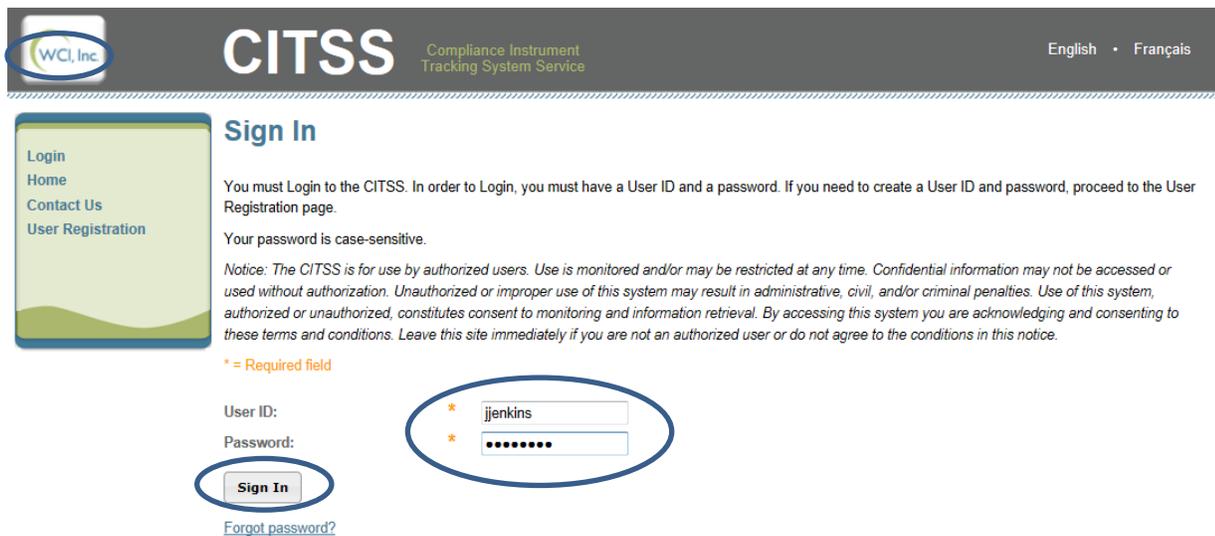
## 1.2 Accessing the CITSS

You can access the CITSS at <https://www.wci-citss.org>.

You can also find links to the CITSS on the ARB webpage at: <http://www.arb.ca.gov/citss>.

The CITSS Home Page (Figure 1) is the point of entry for any action in the CITSS. On the main CITSS page, you will click Login, enter your approved User ID and password and click Sign In to gain access to the secure content of the CITSS, including the ability to submit an account application, or a transfer request or act on a pending transfer request.

Figure 1 - CITSS Sign in Page



### General Guidelines:

- The CITSS is compatible with the following web browsers: Internet Explorer 7, 8, and 9, Firefox, Safari, Chrome, or 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).
- WCI, Inc. has established a Help Desk to support the CITSS. The WCI, Inc. CITSS Help Desk is staffed Monday through Friday 6:00 a.m. Pacific Time through 6:00 p.m. Pacific Time and is accessible for messages 24 hours a day, 7 days a week. If you have any questions about using CITSS, please contact the WCI, Inc. CITSS Help Desk at:

Email: [help@wci-citss.org](mailto:help@wci-citss.org)  
Phone Number: 1-866-682-7561

## 2.0 Introduction to Compliance Instrument Accounts

The Compliance Instrument Tracking System Service (CITSS) tracks the status and ownership of compliance instruments (allowances and offsets) in the California Cap-and-Trade Program. The CITSS also tracks transactions (transfers) of compliance instruments within an entity's accounts, between accounts of different entities, and between entities and jurisdiction accounts. Each entity in the CITSS is assigned accounts; the number and type of accounts depends on the type of entity or organization. In addition, ARB has several jurisdiction accounts that are used to administer the creation, allocation, surrender, and retirement of compliance instruments within the CITSS.

### 2.1 Entity Accounts (including Individual account holders)

There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account (Holding Account* in the Regulation), a *Limited Use Holding Account*, a *Compliance Account*, and an *Exchange Clearing Holding Account*. Each account type is described below. Accounts are assigned based on the type of entity. As explained below, no entity needs or could receive all four account types. Table 1 summarizes the types of accounts that can be assigned to each entity type.

**General Account:** A *General Account* is the most common type of account. Except for Exchange Clearing Service Providers, every entity in the CITSS has a *General Account* for holding compliance instruments. Routine transfers (buying/selling) of compliance instruments between entities occur between *General Accounts*. Allocations of free allowances to industrial entities typically are placed in the entities' *General Accounts*. In the Regulation, the *General Account* is referred to as the *Holding Account*.

**Compliance Account:** *Compliance Accounts* are assigned only to Covered Entities and Opt-In Entities. A *Compliance Account* is used to surrender compliance instruments to the State of California to satisfy Cap-and-Trade Program compliance obligations. Publicly Owned Utilities (POUs) that receive an allocation of free allowances but have no compliance obligation apply for accounts in the CITSS as Covered Entities, and receive a *Compliance Account*. However, the *Compliance Account* for these entities is disabled in the CITSS.

**Limited Use Holding Account:** Only entities that are electrical distribution utilities (EDUs) designated by the Regulation receive a *Limited Use Holding Account*. Allocations of free allowances are in some cases issued into an EDU's *Limited Use Holding Account*. Allowances placed in a *Limited Use Holding Account* can **only** be consigned to the *California Auction Account*. Owners of a *Limited Use Holding Account* should consult the Regulation regarding the requirements for consignment of allowances to Auction.

**Exchange Clearing Holding Account:** An *Exchange Clearing Holding Account* is issued to organizations voluntarily participating in the Cap-and-Trade Program to provide exchange clearing services. An entity providing clearing services takes only temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered with the Cap-and-Trade Program. To qualify as a clearing services provider, an entity must be a derivatives clearing organization as defined in the Commodities Exchange Act (7 U.S.C. § 1a(9)) that is registered with the U.S. Commodity Futures Trading Commission pursuant to the Commodities Exchange Act (7 U.S.C. § 7a-1(a)).

**Table 1. Type of Entity Accounts, by Entity Type**

Type of Entity Account	Covered Entities and Opt-In Entities	General Market Participants (Organizations and Individuals)
General	✓	✓
Compliance	✓ <sup>1</sup>	
Limited Use Holding	✓ <sup>2</sup>	
Exchange Clearing Holding		✓ <sup>3</sup>

<sup>1</sup> Publicly Owned Utilities (POUs) that receive an allocation of free allowances but have no compliance obligation apply for accounts in the CITSS as Covered Entities. The *Compliance Accounts* for these entities are disabled.

<sup>2</sup> Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*.

<sup>3</sup> There are specific requirements to register as an Exchange Clearing Service Provider. Exchange Clearing Service Providers receive only *Exchange Clearing Holding Accounts*.

## 2.2 Jurisdiction Accounts

ARB maintains several jurisdiction accounts that are used to administer the CITSS. Most entities will have little direct interaction with most of the jurisdiction accounts, such as the Issuance, Forest Buffer, Invalidation, Voluntary Renewable Electricity Reserve, or Price Containment accounts. Information about these accounts is located in section 95831 of the Regulation. The jurisdiction accounts that entities would interact with are the *Allocation Account*, the *Auction Account*, and the *Retirement Account*.

**Allocation Account:** ARB distributes allowances from the *Allocation Account* to other jurisdiction accounts, *Limited Use Holding Accounts* (LUHAs), *General Accounts*, and in some cases, *Compliance Accounts* of participating entities. Entities receiving an allocation of allowances will see a transfer from the California *Allocation Account* in the transfer history for the account to which allowances are transferred.

**Auction Account:** Allowances that are available for Auction are held in the *Auction Account*. Entities will interact with the Auction Account through consignments and receipt of allowances obtained at Auction. Entities with a *LUHA* will consign allowances to the *Auction Account*. Following an auction, allowances in the *Auction Account* are transferred in accordance with the results of the auction. Entities with winning bids will receive allowances from the *Auction Account*.

**Retirement Account:** The *Retirement Account* is used to voluntarily remove instruments from the market. Entities in the CITSS may voluntarily retire compliance instruments. To do this, an entity transfers instruments from their *General Account* to the *California Retirement Account*. This action does not meet any compliance obligation of the entity surrendering instruments.

## 2.3 Account Status

There are seven status conditions that can be assigned to accounts by the Jurisdiction Registrar. The status of an account determines the ability to transfer compliance instruments into or out of the account. In addition, account status determines if information from the CITSS can be sent to the Auction Administrator to support the auction application process. The account status conditions are:

**Active:** Typical account state; is able to send/receive instruments in accordance with all rules and regulations. Entity and representative registration data are included in the information provided to the Auction Administrator unless a representative of the entity indicates through the CITSS that the entity does not intend to participate in upcoming auctions.

**Restricted - Can't Transfer:** Account is prevented from transferring compliance instruments but can still accept transfers. Entity and representative registration data is included in the information provided to the Auction Administrator unless a representative of the entity indicates through the CITSS that the entity does not intend to participate in upcoming auctions.

**Restricted - Can't Receive:** Account is prevented from receiving any compliance instruments but can still send transfers to other accounts and entities. Entity and representative registration data are included in the information provided to the Auction Administrator unless a representative of the entity indicates through the CITSS that the entity does not intend to participate in upcoming auctions.

**Restricted - Can't Transfer or Receive:** Account is prevented from both transferring and receiving compliance instruments. This status is also used to disable the *Compliance Account* for POU's that do not have a compliance obligation. Entity and representative registration data are included in the information provided to the Auction Administrator unless a representative of the entity indicates through the CITSS that the entity does not intend to participate in upcoming auctions.

**Suspended:** Account is prevented from both transferring and receiving instruments. Entity and representative registration data are NOT included in the information provided to the Auction Administrator. Regulatory requirements and additional restrictions are in place for Suspended Accounts.

**Inactive:** Used primarily for General Market Participant accounts that have not transferred compliance instruments for three years or more. Inactive accounts are prevented from both transferring and receiving instruments. Entity and representative registration data are NOT included in the information provided to the Auction Administrator. This status is not automatically set after a period of inactivity, but requires action to be taken by the Registrar.

**Closed:** Closed accounts are prevented from both transferring and receiving compliance instruments. Entity and representative registration data are NOT included in the information provided to the Auction Administrator. The Registrar must manually change an entity's status to Closed.

### 3.0 Overview of the CITSS Transfer Process

The CITSS tracks the status and ownership of compliance instruments (allowances and offsets) in the California Cap-and-Trade Program. Transactions (transfers) of compliance instruments within an entity's accounts, between accounts of different entities, and between entities and jurisdiction accounts are reported in the CITSS.

#### 3.1 Conventions

The following are naming conventions used in describing the transfer process:

Transferring	“Transferring” is used to describe the source of the compliance instruments, i.e., the entity or account from which funds are being transferred. Compliance instruments are moved from the transferring account to the receiving account.
Receiving	“Receiving” is used to describe the entity or account into which the transferred compliance instruments are being moved, i.e., the recipient of the transfer. Compliance instruments are moved from the transferring account to the receiving account.
Transfer Request	A transfer request tracks the progress of a transfer from proposal to completion. A representative of the transferring entity enters the information about a compliance instrument transaction into the CITSS to create a transfer request.
Agreement Date	When a contract or other written agreement is prepared to facilitate a transaction, the agreement date is the date the agreement/contract is signed.*
Settlement Date	When a contract or other written agreement is prepared to facilitate a transaction, the Settlement Date is the date that the agreement/contract is fulfilled.*

\* Regardless of agreement or settlement date, the transfer of ownership occurs when the status of the transfer request in the CITSS is Complete.

### 3.2 Transfer Process

As shown in Table 2, the CITSS process to report the transfer of compliance instruments between entities requires three steps: Propose, Approve, and Accept.

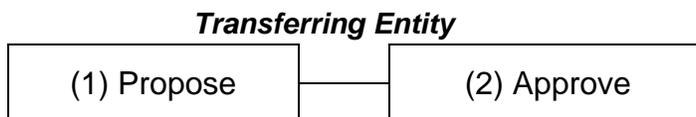
**Table 2. Three-Step Transfer Process**



The following transfers are Completed using a two-step process, with no Acceptance required.

- Transfers between different account types held by the same entity:
  - *General Account to Compliance Account*
- Transfers to Jurisdiction Accounts:
  - *General Account to Retirement Account*
  - *Limited Use Holding to Auction Account*
- Transfers to and From an Exchange Clearing Service Provider
  - *General Account to Exchange Clearing Service Account*
  - *Exchange Clearing Service Account to General Account*

**Table 3. Two-Step Transfer Process**



### 3.2.1 Transfer Process Steps

#### STEP 1: Propose

**Propose** - The Primary Account Representative (PAR) or one of the Alternate Account Representatives (AARs) of the transferring entity must prepare a transfer request in the CITSS by providing information about the transaction. Depending on the type of transfer being proposed, required information can include the number and type of instruments, information about the receiving entity and account, agreement and settlement date, and the price paid and currency type. After the required information is entered in the CITSS, the representative submits the transfer request, and the status of the request is set as Proposed. A Proposed transfer request will appear as a “Pending Transfer” on the home page of the PAR and AARs of the transferring entity only. An email indicating that a transfer request has been proposed is sent to the PAR and AARs of the transferring entity, indicating that a Proposed transfer request requires Approval.

When a transfer request is proposed, the compliance instruments remain the property of the transferring entity and remain in the transferring entity’s account until the transfer request is Completed. However, the number of instruments proposed for transfer is subtracted from the transferring entity’s Available Account Balance to reflect their pending status. The difference between Account Balance and Available Account Balance is the number of instruments in pending transfers.

The representative of the transferring entity that entered the initial transfer proposal can Cancel the Proposed Transfer prior to the second representative Approving the Proposed Transfer.

#### STEP 2: Approve/Deny

**Approve** - A representative of the transferring entity, who cannot be the same individual that proposed the transfer, must Approve the Proposed transfer request within two days of the Proposal or the transfer request will expire in the CITSS (refer to Section 3.3 for more information on timing requirements). Individual General Market Participants that have no AARs associated with their account can take both actions on a transfer request - Propose and Approve. If an Individual General Market Participant has AARs associated with their account, a second individual must Approve proposed transfers.

Upon completion of this step, the status of the transfer request will change to Approved. An email is sent to the representatives of the transferring and receiving entities informing them that the status of a transfer request has changed and providing the Transfer ID, Transfer Status, and accounts involved in the transfer.

Two-step transfers such as transfers within an entity’s accounts (General to Compliance) and transfers to a jurisdiction account (General to Retirement, LUHA to Auction) only require Proposal and Approval and are Completed when Approved by the second representative of the transferring entity.

Transfers between entities require all 3 steps to be completed including an Acceptance from a representative of the receiving entity. In this case, following Approval by the second

representative of the transferring entity, the Approved transfer request appears as a “Pending Transfer” on the home page of the PAR and AARs of the receiving entity.

**Deny** - A representative of the transferring entity, who cannot be the same individual that proposed the transfer, has the option to Deny a Proposed transfer request. Upon completion of this step, the status of the transfer request will change to Denied and the transfer will be shown only in the Transfer History of the transferring entity. An email is sent to the representatives of the transferring entity, informing them that the transfer was Denied. No notification is sent to the representatives of the receiving entity. When a transfer request is Denied, the compliance instruments remain in the transferring entity’s account, the number of instruments proposed for transfer is returned to the transferring entity’s Available Account Balance.

### **STEP 3: Accept/Decline (Required for transfers between General Accounts of 2 entities)**

**Accept** - The PAR or an AAR of the receiving account must accept the Approved transfer request to complete the transfer. Upon acceptance, the status of the transfer request changes to Complete, and the compliance instruments are moved from the transferring account to the receiving account. The Acceptance must occur within three days of the Proposal or the transfer request will expire in the CITSS (refer to Section 3.3 for more information on timing requirements). All representatives of both the transferring and receiving entities are notified by email of completion of the transfer.

**Decline** - Alternatively, a representative of the receiving entity, can Decline an Approved transfer request. Upon completion of this step, the status of the transfer request will change to Declined and will be shown only in the Transfer Histories of both entities. An email is sent to the representatives of both entities, informing them that the transfer was Declined. When a transfer request is declined, the compliance instruments remain in the transferring entity’s account, the number of instruments proposed for transfer is returned to the transferring entity’s Available Account Balance, and the instruments are available for a new transfer request.

The final step (Accept) is only required for transfers from one entity’s *General Account* to another entity’s *General Account*. The final step (Accept) is not required for transfers between an entity’s own accounts, transfers to or from an *Exchange Clearing Holding Account*, or transfers to jurisdiction accounts (such as the *Auction Account* or *Retirement Account*). The transfer of instruments in these types of transfer requests occurs immediately upon approval.

### 3.3 Status of Transfer Requests

**Proposed status:** The transfer request has been Proposed by a PAR or AAR and is awaiting approval from another account representative of the transferring entity. If this is a transfer between entities, the transfer request is not yet viewable by the representatives of the receiving entity while it is in this status.

**Approved status:** The transfer request has been Approved by a second account representative (PAR or AAR) of the transferring entity. If this is a two-step transfer (transfer between accounts of the same entity, between entity and jurisdiction accounts, or to or from an exchange clearing account), the transfer is now Complete. If the transfer is between entities, the representatives of the receiving entity have been notified of the transfer request and the transfer is viewable as a pending transfer on the home page of the account representatives of the receiving entity. An account representative of the receiving entity must now either Accept or Decline the transfer request.

**Accepted status:** The transfer request has been Accepted by an account representative of the receiving entity. The transfer is now Complete.

**Complete status:** The transfer request is complete, and the compliance instruments have been transferred to the receiving entity's account. For transfers requiring acceptance, this occurs when the receiving entity Accepts. For transfers that do not require acceptance, the transfer is Complete when the transfer request is Approved.

**Cancelled status:** A transfer request was Cancelled by the account representative of the transferring entity that initially proposed the transfer. Only the representative that entered the initial Proposal can Cancel the proposed transfer. If the proposed transfer was to another entity, the representatives of the receiving entity were not notified of the proposed transfer or cancellation. The compliance instruments have not been transferred.

**Denied status:** The transfer request was Denied by a second account representative of the transferring entity (following Proposal). The representatives of the transferring entity were notified that the proposed transfer was denied. If the proposed transfer was to another entity, the representatives of the receiving entity were not notified of the proposed transfer or the subsequent denial. The compliance instruments have not been transferred.

**Declined status:** The transfer request was Declined by an account representative of the receiving entity. The representatives of both the transferring and acquiring entities were notified of the action by email. The compliance instruments have not been transferred.

**Expired status:** Either the transfer request was not Approved before midnight (Eastern Time) of the second calendar day following proposal or the transfer request or was not Accepted before midnight (Eastern Time) of the third calendar day following Proposal of the transfer request. The transfer request has timed-out, and the compliance instruments have not been transferred. If the transfer still needs to be recorded, a new transfer proposal must be entered by a representative of the transferring entity.

### 3.4 Timing of the Transfer Request Process

Reporting a transfer in the CITSS is subject to two types of timing requirements: (1) a transfer between entities must be reported within three days of the settlement date, (2) a transfer request must be Approved (second action by the transferring entity) within two days of being proposed, and Accepted (if required) within three days of being proposed. A violation of (1) does not prevent completion of a transfer in the CITSS. A violation of (2) leads to a transfer request expiring, which stops any additional action on that transfer request in the CITSS.

- (1) The Regulation requires that a transfer of compliance instruments between entities must be *reported* to the accounts administrator within three calendar days of the Settlement Date. “Reported” means that the status of the transfer request in the CITSS must be Complete. Settlement Date is the date that the agreement/contract is fulfilled. If a transfer request is not Accepted/Completed by the end of Day 3 following Settlement Date, the transfer violates the regulatory requirement to report in the CITSS. A transfer request in Proposed or Approved status does not satisfy this requirement. CITSS will allow the transfer to be completed as long as no other timing requirements are violated but will notify the entities and ARB that a regulatory requirement has potentially been violated.
- (2) The Regulation also requires time frames by which actions on pending transfer requests must be completed within the CITSS.
  - a. Any proposed transfer request in the CITSS must be Approved within two days of being Proposed. If the transfer request is not Approved by the end of Day 2, the CITSS automatically expires the transfer request, no additional action can be taken on that transfer request, and the compliance instruments are not transferred and are returned to the available balance of the transferring account. The transferring entity may Propose a new transfer request to transfer the instruments if the original transfer request expires. (Once a transfer request is Proposed, the second representative of the transferring entity can Approve the transfer request at any time within 2 days.)
  - b. For transfers between entities, the transfer must be Accepted within three days of being Proposed. If the transfer request is not Accepted by the end of Day 3, the CITSS automatically expires the transfer request, no additional action can be taken on that transfer request, and the compliance instruments are not transferred and are returned to the available balance of the transferring account. The transferring entity may Propose a new transfer request to transfer the instruments if the original transfer request expires. (Once a transfer request is Approved, the representative of the receiving entity can Accept the transfer request at any time, as long as the action is taken within 3 days.)

