Cap-and-Trade Program

INTRODUCTION TO THE
WCI, INC. AUCTION PLATFORM

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Glossary of Terms

Term / Acronym	Definition
Advance Auction	The auction of future vintage allowances.
CITSS	Compliance Instrument Tracking System Service. CITSS is the market registry.
Current Auction	The auction of allowances with a vintage of current and earlier budget years.
FAQs	Frequently Asked Questions.
Jurisdiction	WCI, Inc. provides services to governmental bodies that operate cap-and-trade programs. Each governmental body is referred to as a jurisdiction.
Qualified Bidder	An entity that applied to participate in an event, whose bid guarantee was accepted by the FSA, and is approved by a jurisdiction.
Representative	Individuals who are designated or authorized to act on behalf of a registered entity. Account Representatives may include a Primary Account Representative (PAR) or an Alternative Account Representative (AAR) in CITSS.
Sponsor	A jurisdiction role supporting auction activities.
Tier/Category	A fixed price at which allowances are offered for sale.
Two-step approval /dual approval	A process that requires two users to approve a single action.
WCI, Inc.	Western Climate Initiative, Inc.

1 INTRODUCTION

1.1 Introduction

This document introduces the Western Climate Initiative, Inc. (WCI, Inc.) Auction Platform launched in July 2021. This document is not a complete user guide with detailed functionality such as open event bidding functionality. This provides an overview of functionality and familiarization with the new Auction Platform.

California Air Resources Board (CARB) and partner jurisdictions use two key internet services, the Compliance Instrument Tracking System Service (CITSS) and the Auction Platform, to administer the Cap-and-Trade Program. These services exchange data to maintain user and entity information. CITSS is the registry of record. User guides and detailed information on the use of CITSS are provided on the CARB webpage at https://www.arb.ca.gov/citss.

The Auction Platform allows account representatives to create user accounts in the Auction Platform, submit bids during an auction or reserve sale, and review results of past auction and reserve sale events in which the entity participated.

To have a user account in the Auction Platform, an individual must be an account representative of a CITSS entity that has participated in a past auction or has submitted an event application to the current event.

A Primary Account Representative (PAR) or an Alternate Account Representative (AAR) applies in CITSS to each auction or reserve sale that an entity desires to participate in. Application to an auction or reserve sale includes entity consent to exchange specific CITSS user and entity information with the Auction and Reserve Sale Administrator (Auction Administrator) and Financial Services Administrator (FSA).

1.2 CITSS and Auction Platform Reconciliation

CITSS user and entity accounts are reconciled with the Auction Platform. Once a CITSS user becomes the PAR or an AAR of an entity that has been a qualified bidder to a past auction or reserve sale, or an entity that is an applicant to an upcoming auction or reserve sale, CITSS reconciles user and entity information with the Auction Platform. First time users receive an automated account activation email from the WCI Inc. Support Team.

Active account representatives associated with an entity have access to entity records in the Auction Platform, including records of past auction and reserve sales. Representatives retired or suspended from an entity account no longer have access to entity information in the Auction Platform.

1.3   Account Representative Screens

The table below shows the screens and functionality available to an Account Representative in the Auction Platform.

**Figure 1-1: Account Representative Screens**

User Menu	Page Name	Functionality
Home	Public Home Page	The Home page of the application accessible to everyone without logging in.
Home	Private Home Page	The Landing page when a user logs into the application.
Reports	Reports	Displays the list of event reports and provides search capabilities.
Event/Auction	Bidding Page open during an event (displays as the name of the event)	Allows a representative to submit and manage bids during the bidding window.
FAQs and Resources	FAQs and Resources	Displays FAQs and Resources.
User Profile	Change Passphrase	Allows user to change passphrase.
	Reset Security Questions	Allows user to reset security questions.
	Logout	Allows user to exit the application.

2 NEW ACCOUNT SETUP

This section of the guidance explains how to set up Auction Platform credentials. In addition to a CITSS account, an account representative (PAR or AAR) must have a user account in the Auction Platform to participate in an auction or reserve sale event.

CITSS notifies the Auction Platform when an entity submits an event application. If any active representative of that entity does not have an Auction Platform account, the Auction Platform will send a message to the representative's email address obtained from CITSS with an Activation Link to setup an Auction Platform account. The Activation Link is valid for 24 hours.

