World Bank

OPERATIONAL GUIDELINES

CATS (Carbon Assets Tracking System)

KP Emission Reduction Transaction Registry (P172241)

V.11.0. March 2024

This report provides the operational guidelines for the World Bank Emission Reductions Transaction Registry compliant with the Forest Carbon Partnership Facility (FCPF) Carbon Fund (CF) Methodological Framework; Transaction Registry (Criterion 38), Reversal (Criteria 19 and 20) and Uncertainty buffers (Criterion 22) and the ER Program Buffer Guidelines, and the Bio Carbon Fund Initiative for Sustainable Forest Landscapes (ISFL) ERs Program Requirements; Transaction Registry (3.7 ISFL ER Program transactions), Reversal (ISFL ER Program Requirements 4.7) and Uncertainty buffers (ISFL ER Program Requirements 4.6.4) and ISFL Buffer Requirements, to provide assurance against double accounting and double payments.

Contents

Scope

This report describes the operational procedures (henceforth registry guidelines or operational guidelines) for the World Bank Emission Reductions (ER) Transaction Registry (henceforth the Registry or CATS, Carbon Assets Tracking System).

An ER Transaction Registry is a platform with a database that records serialized ER units and metadata (supplementary information related to the programs) with the ability to transfer ER units between multiple account holders (internal transfer) and to other transaction registries (external transfer).

CATS, implemented as an in-house centralized solution, is the World Bank ER Transaction Registry and provides a user-friendly platform that records and tracks the issuance and transfers of ER units generated under the World Bank results-based climate finance programs, between multiple account holders (internal transfers). CATS provides a strong and reliable architecture to create, govern, store, and maintain data; guarantees operational transparency and security; and mitigates double-counting[1] risks for the ER units generated under the World Bank programs.

It is worth clarifying three aspects about this centralize service that the WB is offering for the implementation of its programs:

(i) The WB will issue the ER units generated under its Programs on behalf of the host countries (those countries developing WB ER Programs) due to their current lack of capacity (there are no operational transaction platforms so far).

(ii) The WB is not competing with other issuing parties to the extent that host countries are part of the governance system of the registry and the WB will issue and transact the ER units on behalf of the host countries, with their previous consent and approval.

(iii) The World Bank -as the trustee of trust funds supporting these results-based climate finance programs- provides with CATS a secure and transparent transaction platform minimizing the risks of the operations.

These guidelines are publicly disclosed information and will be updated periodically according to the implemented

[1] We define the term double-counting broadly as the situation in which a single greenhouse gas ER or removal is used more than once to demonstrate compliance with mitigation targets. Several terms are used for different forms of double counting: double issuance, double claiming, double selling, or double use.

operational procedures. The current version is compliant with:

- the Forest Carbon Partnership Facility (FCPF) Carbon Fund (CF) Methodological Framework[2]; Transaction Registry (Criterion 38), Reversal (Criteria 19 and 20) and Uncertainty buffers (Criterion 22) and the ER Program Buffer Guidelines[3], and
- the BioCarbon Fund Initiative for Sustainable Forest Landscapes (ISFL) ERs Program Requirements[4]; Transaction Registry (3.7 ISFL ER Program transactions), Reversal (ISFL ER Program Requirements 4.7) and Uncertainty buffers (ISFL ER Program Requirements 4.6.4) and ISFL Buffer Requirements[5].

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2 https://www.forestcarbonpartnership.org/sites/fcp/files/FCPF%20Carbon%20Fund%20Methodological%20Framework%20revised_%202020_Final_Posted.pdf

3 https://www.forestcarbonpartnership.org/sites/fcp/files/2020/April/FCPF%20Buffer%20Guidelines_2020_1_Final_Posted.pdf

4 https://biocarbonfund-isfl.org/sites/isfl/files/2020-04/ISFL%20ER%20Program%20Requirements_2020_Final.pdf

5 https://biocarbonfund-isfl.org/sites/isfl/files/2020-04/ISFL%20Buffer%20Requirements_2020_Final.pdf