### 3.4.1 Timing Requirements of the Transfer Process

All scheduling within the CITSS is based on prevailing Eastern Time (ET), i.e., Eastern Time with seasonal adjustments for daylight savings. A “day” begins at midnight (12:00 a.m.) and lasts until 11:59 p.m. the next evening. Each requirement period begins at midnight (12:00 a.m.) ET, i.e., Day 1 is the first 24-hour day following the Settlement Date or following the day that the transfer request is proposed. These requirements are explained in tables 3–7.

**Table 4. Timing Requirement to Report a Transfer Following the Settlement Date**

Friday 12 a.m. ET	Saturday 12 a.m. ET	Sunday 12 a.m. ET	Monday 12 a.m. ET
Settlement Date	Day 1	Day 2	Day 3
The three-day period to report a transfer begins at midnight (12 a.m. ET) of the day following the Settlement Date.			A transfer request must be Accepted within three days, i.e., not later than 11:59 p.m. on Day 3.  If the transfer request is not Accepted by the end of Day 3, the transfer violates the regulatory requirement to report within 3 days of the settlement date.

**Table 5. Timing Requirements of the Transfer Process**

Friday 12 a.m. ET	Saturday 12 a.m. ET	Sunday 12 a.m. ET	Monday 12 a.m. ET
Transfer Request Proposed	Day 1	Day 2	Day 3
A representative of the transferring entity Proposes a transfer request.  The three-day period begins at midnight (12 a.m.) ET of the day following Proposal of the transfer request.	A second representative of the transferring entity must Approve the Proposed transfer request no <u>later than two days</u> after it is proposed, i.e., by 11:59 p.m. of Day 2.	If the transfer request is not Approved by the end of Day 2, the CITSS automatically expires the transfer request.	When applicable, a representative of the receiving entity must Accept the transfer request within three days, i.e., not later than 11:59 p.m. on Day 3.  If the transfer request is not Accepted by the end of Day 3, the CITSS automatically expires the transfer request.
The transfer status is <b>PROPOSED</b>	The transfer status changes to <b>APPROVED</b>		The transfer status changes to <b>COMPLETE</b>

There are no requirements to prevent the shortest possible completion of the transfer process, i.e., all three steps (Propose, Approve, and Accept) could be completed on the same day.

**3.4.2 Potential Timing Scenarios**

A transfer can be Proposed either before or after the Settlement Date. In such situations it is possible to violate one timing requirement while complying with another. The CITSS will allow a transfer that only violates the Regulatory requirement for Completion within 3 days after the Settlement Date, but the transfer will be flagged in the CITSS as having violated the Regulation.

**CITSS Transfer Proposal Entered after Settlement Date**

In the example illustrated in Table 5, the Settlement Date is Friday, but the transfer request is not proposed until Saturday. In this situation, the transfer must be Accepted (Complete) by 11:59 p.m. on Monday to comply with the requirement to complete the transfer within three days of the Settlement Date. However, because the transfer request was proposed a day after the Settlement Date, the CITSS will allow the transfer to be Approved as late as 11:59 p.m. Monday and Accepted as late as 11:59 p.m. Tuesday. If the transfer request is not Accepted by 11:59 p.m. on Monday, the transaction would violate the regulatory requirement, but as long as the transfer request is Approved by this time and Accepted by Tuesday at 11:59 p.m., the CITSS will record the transfer. If either of these deadlines are missed, the transfer will expire in the CITSS.

**Table 6. Transfer Process  
Settlement Date is Before a Transfer Request is Proposed**

Friday	Saturday	Sunday	Monday	Tuesday
Settlement Date	<b>Day 1</b>	<b>Day 2</b>	<b>Day 3</b>	
	Transfer Proposed	<b>Day 1</b>	<b>Day 2</b>	<b>Day 3</b>
			<i>Must be Complete</i> ⌋	
			<i>Must be Approved</i> ⌋	<i>Must be Accepted</i> ⌋

**CITSS Transfer Proposal Entered before Settlement Date**

If a the transfer request is Proposed before the Settlement Date, as illustrated in Table 6, then the transfer request must be Approved within two days of having been Proposed and Accepted within three days of having been Proposed. The transfer will be completed before expiration of the three-day period following the Settlement Date.

**Table 7. Transfer Process  
Settlement Date is After a Transfer Request is Proposed**

Friday	Saturday	Sunday	Monday	Tuesday
Transfer Proposed	<b>Day 1</b>	<b>Day 2</b>	<b>Day 3</b>	
	Settlement Date	<b>Day 1</b>	<b>Day 2</b>	<b>Day 3</b>
			<i>Must be Approved</i> ⌋	
			<i>Must be Accepted</i> ⌋	
				<i>Must be Complete</i> ⌋

**CITSS Transfer Completed before Settlement Date**

Finally, it is important to describe the situation where a transfer request is completed before the Settlement Date. When a transfer request is Accepted, the CITSS changes the status of a transfer request to Complete and transfers ownership of the compliance instruments. If a transfer request is Complete before the Settlement Date, the CITSS will transfer ownership regardless of the status of any outside contract requirements, including a Settlement Date in the future.

**Table 8. Transfer Process  
Settlement Date is After a Transfer Request is Complete**

Friday	Saturday	Sunday	Monday	In the Future
		<i>Approved</i> ↴	<i>Accepted and ownership transferred</i> ↴	
Transfer Proposed	<b>Day 1</b>	<b>Day 2</b>	<b>Day 3</b>	◀▶ Settlement Date

### 3.5 Preparing to Transfer Compliance Instruments

Assembling the information required to Propose a transfer request beforehand will avoid interruptions and the necessity to stop and start while in the data entry process. The information needed to propose a transfer request varies with the type of request.

Preparation of a transfer request begins at the CITSS transfer screen, which includes Tooltips to assist users with the required entries. Tooltips are activated by hovering the mouse cursor over the question mark (?) to the right of each data field.

The following information is required to prepare and propose a request to transfer allowances between entities, from a *General Account* to another *General Account*.

- Account Number of Receiving Account (obtained from representative of receiving entity)
- Entity Reference Code of Receiving Entity (obtained from representative of receiving entity)
- Type, vintage, and quantity of Compliance Instruments to be transferred
- Transfer to Corporate Associate (yes/no)
- Price (average price per compliance instrument)
- Currency involved (USD, CAD)
- Trading Venue (Exchange, OTC)
- Type of Contract (Forward, Future, Spot, Other)
- Settlement Date
- Agreement Date

#### Locating Account Numbers and Entity Reference Codes

For transfers to other entities, the representatives of the receiving entity must provide the Account Number and the Entity Reference Code to the representative of the transferring entity. The Account Number can be found on the User Home page, as shown in Figure 2.

Figure 2 - CITSS User Home Page Showing Account Numbers

The screenshot shows the CITSS user interface. At the top, there is a header with the WCI, Inc. logo, the text 'Forward Development', and 'CITSS Compliance Instrument Tracking System Service'. It also includes language options (English, Français) and the user's login information (LOGGED IN AS: pplants). Below the header, a navigation sidebar on the left contains links for 'Log Out', 'Home', 'My User Profile', 'Account Registration', and 'Transfer History'. The main content area is titled 'Welcome to WCI CITSS' and displays a table of 'My Accounts'. The table has columns for Name, Operating Name, Account Type, Account Number, Jurisdiction, Account Status, and Actions. The 'Account Number' column is highlighted with a red box. A blue arrow points to the 'View' button in the Actions column for the last row.

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	<a href="#">View</a>
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	<a href="#">View</a>
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	<a href="#">View</a>
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	<a href="#">View</a>
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	<a href="#">View</a>

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## Transfer Process Examples

The Entity Reference Code is located on the Account Details page for each account. To access the Accounts Detail Page, select an account by clicking on the View Button for the Account in the Actions column of the Users Home Page (see Figure 2). This will take you to the Account Page shown in Figure 3.

**Figure 3 - CITSS Account Page Showing Account Detail Button**

The screenshot shows the CITSS interface for the Sacramento Power Agency General Account (CA1000-1000). The account number CA1000-1000 is highlighted with a red box. Below the account information, there is a table of holdings with columns for Vintage, Jurisdiction, Type, Sub-Type, Category, Project Code, Quantity, and Initiate Transfer. The 'Account Detail' button is also highlighted with a red box.

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2013		Allowance				50,000	<a href="#">Initiate Transfer</a>
2014		Allowance				600,000	<a href="#">Initiate Transfer</a>
2013	California	Offset		Ozone Depleting Substances Projects	PR00001	20,000	<a href="#">Initiate Transfer</a>
2014	California	Offset		U.S. Forest Projects	PR00002	40,000	<a href="#">Initiate Transfer</a>

Access the Account Detail page by clicking on the **Account Detail** button highlighted in Figure 3. The entity reference code is located on the Account Detail page, shown in Figure 4.

**Figure 4 - CITSS Account Detail Page Showing Entity Reference Code**

The screenshot shows the CITSS interface for the Sacramento Power Agency Account Detail page. The page displays general identification information, including the Entity Reference Code 86967516, which is highlighted with a red box.

General Identification	Value
CITSS Entity ID	CA1000
Legal Name	Sacramento Power Agency
Operating Name	Sacramento Power Agency
NAICS Code	221122 Electric Power Distribution
Entity Reference Code	86967516
Jurisdiction	California
Entity Type	Covered Entity, Covered Source, or Opt-in Entity

## 4.0 Transfer Process Examples

This section presents examples of transfers entered in in the CITSS. Each example consists of step-by-step instructions to complete the transfer process for each type of transfer.

The CITSS has been designed so that the steps to accomplish a transfer are essentially the same, regardless of the type of transfer, with only small differences. This design minimizes the number of iterations that users must learn and reduces the chance of errors. There are two general types of transfers:

1. **Three steps Transfers - Transfers between entities (two parties).** These transfers require three steps (Propose, Approve, and Accept), and both the transferring and receiving entities must participate in the transfer process. Instruments are transferred, and the transfer status changes to Complete when the transfer request is Accepted.
2. **Two step Transfers - Transfers between one entity's own accounts, an entity and an exchange clearing service provider, or an entity and jurisdiction accounts** only require the Propose and Approve steps to be Complete. The receiving account does not have to Accept the transfer. Compliance instruments are transferred, and the transfer status changes to Complete when the transfer request is Approved.

The CITSS requires that covered entities, opt-in entities, and general market participants (organizations) have at least two account representatives - a Primary Account Representative (PAR) and an Alternate Account Representative (AAR) - to be able to complete the Propose and Approve steps in a transfer. An Individual General Market Participant is allowed to act as both the PAR and an AAR on their account, so a single representative of an individual general market participant account can Propose and Approve transfers without a second representative. If an individual general market participant chooses to designate one or more AARs, then they must follow the requirement of a second individual Approving transfers.

This section presents the following step-by-step examples:

- 1: Propose a Transfer from a *General Account* to the *General Account* of another entity
- 2: Propose a Transfer From a *General Account* to a *Compliance Account*
- 3: Propose a Transfer From a *General Account* to an *Exchange Clearing Service Account*
- 4: Propose a Transfer From an *Exchange Clearing Service Account* to a *General Account*
- 5: Propose a Transfer From a *Limited Use Holding Account* to the *Auction Account*
- 6: Approve a Transfer Request
- 7: Accept a Transfer Request

#### 4.1 Propose a Transfer from a *General Account* to a *General Account*

This example presents the steps required to transfer instruments from a *General Account* to the *General Account* of another entity.

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 5. The page is titled “Welcome to WCI CITSS” and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

**STEP 2 Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account*, a *Limited Use Holding Account*, a *Compliance Account*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always has a *General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are needed to Propose transfer requests in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered. As shown, the User Home Page is a convenient location to locate account numbers.

**STEP 3 Select the Transferring Account.** In the example in Figure 5, you have access to a *General Account*, a *Compliance Account*, and a *Limited Use Holding Account* for the Sacramento Power Agency. You may transfer instruments from a *General Account* or a *Limited Use Holding Account*. In this example, compliance instruments are to be transferred from the *General Account*. To select the desired account, click on the **View** button located in the Actions column on the far right. In this example we will transfer compliance instruments from the *General Account*. **Click on the **View** button to select the *General Account*.**

This action will switch you from the User Home Page to the General Account Page (Figure 6) for the selected account.

Figure 5 - CITSS User Home Page



# CITSS

Compliance Instrument Tracking System Service

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You last logged into CITSS on: 2012-09-10 11:16:12 EDT

Log Out

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## Welcome to WCI CITSS

### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>

1 2 [Next](#)
1-5 of 6 records

### Account Applications

Name	Entity Type	Jurisdiction	Entity Status
<a href="#">Aq Fabrication Corp</a>	Covered Entity, Covered Source, or Opt-in Entity	California	Pending
<a href="#">Aggregate Harveters</a>	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

2 records

### Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
<a href="#">100013</a>	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record



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### Select Compliance Instruments to be Transferred

Figure 6 shows the General Account Page for the Sacramento Power Agency. The *General Account* is assigned account number CA1000-1000. The General Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

The two tabs in the window on the lower half of the page are identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer history can also be accessed using the menu link in the upper left of the screen.

**STEP 4 Review the Transferring Account Information.** On the General Account page for the Sacramento Power Agency, you:

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

**STEP 5 Select Compliance Instruments to be Transferred.** Begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

**STEP 6** Once you have selected the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the **Initiate Transfer** button at the right end of the line of the instruments you wish to transfer.**

This action will take you to the Select Type of Transfer page (Figure 7).

Figure 6 - CITSS General Account Page



# CITSS

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## Sacramento Power Agency General Account (CA1000-1000)

Your account information is provided below. If you would like to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents for this account, update the contact data for the account holder, or indicate your intent to participate in the next quarterly auction or reserve sale select "Account Detail".

Account Number	CA1000-1000
Account Type	General
Account Status	Active
Account Balance:	710,000
Available Account Balance:	709,000

[Account Detail](#)

Holdings
Transfers

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2013		Allowance				50,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px; text-decoration: none;">Initiate Transfer</a>
2014		Allowance				600,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px; text-decoration: none;">Initiate Transfer</a>
2013	California	Offset		Ozone Depleting Substances Projects	PR00001	20,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px; text-decoration: none;">Initiate Transfer</a>
2014	California	Offset		U.S. Forest Projects	PR00002	40,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px; text-decoration: none;">Initiate Transfer</a>

[CSV](#) [Excel](#) 4 records



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### Select the Type of Transfer

On the Select Type of Transfer Page (Figure 7), you must select the type of transfer being conducted.

Compliance instruments can be transferred from a *General Account* to another entity's *General Account*, to another entity registered to provide exchange clearing services, to a voluntary *Retirement Account*, or to your *Compliance Account* (you can never transfer instruments to another entity's *Compliance Account*). Transfers to another *General Account* will proceed through the three step Propose-Approve-Accept process, while transfers to the *Retirement Account*, your *Compliance Account*, or to or from an exchange clearing service provider, occur immediately upon the second step (Approve), without the requirement for an acceptance.

This example is specific to compliance instruments transfers from a *General Account* to another entity's *General Account*.

**STEP 7 Select the Type of Transfer.** At this screen, you must select the type of transfer being conducted. The type of transfer selected will determine the appropriate steps to complete preparation of the transfer request. **Click on the first button to select Transfer to another entity's General Holding Account.**

**STEP 8 Press the  button** to complete this step.

This will take you to the Propose Transfer page (Figure 8).

Figure 7 - CITSS Select Type of Transfer Page

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**CITSS** Compliance Instrument Tracking System Service

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### Select Type of Transfer

To propose a transfer of compliance instruments, select the type of transfer that describes what you would like to do.

Note: Transfers to the Jurisdiction's Retirement Account and transfers to a Compliance Account are permanent and cannot be reversed.

Type of Transfer

- \*  Transfer to another entity's General Holding Account.
- Transfer to another entity registered to provide exchange clearing services.
- Voluntarily retire compliance instruments to the Retirement Account.
- Transfer to my Compliance Account.

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### **Provide Transfer Details**

On the Propose Transfer from: General Account Page (Figure 8), the account representative will identify the receiving account and provide the details of the transfer. This screen provides Tooltips to assist users in completing the fields. Each tooltip is viewed by hovering the cursor over the magenta question mark located immediately to the right of the data field.

**Transferring Account Detail** – The CITSS automatically fills in the Transferring Account Detail based on the previously selected transfer type and instrument type.

**Receiving Account and Transfer Information** – The representative enters the details of the transfer in these fields.

- STEP 9 Provide the Account Number and Entity Reference Code of the receiving entity.** The **Account Number** and **Entity Reference Code** are obtained from a representative of the receiving entity. The account number consists of the two-letter abbreviation of the jurisdiction (CA), followed by a four-digit number, a hyphen, and a second four-digit number, e.g., CA1234-1234. The Entity Reference Code is an eight-digit number, e.g., 12345678.
- STEP 10 Provide the quantity of instruments to be transferred.** Quantity must be entered in whole numbers. Enter the number of compliance instruments you are proposing to transfer. This number cannot exceed your available account balance.
- STEP 11 Identify if the transfer is to a corporate associate.** If the entities involved in the transfer are direct corporate associates but are not part of a consolidated account, check this box. If you check this box, the entities must be designated as corporate associates on each entity's Corporate Associations and Structure Form. If the "Transfer to Corporate Associate" box is checked, the price and currency fields become optional entries.
- STEP 12 Enter the price and currency.** Indicate the average price per compliance instrument (not the total price) and the currency involved, US or Canadian. Entering the average price is required for transfers to another CITSS entity that is not a direct corporate associate or exchange clearing service provider. In certain circumstances a zero price is acceptable and will be accepted by the CITSS. For instance, if an EDU buys power from a generator under a "pass-through" arrangement, or for contracts in which compliance instruments are transferred along with or in return for bundles of goods and services, with no basis for calculating payment for the compliance instruments.
- STEP 13 Enter the trading venue and type of contract from the drop-down menus.** Venue options are Exchange, Over the Counter, and other. Exchange generally indicates a standard forward contract or an exchange-based spot contract. An Over the Counter (OTC) contract is between parties not through an exchange. The choices for type of contract are Forward, Future, Spot, or other.
- STEP 12 Enter the agreement and settlement dates.** The Agreement Date is the date the agreement is reached or the contract signed, while the Settlement Date is the date that the agreement/contract is fulfilled. Regardless of agreement or settlement date, the transfer of ownership occurs when the status of the transfer request in the CITSS is Complete.

**STEP 13 Enter a comment (not required).** Comments are viewable by all representatives and viewing agents of the transferring entity and the receiving entity.

**STEP 14 Certify to the Accuracy and Completeness of the Transfer.** After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

**STEP 15 Submit the Transfer Request.** The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen. **This finishes the steps to Propose a transfer. The transfer request status is now Proposed.**

**Figure 8 - CITSS Propose Transfer from: General Account Page**

**WCI, Inc. Forward Development** **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: pplants

**Propose Transfer from: General Account**

You may use this screen to propose a transfer of compliance instruments to the General Holding Account of another entity registered in the CITSS. Compliance instruments will not be transferred in the CITSS until the following steps have been completed:

Step 1: A PAR or AAR from the transferring entity proposes the transfer request in the CITSS. After selecting Submit, Step 1 will be completed and the transfer request will be proposed. The account representatives for the transferring entity will be notified via email.

Step 2: A PAR or AAR from the transferring account approves the transfer request in the CITSS. Except for individual account holders, the approving representative must be different than the PAR or AAR who proposes the transfer request. The transfer request must be approved by midnight (Eastern Time) of the second calendar day following proposal of the transfer request.

Step 3: A PAR or AAR from the receiving account accepts the transfer request in the CITSS. The transfer request must be accepted by midnight (Eastern Time) of the third calendar day following proposal of the transfer request.

**Transferring Account Detail**

Account Number	CA1000-1000
Account Type	General
Legal Name	Sacramento Power Agency
Operating Name	Sacramento Power Agency
Compliance Instrument	2014 Allowance
Account Balance	600,000
Available Account Balance	599,000

**Receiving Account and Transfer Information**

Account Number	*	CA1005-1003	?
Entity Reference Code	*	98622235	?
Quantity	*	1000	?
Transfer To Corporate Associate		<input type="checkbox"/>	?
Price	*	10.00	?
Currency	*	USD	?
Trading Venue		OTC	?
Type of Contract		Spot	?
Actual or Expected Settlement Date	*	7 September 2012	?
Agreement Date	*	7 September 2012	?
Comment			

*I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.*

Password \*

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### **Review the Submitted Transfer Request.**

The page shown in Figure 9 is presented after a transfer to another entity's *General Account* has been Proposed. The transfer is in the Proposed status awaiting approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request.**

The transfer is now identified by a unique Transfer ID number. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window on this page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it remains in the Proposed status.

Transfers to another entity's General Account will require the transferring entity to complete the two steps, Propose and Approve and the receiving entity to Accept the transfer. The transfer occurs when the third step (Accept) is entered by a representative from the receiving entity.