Figure 2-1: New User Account Activation Email
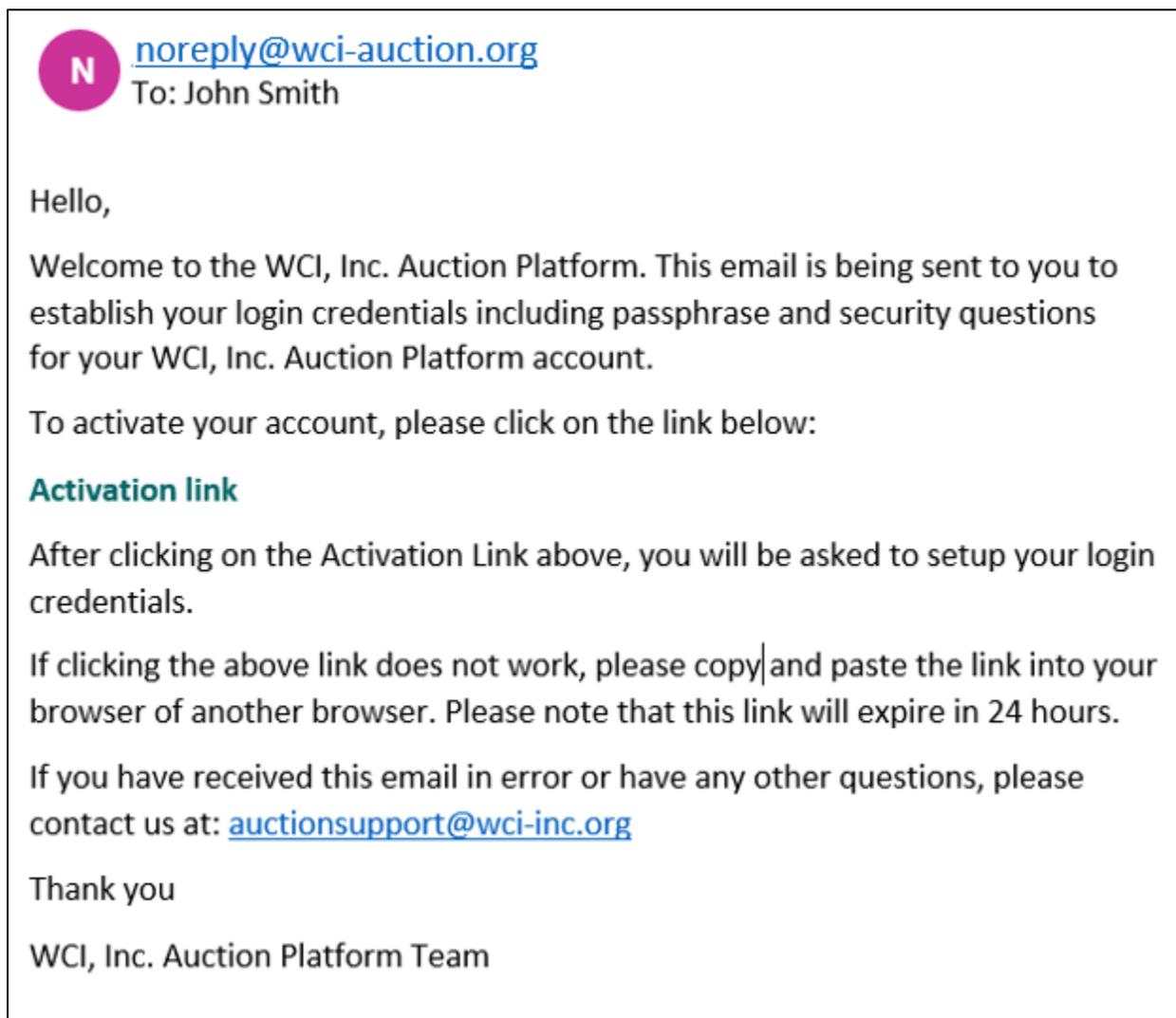
2.1   Setup User Credentials

Selecting the Activation Link in the email message directs the recipient to the "Let's set up your auction platform credentials" webpage in the auction platform.

Figure 2-2: Let's Set Up Your Auction Platform Credentials Webpage

The information available on the "Let's set up your auction platform credentials" webpage is summarized below:

- **Language.** This is the language assigned in CITSS according to the jurisdiction a user selected during their initial user registration process. Users registered in the California Cap-and-Trade program are assigned English.

