Emissions Trading Registry

Getting Started / Opening Compliance Accounts

Updated March 2009
2 Registering on the UK Emissions Trading Registry

In order to participate in the Emissions Scheme, or to be able to trade Emissions Allowances, you must register with the Emissions Trading Registry (the system). Registration is a very simple process and will only take a few minutes.

Before you start you will need:

A. **Your company’s house number** (if you don’t have one please contact the helpdesk on 020 7238 4713 for further advice.)
B. To know whether your **target** is absolute tonnes of carbon dioxide or relative to production
C. **Your email address** - this can be any account to which you have access, e.g. Internet Service Provider account, work account, or web based ‘hotmail’ style account.
D. **Internet access** with 128 bit encryption on both PC and network - this is standard on most modern browsers (Internet Explorer 5 or later). If your browser is not 128bit encrypted, please follow the steps below:
   - Launch Internet Explorer
   - Click on the ‘Help’ option at the top of the screen
   - Click on ‘About Internet Explorer’ then ‘Update Information’ (if displayed) which will be located next to the ‘Cipher Strength’. By selecting this option, the Microsoft download page for the High Encryption pack shall be displayed. You can then download the most appropriate patch for your version of Internet Explorer.

2.1 Step 1

Go to [http://www.defra.gov.uk/etr](http://www.defra.gov.uk/etr) - if you accept the terms and conditions you will be taken to the home page. Click the link to ‘ETR Login’. This should take you to the login page where you should select the red link to ‘Register as an organisation with the Emissions Trading Registry. You will then reach the registration form.

2.2 Step 2

On the registration form page you will be asked to input information on your company and your contact details.
If you see a screen telling you there has been an admin error, please check you have not used the ampersand (&) or other symbol on the form, e.g. in the ‘Company Name’ or ‘Job Title’ box. If you have not then please call our helpdesk (020 7238 4713).

2.3 Step 3
Having filled in the online form you will be taken to the legal rules and agreements you must accept before you can be registered. Once you have accepted the agreements you should be taken to a screen showing your User ID, which you should make a note of. Your password will be sent to the email address you specified in the form.

User ID: This will be in the format Initial, Family Name, Identifier, for example, Fred Smith may have a User ID of FSmith1, Frans Smith may have a User ID of FSmith2 whereas Freida Smith may use FSmith3 to login to the system.

Password: You have three attempts to input the correct Password. If you fail to do so within the three attempts then you shall be locked-out of the system and will be unable to gain access. If you have forgotten your password and/or User ID, you should then contact your system principal account user. When you first access the system, you will be asked to change your password.

After successfully registered with the system, a Trading account will be created for you with the account name as specified and within the sector (absolute/relative) you chose.

2.4 Step 4
Using your user ID and password, return to the Login page from which you accessed the registration form. Enter your user ID and password to gain access to the system. We recommend you ‘cut and paste’ the password to avoid transcription errors. You will be prompted to confirm your contact details and change your password. The new password must be at least six characters with a mix of numbers and letters.

After doing this you will be able to see your accounts and access all the functions of the registry. Please make a note of your Organisation ID (see the number guide in Annex B for a description).
3 Setting up a Compliance Account

You will need a compliance account for any target unit for which you wish to meet a CCA target through the purchase of allowances in the UK ETS, or to receive an allocation of allowances from verified over achievement of a CCA target.

3.1 Step 1: Filling out Form ETS (02)09rev2 (Annex A)

Please list the Target Unit Identifier (TUID) and the associated ETS sector (i.e. the nature of the target, either absolute or relative) for all target units for which you want to open a compliance account. You should have obtained your TUID(s) from your Sector Association.

Note: Please ensure that the TUID is entered correctly as any errors may cause a delay in the CCA retirement process.

Please complete the form electronically if possible as this will make it easier for the ETA to input the details.

You may name your compliance account using up to 25 alpha numeric characters. If you do not nominate a name for your compliance account(s) they will be named compliance 1, compliance 2 etc. If you need more than 10 compliance accounts you may fill in 2 copies of the form, you will still need to fill in all fields and sign and date both copies. If you are a sector association using a Trading Target Group Identification code write this clearly in the space provided for the standard TUID, avoiding the single character spaces used for trading model code and re-bubbled indicator.