Table of Contents

SCOPE **2**

1. BACKGROUND **10**

1.1. WORLD BANK FORESTRY FUNDS AND PROGRAMS 10

1.2. THE FOREST CARBON PARTNERSHIP FACILITY (FCPF) 10

1.3. THE BIOCARBON FUND INITIATIVE FOR SUSTAINABLE FOREST LANDSCAPES (ISFL) 11

1.4. GROWING NEED FOR ER REGISTRIES THAT CONNECT MARKET PARTICIPANTS 12

2. REGISTRY GUIDELINES **13**

2.1. MASTER DATA 13

2.1.1. Users and Group Management 14

2.1.2. Creating and editing CATS entities 15

2.1.2.1. Fund 15

2.1.2.2. Tranches 15

2.1.2.3. Participants 15

2.1.2.4. Programs 16

2.1.2.5. Third Parties 16

2.1.3. Creating and editing master data relationships 17

2.1.3.1. Donor Agreements (Tranche-Participant link) 17

2.1.3.2. ERPA (Tranche-Program link) 17

2.2. ON-BOARDING PROCESS 18

2.2.1. Integrity Due Diligence Procedures 20

2.2.1.1. CATS - API - LN procedures 20

2.2.1.2. Case Management Desk procedures 22

2.3. TRANSACTIONS ... 24

2.3.1. CATS accounts chart ... *24*

2.3.2. Recording and Issuance ... *27*

2.3.2.1. Mitigating double-counting risks ... 27

2.3.2.2. Global Carbon Ticker Code (GCTC). ER Units Serialization ... 28

2.3.3. Buffer ... *30*

2.3.4. Purchase by the Fund Participants according to the ERPA conditions ... *30*

2.3.5. Transfer-back by the Fund Participants according to the ERPA conditions ... *30*

2.3.6. Transfer ... *31*

2.3.7. International Transfers requiring Corresponding Adjustments ... *31*

2.3.8. Cancellation ... *31*

2.3.9. Retirement ... *32*

ANNEX 1. BUSINESS PROCEDURES ... 40

1.1 USER & GROUP MANAGEMENT ... 40

1.1.1 User Management ... *41*

1.1.2 Groups Management ... *48*

1.2. MASTER DATA SETUP ... 51

1.2.1. Fund Creation ... *52*

1.2.2. Fund Edit ... *58*

1.2.3. Tranche Creation ... *63*

1.2.4. Tranche Edit ... *70*

1.2.5. Participant Account Creation ... *74*

1.2.6. Third-Party Account Creation ... *87*

1.2.7. Program Account Creation ... *100*

1.2.8. Tranche /Participant Link *117*

1.2.9. Tranche/Program Link *126*

1.3. TRANSACTIONS 135

1.3.1. Recording Account *136*

1.3.1.1. Record Units (Recording Account) 137

1.3.1.2. Issue Units (Recording Account) 141

1.3.1.3. View Units (Recording Account) 146

1.3.1.4. Cancel Units (Recording Account) 149

1.3.2. Issuance Account *152*

1.3.2.1. Uncertainty Buffer Allocation (Issuance Account) 153

1.3.2.2. Reversal Buffer Allocation (Issuance Account) 158

1.3.2.3. Share of Proceeds (SoP) Allocation (Issuance Account) 163

1.3.2.4. Purchase Allocation (Issuance Account) 168

1.3.2.5. Country Allocation (Issuance Account) 173

1.3.2.6. Cancel Units (Issuance Account) 178

1.3.2.7. View Activity (Issuance Account) 182

1.3.3. Uncertainty Buffer Account *185*

1.3.3.1. Release Units (Uncertainty Buffer Account) 186

1.3.3.2. Cancel Units (Uncertainty Buffer Account) 190

1.3.3.3. View Units (Uncertainty Buffer Account) 194

1.3.4. Reversal Buffer Account *197*

1.3.4.1. Pooled Reversal Allocation (Reversal Buffer Account) 198

1.3.4.2. Release Units (Reversal Buffer Account) 202

1.3.4.3. Cancel Units (Reversal Buffer Account) 206

1.3.4.4. View Activity 209

1.3.5. Cancellation Account 212

1.3.6. Tranche Tradeable Account 216

1.3.6.1. Close Tranche - Allocation to Participants........ 217