- **Email.** This is a user's active email address from their CITSS account. This email address becomes the User Email ID used to login to the Auction Platform.

- **Passphrase.** A passphrase is like a password except longer and allows blank spaces, enabling a user to enter a phrase or sentence. The rules for an acceptable passphrase in the Auction Platform are:
  - 8-50 characters in length
  - First and last character must be a letter or number

- At least one upper case letter
- At least one lower case letter
- At least one number
- At least one special character (no quotes or apostrophes)
- No non-printing characters

While a user is entering a passphrase, the Auction Platform will place an "x" beside any rule that is not met in a new passphrase. A user must enter a new paraphrase twice, once in the "Create New Passphrase" field and again in the "Confirm New Passphrase" fields.

- **Security Questions.** Security questions are used to authenticate logins and verify account holders. A user must select three security questions and provide a unique answer to each question. Each answer must contain four or more characters.

- **Terms of Use.** By checking this box, a user agrees to the Terms of Use for the application. A User can view The Terms of Use by clicking the link on the screen.

- **Clear Form.** Clears all the entered data.

- **Set up my Credentials.** This button becomes active when a user completes all the required fields. Following selection of this button, the Auction Platform provides a confirmation message indicating that a user has properly completed the setup and redirects the user to the Public Home Page to login with the new credentials.

3 PUBLIC HOME PAGE

The Public Home Page is the Auction Platform landing page for anyone accessing the website: https://www.wci-auction.org.

The Public Home Page provides a great deal of information including auction results, notices, reports from past events, instructions to participate in an event, and contact information for WCI, Inc. and participating jurisdictions.

Description of the Public Home Page is divided into the Header (top), Body (middle) and Footer (bottom).

3.1 Public Home Page – Header

The Header section of the Public Home Page includes the WCI, Inc. logo and Application Name Line, the Navigation Bar, the Banner and Page Title, and the User Information Bar as shown below.

Figure 3-1: Definition of Page Header Parts
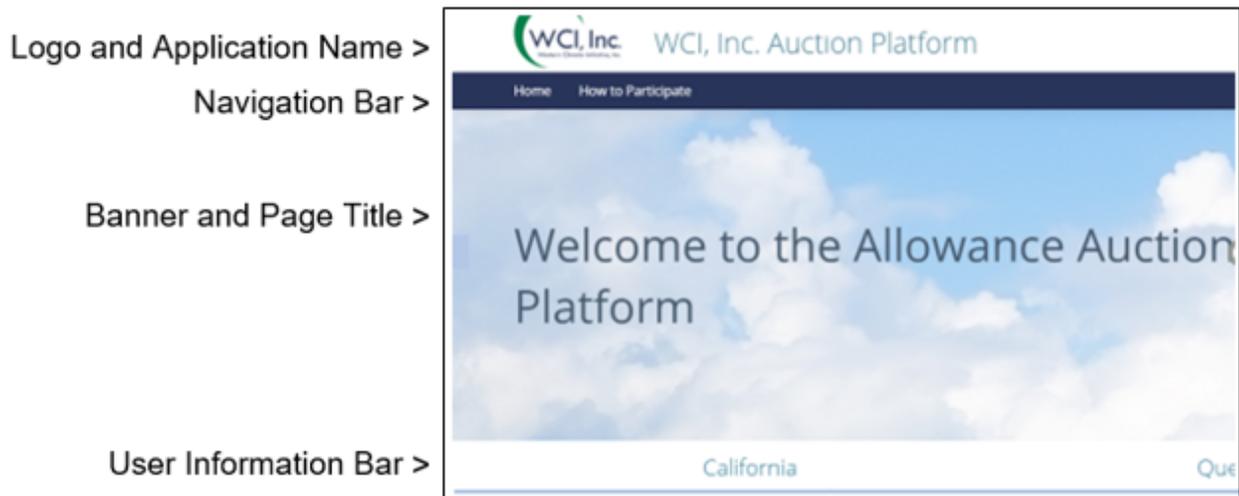
Users will primarily navigate within the Auction Platform using the dark blue Navigation Bar and the white/grey User Information Bar. These bars are available on all pages of the Auction Platform. The functionality located on these bars differs on the Public Home Page and the Private Home Page.

Figure 3-2: Public Home Page Header

On the Public Home Page, the Navigation bar includes:

- **Home.** Returns a user to the Public Home Page.

