

# The Québec Cap-and-Trade System for Greenhouse Gas Emission Allowances

## User Manual – Volume 6 COMPLIANCE MANAGEMENT

CITSS  
Compliance Instrument Tracking System Service



January 2019

## TABLE OF CONTENT

<b>1. INTRODUCTION</b> .....	<b>1</b>
<b>1.1. Access to CITSS</b> .....	<b>1</b>
<b>2. COMPLIANCE MANAGEMENT</b> .....	<b>3</b>
<b>3. COMPLIANCE REPORTS</b> .....	<b>4</b>
<b>3.1 Emissions</b> .....	<b>6</b>
<b>3.2 Compliance Obligations</b> .....	<b>7</b>
3.3.1 Compliance Obligation Details .....	10
3.3.2 Data Export .....	14
3.3.3 Eligible Instruments for Retirement .....	18
3.3.4 Notifications .....	20
<b>4. CITSS SUPPORT SERVICES</b> .....	<b>23</b>

## FIGURES

Figure 1: Access the Reports Page using the left-hand menu on the home page .....	5
Figure 2: Reports Page .....	5
Figure 3: Emissions Page.....	7
Figure 4: Welcome Page - Reminders.....	8
Figure 5: Compliance Obligations Page .....	10
Figure 6: Compliance Obligation Details Page .....	12
Figure 7: Compliance Obligation (Data Export) Page.....	15
Figure 8: Compliance Obligation (Data Export) Page.....	18
Figure 9: Compliance Obligation (Data Export) Report ready for download .....	18
Figure 10: “Eligible Instruments for Retirement” Page.....	19
Figure 11: Order of deduction of emission allowances valid for the deduction .....	19
Figure 12: Reminder – Notifications Page .....	20
Figure 13: Notifications Page.....	22
Figure 14: Notification Detail Page .....	22

## ACRONYMS AND INITIALISMS

<b>AVA</b>	Account viewing agent
<b>CSV</b>	Coma Separated Values format
<b>Emitter</b>	Any person covered by section 2 or section 2.1 of the Regulation respecting a cap-and-trade system for greenhouse gas emission allowances
<b>GHG</b>	Greenhouse gas
<b>Ministry</b>	Ministère de l'Environnement et de la Lutte contre les changements climatiques
<b>AR</b>	Account representative
<b>PAR</b>	Primary account representative (resource person)
<b>Regulation</b>	Regulation respecting a cap-and-trade system for greenhouse gas emission allowances
<b>C&amp;T system</b>	GHG emission cap-and-trade system
<b>CITSS</b>	Compliance Instrument Tracking System Service
<b>WCI, Inc.</b>	Western Climate Initiative, Inc.

# 1. Introduction

The *CITSS User Manual* has been elaborated to support the users of the Compliance Instrument Tracking System Service (CITSS) who must carry out various actions under the Québec government's GHG emission cap-and-trade (C&T) system.

The system's numerous functions include the issuance by the government of emission allowances, recording the ownership of emission allowances and account information, performing and recording emission allowance transfers, and facilitating the verification of compliance.

The *CITSS User Manual* is divided into volumes elaborated specifically according to the types of operations that users will have to perform in the system. Seven volumes have been elaborated:

- Volume 1 User Registration
- Volume 2 User Profile Management
- Volume 3 Opening an Account
- Volume 4 Account Management
- Volume 5 Emission Allowance Transfers
- Volume 6 Compliance Management**
- Volume 7 Registration for Government Sales

Additional volumes and updated versions will be published where warranted.

## 1.1. Access to CITSS

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

The CITSS home page is the point of entry to carry out any operation in the system. To have access to user profiles, open an account and access accounts linked to the users, the latter must, if they already possess a valid user ID, click on "Login" in the left-hand menu and enter their personal access information (user ID and password). To obtain a user ID, please refer to volume 1 of the *CITSS User Manual*.

## **General guidelines**

- CITSS is compatible with the main web browsers but certain functions differ slightly from one browser to the next. The CITSS website home page indicates the compatible browsers.
- As a security precaution, it is recommended to erase the browsing history if several people use the computer on which a profile has been created or on which a user navigates in CITSS. It is also recommended that you clear the browser's cache upon completion of each CITSS session.
- CITSS is accessible 24 hours a day, seven days a week (except during periodic maintenance).

## 2. Compliance Management

Compliance with the GHG emission cap-and-trade system (C&T system) hinges on the submission by an emitter covered by the Regulation of emission allowances (emission units, early reduction credits and offset credits) equivalent to its GHG emissions during a specified period of time. Each metric ton in CO<sub>2</sub> equivalent of GHG must be covered by an emission allowance. To that end, each emitter must submit a quantity of emission allowances corresponding to its GHG emissions, according to specific time limits (compliance obligation). On the deadline of each compliance period, CITSS withdraws the requisite number of emission allowances from the emitter's compliance account.

Emissions declared and verified pursuant to the *Regulation respecting mandatory reporting of certain emissions of contaminants into the atmosphere*, are used to determine the emitter's compliance obligation under the C&T system.