Declaration

You are also required to give your consent to the publication of information regarding your organisation’s participation in the Emissions Trading Scheme by signing and dating the form. The information that will be published is detailed in rules G(2)(2) and (3A) of the ETS rules ‘The UK Greenhouse Gas Emissions Trading Scheme 2002 ETS(01)06.rev2’ as reproduced below:

G2(2)- All participants consent to the publication of the following details in relation to all accounts at the registry:-
  • The name of the participants
  • The account name
  • The account number
  • The name and contact details of the principal account user
  • The transaction log described in rule B11

G2(3A)- A CCA participant consents to the publication of:-
  • The number of allowances allocated to compliance accounts held in his name under rules D4
  • The number of allowances retired from compliance accounts held in his name under rules D5.

Anyone submitting a registration form which contains false information may be committing an offence under Schedule 6 to the Finance Act 2000.

3.2 Step 2

Once completed please fax the form to Defra on 020 7238 4879 marking it for the attention of UK ETS. We will not acknowledge receipt of your fax, but you will receive an email from the registry once your compliance account has been opened. If you do not receive an email informing you that your account has been opened within 10 working days of sending your fax, you should contact the registry by telephone on 020 7238 4713 or at ets.registry@defra.gsi.gov.uk.

All fields in the form are mandatory unless otherwise indicated. If you do not supply all the necessary information we will not be able to process your form.
If you are unable to fax the form you may post a copy to:
Climate Change Agreements
Department of Energy and Climate Change
Area 1A,
3-8 Whitehall Place
London
SW1A 2HH

4 Account Enquiry Area

This page displays the high-level information regarding the accounts you have access to and consists of:
- Account ID
- Account Name
- Account Type
- Account Sector
- Account Status
- Account Balance

To view more detail for an account, you can either double-click the account, or highlight an account (the entry is highlighted in yellow) and select the ‘View Account’ option from the sidebar menu. For further information on the ‘View Account’ function, please go to page 8.

5 Transfer

This page enables you to select the account that you wish to make a transfer to. The page displays the account details that the transfer will be made from including the ‘transferable balance’
Transferable Balance: The number of allowances that are available for transfer. This may not be the same as the account balance as the account balance includes allowances that have been suspended by the ETA.

Select Buyer Account: You must insert both the buyers Account ID and Organisation ID. Once they have selected the arrow icon to the right of ‘Organisation ID’, the appropriate account is displayed if found. The information displayed should enable you to make a positive identification that the account selected is the account you wish to transfer to.

Confirm Account Details: This is a summary of both the accounts you wish to transfer from and to. It also includes details of the sectors the accounts belong to so that you will know whether the Gateway is involved (only for transfer from the Relative to the Absolute sectors).

General Details: For the input of various transfer information including:

- Transfer Request Type – ‘Intra-group’ for the internal movement (non-sale) of allowances within an organisation. ‘Domestic’ for the sale of allowances to another organisation that is registered/based within the UK. ‘Donation’ for the non-sale movement of allowances to another organisation. As it is not possible to make international transactions on the CCA ETS Registry, do not select ‘International’.
- Your Reference – Input a reference number that helps you to identify this transfer.
- Allow Transfer Split? – You should select this option if you wish the Gateway transfer to be split (i.e. the transfer will go through the Gateway in batches smaller than the total transfer request).
Allowance Details: This allows you to specify the type of allowances you wish to transfer. This consists of:

- **Allowance Type** – Always select ‘UK Scheme – ETA’ as allowance type as no project credits exist in CCA ETS.
- **Vintage** – The vintage of the allowances you wish to transfer. More than one vintage can be specified. It is recommended that you select ‘Any’ as this will take allowances on a Last-In First-Out basis, regardless of vintage until the number of allowances to be cancelled has been satisfied.
- **Country of Origin** – The country that the allowances you wish to transfer originated from (UK only).

Number of Allowances: Input the number of allowances you wish to transfer (must be less than or equal to the ‘Transferable Balance’).

Request Confirmation: This is a confirmation that your request to transfer allowances from one account to another has been received. You are given an Activity ID for the request that should be quoted if you ever need to contact the ETA regarding this transfer.
6 View Account
This option allows you to view the account transaction histories for a single account. Past activity history for a single account is displayed. It shows a summary of the account you are viewing and details of each activity entry on the account. Entries are automatically displayed in reverse-chronological order. This may be changed to chronological order by selecting the ‘Date/Time Requested’ header.

In order to view the full details of each individual activity, you can double-click an entry.
**Activity ID:** The unique identifier for each activity. This can be displayed in ascending activity order by selecting the column header. Note that the 'Balance' column will become greyed-out if you select this function.

**Date/Time Requested:** The date and time that the request was made. This may be switched between reverse- and normal-chronological order by selecting the column header.

**Organisation Name:** The third-party organisation involved in the activity (e.g. the buying organisation if you are selling, or the seller if you are buying). This can be displayed in reverse- or normal alphabetical order by selecting the column header. Note that the 'Balance' column will become greyed-out if you select this function.