*The steps to Approve a Proposed Transfer are presented in Section 4.6.*

Figure 9 - CITSS Compliance Instrument Transfer Detail Page

# CITSS

Compliance Instrument  
Tracking System Service

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Transfer History

## Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Number	CA996-996
Account Type	General
Transfer ID	100017
Type	General Transfer
Compliance Instrument	2012 Offset CA-1234
Transfer Status	Proposed ?
Settlement Date	2012-10-05 00:00:00 EDT
Agreement Date	2012-10-05 00:00:00 EDT
Type of Contract	Spot
Trading Venue	OTC
Transfer To Corporate Associate	No
Price	\$100.00
Currency	USD
Quantity	10

### Accounts

	Transferring Account	Receiving Account
Legal Name	PAR Testing Corp	Charlottesville Corp.
Operating Name		Virginia Account
Account Number	CA996-996	CA989-988
Account Type	General	General

### Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-10-05 14:24	test	Hank Hudson

Back
Cancel Proposed Transfer

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## 4.2 Propose a Transfer from the *General Account* to the *Compliance Account*

This example presents the steps to transfer instruments from a *General Account* to a *Compliance Account*.

Every covered and opt-in entity has a *Compliance Account*. The *Compliance Account* is the account from which instruments are surrendered to the ARB at the end of a compliance period. Transfers to the *Compliance Account* are irreversible and instruments transferred into the *Compliance Account* cannot be removed at a future date.

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 10. The User Home Page is titled “Welcome to WCI CITSS” and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

**STEP 2 Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account*, a *Limited Use Holding Account*, a *Compliance Account*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always has a *General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service Providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are needed to Propose transfer requests in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered. As shown, the User Home Page is a convenient location to locate account numbers.

**STEP 3 Select the Transferring Account.** In the example in Figure 10, you have access to a *General Account*, a *Compliance Account*, and a *Limited Use Holding Account* for the Sacramento Power Agency. You may transfer instruments from a *General Account* or a *Limited Use Holding Account*. To select the desired account, click on the **View** button located in the Actions column on the far right. In this example we will transfer compliance instruments from the *General Account*. **Click on the **View** button to select the *General Account*.**

This action will switch you from the User Home Page to the General Account Page (Figure 11) for the selected account.

Figure 10 - CITSS User Home Page



# CITSS

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## Welcome to WCI CITSS

You last logged into CITSS on: 2012-09-10 11:16:12 EDT

### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>

1 2 [Next](#)
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### Account Applications

Name	Entity Type	Jurisdiction	Entity Status
<a href="#">Aq Fabrication Corp</a>	Covered Entity, Covered Source, or Opt-in Entity	California	Pending
<a href="#">Aggregate Harveters</a>	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

2 records

### Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
<a href="#">100013</a>	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record



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### Select Compliance Instruments to be Transferred

Figure 11 shows the General Account Page for the Sacramento Power Agency. The *General Account* is assigned account number CA1000-1000. The General Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

There are two tabs in the window on the lower half of the page identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer History can also be accessed using the link in the menu located in the upper left of the page.

**STEP 4 Review the Transferring Account Information.** On the General Account page for the Sacramento Power Agency, you:

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

**STEP 5 Select Compliance Instruments to be Transferred.** After ensuring that account information and balances are in order, you begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account. The list provides an itemized list of instruments in the account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

**STEP 6** Once you have identified the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the **Initiate Transfer** button at the right end of the line of the instruments you wish to transfer.**

Figure 11 - CITSS General Account Page



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## Sacramento Power Agency General Account (CA1000-1000)

Your account information is provided below. If you would like to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents for this account, update the contact data for the account holder, or indicate your intent to participate in the next quarterly auction or reserve sale select "Account Detail".

Account Number	CA1000-1000
Account Type	General
Account Status	Active
Account Balance:	710,000
Available Account Balance:	709,000

[Account Detail](#)

Holdings

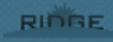
Transfers

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2013		Allowance				50,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Initiate Transfer</a>
2014		Allowance				600,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Initiate Transfer</a>
2013	California	Offset		Ozone Depleting Substances Projects	PR00001	20,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Initiate Transfer</a>
2014	California	Offset		U.S. Forest Projects	PR00002	40,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Initiate Transfer</a>

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California Environmental Protection Agency  
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### Select the Type of Transfer

On the Select Type of Transfer Page (Figure 12), you must select the type of transfer being conducted.

Compliance instruments can be transferred from a *General Account* to another entity's *General Account*, to another entity registered to provide exchange clearing services, to the jurisdiction's *Retirement Account*, or to your *Compliance Account* (you can never transfer instruments to another entity's *Compliance Account*). Transfers to another *General Account* will proceed through the three step Propose-Approve-Accept process; while transfers to the *Retirement Account*, or your *Compliance Account*, or to or from an exchange clearing service provider, occur immediately upon the second step (Approve), without the requirement for an acceptance.

This example is specific to compliance instruments transfers from a *General Account* to a *Compliance Account*.

**Reminder:** Transfers to your *Compliance Account* are irreversible.

**STEP 7 Select the Type of Transfer.** At this screen, you must select the type of transfer being conducted. The type of transfer selected will determine the appropriate steps to complete preparation of the transfer request. **Click on the last button to select Transfer to my *Compliance Account*.**

**STEP 8 Press the  button** to complete this step.

This will take you to the Propose Transfer Page (Figure 13).

Figure 12 - CITSS Select Type of Transfer Page

WCI, Inc. Forward Development

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## Select Type of Transfer

To propose a transfer of compliance instruments, select the type of transfer that describes what you would like to do.

Note: Transfers to the Jurisdiction's Retirement Account and transfers to a Compliance Account are permanent and cannot be reversed.

Type of Transfer \*

- Transfer to another entity's General Holding Account.
- Transfer to another entity registered to provide exchange clearing services.
- Voluntarily retire compliance instruments to the Retirement Account.
- Transfer to my Compliance Account.

Back Submit

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### **Provide Transfer Details**

On the Propose Transfer from: General Account Page (Figure 13), the account representative will provide the details of the transfer. This screen provides Tooltips to assist users in completing the fields with the correct information. Each tooltip is viewed by hovering the mouse cursor over the magenta question mark located immediately to the right of the data field.

**Transferring Account Detail** – For this type of transfer, CITSS automatically fills the Transferring Account Detail based on the previously selected transfer type and instrument type.

**Receiving Account Details** – CITSS automatically fills the Receiving Account Detail based on the previously selected transfer type. The representative enters the remaining details of the transfer in these fields.

**STEP 9 Propose the number of instruments for the transfer.**

**STEP 10 Enter a comment if you wish (not required).** Comments are viewable by all representatives and viewing agents of the transferring entity.

**STEP 11 Certify to the Accuracy and Completeness of the Transfer.** After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

**STEP 12 Submit the Transfer Request.** The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen. **This finishes the steps to Propose a transfer. The transfer request status is now Proposed.**

Figure 13 - CITSS Propose Transfer from: *General Account* Page



# CITSS

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Transfer History

## Propose Transfer from: General Account

You may use this screen to transfer compliance instruments from your General Holding Account to your Compliance Account. **Transferring compliance instruments to your Compliance Account is a permanent action.** Compliance instruments will not be transferred to your Compliance Account until the following steps have been completed:

Step 1: A PAR or AAR from the transferring account proposes the transfer request in the CITSS. After selecting Submit, Step 1 will be completed and the transfer request will be proposed in the CITSS and the account representatives for the transferring account will be notified via email.

Step 2: A PAR or AAR from the transferring account approves the transfer request in the CITSS. Except for individual account holders, the representative that approves a transfer request must be different than the representative that proposed the transfer request. The transfer request must be approved by midnight (Eastern Time) of the second calendar day following the date the transfer was initially proposed.

A transfer request to the Compliance Account DOES NOT require Acceptance, and is completed upon Approval by the second representative.

### Transferring Account Detail

Account Number	CA1000-1000
Account Type	General
Legal Name	Sacramento Power Agency
Operating Name	Sacramento Power Agency
Compliance Instrument	2014 Allowance
Account Balance	600,000
Available Account Balance	599,000

### Receiving Account and Transfer Information

Account Number	CA1000-1001
Account Name	Sacramento Power Agency
Account Type	Compliance
Quantity	* <input style="width: 80px;" type="text" value="1000"/> ?
Comment	<input style="width: 100%;" type="text"/>

*I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.*

Password	* <input style="width: 100%;" type="password"/>
----------	---

Cancel
Submit



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## Review the Submitted Transfer Request

The page shown in Figure 14 is presented after a transfer to the *Compliance Account* has been Proposed. The transfer is in the Proposed status awaiting approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request.**

The transfer is now identified by a unique Transfer ID number. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window on this page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it remains in the Proposed status.

Transfers to a *Compliance Account* only require the transferring entity to complete the two steps, Propose and Approve. The transfer occurs immediately upon the second step (Approve), without the requirement for an acceptance.

Figure 14 - CITSS Compliance Instrument Transfer Detail Page



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## Compliance Instrument Transfer Detail

Detailed transfer information for this Transfer ID is provided below. The status of this transfer request is dependent on which steps in the transfer process have been completed by the account representatives. One account representative must Propose the transfer request. For the compliance instruments to be transferred to the compliance account, the transfer request must be Approved by a transferring account representative other than the initiating representative by the end of the second calendar day following the initial transfer proposal.

A transfer request to the Compliance Account DOES NOT require Acceptance, and is completed upon Approval by the second representative.

Account Number	CA1000-1000
Account Type	General
Transfer ID	100014
Type	Compliance
Compliance Instrument	2014 Allowance
Transfer Status	Proposed ?
Quantity	1,000

### Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	Sacramento Power Agency
Operating Name	Sacramento Power Agency	Sacramento Power Agency
Account Number	CA1000-1000	CA1000-1001
Account Type	General	Compliance

### Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 12:53		Perry Plants

Back
Cancel Proposed Transfer



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#### 4.3 Propose a Transfer from a *General Account* to an Exchange Clearing Service Provider's, *Exchange Clearing Holding Account*

This example presents the steps required to transfer instruments from a *General Account* to an Exchange Clearing Service Provider's, *Exchange Clearing Holding Account*.

**An exchange clearing service provider** is an entity that will only take temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered with the Cap-and-Trade Program. All of the compliance instruments received by an exchange clearing holding account must be transferred to one or more destination accounts within five days of receiving them. A request to transfer compliance instruments to or from an exchange clearing holding account does not require confirmation by an account representative of the receiving account.

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 15. The User Home Page is titled "Welcome to WCI CITSS" and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

**STEP 2 Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account*, a *Limited Use Holding Account*, a *Compliance Account*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always has a *General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service Providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are required for transfers in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered.

**STEP 3 Select the Transferring Account.** In the example in Figure 15, you have access to a *General Account*, a *Compliance Account*, and a *Limited Use Holding Account* for the Sacramento Power Agency. You may transfer instruments from a *General Account* or a *Limited Use Holding Account*. You may transfer instruments from a *General Account* or a *Limited Use Holding Account*. To select the desired account, click on the **View** button located in the Actions column on the far right. In this example, compliance instruments are to be transferred from the General Account. **Click on the **View** button to select the General Account.**

This action will switch you from the User Home Page to the General Account Page (Figure 16) for the selected account.

Figure 15 - CITSS User Home Page



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You last logged into CITSS on: 2012-09-10 11:16:12 EDT

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Transfer History

## Welcome to WCI CITSS

### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	<a href="#" style="text-decoration: none; border: 1px solid #ccc; padding: 2px 5px;">View</a>

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### Account Applications

Name	Entity Type	Jurisdiction	Entity Status
<a href="#">Ag Fabrication Corp</a>	Covered Entity, Covered Source, or Opt-in Entity	California	Pending
<a href="#">Aggregate Harvesters</a>	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

2 records

### Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
<a href="#">100013</a>	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record



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## Select Compliance Instruments to be Transferred

Figure 16 shows the General Account Page for the Sacramento Power Agency. The *General Account* is assigned account number CA1000-1000. The Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

There are two tabs in the window on the lower half of the page identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer History can also be accessed using the link in the menu located in the upper left of the page.

**STEP 4 Review the Transferring Account Information.** On the General Account page for the Sacramento Power Agency, you:

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

**STEP 5 Select Compliance Instruments to be Transferred.** After ensuring that account information and balances are in order, you begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account. The list provides an itemized list of instruments in the account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

**STEP 6** Once you have identified the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the **Initiate Transfer** button at the right end of the line of the instruments you wish to transfer.**

This will take you to the Select Type of Transfer Page (Figure 17).

Figure 16 - CITSS General Account Page



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## Sacramento Power Agency General Account (CA1000-1000)

Your account information is provided below. If you would like to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents for this account, update the contact data for the account holder, or indicate your intent to participate in the next quarterly auction or reserve sale select "Account Detail".

Account Number	CA1000-1000
Account Type	General
Account Status	Active
Account Balance:	710,000
Available Account Balance:	709,000

[Account Detail](#)

Holdings

Transfers

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2013		Allowance				50,000	<a href="#">Initiate Transfer</a>
2014		Allowance				600,000	<a href="#">Initiate Transfer</a>
2013	California	Offset		Ozone Depleting Substances Projects	PR00001	20,000	<a href="#">Initiate Transfer</a>
2014	California	Offset		U.S. Forest Projects	PR00002	40,000	<a href="#">Initiate Transfer</a>

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## Select the Type of Transfer

On the Select Type of Transfer Page (Figure 17), you must select the type of transfer being conducted.

Compliance instruments can be transferred from a *General Account* to another entity's *General Account*, to another entity registered to provide exchange clearing services, to a voluntary *Retirement Account*, or to your *Compliance Account* (you can never transfer instruments to another entity's *Compliance Account*). Transfers to another *General Account* will proceed through the three step Propose-Approve-Accept process, while transfers to the *Retirement Account*, an Exchange Clearing Service Provider, or your *Compliance Account* occur immediately upon the second step (Approve), without the requirement for an acceptance.

This example is specific to compliance instruments transfers from a *General Account* to an Exchange Clearing Service Provider's, *Exchange Clearing Holding Account*.

**STEP 7 Select the Type of Transfer.** At this screen, you must select the type of transfer being conducted. The type of transfer selected will determine the appropriate steps to complete preparation of the transfer request. **Click on the button to select Transfer to another entity registered to provide exchange clearing services.**

**STEP 8 Press the  button** to complete this step.

This will take you to the Propose Transfer Page (Figure 18).

Figure 17 - CITSS Select Type of Transfer Page

### **Provide Transfer Details**

On the Propose Transfer from: General Account Page (Figure 18), the account representative will provide the details of the transfer and the receiving account. This screen provides Tooltips to assist users in completing the fields with the correct information. Each tooltip is viewed by hovering the mouse cursor over the magenta question mark located immediately to the right of the data field.

**Transferring Account Detail** – The CITSS automatically fills the Transferring Account Detail based on the previously selected transfer type and instrument type.

**Provide the Receiving Account and Transfer Information** – The representative enters the details of the transfer in these fields. Required information includes identification of the receiving account, number of compliance instruments being transferred, and details of the transfer.

**STEP 9 Provide the Account Number and Entity Reference Code of the receiving entity and the amount of the transfer.** The **Account Number** and **Entity Reference Code** are obtained from a representative of the receiving entity. The account number consists of the two-letter abbreviation of the jurisdiction (CA), followed by a four-digit number, a hyphen, and a second four-digit number, e.g., CA1234-1234. The Entity Reference Code is an eight-digit number, e.g., 12345678.

**STEP 10 Provide the quantity of instruments to be transferred.** Quantity must be entered in whole numbers. Enter the number of compliance instruments you are proposing to transfer. This number cannot exceed your available account balance.

**STEP 11 Enter the price and currency, if known.** These are optional fields since the transferring (selling) entity may not know the price.

**STEP 12 Enter the agreement and settlement dates.** The Agreement Date is the date the agreement is reached or the contract signed, while the Settlement Date is the date that the agreement/contract is fulfilled. Again, these are optional fields.

**STEP 13 Enter a comment if you wish (not required).** Comments are viewable by all representatives and viewing agents of the transferring entity.

**STEP 14 Certify to the Accuracy and Completeness of the Transfer.** After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

**STEP 15 Submit the Transfer Request.** The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen.

**The transfer request is now in a Proposed status.**

Figure 18 - CITSS Propose Transfer from: *General Account* Page



# CITSS

Compliance Instrument  
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## Propose Transfer from: General Account

You must use this screen to propose a transfer of compliance instruments to an entity providing exchange clearing services for the Cap-and-Trade Program. The exchange clearing service provider takes temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered in the CITSS. The exchange clearing provider must be registered in CITSS and must be a derivatives clearing organization as defined in the Commodities Exchange Act. Compliance instruments will not be transferred to the exchange clearing entity until the following steps have been completed:

Step 1: A PAR or AAR from the transferring account proposes the transfer request in the CITSS. After selecting Submit, Step 1 will be completed and the transfer request will be proposed in the CITSS and the account representatives for the transferring entity will be notified via email.

Step 2: A PAR or AAR from the transferring account approves the transfer request in the CITSS. Except for individual account holders, the approving representative must be different than the PAR or AAR who proposes the transfer request. The transfer request must be approved by midnight (Eastern Time) of the second calendar day following the date the transfer was initially proposed.

A transfer request to an exchange clearing service provider DOES NOT require Acceptance, and is completed upon Approval by the second representative.

### Transferring Account Detail

Account Number	CA1000-1000
Account Type	General
Legal Name	Sacramento Power Agency
Operating Name	Sacramento Power Agency
Compliance Instrument	2014 Allowance
Account Balance	598,000
Available Account Balance	596,000

### Receiving Account and Transfer Information

Account Number	*	<input type="text" value="CA1006-1006"/>	?
Entity Reference Code	*	<input type="text" value="26176577"/>	?
Quantity	*	<input type="text" value="2500"/>	?
Price		<input type="text"/>	?
Currency		-- Select --	?
Actual or Expected Settlement Date		14 November 2012	?
Agreement Date		11 September 2012	?
Comment		<input style="width: 90%;" type="text"/>	

I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.

Password	*	<input type="password" value="....."/>	
----------	---	--	--



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California Environmental Protection Agency  
**Air Resources Board**

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### **Review the Submitted Transfer Request.**

The page shown in Figure 19 is presented after a transfer to an *Exchange Clearing Service Provider* has been Proposed. The transfer is in the Proposed status awaiting approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request.**

The transfer is now identified by a unique Transfer ID number, 100017. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window near the bottom of the page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it remains in the Proposed status.

Transfers to Exchange Clearing Service Providers only require the transferring entity to complete the two steps, Propose and Approve. The transfer occurs immediately upon the second step (Approve), without the requirement for an acceptance from the receiving entity.

Figure 19 - CITSS Compliance Instrument Transfer Detail Page



# CITSS

Compliance Instrument  
Tracking System Service

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## Compliance Instrument Transfer Detail

Detailed transfer information for this Transfer ID is provided below. The status of this transfer request is dependent on which steps in the transfer process have been completed by the account representatives. One account representative must Propose the transfer request to the exchange clearing entity. For the allowances to be transferred to the exchange clearing entity, the transfer request must be Approved by a transferring account representative other than the initiating representative by the end of the second calendar day following the initial transfer proposal. A transfer request to an exchange clearing service provider DOES NOT require Acceptance, and is completed upon Approval by the second representative.

Account Number	CA1000-1000
Account Type	General
Transfer ID	100017
Type	To Clearing Provider
Compliance Instrument	2014 Allowance
Transfer Status	Proposed ?
Settlement Date	2012-09-14 00:00:00 EDT
Agreement Date	2012-09-11 00:00:00 EDT
Price	\$10.00
Currency	USD
Quantity	2,500

### Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	Carbon Trades Inc
Operating Name	Sacramento Power Agency	Carbon Trades Inc
Account Number	CA1000-1000	CA1005-1006
Account Type	General	Exchange Clearing Holding

### Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 19:29		Perry Plants

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#### 4.4 Propose a Transfer from an Exchange Clearing Service Provider's, *Exchange Clearing Holding Account* to a *General Account*.

This example presents the steps required to transfer instruments from an Exchange Clearing Service Provider's, *Exchange Clearing Holding Account* to a *General Account*.

**An exchange clearing service provider** is an entity that will only take temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered with the Cap-and-Trade Program. All of the compliance instruments received by an exchange clearing holding account must be transferred to one or more destination accounts within five days of receiving them. A request to transfer compliance instruments to or from an exchange clearing holding account does not require confirmation by an account representative of the destination account.

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 15. The User Home Page is titled "Welcome to WCI CITSS" and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

**STEP 2 Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account*, a *Limited Use Holding Account*, a *Compliance Account*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always has a *General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service Providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are required for transfers in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered.

**STEP 3 Select the Transferring Account.** In the example in Figure 20, you are acting as a representative of an Exchange Clearing Service Provider named, Carbon Trades Inc., which has only an *Exchange Clearing Holding Account*. You may only transfer instruments from this account to another entity's *General Account*. To select the *Exchange Clearing Service Account*, **click on the View button** located in the Actions column on the far right column.

This action will switch you from the User Home Page to the Exchange Clearing Holding Account Page (Figure 21)

.