- **How to Participate.** Takes a user to the referenced section located farther down on the Public Home Page.

- **FAQs & Resources.** Provides answers to commonly asked questions and identifies contacts for additional support.

The "Contact Us" button in the Banner provides contact information for the WCI, Inc. Support Team. Links to the webpages of the participating jurisdictions are located on a User Information Bar immediately below the banner.

The homepage presents a slightly different layout if the internet connection is from a known participant in the auction program that has previously accessed the Auction Platform from the same location.

If the Auction Platform recognizes a returning user, a "Welcome Back" login menu (see inset below) is presented replacing the login button and the WCI, Inc. Contact Us button.
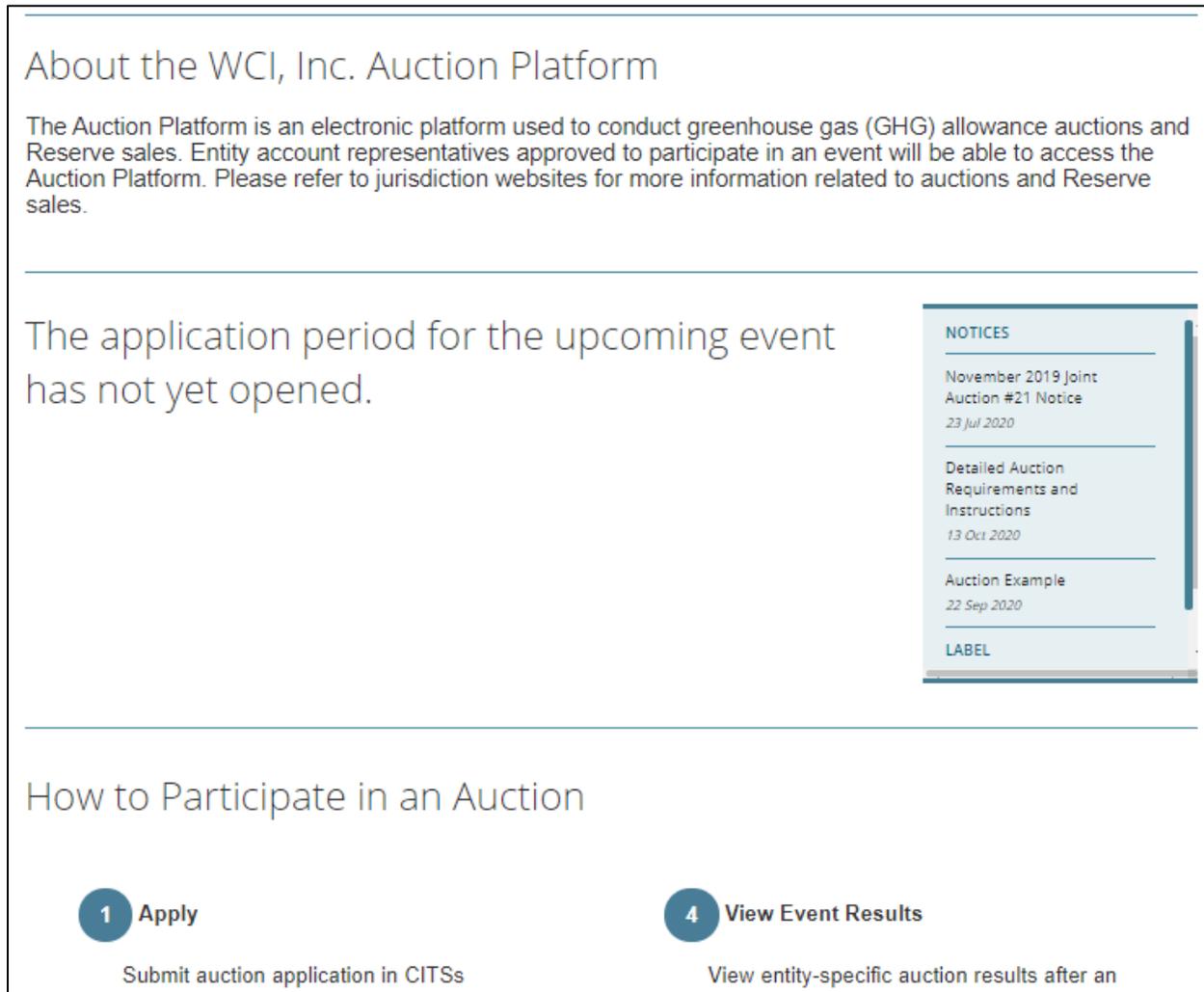
Figure 3-3: Public Home Page – Login Menu
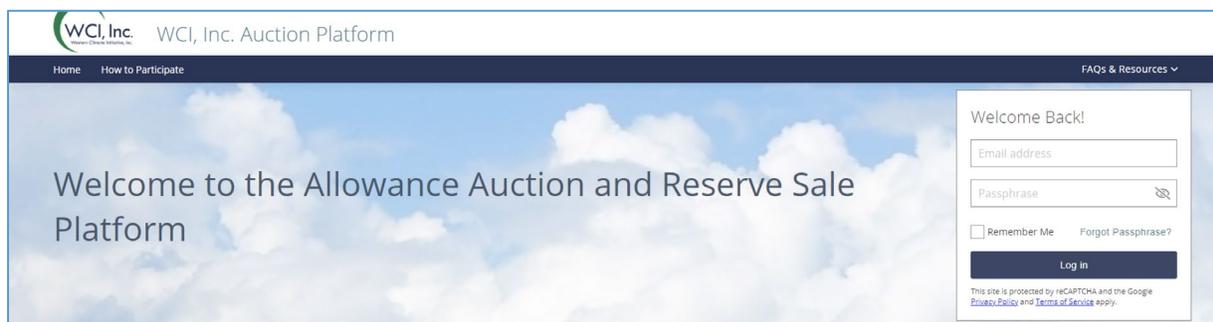
3.2   Public Home Page – Body