Emissions pursuant to the *Regulation respecting mandatory reporting of certain emissions of contaminants into the atmosphere* for a given year must be verified and declared before June 1 of the following year. For example, emissions produced in 2017 must be verified by an accredited auditor and declared to the ministry before June 1, 2018. They are then input in CITSS in October 2018. The emissions input for 2015, 2016 and 2017 are used to calculate 2015-2017 triennial obligation. To comply with the Regulation, an emitter must thus have placed in its compliance account a number of valid emission allowances at least equivalent to the total GHG emissions verified and declared from all of its establishments by 8 p.m. on November 1 following the end of the compliance period, or, if that day is not a business day, the first subsequent business day.

### 3. Compliance Reports

CITSS allows the primary account representative (PAR), the account representatives (AR) and the account viewing agents (AVA) to consult and verify the reports and tables related to the compliance process. The reports and tables present detailed information on the compliance obligations and their status. Information on future or outstanding obligations are only presented when the ministry has input the annual emissions.

To access the reports page, click on “Representative Reports” in the left-hand menu on the home page (Figure 1). The “Compliance Reports” section in the “Representative Reports” page (Figure 2) contains five reports related to the emitter’s compliance:

- **Emissions**: Presents the emissions verified and declared input in CITSS.
- **True-Up Quantity**: Does not apply to emitters registered pursuant to the Regulation in force in Québec but is used solely by entities registered in California.
- **Compliance Obligations**: Displays details of current and previous compliance obligations.
- **Compliance Obligations (Data Export)**: Allows for the generation and downloading of the compliance obligations report in CSV format.
- **Eligible Instruments for Retirement**: Allows for the consultation of a brief list of emission allowances valid for the deduction for a given period according to the obligation type and indicates the order in which such allowances are deducted from the emitter’s compliance account.
- **Notifications**: Allows for the consultation of information on current and previous notifications. The information included varies depending on the nature of the notification.

To display a report, click on “Continue” in the “Action” column of the desired report. The following sections of this *CITSS User Manual* provide a detailed description of each report.

Figure 1: Access the Reports Page using the left-hand menu on the home page

Welcome to WCI CITSS Last successful login: 2018-12-03 09:53:05 EST

**My Accounts**

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
<a href="#">Perry Quebec</a>		General	QC989-989	Québec	Active	<a href="#">View</a>
<a href="#">Victoriaville Org.</a>	Quebec Org Account 2	Exchange Clearing Holding	QC990-990	Québec	Active	<a href="#">View</a>
<a href="#">Montreal Org.</a>	Quebec Org Account	General	QC991-991	Québec	Active	<a href="#">View</a>
<a href="#">Dawson Corp.</a>	Yukon Account	Compliance	QC992-991	Québec	Active	<a href="#">View</a>
<a href="#">Dawson Corp.</a>	Yukon Account	General	QC992-992	Québec	Active	<a href="#">View</a>

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

Figure 2: Reports Page

**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 Report 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 Retirement Report provides a list of compliance instruments that can be used during a selected obligation period. The Notifications Report provides information about current or past notifications. 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="#">Continue</a>
Transfer Event Audit Report	<a href="#">Continue</a>
Entity Account Balance Report	<a href="#">Continue</a>
Entity Monthly Statement	<a href="#">Continue</a>

**Compliance Reports**

Report Name	Action
Emissions	<a href="#">Continue</a>
True-Up Quantity	<a href="#">Continue</a>
Compliance Obligations	<a href="#">Continue</a>
Compliance Obligations (Data Export)	<a href="#">Continue</a>
Eligible Instruments for Retirement	<a href="#">Continue</a>
Notifications	<a href="#">Continue</a>

### 3.1 Emissions

To consult the emissions, click on the “Continue” button on the “Emissions” line in the “Compliance Reports” section of the “Representative Reports” page (Figure 2).

The “Emissions” page (Figure 3) presents the emissions declared, verified and entered in CITSS for the establishments that the PAR/AR represents. Emissions reports can also be downloaded from it.

The research function facilitates searches by budget year, CITSS entity identification number, the legal names of entities, names of establishments and establishment numbers for the purposes of GHG declarations. The budget year corresponds to the year of production of the emissions. For example, the 2017 budget year represents the quantity of emissions declared and verified for the 2017 calendar year. Click on the “Search” button to display the emissions according to the criteria selected.

 The search results are presented in a table. They can span more than one page and be sorted in ascending or descending order by clicking on the title of the appropriate column. To display the other pages, click on the numbers in the lower left-hand corner of the screen. To export the table integrally in Excel or CSV format, click on the corresponding link in the lower right-hand corner of the page. Click on the “Clear” button to empty the search fields.

Figure 3: Emissions Page

**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: 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	Emissions (metric tons CO <sub>2</sub> e)	Updated Date/Time
<a href="#">CSV</a> <a href="#">Excel</a> 0 records						

## 3.2 Compliance Obligations

Information on compliance obligations is available when the CITSS administrator has entered the annual GHG emission values. Depending on the time required to review the declarations, the GHG emission values are recorded between late September and early October. An email is then sent to the PAR/AR to indicate that the compliance obligations page is available for consultation. When a session is launched in CITSS, a "Reminders" box appears on the home page (Figure 4). To directly access the compliance obligations page, click on the "Compliance Obligations Page" hyperlink in the "Reminders" box.