Figure 20 - CITSS User Home Page



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# CITSS

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## Welcome to WCI CITSS

You last logged into CITSS on: 2012-12-11 13:25 EDT/EST

### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Fuel Products Inc.	Fuel Products Inc.	General	CA1015-1023	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc.	Fuel Products Inc.	Compliance	CA1015-1024	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc.	Fuel Products Inc.	Limited Use Holding	CA1015-1025	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Carbon Trades Inc.	Carbon Trades Inc.	Exchange Clearing Holding	CA1016-1026	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>

[Previous](#) [1](#) [2](#) [3](#) [4](#) [5](#) 21-24 of 24 records

### Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
<a href="#">100013</a>	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record



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## Select Compliance Instruments to be Transferred

Figure 21 shows the Exchange Clearing Holding Account Page for Carbon Trades Inc., assigned account number CA1016-1026. The Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

There are two tabs in the window on the lower half of the page identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer History can also be accessed using the link in the menu located in the upper left of the page.

**STEP 4 Review the Transferring Account Information.** On the Exchange Clearing Holding Account Page for the Carbon Trades Inc., you:

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

**STEP 5 Select Compliance Instruments to be Transferred.** After ensuring that account information and balances are in order, you begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account. The list provides an itemized list of instruments in the account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

**STEP 6** Once you have identified the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the **Initiate Transfer** button at the right end of the line of the instruments you wish to transfer.**

This will take you to the Select Type of Transfer Page (Figure 22).

Figure 21 - CITSS Exchange Clearing Holding Account Page



CITSS

Compliance Instrument  
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### Carbon Trades Inc. Exchange Clearing Holding Account (CA1016-1026)

Your account information is provided below. If you would like to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents for this account, update the contact data for the account holder, or indicate your intent to participate in the next quarterly auction or reserve sale select "Account Detail".

Account Number	CA1016-1026
Account Type	Exchange Clearing Holding
Account Status	Active
Account Balance	250
Available Account Balance	250

[Account Detail](#)

Holdings

Transfers

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2013		Allowance				250	<a href="#">Initiate Transfer</a>

[CSV](#) [Excel](#) 1 record



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### Provide Transfer Details

On the Propose Transfer from: Exchange Clearing Account Page (Figure XX), the account representative will provide the details of the transfer and the receiving account. This screen provides Tooltips to assist users in completing the fields with the correct information. Each tooltip is viewed by hovering the mouse cursor over the magenta question mark located immediately to the right of the data field.

**Transferring Account Detail** – The CITSS automatically fills the Transferring Account Detail based on the previously selected transfer type and instrument type.

**Receiving Account and Transfer Information** – The representative enters the details of the transfer in these fields. Required information includes identification of the receiving account, number of compliance instruments being transferred, and details of the transfer.

**STEP 9 Provide the Account Number and Entity Reference Code of the receiving entity.** The **Account Number** and **Entity Reference Code** are obtained from a representative of the receiving entity. The account number consists of the two-letter abbreviation of the jurisdiction (CA), followed by a four-digit number, a hyphen, and a second four-digit number, e.g., CA1234-1234. The Entity Reference Code is an eight-digit number, e.g., 12345678.

**STEP 10 Provide the quantity of instruments to be transferred.** Quantity must be entered in whole numbers. Enter the number of compliance instruments you are proposing to transfer. This number cannot exceed your available account balance.

**STEP 11 Enter the price and currency, if known.** These are optional fields for this type of transfer.

**STEP 12 Enter the settlement and agreement dates.** The Settlement Date is the date that the agreement/contract is fulfilled, while the Agreement Date is the date the agreement is reached or the contract signed. Again, these are optional fields.

**STEP 13 Enter a comment if you wish (not required).** Comments are viewable by all representatives and viewing agents of the transferring entity and receiving entity.

**STEP 14 Certify to the Accuracy and Completeness of the Transfer.** After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

**STEP 15 Submit the Transfer Request.** The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen.

**The transfer is now Proposed.**

Figure 22 - CITSS Propose Transfer from: *Exchange Clearing Account* Page



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**Propose Transfer from: Exchange Clearing Account**

You may use this screen to propose a transfer of compliance instruments from your Exchange Clearing Holding Account to the General Holding Account of another entity registered in the CITSS. Compliance instruments will not be transferred until the following steps have been completed:

Step 1: A PAR or AAR from the Exchange Clearing Holding Account proposes the transfer request in the CITSS. After selecting Submit, Step 1 will be completed and the transfer request will be proposed in the CITSS and the account representatives for the transferring entity will be notified via email.

Step 2: A PAR or AAR from the Exchange Clearing Holding Account approves the transfer request in the CITSS. The representative that approves the transfer request must be different than the representative that proposed the transfer request. The transfer request must be approved by midnight (Eastern Time) of the second calendar day following the date the transfer was initially proposed.

A transfer request from an exchange clearing service provider DOES NOT require Acceptance, and is completed upon Approval by the second representative.

**Transferring Account Detail**

Account Number	CA1016-1026
Account Type	Exchange Clearing Holding
Legal Name	Carbon Trades Inc.
Operating Name	Carbon Trades Inc.
Compliance Instrument	2013 Allowance
Account Balance	250
Available Account Balance	250

**Receiving Account and Transfer Information**

Account Number \*  ?

Entity Reference Code \*  ?

Quantity \*  ?

Price  ?

Currency -- Select -- ?

Actual or Expected Settlement Date 1 December 2012 ?

Agreement Date 15 November 2012 ?

Comment

*I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.*

Password \*



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### **Review the Submitted Transfer Request.**

The page shown in Figure 23 is presented after a transfer to an *Exchange Clearing Service Provider* has been Proposed. The transfer is in the Proposed status awaiting Approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request.**

The transfer is now identified by a unique Transfer ID number, 100011. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window near the bottom of the page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it remains in the Proposed status.

Transfers to Exchange Clearing Service Providers only require the transferring entity to complete the two steps, Propose and Approve. The transfer occurs immediately upon the second step (Approve), without the requirement for an acceptance from the receiving entity.

Figure 23 - CITSS Compliance Instrument Transfer Detail Page



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Transfer History

## Compliance Instrument Transfer Detail

Detailed transfer information for this Transfer ID is provided below. For the compliance instruments to be transferred to the General Holding Account of another entity registered in the CITSS, the transfer request must be Approved by an Exchange Clearing Holding Account representative other than the initiating representative by the end of the second calendar day following the initial transfer proposal.

Account Number	CA1016-1026
Account Type	Exchange Clearing Holding
Transfer ID	100011
Type	From Clearing Provider
Compliance Instrument	2013 Allowance
Transfer Status	Proposed ?
Settlement Date	2012-12-01 00:00:00 EST
Agreement Date	2012-11-15 00:00:00 EDT/EST
Price	
Currency	
Quantity	150

### Accounts

	Transferring Account	Receiving Account
Legal Name	Carbon Trades Inc.	Fuel Products Inc.
Operating Name	Carbon Trades Inc.	Fuel Products Inc.
Account Number	CA1016-1026	CA1015-1023
Account Type	Exchange Clearing Holding	General

### Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-12-11 14:13		Hank Hudson

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Cancel Proposed Transfer



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#### 4.5 Propose a Transfer from a *Limited Use Holding Account* to the *Auction Account*

This example presents the steps to transfer instruments from a *Limited Use Holding Account* to the *Auction Account*.

Only entities that are electrical distribution utilities (EDUs) designated by the Regulation receive a *Limited Use Holding Account* which contains allowances allocated by ARB. EDUs are required to consign allowances from their *Limited Use Holding Account* to quarterly auctions. Allowances in a *Limited Use Holding Account* can only be transferred (consigned) to the jurisdiction's *Auction Account*.

The process to prepare a transfer request from a *Limited Use Holding Account* is essentially the same as the process to transfer from a *General Account* to the *Compliance Account*. A transfer from a *Limited Use Holding Account* to the *Auction Account* is an irreversible transfer.

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 24. The User Home Page is titled "Welcome to WCI CITSS" and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

**STEP 2 Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. My Accounts summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account*, a *Limited Use Holding Account*, a *Compliance Account*, and/or an *Exchange Clearing Holding Account*. A Covered Entity always has a *General Account* and a *Compliance Account*. Only entities that are electrical distribution utilities designated by the Regulation receive a *Limited Use Holding Account*. Only entities that are registered as Exchange Clearing Service providers receive an *Exchange Clearing Service Account*.

Each account has a unique account number. Account numbers are needed to Propose transfer requests in the CITSS. When proposing a transfer, CITSS will fill in the number of the transferring account that you select. However, the account number of the receiving account must be obtained from a representative of the receiving entity and manually entered. As shown, the User Home Page is a convenient location to locate account numbers.

**STEP 3 Select the Transferring Account.** As shown in Figure 20, in this example, the representative has access to a *General Account*, a *Compliance Account*, and a *Limited Use Holding Account* for the Sacramento Power Agency. To select the desired account, click on the **View** button located in the Actions column on the far right. In this example we will transfer compliance instruments from the *Limited Use Holding Account*. **Click on the **View** button to select the *Limited Use Holding Account*.**

This action will move you from the User Home Page to the Limited Use Holding Account Page for the selected account (Figure 25).

Figure 24 - CITSS User Home Page



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You last logged into CITSS on: 2012-09-10 11:16:12 EDT

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## Welcome to WCI CITSS

### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Sacramento Power Agency	Sacramento Power Agency	General	CA1000-1000	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Sacramento Power Agency	Sacramento Power Agency	Compliance	CA1000-1001	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Sacramento Power Agency	Sacramento Power Agency	Limited Use Holding	CA1000-1002	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc	Fuel Product Inc	General	CA1001-1003	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Fuel Products Inc	Fuel Product Inc	Compliance	CA1001-1004	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>

1 2 [Next](#) 1-5 of 6 records

### Account Applications

Name	Entity Type	Jurisdiction	Entity Status
<a href="#">Ag Fabrication Corp</a>	Covered Entity, Covered Source, or Opt-in Entity	California	Pending
<a href="#">Aggregate Harveters</a>	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

2 records

### Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
<a href="#">100013</a>	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10

1 record



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## Select Compliance Instruments to be Transferred

Figure 25 shows the Limited Use Holding Account Page for the Sacramento Power Agency. The *Limited Use Holding Account* is assigned account number CA1000-1002. The Limited Use Holding Account Page shows information about this account. Information summarized on this page includes account number, type, status, balance, and available balance. More detailed information can be accessed through the **Account Detail** button.

There are two tabs in the window on the lower half of the page identified as Holdings and Transfers. The Holdings tab presents a detailed list of the compliance instruments currently in the account. The Transfer tab presents a history of transfers for this account. Transfer history can also be accessed using the link in the menu located in the upper left of the screen.

**STEP 4 Review the Transferring Account Information.** On the Limited Use Holding Account page for the Sacramento Power Agency, you.

- Review the account name, number, and type to ensure that you have selected the correct transferring account.
- Review the account status to ensure the account is in a status that allows transfers.
- Review account balance and available balance to ensure there are sufficient compliance instruments in the account to transfer.

**STEP 5 Select Compliance Instruments to be Transferred.** After ensuring that account information and balances are in order, you begin preparation of a transfer request by determining which compliance instruments you wish to transfer.

The Holdings tab presents a list of the compliance instruments that are currently in this account. The list provides an itemized list of instruments in the account by Vintage, Jurisdiction, Type, Sub-type, Category, Project Code, and Quantity. Note that several of these fields (Sub-type, Category, and Project Code) are only applicable to offsets and will be blank for allowance records.

**STEP 6** Once you have selected the instruments that you wish to transfer, you must press the **Initiate Transfer** button at the right end of the line to begin preparation of a transfer request. **Click on the **Initiate Transfer** button at the right end of the line of the instruments you wish to transfer.**

This action will take you to the Propose Consignment Transfer: *Limited Use Holding Account* page (Figure 26).

Figure 25 - CITSS Limited Use Holding Account Page



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## Sacramento Power Agency Limited Use Holding Account (CA1000-1002)

Your account information is provided below. If you would like to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents for this account, update the contact data for the account holder, or indicate your intent to participate in the next quarterly auction or reserve sale select "Account Detail".

<b>Account Number</b>	CA1000-1002
<b>Account Type</b>	Limited Use Holding
<b>Account Status</b>	Active
<b>Account Balance:</b>	15,000
<b>Available Account Balance:</b>	15,000

[Account Detail](#)

Holdings
Transfers

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2013		Allowance				15,000	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Initiate Transfer</a>
							<a href="#">CSV</a> <a href="#">Excel</a> 1 record



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## Propose Consignment Transfer

**Transferring Account Detail** – The CITSS automatically fills the Transferring Account Detail based on the previously selected transfer type and instrument type.

**Receiving Account Details** – CITSS automatically fills the Receiving Account Detail based on the previously selected transfer type. The representative enters the remaining details of the transfer in these fields.

**STEP 7 Enter the desired number of allowances to transfer.** The number of allowances that are to be transferred to the *Auction Account* is entered in the quantity field under the heading Receiving Account Transfer Information.

**STEP 8 Enter a comment if you wish (not required).** Comments are viewable by all representatives and viewing agents of the transferring entity and the jurisdiction representatives.

**STEP 9 Certify to the Accuracy and Completeness of the Transfer.** After completing the required transaction information fields, the representative of the transferring entity must attest to the accuracy and completeness of the transfer information by entering his/her password below the attestation.

**STEP 10 Submit the Transfer Request.** The transfer request is submitted to the CITSS by clicking on the **Submit** button at the bottom of the screen. **This finishes the steps to Propose a transfer. The transfer request status is now Proposed.**

**Consigning allowance to the Jurisdiction's *Auction Account* is a permanent and irreversible action. The consignment will be complete when the transfer is Approved by a second representative of the transferring entity.**

Figure 26 - CITSS Propose Consignment Transfer: *Limited Use Holding Account* Page



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## Propose Consignment Transfer: Limited Use Holding Account

You may use this screen to consign allowances from your Limited Use Holding Account to the Auction Holding Account. **Consigning allowances to the Jurisdiction's Auction Holding Account is a permanent action. Any allowances you consign to the Jurisdiction's Auction Holding Account will be auctioned at the next quarterly Auction.** Compliance instruments will not be transferred to the Jurisdiction's Auction Holding Account until the following steps have been completed:

**Step 1:** A PAR or AAR from the transferring account proposes the consignment transfer in the CITSS. After selecting Submit, Step 1 will be completed, the consignment transfer will be proposed in the CITSS, and the account representatives the transferring account will be notified via email.

**Step 2:** A PAR or AAR from the transferring account approves the consignment transfer in the CITSS. The representative that approves the consignment transfer must be different than the representative that proposed the transfer. The transfer must be approved by midnight (Eastern Time) of the second calendar day following the date the consignment transfer was initially proposed.

A consignment transfer to the Auction Holding Account DOES NOT require Acceptance, and is completed upon Approval by the second representative.

### Transfer Details

Account Number	CA1000-1002
Account Type	Limited Use Holding
Legal Name	Sacramento Power Agency
Operating Name	Sacramento Power Agency
Compliance Instrument	2013 Allowance
Account Balance	15,000
Available Account Balance	15,000

### Receiving Account Transfer Information

Number	CAJ996-990
Name	California
Type	Auction
Quantity	* <input style="width: 100px;" type="text" value="5000"/> ?
Comment	<input style="width: 100%; height: 20px;" type="text"/>

*I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.*

Password	* <input style="width: 100%; height: 20px;" type="password"/>
----------	---



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### **Review the Submitted Transfer Request.**

The page shown in Figure 27 is presented after a transfer to the *Auction Account* has been Proposed. The transfer is in the Proposed status awaiting approval by a second representative of the transferring entity. **All Proposed transfers require Approval from a second representative of the transferring entity. See Section 4.6: Approving a Transfer Request.**

The transfer is now identified by a unique Transfer ID number. This six-digit number can be found just below the account number and account type on this page. The Transfer ID number will be the identifier for this transaction in the CITSS.

The Transfer Event History window near the bottom of the page shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal. The transfer can be cancelled by the representative who entered the initial proposal as long as it remains in the Proposed status.

Transfers from a *Limited Use Holding Account* to the *Auction Account* only require the transferring entity to complete the two steps, Propose and Approve. The transfer occurs immediately upon the second step (Approve), without the requirement for an acceptance from the receiving entity.

Figure 27 - CITSS Compliance Instrument Transfer Detail Page



# CITSS

Compliance Instrument Tracking System Service

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## Compliance Instrument Transfer Detail

The consignment transfer has been successfully proposed.

Detailed transfer information for this Transfer ID is provided below. The status of this consignment transfer request is dependent on which steps in the transfer process have been completed by the account representatives. One account representative must Propose the transfer request. The transfer request must be Approved by a different representative than the individual that proposed the transfer request. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the date the transfer was initially proposed.

Account Number	CA1000-1002
Account Type	Limited Use Holding
Transfer ID	100015
Type	Consignment
Compliance Instrument	2013 Allowance
Transfer Status	Proposed ?
Quantity	5,000

### Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	California
Operating Name	Sacramento Power Agency	
Account Number	CA1000-1002	CAJ996-990
Account Type	Limited Use Holding	Auction

### Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 13:26		Perry Plants

Back
Cancel Proposed Transfer



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## 4.6 Approve a Transfer Request

The process to perform a transfer between accounts consists of essentially the same steps, with small differences. All transfers require that a transfer request be Proposed and subsequently Approved by another representative of the transferring entity. When a representative Proposes a transfer request, the transfer request with Proposed status appears in the Pending Transfer window on the home page of all representatives of the transferring entity. An email is also sent to those representatives notifying them that a transfer request has been proposed and requires approval.

Individual General Market Participants are allowed to act as both the PAR and the AAR on their account. For these accounts, when a transfer request requires Approval, the individual representative Proposes the transfer request and the CITSS allows the same individual to Approve the transfer request immediately after proposing it.

For all other entity accounts and individual general market participants that have assigned AARs, a second individual must Approve a transfer proposal. This example will explain how to Approve a Proposed transfer request. As noted above, this process is essentially the same for all types of transfer requests within the CITSS.

The Regulation stipulates that any transfer request in the CITSS must be Approved within two days of being proposed. If the transfer request is not Approved by the end of Day 2, the CITSS automatically expires the transfer request, no additional action can be taken on that transfer request, and the compliance instruments are not transferred and are returned to the available balance of the transferring account. The transferring entity must Propose a new transfer to transfer the instruments if the original transfer request expires.

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page, which should look similar to Figure 28. The User Home Page is titled “Welcome to WCI CITSS” and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

**STEP 2 Review Pending Transfers.** The Pending Transfers window shows transfer requests that are in the Proposed Status for which the user is the PAR, an AAR, or an AVA of the transferring account. AVAs will not have access, only the ability to view.

This window also shows any pending transfers with a status of Approved that have been received from other entities and are awaiting Acceptance by a representative of the receiving entity. (Accepting a transfer request is covered in Section 4.7.)

Identify pending transfers with a status of Proposed. There may be several pending transfers in this status. The account details for each pending transfer are presented on the page, allowing the user to identify each proposed transfer request.

**STEP 3 Select the Pending Transfer for Approval.** Each pending transfer is identified by a Transfer ID, which is a selectable link in the first column under Pending Transfers. Clicking on the Transfer ID will open the Compliance Instrument Transfer Detail page for the selected transfer. **Click on the Transfer ID for the desired transfer.**

Figure 28 - CITSS User Home Page



# CITSS

Compliance Instrument Tracking System Service

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## Welcome to WCI CITSS

You last logged into CITSS on: 2012-09-10 12:49:09 EDT

### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Meg Mason		General	CA987-987	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Atlanta Corp.	Georgia Account	Exchange Clearing Holding	CA988-988	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Charlottesville Corp.	Virginia Account	General	CA989-988	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Austin Corp.	Texas Account	Limited Use Holding	CA989-989	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>
Austin Corp.	Texas Account	Compliance	CA990-989	California	Active	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">View</a>

1 2 3 4 5 [Next](#) 1-5 of 24 records

### Account Applications

You do not have any open account applications.

### Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
<a href="#">100013</a>	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Proposed	2012-09-10
<a href="#">100014</a>	Sacramento Power Agency	CA1000-1000	General	Sacramento Power Agency	CA1000-1001	Compliance	Proposed	2012-09-10
<a href="#">100015</a>	Sacramento Power Agency	CA1000-1002	Limited Use Holding	California	CAJ996-990	Auction	Proposed	2012-09-10

3 records



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## Approve a Proposed Transfer

**STEP 4 Review the Proposed Transfer Request.** The Compliance Instrument Transfer Detail Page (Figure 29) summarizes the selected Proposed transfer request.

The Transfer Event History window shows the time and date that the transfer request was proposed, as well as the representative that submitted the proposal.

A transfer request in Proposed Status can be cancelled by the individual who entered the proposal until the transfer request is approved.

**STEP 5 Approve / Deny Transfer.** Select the appropriate button to either approve or deny the Proposed transfer request. You may enter a comment if desired. Comments are viewable by all representatives and viewing agents of the transferring entity and the receiving entity.