The portion of the webpage below the Header is the body. The body of the Public Home Page contains the "About the WCI, Inc. Auction Platform" introduction, "Current Events" section, and "How to Participate in an Auction" section.

Figure 3-4: Public Home Page – Body

The "Current Events" section provides information about the current or forthcoming auction and/or reserve sale events. This section includes the Notices inset that provides links to auction documentation including the current Auction Notice, Detail Auction Requirements and Instructions, Auction Examples documents, etc. The inset is scrollable to access additional items located lower in the list.

The "How to Participate in an Auction" section provides step-by-step instructions to apply, participate, and view results of an auction. This is a static portion of the webpage that does not change except as warranted to clarify content or reflect changes to auction participation requirements of the supported cap-and-trade programs.

3.3   Page Footer

The Page Footer is common to all pages in the Auction Platform. The Page Footer displays the "Disclaimer" and contains links to the "Terms of Use," "Privacy Policy," and "Contact Us."

Figure 3-5: Page Footer
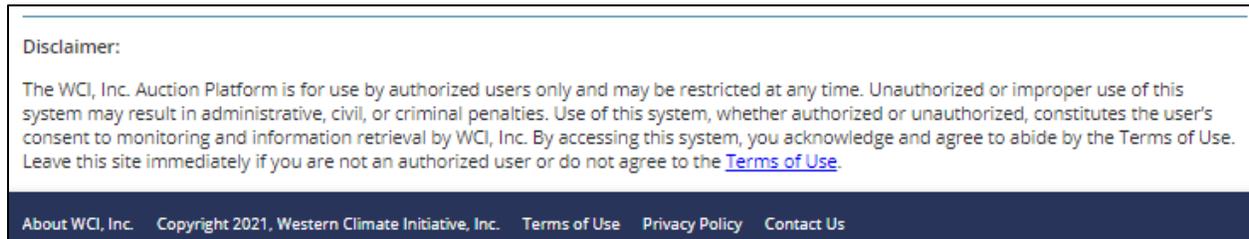


The Page Footer provides the following navigation:

- **About WCI, Inc.** Navigates to the WCI, Inc. website.
- **Terms of Use.** Displays the Terms of Use for the website.
- **Privacy Policy.** Displays the Privacy Policy document.
- **Contact Us.** Navigates to the WCI, Inc. Support Team page.

4 USER LOGIN

4.1 Login

Users access the Auction Platform by logging in at the Public Home Page, via either the "Log in" button on the right of the WCI, Inc. logo line for new users or "Welcome Back" menu presented to returning users. These menus are essentially identical. The "Welcome Back" inset autocompletes a user's Email ID to login.