Figure 4: Welcome Page - Reminders

Log Out

Home

Contact Us

My User Profile

Account Registration

Representative Reports

Glossary

## Welcome to WCI CITSS

Last successful login: 2018-12-05 14:21:21 EST

Last failed login: 2018-12-05 14:21:16 EST

### Reminders

Type	Due Date	Link
2016 Shortfall	2018-02-01 20:00:00 EST	<a href="#">Compliance Obligations page</a>
2016 Untimely Surrender	2018-02-01 20:00:00 EST	<a href="#">Compliance Obligations page</a>

2 records

### My Accounts

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
<a href="#">No Facility Corp A</a>	No Facility A Operation	Compliance	CA985-984	California	Active	<a href="#">View</a>
<a href="#">No Facility Corp A</a>	No Facility A Operation	General	CA985-985	California	Active	<a href="#">View</a>
<a href="#">No Facility Corp B</a>	No Facility B Operation	Compliance	CA986-985	California	Active	<a href="#">View</a>
<a href="#">No Facility Corp B</a>	No Facility B Operation	General	CA986-986	California	Active	<a href="#">View</a>
<a href="#">Meq Mason</a>		General	CA987-987	California	Active	<a href="#">View</a>

1 2 3 4 5 6 [Next](#) 1-5 of 26 records

### Pending Transfers

You do not have any pending transfers to review.

The PAR/AR/AVA can also consult the compliance obligations by clicking on the “Continue” button on the “Compliance Obligations” line in the “Compliance Reports” section on the “Representative Reports” page (Figure 2).

The “Compliance Obligations” page (Figure 5) enables a PAR/AR/AVA to search for the compliance obligations to which the emitter that he represents is subject.

The fields offered allow for searches for “Current” or “Past” obligations, by budget year, obligation type, CITSS entity identification number and legal name. Section 3.3.2.2 of this Manual describes all of the types of obligations in detail.

 The results of the search, presented in a table, can span more than one page and be sorted in ascending or descending order. To do so, click on the title of the appropriate column. To display the other pages, click on the numbers in the lower left-hand corner of the screen. To export the table integrally in Excel or CSV format, click on the corresponding link in the lower right-hand corner of the page. Click on the “Clear” button to empty the search fields.

The search results table presents the following items:

- **Obligation Period:** Indicates the budget year and the type of compliance obligation.
- **Compliance Deadline:** Contains the date and time of the obligation deadline. CITSS automatically processes the obligations on the compliance deadline, in particular by determining if there are sufficient emission allowances to satisfy the compliance obligation.
- **Obligation Period Status:** Indicates the current status of the obligation in CITSS. For current obligations, the obligation period displays “Pending” status for most of the year. It only changes to “Open” once the emissions have been verified and input by the CITSS administrator, thereby allowing the PAR/AR/AVA to examine his emissions and obligations. On the compliance deadline, the status of the compliance period changes from “Locked” during the processing of the compliance (deduction), which takes less than one hour. Once the compliance process has been completed, the obligation period displays “Final” status.
- **CITSS Entity ID:** Displays the ID of the entity that it is attributed to it when its account is opened.
- **Entity Legal Name:** Displays the legal name of the entity that is registered when its account is opened.
- **Compliance Obligation:** Quantifies a compliance obligation in metric tons, that is, by indicating the number of emission allowances that must be surrendered. “In Progress” or “Not Processed” mean that a compliance obligation has not yet been calculated. The status of a compliance obligation remains “In Progress” during input or approval by the ministry.
- **Updated Time / Date:** Indicates the date and time of the last modification for the obligation period concerned.

To access the “Compliance Obligation Details” page, click on the hyperlink in the “CITSS Entity ID” column. This page presents information on the compliance obligation selected. If the status of the compliance obligation is “In Progress” or “Not Processed,” no hyperlink is proposed.

Figure 5: 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  
Quadrennial

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
2018 Shortfall	2020-02-01 20:00:00 EST	Open	<a href="#">CA992</a>	Jacksonville Corp.	2,000	2014-03-05 17:00:00 EST
2018 Untimely Surrender	2020-02-01 20:00:00 EST	Open	<a href="#">CA992</a>	Jacksonville Corp.	3,000	2014-03-05 17:00:00 EST
2015 Offset Invalidation Shortfall	2021-07-28 20:00:00 EDT	Open	<a href="#">CA998</a>	Mega Power Corp.	760	2014-07-28 00:00:00 EDT
2015 Offset Invalidation Untimely Surrender	2021-07-28 20:00:00 EDT	Open	<a href="#">CA998</a>	Mega Power Corp.	860	2014-07-28 00:00:00 EDT

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

### 3.3.1 Compliance Obligation Details

The calculation of obligations hinges on the emissions declared and verified pursuant to the *Regulation respecting mandatory reporting of certain emissions of contaminants into the atmosphere*. The ministry receives the data pertaining to verified emissions on June 1. Once the ministry has input the data in CITSS, it offers the PAR/AR/AVA the possibility of examining the obligations and the "Pending" status before the compliance period deadline.