**STEP 6 Certify to the Accuracy and Completeness of the Transfer.** After reviewing the required transaction information fields and designating an action (approve or deny), the representative of the transferring entity must attest to the accuracy and completeness of the information by entering his/her password below the attestation.

**STEP 7 Approve the Transfer Request.** The Approval (or Denial) is submitted to the CITSS by clicking on the **Process Transfer** button at the bottom of the screen.

Transfers between an entity's own accounts (*General Account to Compliance Account*), transfers to or from an Exchange Clearing Service Provider, or transfers to jurisdiction accounts (*General Account to Retirement Account* or *Limited Use Holding Account to Auction Account*) do not require acceptance by the receiving entity. These transfers only require the Propose and Approve steps to complete the transfer. In these transfers, the status of the Transfer will move to Complete as soon as the Approval is submitted.

Transfers from one entity's *General Account* to another entity's *General Account* require Acceptance by a representative of the receiving entity. In these transfers, after the Approval is complete, the status of the transfer changes to Approved, the transfer shows in the Pending Transfer screen of the representatives of the receiving entity, and an email is sent to the representatives of both the transferring and receiving entity informing them that a change in the status of a transfer occurred.

Figure 29 - CITSS Compliance Instrument Transfer Detail Page



# CITSS

Compliance Instrument Tracking System Service

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## Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Number	CA1000-1000
Account Type	General
Transfer ID	100016
Type	General Transfer
Compliance Instrument	2014 Allowance
Transfer Status	Proposed ?
Settlement Date	2012-09-13 00:00:00 EDT
Agreement Date	2012-09-10 00:00:00 EDT
Type of Contract	Spot
Trading Venue	OTC
Transfer To Corporate Associate	No
Price	\$10.00
Currency	USD
Quantity	2,000

### Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	Fuel Products Inc
Operating Name	Sacramento Power Agency	Fuel Product Inc
Account Number	CA1000-1000	CA1001-1003
Account Type	General	General

### Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 18:56		Perry Plants

#### Approve/Deny Transfer

A transfer to another general holding account in the CITSS has been proposed. You must either approve or deny this transfer request by midnight (Eastern Time) of the second calendar day following the proposal of the transfer request. If you approve this transfer request, the receiving entity account representatives will be notified via email of your approval. An account representative from the receiving entity will need to accept or decline this transfer for the transfer to be completed.

\* = Required field

Decision \*  Approve  
 Deny

Comment

*I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.*

Password \*

## Review the Approved Transfer Request

After a transfer has been Approved, the CITSS returns to the Account Page for the account from which compliance instruments will be transferred when Complete, in this example the General Account Page (Figure 30).

**STEP 8 Review the Approved Transfer Request.** The CITSS confirms the Approved or Denied action taken on the Proposed transfer.

In this example, the message at the top of the General Account Page (Figure 30) indicates that the transfer has been Approved. CITSS logs the details of the action, and the transfer request status will change to Approved or Denied as appropriate.

If the transfer request does not require acceptance by the receiving entity, the CITSS will log the details of the approval and change the transfer status to Complete.

To review current and completed transfers, move to the Transfers Tab on the Account Page or the Transfer History accessible through the left hand navigation menu. Transfer History and the Transfer Tab are covered in Section 5 of this volume of the Users Guide.

Figure 30 - CITSS General Account Page



# CITSS

Compliance Instrument  
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## Sacramento Power Agency General Account (CA1000-1000)

The transfer has been approved.

Your account information is provided below. If you would like to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents for this account, update the contact data for the account holder, or indicate your intent to participate in the next quarterly auction or reserve sale select "Account Detail".

Account Number	CA1000-1000
Account Type	General
Account Status	Active
Account Balance:	710,000
Available Account Balance:	708,000

[Account Detail](#)

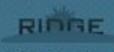
Holdings Transfers

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2013		Allowance				50,000	<a href="#">Initiate Transfer</a>
2014		Allowance				600,000	<a href="#">Initiate Transfer</a>
2013	California	Offset		Ozone Depleting Substances Projects	PR00001	20,000	<a href="#">Initiate Transfer</a>
2014	California	Offset		U.S. Forest Projects	PR00002	40,000	<a href="#">Initiate Transfer</a>

[CSV](#) [Excel](#) 4 records



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## 4.7 Accept a Transfer Request

The process to perform a transfer between two entities, in which neither are Exchange Clearing Service Providers, requires three steps—Propose, Approve, and Accept—requiring both parties to participate in the transfer process. When a representative from a transferring entity Approves a transfer request, the transfer request with Approved status appears in the Pending Transfer window on the home page of all representatives of the receiving entity. An email is also sent to those representatives notifying them that a transfer status has changed and alerting them that a transfer may require action. All representatives receive notification but only one representative will take action in the CITSS. This example will explain how a receiving entity Accepts an Approved transfer request.

The Regulation stipulates that a transfer request in the CITSS must be Accepted within three days of being proposed. If the transfer request is not Accepted by the end of Day 3, the CITSS automatically expires the transfer request, no additional action can be taken on that transfer request, and the compliance instruments are not transferred; they are returned to the available balance of the transferring account. The transferring entity must Propose a new transfer to transfer the instruments if the original transfer request expires.

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page which should look similar to Figure 31. The User Home Page is titled “Welcome to WCI CITSS” and provides access to three key categories of information: My Accounts, Account Applications, and Pending Transfers.

**STEP 2 Review Pending Transfers.** The Pending Transfers window shows transfer requests that are in the Proposed Status for which the user is the PAR, an AAR, or an AVA of the transferring account. AVAs will only have the ability to view not take action.

This window also shows any pending transfers with a status of Approved for which the user is the PAR, an AAR, or an AVA of the receiving account that are awaiting Acceptance by a representative of the receiving entity.

Identify pending transfers with a status of Approved. There may be several pending transfers in this status. The account details for each pending transfer are presented on the page, allowing the user to identify each proposed transfer request.

**STEP 3 Select the Pending Transfer for Acceptance.** Each pending transfer is identified by a Transfer ID, which is a selectable link in the first column under Pending Transfers. Clicking on the Transfer ID number will open the Compliance Instrument Transfer Detail page for the selected transfer. **Click on the Transfer ID number for the desired transfer.**

Figure 31 - CITSS User Home Page



# CITSS

Compliance Instrument Tracking System Service

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## Welcome to WCI CITSS

You last logged into CITSS on: 2012-09-10 13:28:52 EDT

### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Meg Mason		General	CA987-987	California	Active	<a href="#">View</a>
Atlanta Corp.	Georgia Account	Exchange Clearing Holding	CA988-988	California	Active	<a href="#">View</a>
Charlottesville Corp.	Virginia Account	General	CA989-988	California	Active	<a href="#">View</a>
Austin Corp.	Texas Account	Limited Use Holding	CA989-989	California	Active	<a href="#">View</a>
Austin Corp.	Texas Account	Compliance	CA990-989	California	Active	<a href="#">View</a>

1 2 3 4 5 [Next](#)
1-5 of 24 records

### Account Applications

You do not have any open account applications.

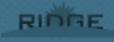
### Pending Transfers

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
<a href="#">100013</a>	Sacramento Power Agency	CA1000-1000	General	Fuel Products Inc	CA1001-1003	General	Approved	2012-09-10

1 record



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## Accept the Approved Transfer

**STEP 4 Review the Approved Transfer Request.** The Compliance Instrument Transfer Detail Page (Figure 32) summarizes the selected transfer request, showing the Transfer Status as Approved.

The Transfer Event History window shows the time and date that the transfer request was proposed and approved. The names of the representatives taking action on behalf of the transferring entity are not shown to the receiving entity representatives, only to representatives of the transferring entity.

**STEP 5 Accept / Decline the selected Transfer.** Select the appropriate button to either accept or decline the Approved transfer request. You may enter a comment if you wish. Comments are viewable by all representatives and viewing agents of the transferring entity and the receiving entity.

**STEP 6 Certify to the Accuracy and Completeness of the Transfer.** After reviewing the required transaction information fields and designating an action, the representative of the transferring entity must attest to the accuracy and completeness of the information by entering his/her password below the attestation.

**STEP 7 Accept the Transfer Request.** The acceptance of the transfer request is submitted to the CITSS by clicking on the **Process Transfer** button at the bottom of the screen.

Figure 32 - CITSS Compliance Instrument Transfer Detail Page



CITSS

Compliance Instrument  
Tracking System Service

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Account Registration

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Transfer History

## Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Number	CA1001-1003
Account Type	General
Transfer ID	100016
Type	General Transfer
Compliance Instrument	2014 Allowance
Transfer Status	Approved ?
Settlement Date	2012-09-13 00:00:00 EDT
Agreement Date	2012-09-10 00:00:00 EDT
Type of Contract	Spot
Trading Venue	OTC
Transfer To Corporate Associate	No
Price	\$10.00
Currency	USD
Quantity	2,000

### Accounts

	Transferring Account	Receiving Account
Legal Name	Sacramento Power Agency	Fuel Products Inc
Operating Name	Sacramento Power Agency	Fuel Product Inc
Account Number	CA1000-1000	CA1001-1003
Account Type	General	General

### Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-10 18:56		
Approval	2012-09-10 20:25		

#### Accept/Decline Transfer

An entity has proposed to transfer compliance instruments to your account. As the receiving account representative, you may use this screen to review the transfer request. You must either accept or decline this transfer request by midnight (Eastern Time) of the third calendar day following the proposal of the transfer request in the CITSS. When you accept or decline this transfer request, the PAR and the AARs of the transferring account and the receiving account will be notified via email of your decision. Compliance instruments will not be transferred in the CITSS until you, or another PAR or AAR from your entity, accept this transfer request in the CITSS.

\* = Required field

Decision \*  Accepted  Declined

Comment

*I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete.*

Password \*

**Review the Accepted Transfer Request**

**STEP 8 Review the Accepted Transfer Request.** The CITSS confirms the Accepted or Declined action on the Account Page (Figure 33). In this example, the General Account Page indicates that the transfer has been accepted and the compliance instruments have been transferred.

CITSS logs the details of the acceptance and changes the transfer request status to Complete.

**Figure 33 - CITSS General Account Page**

The screenshot displays the CITSS (Compliance Instrument Tracking System Service) interface for a user named 'hhudson'. The page title is 'Fuel Products Inc General Account (CA1001-1003)'. A notification banner at the top states: 'The transfer has been accepted and the compliance instruments transferred to your account'. Below this, a message explains that account information is provided and offers options to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents, update contact data, or indicate intent to participate in the next quarterly auction or reserve sale by selecting 'Account Detail'. The account details listed are: Account Number: CA1001-1003, Account Type: General, Account Status: Active, Account Balance: 3,000, and Available Account Balance: 3,000. A 'Transfers' tab is active, showing a table with one record for the year 2014, with a quantity of 3,000 and an 'Initiate Transfer' button. The footer contains the WCI, Inc. logo and text stating it is a non-profit corporation providing administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs. It also includes the RIDBE logo and copyright information for 2012 SRA International, Inc.

## 5.0 Transfer History

Transfer history is a permanent part of the ownership record maintained by the CITSS. There are two CITSS pages which provide transfer history information - the Transfer History page, and the Transfer Tab for each account on the individual Account Page. The details and history of an individual transfer can be reached by clicking on the Transfer ID.

1. The transfer history for **all accounts that this user is associated with** is accessed through “Transfer History” on the menu in the upper left hand of the home page (Figure 34). Selecting Transfer History will present a list of all transfers from all accounts that this user is associated with and this page includes sorting and search functions. See the example in Section 5.1.
2. The transfer history of a **single account** is accessed from the Account Page for that account by selecting the Transfer Tab. A list of all the transfers associated with any single account is located in the table under this Tab. See the example in Section 5.3. (The Account Page is reached by selecting the View button in the Actions column on the User’s Home Page.)

### 5.1 Accessing Transfer History for All Accounts

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page, which should look similar to Figure 30. The User Home Page is titled “Welcome to WCI CITSS.”

**STEP 2 Select Transfer History from the Menu.** Click on Transfer History in the CITSS menu located on the left side of the screen to go to the Transfer History for All Accounts page (Figure 35).

Figure 34 - CITSS User Home Page

WCI, Inc. Branch Development **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: hudson

Welcome to WCI CITSS You last logged into CITSS on: 2012-12-11 14:09 EDT/EST

Log Out  
Home  
Contact Us  
My User Profile  
Account Registration  
Transfer History

**My Accounts**

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Fuel Products Inc.	Fuel Products Inc.	General	CA1015-1023	California	Active	<a href="#">View</a>
Fuel Products Inc.	Fuel Products Inc.	Compliance	CA1015-1024	California	Active	<a href="#">View</a>
Fuel Products Inc.	Fuel Products Inc.	Limited Use Holding	CA1015-1025	California	Active	<a href="#">View</a>
Carbon Trades Inc.	Carbon Trades Inc.	Exchange Clearing Holding	CA1016-1026	California	Active	<a href="#">View</a>

Previous 1 2 3 4 5 21-24 of 24 records

**Pending Transfers**

Transfer ID	Transferring Account Entity	Transferring Account Number	Transferring Account Type	Receiving Account Entity	Receiving Account Number	Receiving Account Type	Status	Last Updated
<a href="#">100009</a>	Mega Power Corp.	CA998-998	General	Charlottesville Corp.	CA989-988	General	Proposed	2012-12-10

1 record

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### **STEP 3 Review and Search Transfer History for All Accounts.**

The list of transfers begins at the bottom of this page. The transfer list provides key information about each transfer, including:

- Transfer ID
- Date and Time Last Updated
- Status
- Transferring Account Name
- Transferring Account Type
- Receiving Account Name
- Receiving Account Type
- Quantity of Instruments

The Transfer History for All Accounts page (Figure 31) provides a search function to locate transfers based on the following search fields:

- Transfer ID
- Transfer Status
- Transfer Type
- Account Name (for both the transferring and receiving accounts)
- Account Number (for both the transferring and receiving accounts)
- Account Type (for both the transferring and receiving accounts)

When conducting a search, select the desired search attributes, click the  button to initiate the search. The list of transfers will change to reflect the search results.

Clicking on the  button resets the search, clearing all selected criteria. If none of the search attributes are selected, the list of transfers includes all transfers associated with the entity. The list will use as many pages as needed to display the transfers that meet the search criteria.

You can also produce an Excel spreadsheet or a comma separated value (CSV) text file of the displayed transfers by selecting the appropriate link available in the lower right corner of the table. See Figure 36 for a partial sample downloaded excel spreadsheet.

Figure 35 - CITSS Transfer History for All Accounts

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Transfer History

### Transfer History for All Accounts

This page lists all compliance instrument transfers for your accounts. Select the Transfer ID number to view more details on the individual compliance instrument transfer. Compliance instruments are not transferred in the CITSS until the transfer status is listed as "Complete."

Transfer ID

Status

▲  
Approved  
Cancelled  
Complete  
▼

Transfer Type

▲  
Administrative  
Compliance  
Consignment  
▼

Transferring Account Name

Transferring Account Number

Transferring Account Type

▲  
Allocation  
Auction  
Compliance  
▼

Receiving Account Name

Receiving Account Number

Receiving Account Type

▲  
Allocation  
Auction  
Compliance  
▼

Results per page

10

Search

Clear

Transfer ID	Last Updated (ET)	Status	Transfer Type	Transferring Account Name	Transferring Account Type	Receiving Account Name	Receiving Account Type	Quantity
<a href="#">100011</a>	2012-12-11 14:32:21	Complete	From Clearing Provider	Carbon Trades Inc. (CA1016-1026)	Exchange Clearing Holding	Fuel Products Inc. (CA1015-1023)	General	150
<a href="#">100008</a>	2012-12-11 14:28:40	Cancelled	From Clearing Provider	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	Charlottesville Corp. (CA989-988)	General	100
<a href="#">100010</a>	2012-12-11 14:04:07	Complete	To Clearing Provider	Mega Power Corp. (CA998-998)	General	Carbon Trades Inc. (CA1016-1026)	Exchange Clearing Holding	250
<a href="#">100009</a>	2012-12-10 18:23:04	Proposed	General Transfer	Mega Power Corp. (CA998-998)	General	Charlottesville Corp. (CA989-988)	General	100
<a href="#">100006</a>	2012-12-10 00:01:00	Expired	From Clearing Provider	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	Meg Mason (CA987-987)	General	50
<a href="#">100005</a>	2012-12-07 18:39:03	Complete	To Clearing Provider	Mega Power Corp. (CA998-998)	General	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	200
<a href="#">99958</a>	2012-08-02 09:24:37	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Austin Corp. (CA989-989)	Limited Use Holding	2,500
<a href="#">99957</a>	2012-07-17 08:59:15	Complete	Jurisdiction	California (CAJ996-994)	Issuance	PAR Testing Corp (CA996-996)	General	2,000
<a href="#">99959</a>	2012-07-17 00:30:00	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Mega Power Corp. (CA998-998)	General	1,000

[CSV](#) [Excel](#) 9 records

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Figure 36 - CITSS Transfer History – Sample Excel Download (partial)

Transfer ID	Last Updated (ET)	Status	Transfer Type	Transferring Account Name	Transferring Account Type	Receiving Account Name	Receiving Account Type	Quantity	Price	Currency
100011	2012-12-11 14:32:21	Complete	From Clearing Provider	Carbon Trades Inc. (CA1016-1026)	Exchange Clearing Holding	Fuel Products Inc. (CA1015-1023)	General	150	10.08	USD
100008	2012-12-11 14:28:40	Cancelled	From Clearing Provider	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	Charlottesville Corp. (CA989-988)	General	100		
100010	2012-12-11 14:04:07	Complete	To Clearing Provider	Mega Power Corp. (CA998-998)	General	Carbon Trades Inc. (CA1016-1026)	Exchange Clearing Holding	250	9.58	USD
100009	2012-12-10 18:23:04	Proposed	General Transfer	Mega Power Corp. (CA998-998)	General	Charlottesville Corp. (CA989-988)	General	100	10.1	USD
100006	2012-12-10 00:01:00	Expired	From Clearing Provider	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	Meg Mason (CA987-987)	General	50	10.05	USD
100005	2012-12-07 18:39:03	Complete	To Clearing Provider	Mega Power Corp. (CA998-998)	General	Atlanta Corp. (CA988-988)	Exchange Clearing Holding	200		
99958	2012-08-02 09:24:37	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Austin Corp. (CA989-989)	Limited Use Holding	2500		
99957	2012-07-17 08:59:15	Complete	Jurisdiction	California (CAJ996-994)	Issuance	PAR Testing Corp (CA996-996)	General	2000		
99959	2012-07-17 00:30:00	Complete	Jurisdiction	California (CAJ996-989)	Allocation	Mega Power Corp. (CA998-998)	General	1000		

## 5.2 Accessing Transfer History for a Selected Account

The CITSS provides the capability to locate the transfer history of all transfers conducted on a single account on the Account Page, Transfers Tab. This example will illustrate the Transfer History for the General Account associated with Fuel Products Inc.

**STEP 1 Log in to the CITSS.** If you log in to the CITSS as a registered user, you begin at the User Home Page (refer back to Figure 34). The User Home Page is titled “Welcome to WCI CITSS.”

**STEP 2 Select the Account.** Click on the [View](#) button of the selected account; in this example, the General Account. The button is located in the Action column. This will bring you to the Account Page for the selected account (Figure 37).

### Account Page

Figure 37 shows the Account Page for the General Account, assigned account number CA1015-1023 and owned by Fuel Products Inc. The Account Page provides access to detailed information about this account. Information about the account summarized on this page includes account number, type, status, balance, and available balance. More information is available via the [Account Detail](#) button.

### Tabbed Tables

This page features two tables, located in the tabbed window in the lower half of the page. By default, this page opens to the Holdings tab. The Holdings tab presents a detailed list of the compliance instruments currently in the account.

**STEP 3 Select the Transfers Tab.** Click on the Transfers Tab next to the Holdings Tab. The Transfer tab, Figure 38, presents a history of transfers for this account.

The transfer list provides key information about each transfer, including:

- Transfer ID
- Date and Time Last Updated
- Status
- Transferring Account Name
- Receiving Account Name
- Quantity of Instruments Proposed for Transfer
- Quantity of Instruments Transferred

You can also produce an Excel spreadsheet or a comma separated value (CSV) text file of the transfers in this table by selecting the appropriate link available in the lower right corner of the table.

The detailed history of an individual transfer is always reached by clicking on the Transfer ID number in the left column of the transfer history tables located on this page, as well as in the transfer table on the Transfer History of the All Accounts page.

Figure 37 - CITSS General Account Page

WCI, Inc. Branch Development **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: hudson

**Fuel Products Inc. General Account (CA1015-1023)**

Your account information is provided below. If you would like to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents for this account, update the contact data for the account holder, or indicate your intent to participate in the next quarterly auction or reserve sale select "Account Detail".

Account Number: CA1015-1023  
 Account Type: General  
 Account Status: Active  
 Account Balance: 150  
 Available Account Balance: 150

[Account Detail](#)

Holdings Transfers

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2013		Allowance				150	<a href="#">Initiate Transfer</a>

[CSV](#) [Excel](#) 1 record

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Figure 38 - CITSS Account Page –Transfers Tab

WCI, Inc. Branch Development **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: hudson

**Fuel Products Inc. General Account (CA1015-1023)**

Your account information is provided below. If you would like to change the Primary Account Representative (PAR) or Alternate Account Representative (AAR), add or remove Account Viewing Agents for this account, update the contact data for the account holder, or indicate your intent to participate in the next quarterly auction or reserve sale select "Account Detail".