Figure 4-1: Login Menus
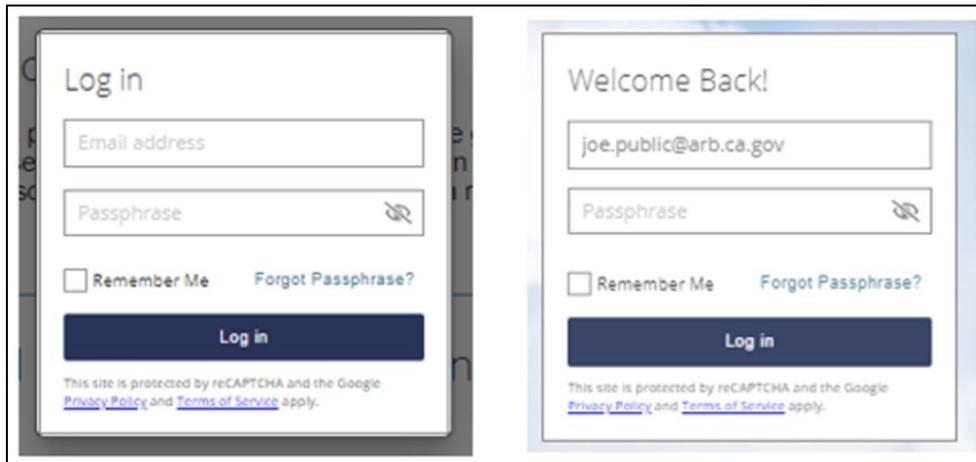
The login menus include the following elements:

- **Login credentials.** Enter user Email ID and passphrase. A user Email ID in the Auction Platform is the user email address obtained from CITSS.

- **Remember Me.** Allows the system to remember the email address in the login module for a limited time.

- **Forgot Passphrase.** Allows user to enter their email address. The Auction Platform sends a reset passphrase link to the email address if the email address is valid in the system. If a user does not receive a reset message, the email address entered does not match the email address that exists in the Auction Platform.

- **Answer a security question.** After entering user login credentials, a user must correctly answer one of the security questions established during credential setup.

- **reCAPTCHA.** The Auction Platform is protected using reCAPTCHA from Google. A user must correctly enter the values presented by the reCAPTCHA. If a user cannot decipher the reCAPTCHA, a user can refresh with a new reCAPTCHA.

4.2 Entity Selection

A user that is an account representative (PARs or AARs) for multiple CITSS entities must select which entity they are representing when they login. Upon successful entry of login credentials, the Auction Platform will present a menu with a list of entity accounts.

Figure 4-2: Entity Selection during Login
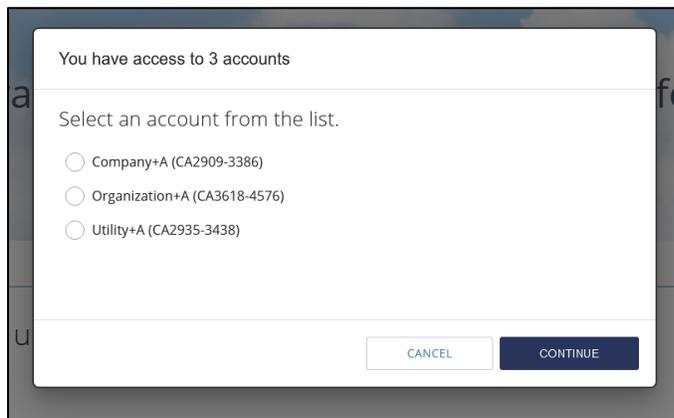
The menu provides the functionality to perform the following actions:

- **Select the Entity.** Select the entity to represent.
- **Search.** If the list of represented entities is lengthy, a search feature is provided.
- **Continue.** Associate the login to the selected entity account.

4.3 Switching Entities within the Auction Platform

After logging in and selecting an entity, a user can switch entities without logging out of the application. The User Information Bar displays a user's role, jurisdiction, and entity. A user that represents multiple entities can change the entity they represent by selecting from the dropdown menu available at the entity label (refer to following figure).

Figure 4-3: Entity Selection after Login

5 PRIVATE HOME PAGE

5.1 Private Home Page

After a user has successfully logged into the application, the Auction Platform takes the user to the Private Home Page. During an auction event, the platform displays a green banner at the top of the page indicating "Live Auction in Progress."