**Account Name:** The account that you have either transferred to (buyers account), or transferred from (sellers account), that is owned by the organisation named above. This can be displayed in reverse- or normal alphabetical order by selecting the column header. Note that the 'Balance' column will become greyed-out if you select this function.

**Account ID:** The account that you have either transferred to (buyers account), or transferred from (sellers account), that is owned by the organisation named above. This can be displayed in alphanumeric order by selecting the column header. Note that the 'Balance' column will become greyed-out if you select this function.

**Transfer Status:** The current status of the activity. Activities can have a different status as shown below:

- Completed Transfer (not involving the Gateway) – display ‘✓’
- Pending Transfer (involving the Gateway) – display ‘Q’ (selling account only)
- Completed Transfer (full or partial and involving the Gateway) – display ‘Q ✓’
- User Cancelled Transfer (involving the Gateway) – display ‘QX’ (selling account only)
- Partial Transfer that is a result of a split transfer (involving the Gateway) – display ‘QP’
- ETA Cancelled Partial Transfer (involving the Gateway) – display ‘QPX’ (selling account only)

**6.1 Individual Activity Details**

This page details the particulars of each transfer and project credit allocation. Includes information on:

- Seller Information – The account name/ID/sector and organisation name/ID of the seller.
- Buyer Information - The account name/ID/sector and organisation name/ID of the buyer.
- Transfer Details – Full details of the requested transfer including the date and time the request was made, the number of allowances for transfer and the current transfer status.
- Allowance Details – Provides details of the allowance type/vintage/origin selected for transfer.
- Allowances for Transfer – Details the individual allowance block serial numbers identified for transfer.
If the transfer is pending, then there are certain details that can be amended, including the cancellation of the transfer. The information that can be amended is:

- Type of Transfer Request
- Your Reference
- Allow Split in Gateway Transfer

**7 Manage Account**

This option allows you to manage your accounts. There are a number of sub-menus that allow you to gain access to the various account management functions. Those functions are described below:

**7.1 Open New**

This tab enables you to open an additional Trading account. The system shall display a message that states that if you required to open a Compliance account. Please refer to Section 2 for further information.
The following information is required to open a Trading account:

- **Sector**: The sector you wish the account to reside in (Relative or Absolute). Defaults to Absolute.
- **Account Name**: The name you wish to give the account.
- **Account Contact Details**: You automatically become the owner of this account. You may modify these details if you are not to be the account owner. Please note that if you nominate another user (who is not a principal account user) to be the owner of this account, then you must grant them access via the ‘Delegate Accounts’ function located within the menu sidebar.

### 7.2 Close Account

This enables you to close an account that is no longer required. In order to close an account, it must have a balance of zero allowances. When you select this tab, full details of the account are displayed including the organisation that the account belongs to.
In order to close the account you must input a reason for the account closure in the Reason Text field. You are asked to confirm your decision to close the account.

**Note:** Once an account has been closed, it cannot be re-opened. You should instead create a new account from the ‘Open New’ option within the menu sidebar.

### 7.3 Cancel Allowances

Enables you to cancel allowances from an account.

**Note:** you may lose allowances if you cancel them by mistake. Only in extreme circumstances can the Regulator (ETA) resurrect allowances that have been cancelled. Once the request to cancel allowances has been made, it cannot be cancelled or amended in any way.

The account details are displayed in order for you to confirm that you have chosen the correct account to cancel allowances from.

Full details of each block of allowances held within the account are also displayed, including those that have a status of **Suspended** or **Earmarked for Transfer**.

**Note:** ‘Suspended’ or ‘Earmarked for Transfer’ allowances cannot be cancelled until the status changes to **Active**.

If you wish to cancel allowances you will need to select the account you want to cancel allowances from (single left click to select the account with the orange highlight). If you are satisfied that this is the correct account from which you wish to cancel allowances, you must enter the Type(s) of allowances you wish to cancel. You are required to specify the Vintage(s) of the allowances, as well as the Country of Origin and the total number of allowances that are to be cancelled. For the above options, you may select ‘Any’. This will take allowances on a Last-In First-Out basis, regardless of Type, Vintage or Origin, until the number of allowances to be cancelled has been satisfied.

Once you select the next option, the system then asks you to confirm your selection. If you confirm that you wish to cancel the specified allowances, the system will display details of the allowances that have been earmarked for cancellation. These allowances are then cancelled.
7.4 Delegate Accounts

This function allows a principal account user to grant/remove secondary account user access to accounts.