Account Number: CA1015-1023  
 Account Type: General  
 Account Status: Active  
 Account Balance: 150  
 Available Account Balance: 150

[Account Detail](#)

Holdings **Transfers**

Transfer ID	Last Updated (ET)	Status	Transferring Account Name	Receiving Account Name	Quantity Proposed	Quantity Transferred
<a href="#">100011</a>	2012-12-11 14:32:21	Complete	Carbon Trades Inc. (CA1016-1026)	Fuel Products Inc. (CA1015-1023)	150	150

[CSV](#) [Excel](#) 1 record

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### 5.3 Transfer Detail Page

The Transfer Detail Page (Figure 39) for an individual transfer is always reached by clicking on the Transfer ID number. This number is located in the left column of the transfer history tables located on the Transfer History for All Accounts page (Figure 35) or the individual Account Page, Transfers Tab (Figure 38).

As shown in Figure 39, the Transfer Detail Page presents all the transfer information as well as the history of actions taken on the transfer.

The top window on this page provides the detail of the transfer as entered in the CITSS when the transfer was Proposed. This display will vary depending on the type of transfer just as the data that was entered in the CITSS to conduct a transfer varies depending on the type of transfer. The fields that will always be displayed include the transferring account number and type, the transfer ID, the transfer type, type of instruments involved, the status and the quantity of instruments entered for the transfer request. Figure 35 displays the Transfer Detail for a transfer occurring between two entity's general accounts so it also includes the additional fields that were entered when this transfer was Proposed, including settlement and agreement dates, type of contract, trading venue, identification if the transfer was to a corporate associate, price and currency.

The next window on this page, labeled Accounts, will always display the transferring and receiving account details.

The window near the bottom of the page, labeled Transfer Event History, include the following columns: Event, Event Date, Comments, and Action By.

The Event column identifies the actions that were conducted on this transfer sequentially. Possible actions are: Proposed, Cancelled, Approved, Denied, Accepted, Declined, Expired and Complete. Each of these actions is described in the transfer process section of this user guide.

The Event Date includes the date and time each action was submitted to the CITSS in prevailing Eastern Time, i.e., Eastern Time seasonally adjusted for Daylight Savings.

Any comments made during the event are viewable by all representatives and viewing agents of the transferring entity and the receiving entity.

The name of the individual that performed each action is only viewable by representatives of the same entity as the individual making the entry. For instance, the name and any comment entered by a representative of the transferring entity are only viewable to the other representatives of the transferring entity. Similarly, the names of the representative of the receiving entity will be visible to representatives of the receiving entity.

Figure 39 - CITSS Compliance Instrument Transfer Detail Page



# CITSS

Compliance Instrument Tracking System Service

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Transfer History

## Compliance Instrument Transfer Detail

Detailed transfer information for this transfer, identified by the unique Transfer ID, is provided below. The status of this transfer request (Proposed, Approved, Accepted) is dependent on which steps in the transfer process have been completed by the account representatives for the transferring and receiving entities. The transfer request must be Approved by midnight (Eastern Time) of the second calendar day following the transfer proposal. The request can only be Approved by a different account representative than the individual that proposed the transfer request. The transfer request must be Accepted by an account representative of the receiving entity by midnight (Eastern Time) of the third calendar day following the transfer proposal.

Account Number	CA1000-1000
Account Type	General
Transfer ID	100002
Type	General Transfer
Compliance Instrument	2013 Allowance
Transfer Status	Complete ?
Settlement Date	2012-09-26 00:00:00 EDT
Agreement Date	2012-09-26 00:00:00 EDT
Type of Contract	Spot
Trading Venue	OTC
Transfer To Corporate Associate	No
Price	\$10.00
Currency	USD
Quantity	1,250

### Accounts

	Transferring Account	Receiving Account
Legal Name	Snapshots User1	Mega Power Corp.
Operating Name	Snapshots User1	MEGA POWER OPERATING NAME
Account Number	CA1000-1000	CA998-998
Account Type	General	General

### Transfer Event History

Event	Event Date (ET)	Comment	Action By
Proposal	2012-09-26 13:10		Screenshot User1
Approval	2012-09-26 13:11		Jerry Jenkins
Acceptance	2012-09-26 13:14		
Completion	2012-09-26 13:14		

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Back Cover  
Volume III CITSS User Guide

California Environmental Protection Agency

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 **Air Resources Board**

California Environmental Protection Agency



# **Compliance Instrument Tracking System Service (CITSS)**

## **User Reference CITSS Version 4.0**

August 2014

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## CITSS 4.0 User Reference

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### List of Acronyms

AAHA	Annual Allocation Holding Account
CITSS	Compliance Instrument Tracking System Service
CSV	Comma Separated Values
IOU	Investor-Owned Utility
MTCO <sub>2</sub> e	Metric Ton Carbon Dioxide Equivalent
MRR	Mandatory Reporting Regulation
LUHA	Limited Use Holding Account
POU	Publicly-Owned Utility
USO	Untimely Surrender Obligation
URE	Under-Reported Emissions

## CITSS 4.0 User Reference

### Introduction

The Compliance Instrument Tracking System Service (CITSS) is a market tracking system that provides accounts for market participants to hold, transfer, and retire compliance instruments. CITSS records ownership of compliance instruments and account information; enables and records compliance instrument transfers; facilitates compliance verification and surrender of instruments; and supports market oversight through the collection of relevant information.

Development and implementation of CITSS has been phased, introducing new functionality in a series of application releases. CITSS releases and the primary functionality included in each release are summarized below.

<b>Version</b>	<b>Date of Release</b>	<b>Major Functionality Introduced</b>
CITSS 1.0	July 2012	User Registration and Entity Account Application.
CITSS 2.0	October 2012	Compliance Instrument Transfers.
CITSS 3.0	August 2013	Consolidated Account Restructuring and Holding Limits.
CITSS 3.1	January 2014	Jurisdiction Linking between California and Québec.
CITSS 4.0	August 2014	Annual Compliance Processing and Regulation Amendments.

### Compliance Functionality Implemented in CITSS 4.0

This User Reference has been prepared to describe new functionality implemented in CITSS Release 4.0 (CITSS 4.0). CITSS 4.0 implements the functionality needed to prepare and process an annual compliance obligation, including entry of verified emissions, calculating compliance obligations, and processing the surrender of instruments at the compliance obligation deadline. The major CITSS 4.0 components include the following:

- Emissions module to accept and show verified emission values by facility;
- Compliance obligation functionality to calculate obligations based on verified emissions and provide users the ability to review obligations and pending compliance status before an obligation deadline;
- Eligible Instruments module that identifies the type and vintage of compliance instruments eligible for surrender for any obligation, and;
- Functionality for CITSS to process obligations, retire instruments from entity compliance accounts, and track untimely surrender obligations.

CITSS 4.0 also implements several changes that reflect amendments to the Cap-and-Trade Regulation (Regulation), including the addition of the Annual Allocation Holding Account (AAHA) and increasing the default Purchase Limit for covered entities from 15

to 20 percent. In addition, a glossary of the most common English and French equivalent terms used in CITSS when describing the California Cap-and-Trade Program and Québec Cap-and-Trade System has been added. This reference will assist users that work with entities and representatives in cross-jurisdictional situations.

## Glossary

CITSS 4.0 includes the addition of “Glossary” as a new item on the main menu located at the left side of all CITSS pages. The main menu is easily identified by the light green background and provides quick access to commonly accessed actions in CITSS, such as Logout, Home, and My User Profile.

The Glossary, shown in Figure 2, lists the most common English and French equivalent terms used in CITSS when describing the California and Québec Cap-and-Trade Programs. This reference will assist users that work with entities and representatives in cross-jurisdictional situations.

Figure 1 – CITSS User Home Page

English • Français • LOGGED IN AS: asmith

You last logged into CITSS on: 2014-08-06 18:17:13 EDT

Log Out  
Home  
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Representative Reports  
**Glossary**

### Welcome to WCI CITSS

#### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Company A	Company A	General	CA1654-1812	California	Active	<a href="#">View</a>
Company A	Company A	Compliance	CA1654-1813	California	Active	<a href="#">View</a>
Company A	Company A	(c) Annual Allocation Holding	CA1654-1956	California	Active	<a href="#">View</a>
Utility A	Utility A	General	CA1678-1860	California	Active	<a href="#">View</a>
Utility A	Utility A	Compliance	CA1678-1861	California	Active	<a href="#">View</a>

1 2 [Next](#) 1-5 of 7 records

#### Pending Transfers

You do not have any pending transfers to review.

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Figure 2 – Glossary Page



# CITSS

Compliance Instrument  
Tracking System Service

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## Glossary

English version of the CITSS was originally developed by the California Air Resources Board for California users. As California and Quebec regulations' lexicons are specific to their jurisdiction, some terms encountered in Quebec English version of CITSS are different than those found in Quebec regulation text (Regulation respecting a cap-and-trade system for greenhouse gas emission allowances). The following glossary presents Quebec regulation equivalent for some important terms used in the CITSS.

Terms as found in CITSS	Equivalent in Quebec Regulation respecting a cap-and-trade system for greenhouse gas emission allowances
Agreement date	Date of signing of the agreement
Allowance	Emission unit
Allowance price containment reserve	Minister's reserve
Alternate account representative (AAR)	Account representative (other than principal)
Compliance instrument	Emission allowance
Corporate association	Business relationship
Corporate association group	Related entities
Covered entity	Emitter
Early reduction allowance (ERA)	Early reduction credit
Entity	Emitter or Participant
Facility	Establishment
Incorporation	Constitution
Jurisdiction	Partner entity; Government
Mandatory reporting regulation (MRR)	Regulation respecting mandatory reporting of certain emissions of contaminants into the atmosphere (chapter Q-2, r. 15)
Receiving account	Buyer account
Reserve sale	Sale by mutual agreement
Shortfall	Missing emission allowances
Transferring account	Seller account
Untimely surrender	Administrative sanction

Revision: 05/28/2014



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## Representative Reports

Selecting Representative Reports from the main menu will take a user to the Representative Reports page as shown in Figure 3. Most of the new functionality implemented in CITSS 4.0 supports compliance functionality and is located in CITSS in a new section of the Representative Reports page titled Compliance Reports. As shown in Figure 3, Compliance Reports includes five new reports which are summarized below:



1. Emissions

This report identifies verified emissions that have been entered into CITSS.

2. Facility True-up Quantity (for California Entities Only)

This report shows the True-up Quantity assigned by ARB when there are changes in production or allocation not properly accounted for in a prior allocation.

3. Compliance Obligations

This report provides a user with the ability to view details about pending and past compliance obligations.

4. Compliance Obligation Report

This report allows a user to quickly prepare a comma separated value (CSV) or Excel format download of compliance obligations.

5. Eligible Instruments for Surrender

This report provides a succinct list of the instruments that are eligible to surrender for a selected compliance obligation, and the order in which CITSS will surrender those instruments from an entity's Compliance Account. In addition, this report shows the number of more recent vintage allowances issued for the purpose of true-up that an entity may use to comply with the selected obligation.

Each of these new features is described in greater detail in the following sections of this User Reference.

Figure 3 – Representative Reports Page



# CITSS

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Tracking System Service

[English](#) • [Français](#) • LOGGED IN AS: asmith

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Glossary

## Representative Reports

This page allows a user to view or download Representative Reports. Representative Reports provide information to support user management of CITSS accounts. Most Representative Reports are configurable, allowing users to select criteria for custom reports. The Transfer History lists compliance instrument transfers. The Transfer Event Audit Report lists more detailed information about each transfer. The Entity Account Balance Report lists account balances. The Entity Monthly Statement provides a statement of account balances and transfers. The Emissions Report presents facility emissions. The True-Up Quantity Report lists the true-up quantity assigned by year. The Compliance Obligations allows access to detailed information and status for current or past Compliance Obligations. The Compliance Obligation (Data Export) Report presents approved compliance obligations. The Eligible Instruments for Surrender Report provides a list of compliance instruments that can be used during a selected obligation period. To prepare a Representative Report, select the "Continue" button in the Action column on the right. CITSS will open a report screen to select criteria for the selected report.

### Transfer and Balance Reports

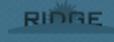
Report Name	Action
Transfer History	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Transfer Event Audit Report	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Entity Account Balance Report	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Entity Monthly Statement	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>

### Compliance Reports

Report Name	Action
Emissions	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
True-Up Quantity (for California Entities Only)	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Compliance Obligations	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Compliance Obligations (Data Export)	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Eligible Instruments for Surrender	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>



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California Environmental Protection Agency  
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## Review of Entities and Facilities

Emissions from facilities reported and verified under the Regulation for the Mandatory Reporting of Greenhouse Gas Emissions are the basis for calculation of compliance obligations under the Cap-and-Trade Program. Before describing the new emission module implemented in CITSS 4.0, it is important that users understand the relationship between an entity and a facility. If an entity is not associated with the correct facility or facilities, or any facility is assigned an incorrect GHG Emission Reporting ID under MRR, the calculation of the entity's compliance obligations will be incorrect.

CITSS 3.0 implemented facility and corporate association management functionality. In CITSS, a participating organization is referred to as the "entity." An entity is usually a business organization such as a corporation, but can also be a non-profit organization or an individual. Covered and opt-in entities incur compliance obligations for emissions generated by facilities that are owned or operated by the entity, as well as emissions from covered sectors such as upstream natural gas or transportation fuels.

In CITSS, "facility" means the same as it is defined in MRR. Each facility has a unique GHG Emissions Reporting ID. Every covered and opt-in entity MUST be associated with at least one facility that has been assigned a GHG Emissions Reporting ID under MRR.

Because activities and other nonphysical emission sources do not have traditional facility information, such as a facility name or an address, the fields on the facility page should be completed with information replicated from the entity's General tab, an example of which is shown in Figure 4. CITSS provides a "Use Entity Data" button within the facility edit page to simplify this process. The facility page will require the GHG Emission Reporting ID and NAICS code for the covered or opt-in facility.

In CITSS, each entity provides basic business information, such as corporate name and address, which is contained under the General tab (Figure 4). Every covered entity must also provide the basic information describing each facility. Facility information is stored by facility and accessible under the Facilities tab (Figure 4). Selecting the hyperlink in the Facility Name column provides the ability to edit information about the selected facility. There is an "Add Facility" button on the Facilities tab that should be used to add a new facility that has never been previously entered into CITSS. Signed hard copy documentation is required for certain changes to facility information, such as to change facility ownership, or to retire a facility. Users can obtain forms on the ARB Cap-and-Trade Program webpage at <http://www.arb.ca.gov/citss>.

Figure 4 – Location of Facility Information in CITSS

The screenshot shows the CITSS interface for 'Company A'. At the top, there is a header with the WCI, Inc. logo, the CITSS logo, and the text 'Compliance Instrument Tracking System Service'. On the right, it says 'English • Français • LOGGED IN AS: asmith'. On the left, there is a vertical navigation menu with links like 'Log Out', 'Home', 'Contact Us', 'My User Profile', 'Account Registration', 'Representative Reports', and 'Glossary'. The main content area is titled 'Company A' and contains a sub-header 'General Account', 'Compliance Account', and '(c) Annual Allocation Holding Account'. Below this are several tabs: 'General', 'Contact Information', 'Representatives', 'Account Viewing Agents', 'Holding Limits', 'Corporate Associates', 'Auction', and 'Facilities'. The 'Facilities' tab is highlighted with a red box. Below the tabs is a paragraph of text explaining the facilities tab. Underneath is a table with columns: 'Facility Name', 'Facility Operating Name', 'GHG Emissions Reporting ID', 'Status', 'Effective Date', 'Retirement Date', and 'Actions'. The table lists two facilities: 'Factory A1' and 'Factory A2'. Below the table is an 'Add Facility' button. At the bottom of the page, there is another set of tabs: 'General', 'Contact Information', 'Representatives', 'Account Viewing Agents', 'Holding Limits', 'Corporate Associates', 'Auction', and 'Facilities'. The 'General' tab in this set is highlighted with a red box. A red arrow points from the 'Facilities' tab in the main content area to the 'General' tab in the bottom navigation bar.

**General Identification**

CITSS Entity ID CA1654  
 Legal Name Company A  
 Operating Name Company A  
 Entity Reference Code 99580153  
 Jurisdiction California  
 Entity Type Covered Entity, Covered Source, or Opt-in Entity

## Emissions

The Emissions module implemented in CITSS 4.0 is accessed by selecting the button labelled “Continue” on the Emissions line of the Representative Reports page under Compliance Reports (Figure 5).

Emissions reported and verified under MRR are the basis of the compliance obligations for the Cap-and-Trade Program. The MRR requires reporting of specific sources of emissions within a facility boundary. Not all of the individual sources within the facility boundary will have a compliance obligation under the Cap-and-Trade Program. The sources of emissions with a compliance obligation are summed into a facility total. Every facility has a GHG Emission Reporting ID and must be associated with an entity. CITSS 4.0 provides users the ability to view the facility total emissions with a compliance obligation for each facility associated with an entity. Users are able to view emissions only for facilities that are associated with an entity that they represent.

Emissions reported under MRR are not reported and verified until after the calendar year has ended, e.g., emissions produced in 2013 are reported and verified to ARB and entered into CITSS in 2014. The obligation incurred for 2013 emissions is calculated in 2014 and compliance instruments are surrendered in November 2014. For this example, entities would surrender a sufficient number of instruments to cover 30 percent of their 2013 obligation on the annual surrender deadline of November 3, 2014, and sufficient instruments to cover the remaining 70 percent of their 2013 obligation plus instruments sufficient to cover 100 percent of their 2014 emissions obligation on the triennial surrender deadline in November 2015.

Figure 5 – Compliance Reports – Emissions



# CITSS

Compliance Instrument  
Tracking System Service

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## Representative Reports

This page allows a user to view or download Representative Reports. Representative Reports provide information to support user management of CITSS accounts. Most Representative Reports are configurable, allowing users to select criteria for custom reports. The Transfer History lists compliance instrument transfers. The Transfer Event Audit Report lists more detailed information about each transfer. The Entity Account Balance Report lists account balances. The Entity Monthly Statement provides a statement of account balances and transfers. The Emissions Report presents facility emissions. The True-Up Quantity Report lists the true-up quantity assigned by year. The Compliance Obligations allows access to detailed information and status for current or past Compliance Obligations. The Compliance Obligation (Data Export) Report presents approved compliance obligations. The Eligible Instruments for Surrender Report provides a list of compliance instruments that can be used during a selected obligation period. To prepare a Representative Report, select the "Continue" button in the Action column on the right. CITSS will open a report screen to select criteria for the selected report.

### Transfer and Balance Reports

Report Name	Action
Transfer History	<input type="button" value="Continue"/>
Transfer Event Audit Report	<input type="button" value="Continue"/>
Entity Account Balance Report	<input type="button" value="Continue"/>
Entity Monthly Statement	<input type="button" value="Continue"/>

### Compliance Reports

Report Name	Action
Emissions	<input style="border: 2px solid red;" type="button" value="Continue"/>
True-Up Quantity (for California Entities Only)	<input type="button" value="Continue"/>
Compliance Obligations	<input type="button" value="Continue"/>
Compliance Obligations (Data Export)	<input type="button" value="Continue"/>
Eligible Instruments for Surrender	<input type="button" value="Continue"/>



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Upon selection of Emissions from the Compliance reports menu, the user is presented with the Emissions page (Figure 6). The Emissions page allows users to view verified emissions that have been entered into CITSS for their facilities. Only verified emissions are entered into CITSS, and consequently, facility emissions in CITSS are normally updated once a year following receipt of verified emissions by ARB. In limited situations, ARB may not have verified emissions for a facility and may need to assign an emissions level under MRR. In these situations, the assigned emissions level will be used to determine the compliance obligation for the facility and the assigned emissions level will be viewable in CITSS.

The Emissions page allows a user to produce an Emissions Report. The search function allows searching by Budget Year, CITSS Entity ID, Entity Legal Name, Facility Name, and GHG Emissions Reporting ID. Budget Year is the year during which the emissions were produced. For example, Budget Year 2013 would represent the amount of reported and verified emissions for calendar year 2013. When selecting values from a dropdown menu in CITSS, holding down the control key <Ctrl> on the keyboard allows a user to select multiple fields in a drop-down menu. Selecting the "Search" button generates the Emissions Report for the selected criteria.

The search results are presented in tabular form in the bottom half of the screen and may be more than one page in length. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left. This table can be exported in its entirety to CSV or Excel format by selecting the appropriate link below the table on the right. Selecting the "Clear" button clears the search fields.