Figure 6 illustrates the "Compliance Obligation Details" page. This page provides detailed information on the compliance obligation selected for a given entity. It includes help balloons presented in the form of a question mark ("?") at the end of a line or a title. To obtain an additional explanation of the information provided on the same line, place the cursor on the question mark.

The PAR/AR/AVA can access current and previous obligations on the "Compliance Obligation Details" pages. The context of the labels and the current obligations information

differs from that of previous obligations. For example, the “Compliance Obligation Details” page for a current obligation presents the emission allowances to be deducted in the case of a future deadline (outstanding), while in the case of a previous obligation, it presents the emission allowances deducted.

The “Compliance Obligation Details” page contains three boxes:

- Compliance Obligation Information;
- Instruments in Compliance Account to be Retired (and “Completed Retirement Transfers” for previous obligations);
- Facility Emissions.

Each box is described in detail in the following pages.

Figure 6: Compliance Obligation Details Page

Log Out

Home

Contact Us

My User Profile

Account Registration

Representative Reports

Glossary

## 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 Retired
- CAISO (California only - present only if applicable)
- Remaining True-up Quantity (California only - present only if applicable)
- Facility Emissions (present only if applicable)
- Assigned True-up Quantity (California only - present only if applicable)

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

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

### Compliance Obligation Information 1

Obligation Period	2018-2020 Triennial
CITSS Entity ID	QC01010
Entity Legal Name	Enterprise C...
Entity Operating Name	Dénomination co...
Compliance Account Number	QC01010-91027
Compliance Status	Pending Unfulfilled ?
Compliance Deadline	2021-11-01 20:00:00 EDT ?
Updated Date/Time	2018-12-10 08:44:54 EST ?

Tooltip (?)  
Hover the "?" with  
cursor to display help

Compliance Obligation	103,000
Instruments Retired	0
Balance to Fulfill Obligation	103,000 ?
Offset Limit	8,240 ?
Instruments in Compliance Account to be Retired	0 ?
Additional Instruments Needed in Compliance Account	103,000 ?

### Instruments in Compliance Account to be Retired ? 2

Vintage	Jurisdiction	Type	Sub-Type	Offset Type	Offset Project ID	Quantity	Receiving Account
---------	--------------	------	----------	-------------	-------------------	----------	-------------------

There are no applicable instruments for this compliance obligation.

### Facility Emissions ? 3

Budget Year	Facility Name	Facility Operating Name	GHG Emissions Reporting ID	Emissions (metric tons CO <sub>2</sub> e)
2018	Facility 568	Facility Operating Name 568	918273568	33,000
2019	Facility 568	Facility Operating Name 568	918273568	30,000
2020	Facility 568	Facility Operating Name 568	918273568	40,000

[CSV](#) [Excel](#) 3 records

CITSS User Manual – Compliance Management

Page 12

### 3.3.1.1 Compliance Obligation Information

This box provides basic information on a current (pending) or previous obligation. The following information is presented at the top of the box: obligation period, CITSS entity ID, legal name, operating name, compliance account number, compliance status, compliance deadline and updated time / date.

Other important information is provided and explained below:

- **Compliance Status:** Indicates the status of an obligation. In the case of a current obligation, the field can be “Pending Fulfilled” or “Pending Unfulfilled”. In this context, CITSS examines the compliance account at the time of the display and determines if there are sufficient emission allowances to satisfy the pending compliance obligation (Pending Fulfilled). Otherwise, the compliance status displays “Pending Unfulfilled”. For previous obligations, the compliance status is “Fulfilled” or “Unfulfilled”, that is, the status established after the obligation was processed on the compliance deadline.
- **Compliance Obligation:** Corresponds to the number of emission allowances required to satisfy the obligation. The calculation of the compliance obligation hinges on the quantity of the establishments’ GHG emissions, which is indicated in the “Facility Emissions” box.
- **Instruments Retired:** For previous obligations, the “Instruments Retired” field displays the quantity of valid emission allowances that were in the compliance account on the compliance deadline.
- **Balance to Fulfill Obligation:** Indicates the difference between the value of the obligation and the quantity of valid emission allowances deducted from the compliance account. For emitters in Québec, the value of the balance equals that of the obligation until the processing of compliance (November 1 after the end of the period).
- **Offset Limit:** Indicates the maximum quantity of offset credits that this emitter can use to satisfy this compliance obligation.
- **Instruments in Compliance Account to be Deducted:** Corresponds to the quantity of emission allowances in the compliance account that are valid to satisfy the obligation and that would be withdrawn if the compliance processing occurred immediately.
- **Additional Instruments Needed in Compliance Account:** Indicates the difference between the value of the compliance obligation and the quantity of emission allowances present in the compliance account that are valid for the deduction, that is, the quantity of valid emission allowances that must still be transferred in the compliance account to satisfy the obligation.

### 3.3.1.2 Instruments in Compliance Account to be Deducted

This box presents the emission allowances that are present in the compliance account and that are valid to satisfy the triennial obligation. This box only appears with respect to current obligations. The allowances are presented by vintage and by type of emission allowances.