The system will display all the accounts that a user has access to, and includes accounts that they manage on behalf of a client. The information displayed for each account will consist of:
• Owning Organisation Name – This will be different to the users organisation if they manage the account for a client.
• Account ID
• Account Name
• Account Type – Trading or Compliance.
• Account Balance
• Account Status – **Active, Suspended** or **Closed**.
• Account Sector – The sector (Absolute or Relative) that the account resides in.
• For each account there may also be the following two options:
• Assign/Remove User Access – This is for all accounts, regardless of who owns or manages them, or the current status.

In order to assign or remove access rights of a user, the system will display the following:

• A list of users who currently have access to the account. This list will include all principal account users for the organisation that has access to the account. In order to remove the access rights of a user to this account, the user must select the ‘Deny Access’ tick-box. This will immediately remove the nominated user from this list and add them to the list of users who do not currently have access to the account.

**Note:** Principal Account Users cannot have their access to an account removed.

• Confirm Option – This will provide a summary of the users changes and allow them to make further amendments before committing their changes. All users whose access rights have changed are automatically informed of the changes that have been made.

**8 Manage Account Users**
This option contains a number of sub-menus that enable you to manage your own details that are held within the Registry, or (if you are a principal account user) other users details. Details of the functions you can access are described below:

**8.1 Change My Password**
You may change your password at any time. In order to do so, you must have the following information to hand:
• Current Password – This will always be blank. If you wish to change your password, please input your current password here first.
• New Password – If you wish to change your password, please input your new password here. 
  Note: You must remember exactly how the password was typed (including capital letters).
• Confirm New Password – To confirm your new password, it must be retyped here as it was entered above. It must match exactly that which was entered in the ‘New Password’ field.

8.2 Create New Users
This function enables you to create other users within the system. In order to do this you will need the following information:

• Family Name of the new user
• First Name of the new user
• Email Address of the new user
• User Type – secondary account user or principal account user. If a new user is granted principal account user access, then they shall be able to access all accounts owned or managed by your organisation. If the new user is a secondary account user, then you will need to assign them access to individual accounts.

Once you have created the new user on the system, they will receive their password via email. You must inform the new user of their User ID.

8.3 Delete User
This option is used to remove a user’s access entirely from the system. By deleting a user, they cannot be reinstated. A new user login must be created instead.

8.4 Promote/Demote User
Principal Account Users will be able to promote and demote users. The functions and impacts are described. To find a user you will need to enter their User ID. The system will then display the details of the user:

• First Name
• Family Name
• Email Address
By selecting the user, you will have the option to either Promote or Demote the user. The impact of either option is described below:

**Promote User:** This option is only selectable for secondary account users. By promoting a user to principal account user status, the new principal account user automatically inherits the rights of all principal account users (e.g. they can access all accounts, reset passwords, suspend access etc.).

**Demote User:** This option is only selectable for principal account users. A user who is demoted from principal user to secondary user status still retains access to all accounts unless they remove their access to the accounts. Principal account users will have this option once they have confirmed their wish to demote this user.

**Note:** If the principal account user wishes to suspend or remove another principal user from the system they must first demote them to secondary account user status via this function. They can then remove their access entirely.

### 8.5 Reset Password

Principal account users can reset the passwords for users who have forgotten their password or User ID. If the principal account user selects this option, the system will ask them to confirm their selection before resetting the password. The principal account user will not be informed of the new password as it shall be sent to the current email address that has been specified for that user. If this email address is incorrect then the principal account user must change it via the ‘Modify Users’ option before resetting the password.
8.6 Change My Details

This function allows you to modify your own details. If your password has expired or this is the first time you have entered the system since being set-up by your principal account user, you will automatically be directed to this page by the system. The functions available to you depends on your circumstances but may include the following:

- Modify your contact details.
- Input answers to the secret questions (only if you have been created on the system by a principal account user and this is the first time you have logged-in).
Your current information will be displayed so that you can see what is stored within the system before you make any changes. Please note that not all fields may hold information. The information that can be modified is:

- Family Name
- First Name
- Initials
- Date of Birth
- Title
- Job Title
- Contact Address
- Contact Postcode/Zip Code
- Contact Country
- Contact Telephone Number
- Contact Fax Number
- Email Address
- Question 1 (Mothers Maiden Name) – This will be blank if a principal account user has created you on the system and this is the first time you have logged-in. **Note:** Once you have submitted their answer, it cannot be changed.
- Question 2 (First School Attended) – This will be blank if a principal user has created you on the system and this is the first time you have logged-in. **Note:** Once you have submitted their answer, it cannot be changed.
- Question 3 (Memorable Date) – This will be blank if a principal account user has created you on the system and this is the first time you have logged-in. **Note:** Once you have submitted their answer, it cannot be changed.