Compliance processing is described in later sections of this User Reference and briefly referenced here for context with emissions. The CITSS compliance module provides detailed information about compliance obligations and status. Facility emissions are the first data entered into the compliance module each year. Several pages in the compliance module require emission data to populate fields and provide meaningful information. Consequently, those pages are unavailable to view information about pending or future compliance obligations until annual emissions have been entered. Each year, ARB will open the compliance module following the entry of verified or assigned emissions, usually in late September or early October. When ARB announces the availability of the compliance module for the upcoming obligation deadline, users should consult the emissions page to review their verified or assigned emissions for the past Budget Year that will be the basis for the pending compliance obligation in November.

Figure 6 – Emissions Page



# CITSS

Compliance Instrument  
Tracking System Service

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## Emissions

This page allows a user to produce an Emissions Report. The search function allows searching by Budget Year, CITSS Entity ID, Entity Legal Name, Facility Name, and GHG Emissions Reporting ID. Selecting the "Search" button generates the Emissions Report for the selected criteria. The search results are presented in tabular form in the bottom half of the screen and may be more than one page in length. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left. This table can be exported in its entirety to CSV or Excel format by selecting the appropriate link below the table on the right. Selecting the "Clear" button clears the search fields.

Budget Year

CITSS Entity ID

Entity Legal Name

Facility Name

GHG Emissions Reporting ID

Results per page

Budget Year	CITSS Entity ID	Entity Legal Name	Facility Name	GHG Emissions Reporting ID	Emissions (metric tons CO <sub>2</sub> e)	Updated Date/Time
2013	CA1654	Company A	Factory A1	12345	50,000	2014-08-06 17:51:27 EDT
2013	CA1654	Company A	Factory A2	12345	50,000	2014-08-06 17:51:27 EDT
2013	CA1678	Utility A	Powerplant A1	12345	50,000	2014-08-06 17:51:27 EDT
2013	CA1678	Utility A	Powerplant A2	12345	50,000	2014-08-06 17:51:28 EDT

[CSV](#) [Excel](#) 4 records



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## **Direct Allocation and the Annual Allocation Holding Account (AAHA)**

Covered and opt-in entities in designated industrial sectors are eligible for a direct allocation of allowances each year for program transition assistance. The Regulation requires distribution of the annual allocation no later than October 24 of the year preceding the Budget Year, e.g., 2015 vintage allowances for the 2015 Budget Year are allocated in fall 2014.

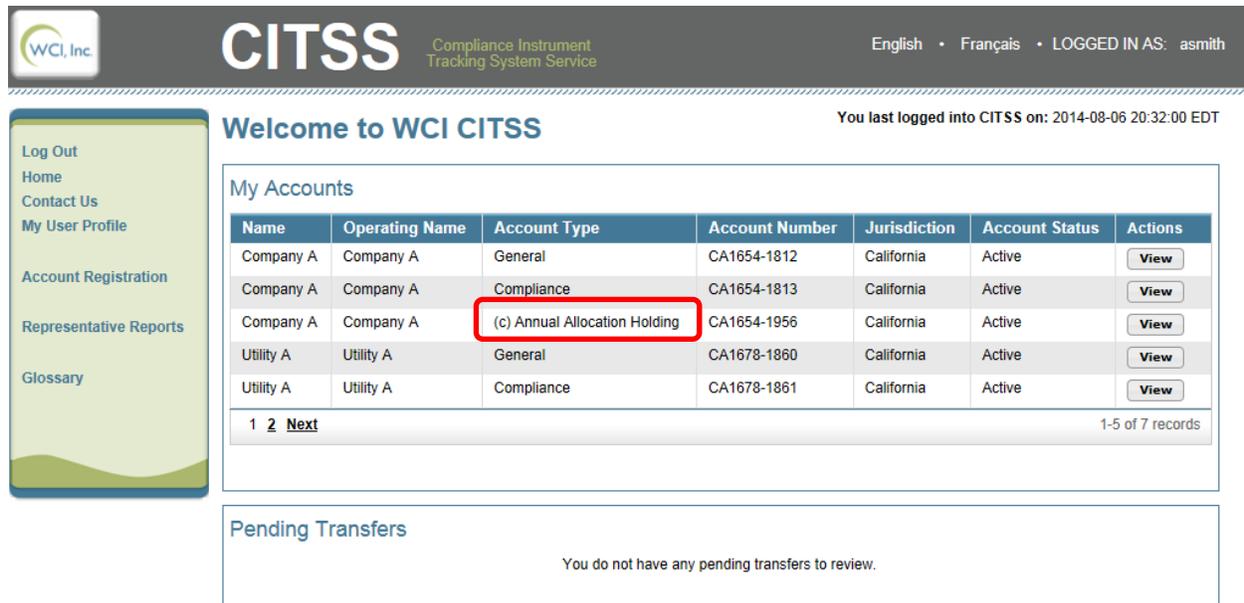
The allocation in October is an estimate based on the previous year's reported and verified data. The actual allocation that an entity is eligible to receive for a specific Budget year is not known until data reported are verified during the calendar year following the Budget Year. Based on that report, once verified pursuant to MRR, ARB is able to determine if an entity received too many or too few allowances in their past allocation.

Annual allocations are distributed into a Limited Use Holding Account (LUHA) or an AAHA. These holding account types are exempt from holding limits, allowing an entity to receive an annual allocation without risk of the allocation transfer exceeding the future holding limit. The function of each of these account types is described below.

The LUHA is an existing functionality in CITSS and described here for context with the AAHA that is introduced in CITSS 4.0. CITSS provides a LUHA to accept allowances from an annual allocation that will be consigned to auction during the upcoming year. Allowances in a LUHA can only be consigned to auction.

An AAHA account is provided to covered entities receiving allowances in an annual allocation that are not to be consigned to auction (see Figure 7). Allowances in an AAHA can be transferred to an entity's Compliance Account during the period between the allocation and January 1 of the upcoming year, but in most cases the future vintage allowances that are received are not eligible for surrender until the following year. The exception to this restriction is the surrender of allowances with vintages that are eligible under a True-up Quantity assigned for an underestimated annual allocation (see True-up Quantity in this guidance). Allowances transferred from an AAHA become subject to applicable holding limits when transferred. CITSS will not allow an entity to transfer allowances from an AAHA account if the transfer would result in violation of a holding limit.

Figure 7 – (c) Annual Allocation Holding Account



The screenshot shows the CITSS user interface. At the top, there is a header with the WCI, Inc. logo, the text 'CITSS Compliance Instrument Tracking System Service', and language options 'English' and 'Français'. The user is logged in as 'asmith'. Below the header, there is a navigation menu on the left with options like 'Log Out', 'Home', 'Contact Us', 'My User Profile', 'Account Registration', 'Representative Reports', and 'Glossary'. The main content area is titled 'Welcome to WCI CITSS' and shows the user's last login time as '2014-08-06 20:32:00 EDT'. The 'My Accounts' section contains a table with the following data:

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
Company A	Company A	General	CA1654-1812	California	Active	<a href="#">View</a>
Company A	Company A	Compliance	CA1654-1813	California	Active	<a href="#">View</a>
Company A	Company A	(c) Annual Allocation Holding	CA1654-1956	California	Active	<a href="#">View</a>
Utility A	Utility A	General	CA1678-1860	California	Active	<a href="#">View</a>
Utility A	Utility A	Compliance	CA1678-1861	California	Active	<a href="#">View</a>

Below the table, there are pagination controls showing '1 2 Next' and '1-5 of 7 records'. The 'Pending Transfers' section below the table states: 'You do not have any pending transfers to review.'



The footer section contains the WCI, Inc. logo on the left, a paragraph of text in the center: '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.', and the RIDGE logo on the right. Below the RIDGE logo, there is copyright information: '© 2014 SRA International, Inc. All rights reserved.' and a version number: 'ver. 4.0-REL-SNAPSHOT-BUILD-407'.

## CITSS Automated Transfer from an AAHA

On January 1 of each year, CITSS automatically transfers all allowances from an entity's AAHA. Generally, allowances in the AAHA of an industrial covered entity are transferred to the entity's General Account, while allowances in the AAHA of other covered entities, such as electricity generating utilities, natural gas suppliers, or publicly-owned utilities (POUs) are automatically transferred to the entity's Compliance Account. However, there are circumstances that do not follow these general rules and entities should confirm their transfer requirements or preferences with ARB as part of the instructions for the annual allocation.

CITSS labels each AAHA to indicate the destination of the automated transfer on January 1. Those AAHA accounts with the label "(g)" are transferred to the entity's General Account. Those AAHA accounts with the label "(c)" are transferred to the entity's Compliance Account (see Figure 7). The automated transfer is a jurisdiction-initiated process that does not require acceptance by the recipient. Entities that have allowances in an AAHA account should review and adjust their holdings as may be necessary to avoid exceeding the current vintage holding limit when the transfer occurs.

## True-up Quantity

An annual allocation is provided to assist entities in certain sectors with transition assistance. The allowances received in an allocation can be used (surrendered) to satisfy an obligation incurred for the Budget Year that matches the vintage of the allocated allowances, i.e., 2013 vintage allowances can be used to satisfy the 2013 annual obligation. When true-up is calculated, allowances of the original vintage are no longer available to fulfill a prior allocation, which is updated based on newly reported and verified production or allocation data. The Cap-and-Trade Regulation addresses this situation by assigning a True-up Quantity. True-up Quantity is the number of allowances of a more recent vintage that an entity is allowed to surrender to satisfy an obligation for an earlier obligation period. Assigned True-up Quantity is the total True-up Quantity given to an entity by the jurisdiction, i.e., it is equal to the difference between a prior allocation and the actual number of allowances that an entity ultimately receives.

CITSS tracks the surrender of more recent allowances to satisfy older obligations, reports the balance as the Remaining True-up Quantity until an entity has used all of its Assigned True-up Quantity or the vintage of the allowances become current and can be surrendered without the True-up Quantity designation.

Selecting the Continue button for True-up Quantity (for California Entities Only) on the Representatives Reports page (Figure 8) takes the user to the True-up Quantity page (Figure 9).

Figure 8 – Compliance Reports - True-up Quantity



# CITSS

Compliance Instrument Tracking System Service

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## Representative Reports

This page allows a user to view or download Representative Reports. Representative Reports provide information to support user management of CITSS accounts. Most Representative Reports are configurable, allowing users to select criteria for custom reports. The Transfer History lists compliance instrument transfers. The Transfer Event Audit Report lists more detailed information about each transfer. The Entity Account Balance Report lists account balances. The Entity Monthly Statement provides a statement of account balances and transfers. The Emissions Report presents facility emissions. The True-Up Quantity Report lists the true-up quantity assigned by year. The Compliance Obligations allows access to detailed information and status for current or past Compliance Obligations. The Compliance Obligation (Data Export) Report presents approved compliance obligations. The Eligible Instruments for Surrender Report provides a list of compliance instruments that can be used during a selected obligation period. To prepare a Representative Report, select the "Continue" button in the Action column on the right. CITSS will open a report screen to select criteria for the selected report.

### Transfer and Balance Reports

Report Name	Action
Transfer History	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Transfer Event Audit Report	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Entity Account Balance Report	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Entity Monthly Statement	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>

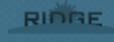
  

### Compliance Reports

Report Name	Action
Emissions	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
True-Up Quantity (for California Entities Only)	<a href="#" style="border: 2px solid red; padding: 2px 5px;">Continue</a>
Compliance Obligations	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Compliance Obligations (Data Export)	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>
Eligible Instruments for Surrender	<a href="#" style="border: 1px solid #ccc; padding: 2px 5px;">Continue</a>



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Selecting the Continue button for True-up Quantity (For California Entities Only) on the Representatives Reports page takes the user to the True-up Quantity page (Figure 9).

True-up Quantity is assigned to an entity but is calculated on a facility basis. The True-up Quantity page identifies the facility or facilities that are the source of the needed true-up. The True-up Quantity page allows a user to review the Assigned True-up Quantity by facility for any Budget Year.

The search function allows searching by Budget Year, CITSS Entity ID, Entity Legal Name, Facility Name, and GHG Emissions Reporting ID. Selecting the "Search" button generates the Facility True-up Quantity Report for the selected criteria. The search results are presented in tabular form. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left. This table can be exported in its entirety to CSV or Excel format by selecting the appropriate link below the table on the right. Selecting the "Clear" button clears the search fields.

Figure 9 – True-up Quantity Page



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## True-Up Quantity

This page allows a user to produce a True-Up Quantity Report. The search function allows searching by Budget Year, CITSS Entity ID, Entity Legal Name, Facility Name, and GHG Emissions Reporting ID. Selecting the "Search" button generates the True-Up Quantity Report for the selected criteria. The search results are presented in tabular form. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left. This table can be exported in its entirety to CSV or Excel format by selecting the appropriate link below the table on the right. Selecting the "Clear" button clears the search fields.

Budget Year ▲

2013 ▲  
 2014  
 2015 ▼

CITSS Entity ID

Entity Legal Name

Facility Name

GHG Emissions Reporting ID

Results per page ▼

10

Budget Year	CITSS Entity ID	Entity Legal Name	Facility Name	GHG Emissions Reporting ID	Assigned True-Up Quantity	Updated Date/Time
2013	CA1654	Company A	Factory A1	12345	3,000	2014-08-14 23:24:11 EDT
2013	CA1654	Company A	Factory A2	12345	3,000	2014-08-14 23:24:11 EDT

[CSV](#) [Excel](#) 2 records



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## Compliance Obligations

The Cap-and-Trade Program is based on the process that participants acquire compliance instruments (allowances and offsets) equal to their covered emissions over a period of time. Each compliance instrument represents a permit to emit one metric ton of carbon dioxide equivalent (MTCO<sub>2e</sub>). A covered or opt-in entity is required to provide ARB a specified number of compliance instruments at specified deadlines (compliance obligation). At each compliance deadline, CITSS retires the required number of compliance instruments from an entity's Compliance Account (surrender process).

Selecting the Continue button on the Representatives Reports page (Figure 10) takes the user to the Compliance Obligations page which allows users to look up compliance obligations for any entity that they represent. There are several types of compliance obligations defined in the Regulation. For context, a brief description of each obligation type implemented in CITSS is provided below.

**Triennial compliance obligations** require entities to surrender compliance instruments equal to their emissions at the conclusion of each of three compliance periods. The first compliance period covers emissions in the years 2013 and 2014; the second compliance period covers emissions in the years 2015 through 2017, and the third compliance period covers emissions in the years 2018 through 2020.

The Regulation establishes the obligation deadline for triennial obligations as November 1, or the first business day thereafter if November 1 falls on a weekend or holiday. Entities are required to report emissions annually. Verification of annual reported emissions requires several months following the end of a calendar year. Consequently, the triennial obligation deadline is November of the year following the end of the compliance period, e.g., the first triennial compliance period ends on December 31, 2014, and the deadline for the triennial compliance obligation is November 1, 2015. Similarly, the triennial compliance obligation deadlines for the second and third compliance periods occur in 2018 and 2021, respectively.

The Regulation specifies an **annual compliance obligation**. An annual compliance obligation is surrendered for each year within a triennial compliance period except the last year when the triennial obligation is surrendered. An annual compliance obligation is equal to 30 percent of the covered emissions for the interim year. Compliance instruments surrendered for each annual compliance obligation within a triennial compliance period are credited towards the triennial compliance obligation. An annual compliance obligation is due on November 1, or the first business day thereafter if November 1 falls on a weekend or holiday, of the year following the annual obligation period. The annual compliance obligation deadline for the 2013 Budget Year is November 3, 2014 (November 1, 2014 falls on a Saturday).

Figure 10 – Compliance Reports – Compliance Obligations

**WCI, Inc.** **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: asmith

**Representative Reports**

This page allows a user to view or download Representative Reports. Representative Reports provide information to support user management of CITSS accounts. Most Representative Reports are configurable, allowing users to select criteria for custom reports. The Transfer History lists compliance instrument transfers. The Transfer Event Audit Report lists more detailed information about each transfer. The Entity Account Balance Report lists account balances. The Entity Monthly Statement provides a statement of account balances and transfers. The Emissions Report presents facility emissions. The True-Up Quantity Report lists the true-up quantity assigned by year. The Compliance Obligations allows access to detailed information and status for current or past Compliance Obligations. The Compliance Obligation (Data Export) Report presents approved compliance obligations. The Eligible Instruments for Surrender Report provides a list of compliance instruments that can be used during a selected obligation period. To prepare a Representative Report, select the "Continue" button in the Action column on the right. CITSS will open a report screen to select criteria for the selected report.

**Transfer and Balance Reports**

Report Name	Action
Transfer History	<input type="button" value="Continue"/>
Transfer Event Audit Report	<input type="button" value="Continue"/>
Entity Account Balance Report	<input type="button" value="Continue"/>
Entity Monthly Statement	<input type="button" value="Continue"/>

**Compliance Reports**

Report Name	Action
Emissions	<input type="button" value="Continue"/>
True-Up Quantity (for California Entities Only)	<input type="button" value="Continue"/>
Compliance Obligations	<input type="button" value="Continue"/>
Compliance Obligations (Data Export)	<input type="button" value="Continue"/>
Eligible Instruments for Surrender	<input type="button" value="Continue"/>

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An **Under-Reported Emissions (URE)** obligation is incurred when it is discovered that the annual emissions for a facility were under-reported for a past Budget Year. When an under-reporting error is discovered, the entity is responsible for surrendering additional allowances equal to the number of emissions that were under-reported.

An **Offset Invalidation** obligation is incurred when an entity has surrendered offset credits that were subsequently determined to be invalid. The entity is responsible for replacing retired offset credits that have been invalidated with valid instruments to maintain the environmental integrity of the program.

If an entity fails to comply with any of the above obligations, the entity will incur a **Shortfall** obligation and an **Untimely Surrender** obligation for an unmet obligation. A shortfall obligation requires the entity to surrender the balance of compliance instruments that they were deficient in an earlier unfulfilled obligation. An Untimely Surrender obligation requires an entity to surrender a number of instruments equal to three times (3x) the Shortfall obligation.

Selecting the Continue button for Compliance Obligations on the Representatives Reports page (Figure 10) takes the user to the Compliance Obligations page (Figure 11) which allows users to search for compliance obligations for any entity that they represent.

The search fields allow searching by Current or Past Obligations (tab at top), Budget Year(s), Obligation Type, CITSS Entity ID, and Entity Legal Name. The search results are presented in tabular form in the bottom half of the screen and may be more than one page in length. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left. This table can be exported in its entirety to CSV or Excel format by selecting the appropriate link below the table on the right. Selecting the “Clear” button clears the search fields.

The **Obligation Period** column in the search results table identifies the Budget Year(s) and the type of compliance obligation.

The **Compliance Deadline** column shows the date and time that the compliance obligation is/was due. CITSS automatically processes obligations at the compliance deadline including determining if there are sufficient instruments to satisfy the compliance obligation and surrendering of instruments.

The **Obligation Period Status** column identifies the current status of the obligation in CITSS. For current obligations, the Obligation Period Status of “Pending” exists for most of the year. The Obligation Period Status changes to “Open” when ARB opens the compliance module, allowing users to review their emissions and obligations. ARB opens the compliance module in the fall when verified emissions are entered and obligations calculated in CITSS. At the Compliance Deadline, the Obligation Period Status changes to “Locked” for the duration of compliance processing (surrender). This is anticipated to be less than one hour. The Obligation Period Status changes to “Final,” when compliance processing completes. The Obligation Period Status is “Final” for all past obligations.

The compliance obligation applies to the entity identified by the **CITSS Entity ID, Entity Legal Name**, and the **Compliance Account Number** columns. Selecting the [hyperlink](#) in the CITSS Entity ID column takes the user to the CITSS Compliance Obligation Detail page which presents detailed information about the selected compliance obligation. If the compliance obligation status is “In Progress” or “Not Processed,” the hyperlink is unavailable.

**Compliance Obligation** identifies the compliance obligation amount in metric tons, i.e., number of instruments. The statuses of “In Progress” or “Not Processed” indicate that a compliance obligation has not been calculated. The status will be reported as “In Progress” while ARB is entering or approving a compliance obligation.

Figure 11 – Compliance Obligations Page

**Compliance Obligations**

This page allows users to view information regarding current or past Compliance Obligations by selecting the appropriate tab at the top of the page. The Obligation Period column identifies the Budget Year(s) and the type of Compliance Obligation. Selecting the hyperlink in the CITSS Entity ID column switches to the Compliance Obligation Detail page which presents additional information about the selected Compliance Obligation. If the Compliance Obligation status is In Progress or Not Processed, the hyperlink is unavailable.

The search function allows searching by Budget Year(s), Obligation Type, CITSS Entity ID, and Entity Legal Name. The search results are presented in tabular form in the bottom half of the screen and may be more than one page in length. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left. This table can be exported in its entirety to CSV or Excel format by selecting the appropriate link below the table on the right. Selecting the "Clear" button clears the search fields.

Current Past

Budget Year(s)  
2013  
2013-2014  
2015

Obligation Type  
Annual  
Triennial  
Shortfall

CITSS Entity ID  
Entity Legal Name

Results per page  
10

Search Clear

Obligation Period	Compliance Deadline	Obligation Period Status	CITSS Entity ID	Entity Legal Name	Compliance Obligation	Updated Date/Time
2013 Annual	2014-11-03 20:00:00 EST	Open	CA1654	Company A	30,000	2014-08-15 00:00:48 EDT
2013 Annual	2014-11-03 20:00:00 EST	Open	CA1678	Utility A	In Progress	2014-08-15 00:13:20 EDT

CSV Excel 2 records

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## Compliance Obligation Detail Page

A view of an entire Compliance Obligation Detail page is presented as Figure 12. The parts of this page (boxes) are provided in a larger size in the following figures where the contents are discussed in detail.