#### **Completed Retirement Transfers**

This section, which is not illustrated in Figure 6 but is found in the “Past” tab on the “Compliance Obligations Page”, indicates the quantity of emission allowances that CITSS has transferred from the emitter’s compliance account to the Minister’s withdrawal account during the processing of the compliance period. The allowances are presented by vintage and by type of emission allowances.

### 3.3.1.3 Facility Emissions

This section indicates the GHG emissions of the establishments associated with the emitter and that are used to calculate the compliance obligation.

## 3.3.2 Data Export

To access the “Compliance Obligation (Data Export)” page of the report, click on the “Continue” button on the “Compliance Obligation (Data Export)” line on the “Representative Reports” page (Figure 2).

CITSS makes it possible to obtain a report that contains all of the fields related to the obligation for the period selected. A report can be generated and downloaded in CSV format.

The following fields are automatically included in “Compliance Obligation (Data Export)”:

- CITSS Entity ID;
- Entity Legal Name;
- Entity Operating Name;
- Compliance Account Number;
- Budget Year;
- Obligation Type;
- Compliance Obligations;
- Offset Limit;
- Allowances Retired;
- Offsets Retired;
- Total Instruments Retired;
- Allowances in Compliance Account to be Retired;
- Offsets in Compliance Account to be Retired;

- Balance (Shortfall);
- Compliance Status;
- Compliance Deadline;
- Obligation Updated Date/Time;
- Date/Time Report Generated.

Three search criteria can be selected to generate the report from the “Compliance Obligation (Data Export)” page (Figure 7):

- **Budget Years (section 3.3.2.1);**
- **Obligation Type (section 3.3.2.2);**
- **CITSS Entity ID (section 3.3.2.3).**

Figure 7: Compliance Obligation (Data Export) Page

**Compliance Obligations (Data Export) Report**

This page allows users to produce a Compliance Obligations (Data Export) Report. The report summarizes the status of current and past Compliance Obligations including Compliance Status, Compliance Deadline, the Compliance Obligation, the Offset Limit, the number of instruments that are needed or have been retired, and other details.

The search function allows searching by Budget Years, Obligation Type, and CITSS Entity ID. The Obligation Type and CITSS Entity ID selections are optional. Selecting the "Submit" button generates the Compliance Obligation Report. Report generation may take several minutes. CITSS will prompt the user to return to this page to check if the report is ready. This webpage can be refreshed by selecting the browser refresh button, pressing F5 on most Windows computers, or using command-R in Mac and Linux. A hyperlink will be presented on this page when the report is ready to be viewed or downloaded in CSV format.

Budget Years \* -- Select --  
 Obligation Type -- Select --  
 CITSS Entity ID

### 3.3.2.1 Budget Years

On the “Compliance Obligation (Data Export)” page, select the desired compliance obligation according to the budget year.

The selection of a compliance period **without** additional search criteria makes it possible to produce a report on the obligations of all of the entities represented by the PAR/AR that request the report, for the period selected. The obligation type and CITSS entity ID are optional criteria that refine the search results.

### 3.3.2.2 Obligation Type

The obligation type is an optional criterion. To refine the desired search results, select one of the following obligation types, described in detail below:

- Annual (California only);
- Triennial;
- Shortfall;

- Untimely Surrender;
- Under-Reported Emissions;
- Under-Reported Emissions Shortfall;
- Under-Reported Emissions Untimely Surrender;
- Offset Invalidation Shortfall;
- Offset Invalidation Untimely Surrender.

## **Triennial**

This page allows for the consultation of triennial compliance obligations, which correspond to the total GHG emissions from all of the emitter’s establishments covered for the period in question.

While the regulation in force in California stipulates an annual compliance obligation, emitters in Québec are solely subject to a triennial compliance obligation.

### **Shortfall – Untimely Surrender**

An emitter that does not satisfy a compliance obligation at the compliance period deadline:

1. is subject to an obligation to recover the missing emission allowances;
2. incurs a penalty.

The obligation to recover missing emission allowances corresponds to the difference between the compliance obligation and the emission allowances that were deducted from the compliance account. A penalty consists in the obligation to recover three emission allowances for each missing allowance.

### **Under-Reported Emissions – Shortfall – Untimely Surrender**

Emitters are subject to an “under-reported emissions” obligation when a modification to a GHG emissions declaration for a year included in the past compliance period exceeds by more than 5% the previously declared value. An emitter that does not satisfy an “Under-Reported Emissions” obligation is subject to two obligations:

1. an “Under-Reported Emissions Shortfall” obligation;
2. an “Under-Reported Emissions Untimely Surrender” obligation.

The “Under-Reported Emissions Shortfall” obligation corresponds to the difference between the “Under-Reported Emissions” obligation and the emission allowances that were deducted to satisfy the obligation. The “Under-Reported Emissions Untimely Surrender” obligation corresponds to three times the “Under-Reported Emissions Shortfall” obligation.