Figure 5-1: Private Home Page

5.1.1 Navigation Bar

A user can navigate to any of the pages in the application from the Navigation Bar. The Navigation Bar choices are:

- **Home.** Returns a user to the Private Home Page.

- **Reports.** Opens a list of reports from past auction or reserve sale participation.

5.1.2 User Information Bar

The User Information Bar is the light grey bar located beneath the banner picture. The information shown on the User Information Bar includes:

- **Role.** Role of the logged in user (Account Representative).

- **Jurisdiction.** Jurisdiction of the entity account.

- **Entity.** Entity Account a user is currently representing.

5.1.3 Current Events Section

The "Current Events" Section is the same as that of the Public Home Page, displaying information about current and future events.

- **Upcoming Events.** This section displays upcoming events and/or any ongoing events. The events are displayed in the order of earliest to latest.

    Event Timer. The event timer is shown for any event displayed in the Upcoming Events section. The timer displays the following:

    - For an upcoming event, the time is displayed in Days, Hours, and Minutes. The countdown is to when the event will start. For the last minute before the event start, the timer will show 00:00:00. A user will need to refresh the page to see the new status "Event in Progress."

    - For an event in progress, the timer displays the title "Event in Progress" and the time remaining in the event window in Hours, Minutes, and Seconds.

    - For a paused event, the timer displays the title "Event Paused." The countdown does not stop.

- **Previous Events.** The section displays the information about the four most recently closed events.

5.2 User Profile

The "Welcome *username*" is displayed at the right side of the WCI, Inc. banner line. Selecting the username opens the user profile dropdown menu allowing a user to "Change Passphrase," "Reset Security Questions," or "Logout."
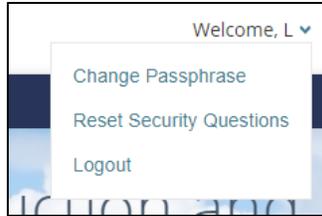
5.2.1 Resetting Security Questions

A user can reset previously selected security questions and answers. The only prerequisite to reset the security questions is that a user must be logged into the application. A user should contact the CARB Help Desk if they encounter difficulties resetting the passphrase or security questions.

To reset the security questions, login to the Auction Platform and select the welcome menu to view the menu options. From the menu options, select "Reset Security Questions." The application will load the "Reset security questions" screen. On the "Reset security questions" screen, select the security questions and enter answers. After a user enters the required answers, select "Reset my security questions" to submit the information and complete the reset security questions process.

Selecting the "Clear Form" button clears the entered data allowing a user to start over.

Figure 5-2: Reset Security Questions

The fields on the "Reset security questions" page are:

- **Email address.** Auto populates a read only view of a user's email address from CITSS.

- **Select security question.** Allows a user to select from a dropdown list of security questions.

- **Enter security answer.** Allows a user to provide answers to selected security questions.

- **Clear form.** Clears all the data entered in the fields. Allows user to start over if needed.

- **Reset My Security Questions.** Submits the security questions and answers. Upon submittal, the application provides confirmation of successful reset.

5.2.2 Forgotten Passphrase

When a user has forgotten their passphrase, they are unable to login to the Auction Platform. In this situation, a user must select "Forgot Passphrase" from the Auction Platform login menu.

When a user selects "Forgot Passphrase," they are required to enter their Email ID obtained from CITSS. If the address entered matches the email address on record, the auction platform sends a message with a "Reset the Passphrase" link. The link is valid for one use within 24 hours.

Figure 5-3: Reset Passphrase Email Message

Hello,

We received a request to reset the passphrase for your account:

asmith@demo.citssdev.com.

To complete this request, please click the link below:

Activation link

If clicking the above link does not work, please copy and paste the link into your browser or another browser. Please note that this link will expire in 24 hours.

If you have received this email in error or have any other questions, please contact us at:

auctionsupport@wci.com.

Thank you,

WCI, Inc. Auction Platform Support Team

Selecting the Activation Link opens the "Let's set up your Passphrase" with a security question (Figure 4-6.) A user must provide the correct response to the selected security question before the platform will allow entering a new passphrase.

When a user provides the correct response to the security question, the Auction Platform presents the page to enter a new passphrase (Figure 4-7.) All passphrase criteria rules apply, and the new passphrase cannot be the same as previous passphrases.

Figure 5-4: Reset Passphrase Security Question

Figure 5-5: Reset Passphrase