The Compliance Obligation Detail page provides all of the detailed information for a selected compliance obligation for a selected entity. The Compliance Obligation Detail page includes “tooltips” to assist users with understanding the page. Tooltips are identified as a magenta question mark “?” located at the end of a line or title. Hovering the mouse over a tooltip will provide additional explanation of the information on the line.

The Compliance Obligation Detail page is available for current or past obligations. The context of labels and information differs between a current and a past obligation. For example, the Compliance Obligation detail page for a current obligation identifies the “Instruments to be Surrendered” for a future (pending) deadline while the same line identifies “Instruments Surrendered” for a past obligation deadline.

If the jurisdiction has not opened a compliance obligation period, a Compliance Obligation Detail page is not available. Reported and verified emissions under MRR are the foundation for calculation of obligations. California receives verified emissions data early fall. California anticipates opening the CITSS compliance module in September or October, providing representatives an opportunity to review compliance obligations and pending compliance statuses before the obligation deadline.

As shown in Figure 12, the Compliance Obligation Detail page can include as many as five boxes:

1. **Compliance Obligation Information.** This box is the body of the page and provides the primary information presented on the page. The remaining four boxes are located below this box and provide supporting information.
2. **Instruments in Compliance Account to be Surrendered.** This box is present on all Compliance Obligation Detail pages.
3. **Remaining True-up Quantity.** This box is only present if the entity has a True-up Quantity.
4. **Facility Emissions.** This box is present on all Compliance Obligation Detail pages.
5. **Assigned True-up Quantity.** This box is only present if the entity has a True-up Quantity.

Each of these boxes is described in greater detail in the following pages.

Figure 12 – Compliance Obligation Detail Page

**CITSS** Compliance Instrument Tracking System Service

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### Compliance Obligation Detail

The Compliance Obligation Detail page provides detailed information about a selected compliance obligation.

The Compliance Obligation Information box provides basic information about the selected Compliance Obligation. Tooltips provide additional detail about individual fields displayed on the screen. Tooltips are identified by a question mark "?" and viewed by hovering the mouse cursor over the question mark.

If viewing a current compliance obligation, additional details are presented in the following boxes:

- Instruments in Compliance Account to be Surrendered
- Remaining True-up Quantity (present only if applicable)
- Facility Emissions (present only if applicable)
- Assigned True-up Quantity (present only if applicable)

If viewing a past compliance obligation, additional details are presented in the following boxes:

- Completed Surrender Transfers
- Remaining True-up Quantity (present only if applicable)
- Facility Emissions (present only if applicable)
- Assigned True-up Quantity (present only if applicable)

**Compliance Obligation Information**

Obligation Period	2013 Annual
CITSS Entity ID	CA1654
Entity Legal Name	Company A
Entity Operating Name	Company A
Compliance Account Number	CA1654-1813
Compliance Status	Pending Unfulfilled ?
Compliance Deadline	2014-11-03 20:00:00 EST ?
Updated Date/Time	2014-08-15 00:00:48 EDT ?

Compliance Obligation	30,000
Instruments Surrendered	0
Balance to Fulfill Obligation	30,000 ?

Offset Limit	8,000 ?
Instruments in Compliance Account to be Surrendered	10,500 ?
Additional Instruments Needed in Compliance Account	19,500 ?

Tooltips (?)  
Hover the mouse over the "?" to reveal

1

**Instruments in Compliance Account to be Surrendered ?**

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Receiving Account
2004	California	Offset		US Forestry Projects	CAFR1234-A	8,000	Retirement
2013		Allowance				2,000	Retirement
2015		Allowance				500	Retirement

2

**Remaining True-up Quantity ?**

Eligible True-up Vintages	Remaining Quantity
2015	6,000

3

**Facility Emissions ?**

Budget Year	Facility Name	Facility Operating Name	GHG Emissions Reporting ID	Emissions (metric tons CO <sub>2</sub> e)
2013	Factory A1	Factory A1	12345	50,000
2013	Factory A2	Factory A2	12345	50,000

[CSV](#) [Excel](#) 2 records

4

**Assigned True-up Quantity ?**

Budget Year	Facility Operating Name	GHG Emissions Reporting ID	Assigned Vintage	Assigned Quantity
2013	Factory A1	12345	2015	3,000
2013	Factory A2	12345	2015	3,000

[CSV](#) [Excel](#) 2 records

5

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Figure 13 provides an expanded view of the Compliance Obligation Information box, the Instruments in Compliance Account to be Surrendered box, and the Facility Emissions box. These three boxes will be on the Compliance Obligation Detail page for every obligation.

The Compliance Obligation Information box provides the basic information about a past or current (pending) obligation. The information at the top of the box includes basic information identifying the obligation including the Obligation Period, CITSS Entity ID, Entity Legal Name, Entity Operating Name, Compliance Account Number, Compliance Status, Compliance Deadline, and the Updated Date/Time.

The **Compliance Status** field provides a user with the status of the obligation. When viewing a current obligation, the Compliance Status field can be Pending Fulfilled or Pending Unfulfilled. In this context, CITSS examines the Compliance Account at the time the screen is viewed and determines if there are sufficient instruments to satisfy the upcoming compliance obligation (Pending Fulfilled). If additional instruments will be required to satisfy the upcoming obligation, CITSS designates the Compliance Status as Pending Unfulfilled. When viewing a past obligation, the Compliance Status is recorded as Fulfilled or Unfulfilled indicating the status set after processing the obligation at the Compliance Deadline.

The **Compliance Obligation** is the number of compliance instruments that are required to satisfy the obligation. Although there can be exceptions, the compliance obligation is normally calculated based on facility emissions. **Facility Emissions** are provided as reference data in the Facility Emissions box at the bottom of the page.

When viewing current obligations, **Instruments Surrendered** is only applicable to a triennial obligation and identifies the number of instruments surrendered during previous annual obligations that count toward the triennial obligation. When viewing past obligations, **Instruments Surrendered** displays the number of instruments surrendered at the compliance deadline. The **Balance to Fulfill Obligation** is the difference between the obligation and any instruments that have been previously surrendered.

**Offset Limit** is the number of offsets that an entity is allowed to use for compliance with this obligation.

**Instruments in Compliance Account to be Surrendered** is the number of instruments currently in the Compliance Account that would be retired if compliance processing were initiated at this time. The instruments that CITSS would retire are identified in the “Instruments in Compliance Account to be Surrendered” detail box.

**Additional Instruments Needed in Compliance Account** is the difference between the “Balance to Fulfill Obligation” and the “Instruments in the Compliance Account to be Surrendered.”

**Figure 13 – Details of the Compliance Obligation Detail Page**

Compliance Obligation Information	
Obligation Period	2013 Annual
CITSS Entity ID	CA1654
Entity Legal Name	Company A
Entity Operating Name	Company A
Compliance Account Number	CA1654-1813
Compliance Status	Pending Unfulfilled ?
Compliance Deadline	2014-11-03 20:00:00 EST ?
Updated Date/Time	2014-08-15 00:00:48 EDT ?
Compliance Obligation	30,000
Instruments Surrendered	0
Balance to Fulfill Obligation	30,000 ?
Offset Limit	8,000 ?
Instruments in Compliance Account to be Surrendered	10,500 ?
Additional Instruments Needed in Compliance Account	19,500 ?

Tooltips (?)  
Hover the mouse over the “?” to reveal.

Instruments in Compliance Account to be Surrendered ?

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Receiving Account
2004	California	Offset		US Forestry Projects	CAFR1234-A	8,000	Retirement
2013		Allowance				2,000	Retirement
2015		Allowance				500	Retirement

Facility Emissions ?

Budget Year	Facility Name	Facility Operating Name	GHG Emissions Reporting ID	Emissions (metric tons CO <sub>2</sub> e)
2013	Factory A1	Factory A1	12345	50,000
2013	Factory A2	Factory A2	12345	50,000

[CSV](#) [Excel](#) 2 records

The bottom of the Compliance Obligation Detail page may include two additional boxes related to True-up Quantity. Entities that received an underestimated annual allocation are assigned a True-up Quantity. A True-up Quantity allows an eligible entity to surrender more recent allowances than would normally be allowed for an obligation of an earlier Budget Year.

As described above, one of the features of the Compliance Obligation Detail page is identification of the eligible instruments that CITSS has counted toward a compliance obligation. If an entity has a True-up Quantity, CITSS adds two True-up Quantity boxes to the bottom of the Compliance Obligation Detail page (see Figure 14). The Remaining True-up Quantity box identifies the amount of the Assigned True-up Quantity that is still available for use. The Assigned True-up Quantity box identifies the total True-up Quantity assigned when an annual allocation was calculated.

If an entity has allowances in its Compliance Account that are of the vintage identified as useable for true-up, CITSS will surrender those allowances from the Compliance Account in the prescribed order (oldest vintage allowances first).

Figure 14 – True-up Quantity on Compliance Obligation Detail Page

**Instruments in Compliance Account to be Surrendered ?**

Vintage	Jurisdiction	Type	Sub-Type	Category	Project Code	Quantity	Receiving Account
2004	California	Offset		US Forestry Projects	CAFR1234-A	8,000	Retirement
2013		Allowance				2,000	Retirement
2015		Allowance				500	Retirement

**Remaining True-up Quantity ?**

Eligible True-up Vintages	Remaining Quantity
2015	6,000

**Facility Emissions ?**

Budget Year	Facility Name	Facility Operating Name	GHG Emissions Reporting ID	Emissions (metric tons CO <sub>2</sub> e)
2013	Factory A1	Factory A1	12345	50,000
2013	Factory A2	Factory A2	12345	50,000

[CSV](#) [Excel](#) 2 records

**Assigned True-up Quantity ?**

Budget Year	Facility Operating Name	GHG Emissions Reporting ID	Assigned Vintage	Assigned Quantity
2013	Factory A1	12345	2015	3,000
2013	Factory A2	12345	2015	3,000

[CSV](#) [Excel](#) 2 records

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## **Compliance Obligation (Data Export)**

CITSS provides the Compliance Obligation Data Export option to allow users to quickly produce a CSV or Excel formatted download with all of the fields associated with a selected Compliance Obligation.

Selecting the Compliance Obligation Data Export item under the Compliance Reports menu (see Figure 15) presents the user with the Compliance Obligation (Data Export) Report page (see Figure 16).

The fields that are automatically included in the Compliance Obligation Data Export report are:

- CITSS Entity ID
- Entity Legal Name
- Entity Operating Name
- Compliance Account Number
- Budget Years
- Obligation Type
- Compliance Obligation
- Offset Limit
- Allowances Surrendered
- Offsets Surrendered
- Total Instruments Surrendered
- Allowances in Compliance Account to be Surrendered
- Offsets in Compliance Account to be Surrendered
- Balance (Shortfall)
- Compliance Status
- Compliance Deadline
- Obligation Updated Date/Time
- Date/Time Report Generated

Figure 15 – Compliance Reports – Compliance Obligations (Data Export)



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## Representative Reports

This page allows a user to view or download Representative Reports. Representative Reports provide information to support user management of CITSS accounts. Most Representative Reports are configurable, allowing users to select criteria for custom reports. The Transfer History lists compliance instrument transfers. The Transfer Event Audit Report lists more detailed information about each transfer. The Entity Account Balance Report lists account balances. The Entity Monthly Statement provides a statement of account balances and transfers. The Emissions Report presents facility emissions. The True-Up Quantity Report lists the true-up quantity assigned by year. The Compliance Obligations allows access to detailed information and status for current or past Compliance Obligations. The Compliance Obligation (Data Export) Report presents approved compliance obligations. The Eligible Instruments for Surrender Report provides a list of compliance instruments that can be used during a selected obligation period. To prepare a Representative Report, select the "Continue" button in the Action column on the right. CITSS will open a report screen to select criteria for the selected report.

### Transfer and Balance Reports

Report Name	Action
Transfer History	<input type="button" value="Continue"/>
Transfer Event Audit Report	<input type="button" value="Continue"/>
Entity Account Balance Report	<input type="button" value="Continue"/>
Entity Monthly Statement	<input type="button" value="Continue"/>

### Compliance Reports

Report Name	Action
Emissions	<input type="button" value="Continue"/>
True-Up Quantity (for California Entities Only)	<input type="button" value="Continue"/>
Compliance Obligations	<input type="button" value="Continue"/>
Compliance Obligations (Data Export)	<input style="border: 2px solid red;" type="button" value="Continue"/>
Eligible Instruments for Surrender	<input type="button" value="Continue"/>



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Selecting the Compliance Obligation Data Export item under the Compliance Reports menu presents the user with the Compliance Obligation (Data Export) Report page (see Figure 16). The Compliance Obligation (Data Export) Report page allows a user to select the desired compliance obligation based on Budget Years. Budget Years includes multi-year values in the dropdown choices allowing a user to choose the correct compliance period for a triennial compliance obligation.

### Budget Years

- 2013 – 2014
- 2015 – 2017
- 2018 - 2020

Selecting only a compliance period without addition fields will provide a report with all of the obligations that exist during that period for all of the entities represented by the user. Option fields that can be selected to narrow the report content to include Obligation Type and CITSS Entity ID.

### Obligation Type

- Annual
- Triennial
- Shortfall
- Untimely Surrender
- Under-Reported Emissions
- Under-Reported Emissions Shortfall
- Under-Reported Emissions Untimely Surrender
- Offset Invalidation Shortfall
- Offset Invalidation Untimely Surrender

### CITSS Entity ID

Entering a CITSS Entity ID will limit the report extract to obligations for the selected entity. This field used in conjunction with the previous search fields can be used to limit the report to a compliance obligation for an entity represented by the user.

Selecting the Submit button will initiate compilation of the requested report by CITSS. Once the report request has been submitted, CITSS will display the message “Your Compliance Obligation Report is being prepared. Please return to this page to download it” (Figure 17). The webpage can be refreshed by selecting the browser refresh button, pressing F5 on most Windows computers, or using command-R in Mac or Linux.

After the report has been produced and the CITSS page refreshed, the user will be presented with a hyperlink located below the Submit button (Figure 17) that may be selected to either open or download the requested report.

Figure 16 – Compliance Obligations (Data Export) Report Page

Figure 17 – Compliance Obligations (Data Export) Report Ready for Download

## Eligible Instruments for Surrender

The Regulation specifies the number of compliance instruments by type (allowances and offsets) and vintage that may be used to satisfy any compliance obligation, and the order in which those instruments will be retired from an entity's Compliance Account surrender at the obligation deadline.

CITSS provides the Eligible Instruments for Surrender page to assist users in determining the instruments that are eligible for surrender for a specific obligation. Instruments are only retired from an entity's Compliance Account. Compliance instruments in other accounts are not counted or retired for any compliance obligation. The basic rules for determining the eligibility of instruments includes:

- To satisfy an annual or triennial obligation, the vintage of the allowance must be the same or earlier than the year of the obligation, unless an entity has a True-up Quantity which allows the surrender of a more current vintage. For example, allowances must be 2013 vintage or earlier to be eligible for the 2013 annual obligation. Allowances with a 2014 vintage or later cannot be surrendered for the 2013 obligation unless an entity has a True-up Quantity. Other types of obligations, such as Shortfall, Untimely Surrender, Under Reported Emissions, have differing rules regarding the eligibility of instruments. Please note, at the end of the first compliance period, when the remaining 70 percent of the 2013 compliance obligation is due, vintage 2013, 2014, or true-up allowances may be surrendered to comply with the outstanding 70 percent due at that time.
- Vintage is not a criterion for offset eligibility. Any vintage of offset can be surrendered for any obligation that allows offsets, subject to other limitations on the use of offsets, e.g., quantitative usage limit.
- The quantitative usage limit restricts the number of offsets that can be used for an annual or triennial obligation to 8 percent of the covered emissions for the obligation period. Instruments surrendered for annual obligations are credited toward the triennial obligation. The total number of offsets that can be used to satisfy the triennial obligation, including those surrendered for annual obligations, cannot exceed 8 percent of the covered emissions for the triennial compliance period.

During the surrender process for each obligation, CITSS identifies eligible instruments and retires them in the following order as applicable, i.e., if a particular instrument type or vintage is not eligible, it is skipped. If there are more instruments than required, CITSS retires the allowed or needed quantity.

1. Offsets of any vintage.
2. California Allowance Price Containment Reserve allowances.
3. Other non-vintage allowances.
4. Allowances of vintage equal to the Obligation Budget Year or earlier.
5. Allowances of current calendar year vintage or earlier allocated for the purpose of True-up.

Selecting the Eligible Instruments for Surrender item under the Compliance Reports menu (Figure 18) presents the user with the Eligible Instruments for Surrender page (Figure 19).

Figure 18 – Compliance Reports – Eligible Instruments for Surrender



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## Representative Reports

This page allows a user to view or download Representative Reports. Representative Reports provide information to support user management of CITSS accounts. Most Representative Reports are configurable, allowing users to select criteria for custom reports. The Transfer History lists compliance instrument transfers. The Transfer Event Audit Report lists more detailed information about each transfer. The Entity Account Balance Report lists account balances. The Entity Monthly Statement provides a statement of account balances and transfers. The Emissions Report presents facility emissions. The True-Up Quantity Report lists the true-up quantity assigned by year. The Compliance Obligations allows access to detailed information and status for current or past Compliance Obligations. The Compliance Obligation (Data Export) Report presents approved compliance obligations. The Eligible Instruments for Surrender Report provides a list of compliance instruments that can be used during a selected obligation period. To prepare a Representative Report, select the "Continue" button in the Action column on the right. CITSS will open a report screen to select criteria for the selected report.

### Transfer and Balance Reports

Report Name	Action
Transfer History	<input type="button" value="Continue"/>
Transfer Event Audit Report	<input type="button" value="Continue"/>
Entity Account Balance Report	<input type="button" value="Continue"/>
Entity Monthly Statement	<input type="button" value="Continue"/>

### Compliance Reports

Report Name	Action
Emissions	<input type="button" value="Continue"/>
True-Up Quantity (for California Entities Only)	<input type="button" value="Continue"/>
Compliance Obligations	<input type="button" value="Continue"/>
Compliance Obligations (Data Export)	<input type="button" value="Continue"/>
Eligible Instruments for Surrender	<input style="border: 2px solid red;" type="button" value="Continue"/>



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The Eligible Instruments for Surrender page allows users to view a list of eligible instruments with the surrender order for an obligation period. The user must select Jurisdiction, Budget Year(s), and Obligation Type. These three fields are mandatory for CITSS to identify the desired information.

As shown in Figure 19, the eligible instruments and surrender order of those instruments for the California 2013 annual obligation is identified as:

1. Offset credits.
  - a. oldest retired first.
  - b. limited to 8 percent of the annual emissions with a compliance obligation.
2. Allowances purchased from a California Allowance Price Containment Reserve sale.
3. Other non-vintage allowances.
4. Allowances of vintage equal to the obligation Budget Year or earlier.
  - a. oldest retired first.
5. Allowances of current calendar year vintage or earlier allocated to the Compliance Account for the purpose of True-up.
  - a. oldest retired first.

The Eligible Instruments for Surrender page allows a user to enter the CITSS Entity ID for any entity that the user represents. Specifying the entity allows CITSS to check if that entity has a balance in True-up Quantity. A True-up Quantity allows an entity to use a limited number of more recent vintage allowances to satisfy an obligation for an earlier obligation period.

As shown in Figure 19, the example entity has a Remaining True-up Quantity that would allow the identified entity to use as many as 6,000 allowances with a 2015 vintage to satisfy the 2013 annual obligation.

Figure 19 – Eligible Instruments for Surrender Page



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## Eligible Instruments for Surrender

This page allows users to view a list of eligible instruments with the surrender order for an obligation period. Enter the Jurisdiction, Budget Year(s) and Obligation Type, then select the "Submit" button to generate the list. If a California jurisdiction entity that you represent has been assigned a True-Up Quantity, entering the entity ID will show the remaining True-up Quantity that can be used to satisfy a compliance obligation for the selected Budget Year(s) and Obligation Type.

Jurisdiction \*

Budget Year(s) \*

Obligation Type \*

CITSS Entity ID

The following information is provided as guidance. Users should consult the Regulation for specific surrender order requirements. The CITSS instrument surrender order for this obligation is:

1. Offset credits.
  - a. Oldest retired first.
  - b. Limited to 8% of the annual emissions with a compliance obligation.
2. Allowances purchased from a California Allowance Price Containment Reserve sale.
3. Other non-vintage Allowances.
4. Allowances of vintage equal to the obligation budget year or earlier.
  - a. Oldest retired first.
5. Allowances allocated for the purpose of True-up and transferred to the compliance account.
  - a. Oldest retired first.

**Remaining True-up Quantity**

Eligible True-up Vintages	Remaining Quantity
2015	6,000



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