## Offset Invalidation - Shortfall – Untimely Surrender

An obligation related to “Offset Invalidation” arises in two types of situations:

- when an emitter has remitted for a past compliance period offset credits issued by the California Air Resources Board and the credits are invalid. The emitter is bound to replace the invalid offset credits by valid allowances in order to ensure the program’s environmental integrity;
- when the offset credits issued by the Minister are invalidated, the promoter of the offset credit program is obliged to replace the invalid offset credits with valid allowances to ensure the program’s environmental integrity.

An emitter or a promoter that has not replaced the invalid offset credits, as indicated to it following the final invalidation decision, is subject to:

1. an “Offset Invalidation – Shortfall” obligation;
2. an “Offset Invalidation – Untimely Surrender” shortfall.

The “Offset Invalidation - Shortfall” obligation corresponds to the difference between the quantity of invalid offset credits to be replaced and the quantity of allowances remitted in response to the notification of replacement. The “Offset Invalidation – Untimely Surrender” obligation corresponds to three times the “Offset Invalidation – Shortfall” obligation.

### 3.3.2.3 CITSS Entity ID

The CITSS entity ID is the second optional search key. It is possible to refine the results using the preceding search fields (“Budget Years” and “Obligation Type”) to generate a report on a compliance obligation for a single emitter. Enter the entity ID as a search key and click on “Submit” to generate the report that indicates the specific obligations for this emitter.

The “Submit” button notifies CITSS to launch the compilation of the report requested. Once the report has been requested, CITSS displays the message “Your Compliance Obligation Report is being prepared. Please return to this page to download it” (Figure 8).

 To refresh this web page, change page and return to the “Compliance Obligation (Data Export)” page or press F5 in most web browsers or use the R command in the Mac and Linux environments.

Once the report has been generated and the CITSS system page has refreshed, click on the hyperlink below the “Submit” button (Figure 9) to open or download the report requested.

Figure 8: Compliance Obligation (Data Export) Page

**Compliance Obligations (Data Export) Report**

**Log Out**  
**Home**  
**Contact Us**  
**My User Profile**

**Account Registration**

**Representative Reports**

**Glossary**

**Your Compliance Obligation Report is being prepared. Please return to this page to download it.**

This page allows users to produce a Compliance Obligations (Data Export) Report. The report summarizes the status of current and past Compliance Obligations including Compliance Status, Compliance Deadline, the Compliance Obligation, the Offset Limit, the number of instruments that are needed or have been retired, and other details.

The search function allows searching by Budget Years, Obligation Type, and CITSS Entity ID. The Obligation Type and CITSS Entity ID selections are optional. Selecting the "Submit" button generates the Compliance Obligation Report. Report generation may take several minutes. CITSS will prompt the user to return to this page to check if the report is ready. This webpage can be refreshed by selecting the browser refresh button, pressing F5 on most Windows computers, or using command-R in Mac and Linux. A hyperlink will be presented on this page when the report is ready to be viewed or downloaded in CSV format.

Budget Years \* -- Select --  
Obligation Type -- Select --  
CITSS Entity ID

**Submit**

Figure 9: Compliance Obligation (Data Export) Report ready for download

**Compliance Obligations (Data Export) Report**

**Log Out**  
**Home**  
**Contact Us**  
**My User Profile**

**Account Registration**

**Representative Reports**

**Glossary**

This page allows users to produce a Compliance Obligations (Data Export) Report. The report summarizes the status of current and past Compliance Obligations including Compliance Status, Compliance Deadline, the Compliance Obligation, the Offset Limit, the number of instruments that are needed or have been retired, and other details.

The search function allows searching by Budget Years, Obligation Type, and CITSS Entity ID. The Obligation Type and CITSS Entity ID selections are optional. Selecting the "Submit" button generates the Compliance Obligation Report. Report generation may take several minutes. CITSS will prompt the user to return to this page to check if the report is ready. This webpage can be refreshed by selecting the browser refresh button, pressing F5 on most Windows computers, or using command-R in Mac and Linux. A hyperlink will be presented on this page when the report is ready to be viewed or downloaded in CSV format.

Budget Years \* -- Select --  
Obligation Type -- Select --  
CITSS Entity ID

**Submit**

Reports that are ready to be viewed or downloaded are presented as hyperlinks below. Depending on your browser settings, selecting a hyperlink will provide you the option to open or download the report to your computer. If you have prepared multiple reports, each will be available as a separate hyperlink. Each hyperlink will remain on this page until it is opened or downloaded.

[complianceObligationReport\\_12-05-2018\\_1424.csv](#)

### 3.3.3 Eligible Instruments for Retirement

The Regulation stipulates a limit on the quantity of offset credits authorized to satisfy a compliance obligation and specifies the order in which the emission allowances are deducted from an emitter's compliance account when compliance is processed.

The "Eligible Instruments for Retirement" page helps PAR/AR/AVAs to determine the emission allowances that can be deducted to satisfy a specific obligation.

Emission allowances are deducted **solely** from the emitter's compliance account. The emission allowances in any other account, such as the general account, are neither accounted for nor deducted in conjunction with a compliance obligation.

During the processing of each obligation, CITSS determines the valid emission allowances and deducts them in the order determined by obligation type. If the quantity of valid emission allowances in the compliance account exceeds the requisite quantity, CITSS will only deduct the necessary quantity.