### 9 Reports

This allows you to download certain data reports to your own computer. There are various downloads available for Transfers, User Management etc.

When a report is selected the registry will produce a excel based spreadsheet detailing recent account transactions. Please see the account transfer example below:
10 Help
Provides assistance and information about this page and the Registry as a whole.

11 Email ETA
This option enables you to send an email to the Emissions Trading Authority (Scheme Regulators). It sends the message via the email system that is currently installed on your computer. If this option does not enable you to send an email, it may be that your web browser is not configured correctly. If you are having any difficulties email the helpdesk on ets.registry@defra.gsi.gov.uk

12 Logout
This function allows you to log-out from the system and close your session with the Registry. You should use this rather than just closing your browser for security reasons, as the system will still record you as being logged on.
On completion, please return this form by fax to CCA ETS on 020 7238 4879. All fields are mandatory unless indicated. Your form will not be processed if you do not provide the necessary information. Please read the associated guidance notes before completing this form.

Organisation Name:

Companies House Number:

ETR Organisation ID:

Name of Primary Contact:

Phone number of Primary Contact:

Address of Primary Contact:

Postcode:

E-mail:

Compliance accounts required:

<table>
<thead>
<tr>
<th>13.1 Target Unit ID (do not use an Unique Facility Number)</th>
<th>Sector (tick one only)</th>
<th>Account Name(optional)</th>
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The organisation named above hereby consents to the publication by the Secretary of State of information relating to its participation in the UK Emissions Trading Scheme as set out in rule G2 of the Scheme.

Authorised Signatory: Name (Print):

Date:

Signature:

NOTICE: Anyone submitting a registration form which contains false information may be committing an offence under Schedule 6 to the Finance Act 2000.
<table>
<thead>
<tr>
<th>Name of number</th>
<th>Format</th>
<th>What’s it for?</th>
<th>Where can I get it?</th>
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</thead>
<tbody>
<tr>
<td><strong>ETR Organisation ID</strong></td>
<td>Prefixed with a single letter - G or S, E.g. G-12345678-A1 B2</td>
<td>Identifies your organisation and is associated with all accounts and users held under that organisation name</td>
<td>You should use your User ID and password to log on to your accounts. Select one of the options to view account details, or organisation details – E.g. double click on one of your accounts when highlighted yellow. Your Org ID is not sent out when you register, you need to log on to see it.</td>
</tr>
<tr>
<td><strong>(ETR) Account Number</strong></td>
<td>Prefixed with GB. Suffixied with a T for trading accounts or a C for compliance accounts.</td>
<td>Identifies a specific account held by your organisation. Used with the ETR Org ID to select accounts for making transfers.</td>
<td>When you log on you will see a summary of all your accounts, including the account numbers. When compliance accounts are approved you also will also receive an email informing you of the account number.</td>
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<tr>
<td><strong>Password</strong></td>
<td>The initial password given is 8 random letters and numbers</td>
<td>To ensure only you can access your account. Entered in the login page.</td>
<td>Passwords are automatically sent via email upon registration, you may be prompted to change your password by the system – this is to enhance security. The password you select must be at least six characters with a mixture of numbers and letters</td>
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<tr>
<td><strong>User ID (aka Login ID)</strong></td>
<td>First initial, followed by first 5 letters of surname followed by a number (usually 0). This is not case sensitive. E.g. jsmith0 would be the username for John Smithson.</td>
<td>Identifies you personally on the system. Used in conjunction with your password to grant access to your accounts.</td>
<td>Displayed on screen at the end of the registration process. If you forget your user ID or are not sure if it was displayed ring the help line on 020 7238 4713.</td>
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<tr>
<td><strong>TUID – Target Unit Identifier</strong></td>
<td>Sector code(4 characters in length)/trading model code(1 Character in length)/participant code(5 characters in length)/re-bubbled indicator (1 character in length)/Target Unit code (5 characters in length). E.g. NFUX/1/FARMX/N/00001 These cannot be substituted with facility reference numbers (to which they are very similar), we must have the full TUID(s).</td>
<td>To link your compliance account to your target under the CCL scheme, enabling you to retire allowances or receive an allocation for any over achievement. Allowances can only be retired against a target from an account with the relevant TUID. Each TUID must have its own compliance account. A compliance account may only be associated with one TUID.</td>
<td>TUIDs were generated by, and are available from your sector association.</td>
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</table>