To access this page, click on “Continue” on the “Eligible Instruments for Retirement” line in the “Compliance Reports” section on the “Representative Reports” page (Figure 2). The “Jurisdiction,” “Budget Year(s)” and “Obligation Type” fields are mandatory to obtain the desired information (Figure 10).

Figure 10: “Eligible Instruments for Retirement” Page

**Eligible Instruments for Retirement**

This page allows users to view a list of eligible instruments with the retirement 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 \* Québec

Budget Year(s) \* 2015-2017

Obligation Type \* Triennial

CITSS Entity ID

**Submit** **Clear**

To consult a list of valid emission allowances established in order of deduction, choose the jurisdiction, budget year and obligation type using the dropdown lists and click on “Submit” to display the information.

The “Eligible Instruments for Retirement” page (Figure 11) presents the list of valid emission allowances and their order of remittance to satisfy the selected obligation.

Figure 11: Order of deduction of emission allowances valid for the deduction

**Eligible Instruments for Retirement**

This page allows users to view a list of eligible instruments with the retirement 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 \* Québec

Budget Year(s) \* 2015-2017

Obligation Type \* Triennial

CITSS Entity ID

**Submit** **Clear**

The following information regarding order in which allowances will be deducted from your Compliance account at compliance due date is provided as guidance. Users should consult the Regulation for more details on this subject. When appropriate, the allowances are deducted by increasing order of vintage in the following sequence:

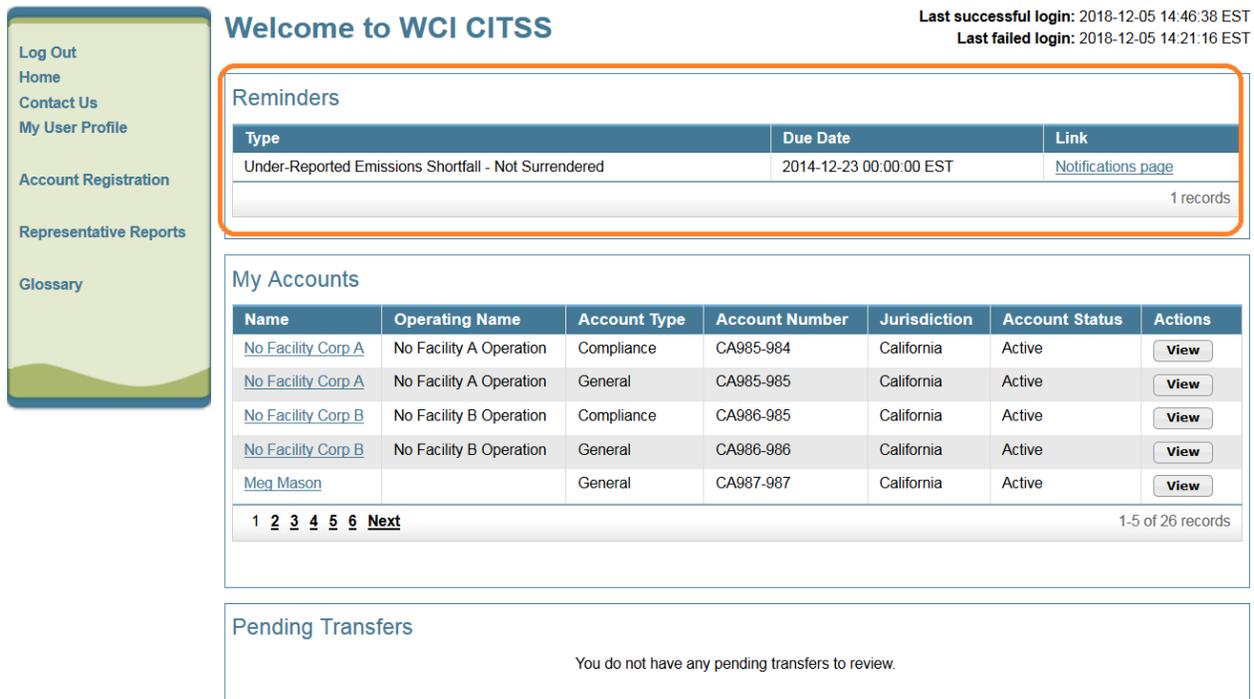
1. Offsets credits up to 8% of triennial obligation, vintage up to one year later than the triennial obligation period
2. Emission units from the reserve account
3. Early reduction credits
4. Emission units with vintage up to the years of the obligation period

### 3.3.4 Notifications

The “Notifications” page enables users to consult information on current and previous notifications, such as informational reminders and warnings concerning individual obligations. The information presented varies according to the nature of the notification.

CITSS automatically sends an email to the PAR/ARs of the entity to indicate that a notification applies to the entity that they represent. When a session is launched in CITSS, a “Reminders” box appears on the home page (Figure 12). To directly access the notifications page, click on the “Notifications Page” hyperlink in the “Reminders” box.

Figure 12: Reminder – Notifications Page



**Welcome to WCI CITSS**

Last successful login: 2018-12-05 14:46:38 EST  
Last failed login: 2018-12-05 14:21:16 EST

**Reminders**

Type	Due Date	Link
Under-Reported Emissions Shortfall - Not Surrendered	2014-12-23 00:00:00 EST	<a href="#">Notifications page</a>

1 records

**My Accounts**

Name	Operating Name	Account Type	Account Number	Jurisdiction	Account Status	Actions
<a href="#">No Facility Corp A</a>	No Facility A Operation	Compliance	CA985-984	California	Active	<a href="#">View</a>
<a href="#">No Facility Corp A</a>	No Facility A Operation	General	CA985-985	California	Active	<a href="#">View</a>
<a href="#">No Facility Corp B</a>	No Facility B Operation	Compliance	CA986-985	California	Active	<a href="#">View</a>
<a href="#">No Facility Corp B</a>	No Facility B Operation	General	CA986-986	California	Active	<a href="#">View</a>
<a href="#">Meg Mason</a>		General	CA987-987	California	Active	<a href="#">View</a>

1 2 3 4 5 6 Next 1-5 of 26 records

**Pending Transfers**

You do not have any pending transfers to review.

The PAR/AR/AVA can also consult the notifications by clicking on the “Continue” button on the “Compliance Obligations” line in the “Compliance Reports” section on the “Representative Reports” page (Figure 2).

The “Notifications” page (Figure 13) allows users to search for notifications intended for an emitter that a PAR/AR represents.

The fields offered allow for searches for “Current” or “Past” notifications by notification name, notification type, CITSS entity identification number and legal name.



The search results, presented in a table, can span more than one page and be sorted in ascending or descending order. To do so, click on the title of the appropriate column. To display the other pages, click on the numbers in the lower left-hand corner of the screen. To export the table integrally in Excel or CSV format, click on the corresponding link in the lower right-hand corner of the page. Click on the “Clear” button to empty the search fields.

The search results table presents the following items:

- **Notification Name:** Displays the name that identifies the notification.
- **Notification Type:** Indicates the type of notification.
- **Due Date:** Indicates the deadline for compliance with the requirements stipulated in the notification.
- **CITSS Entity ID:** Displays the ID of the entity that is attributed to it when its account is opened.
- **Entity Legal Name:** Displays the legal name of the entity that is registered when its account is opened.
- **Quantity:** Indicates the quantity of emission allowances that must be transferred in the compliance account before the deadline stipulated in the notification.
- **Updated Time / Date:** Indicates the date and time of the last modification to the notification concerned.

To access the “Notification Detail” page (Figure 14), click on the hyperlink in the “CITSS Entity ID” column. This page presents information on the notification selected.

Figure 13: Notifications Page

Log Out

Home

Contact Us

My User Profile

Account Registration

Representative Reports

Glossary

## Notifications

A notification is used to provide an informational reminder or to notify an entity of a unique obligation. The information included in a notification varies depending on the purpose of the notification.

This page allows users to view information regarding current or past notifications by selecting the appropriate tab at the top of the page. The Notification Name column identifies the notification. Selecting the hyperlink in the CITSS Entity ID column switches to the Notification Detail page which presents additional information about the selected notification.

The search function allows searching by Notification Name, Notification 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

Notification Name

Notification Type

CITSS Entity ID

Entity Legal Name

Results per page

Search Clear

Notification Name	Notification Type	Due Date	CITSS Entity ID	Entity Legal Name	Quantity	Updated Date/Time
notification test 4	Under-Reported Emissions Shortfall - Not Surrendered	2014-12-23	CA998	Mega Power Corp.		2013-09-26 00:00:00 EDT

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

Figure 14: Notification Detail Page

Log Out

Home

Contact Us

My User Profile

Account Registration

Representative Reports

Glossary

## Notification Detail

The details of the selected notification are presented below. If this notification imposes an obligation for the surrender of instruments, the Due Date and Quantity fields will contain the surrender requirements. Detailed information about this notification is presented in the Description field. If the Status of this notification is "open" then compliance with the action is required by the Due Date.

### Notification Information

Notification Name: notification test 4

Notification Type: Under-Reported Emissions Shortfall - Not Surrendered

Due Date: 2014-12-23

CITSS Entity ID: CA998

Entity Legal Name: Mega Power Corp.

Entity Operating Name: MEGA POWER OPERATING NAME

Quantity:

Description: notification -4 - Under Reported Emissions Shortfall, Unfulfilled

Notification Status: Open

Updated Date/Time: 2013-09-26 00:00:00 EDT

Back

## 4. CITSS support services

For questions concerning the GHG emission cap-and-trade system (C&T system) or to obtain assistance regarding CITSS or user registration, you can consult the carbon market section of the Ministère de l'Environnement et de la Lutte contre les changements climatiques website devoted to the system (<http://www.environnement.gouv.qc.ca/changements/carbone/Couverture-en.htm>).

You can also contact the CITSS support services by calling 418-521-3868, ext. 7074 or toll-free at 1-800-561-1616, ext. 7074, or by email ([registraireqc-spede@environnement.gouv.qc.ca](mailto:registraireqc-spede@environnement.gouv.qc.ca)).