1.3.6.2. View Activity (Tranche Tradeable Account) 222

1.3.7. Tranche Non-Tradable Account 224

1.3.7.1. Close Tranche: Allocation to Participants 225

1.3.7.2. View Activity 228

1.3.8. Donor Agreement Interim Account 230

1.3.8.1. Interim Tradable Account - Forward Units 231

1.3.8.2. Interim Non - Tradable Account - Forward Units 235

1.3.9. Participant Holding Account 239

1.3.9.1. Participant Tradable Account - Transfer Units 240

1.3.9.2. Participant Non-Tradable Account - Retire Units 244

1.3.9.3. Participant Non-Tradable Account – Allocate Units 247

1.3.9.4. Participant Retirement Account - View Activity 251

1.3.9.5. Participant Cancellation Account - View Activity 253

1.3.9.6. Participant Interim Account 255

1.3.9.7. Participant Tradable Account - Cancel Units 257

1.3.9.8. Participant Non-Tradable Account - Cancel Units 260

1.3.9.9. Participant Tradable Account - Retire Units 263

1.3.10. Third Party Holdings Account 266

1.3.10.1 Third Party Tradable Account - Transfer Units 268

1.3.10.2. Third Party Non-Tradable Account - Retire Units 272

1.3.10.3. Third Party Retirement Account - View Activity 274

1.3.10.4. Third-party Cancellation Account – View Activity 276

1.3.10.5. Third Party Tradable Account - Cancel Units 278

1.3.10.6. Third Party Non-Tradable Account - Cancel Units 281

1.3.10.7. Third Party Non-Tradable Account - Transfer Units 283

1.3.10.8. Third Party Tradable Account - Retire Units 286

1.3.11. Program Holding Account 288

1.3.11.1. Program Tradable Account - Transfer Units 289

1.3.11.2. Program Non-Tradable Account - Retire Units 294

1.3.11.3. Program Retirement Account - View Activity 297

1.3.11.4. Program Tradable Account - Cancel Units 300

1.3.11.5. Program Non-Tradable Account - Cancel Units 303

1.3.11.6. Program Tradable Account - Retire Units 306

1.3.12. Fund Account 309

1.3.12.1. Fund Account - Pooled Reversal Buffer Account (Cancel Units) 310

1.3.12.2. Fund Account - Share of Proceeds (SOP) Account (Transfer Units) 313

1.3.12.3. Fund Account - Share of Proceeds (SOP) Account (Cancel Units) 315

1.4. REPORTS 318

1.4.1. Fund & Tranche Profile Reports 318

1.4.2. Program Profile Reports 319

1.4.3. Participants Profile Reports 320

1.4.4. Third-Party Profile Reports 321

1.5. OTHER PROCEDURES 322

1.5.1. My Portfolio 323

1.5.2. My Approval *327*

1.5.3. My Request *332*

1.5.4. View Change History *337*

1.5.5. Announcements *341*

1.5.6. Documents *344*

1.5.7. Multilingual *346*

1.6. NON-FUNCTIONAL PROCEDURES 349

1.6.1. Data Storage & Log Specifications *349*

1. Background

1.1. World Bank Forestry Funds and Programs

The Climate Change Fund Management Unit (SCCFM) hosts two forestry programs that assist countries in implementing greenhouse gas emission reduction (ER) programs and provide financing to help them to achieve such reductions. Both programs focus on large-scale geographical jurisdictions and are results based in terms of making payments based upon delivery of specific reductions in emissions. Although these programs have somewhat different methodologies, with the Forest Carbon Partnership Facility (FCPF) focused on forests and the BioCarbon Fund (BioCF) Initiative for Sustainable Forest Landscapes (ISFL) focused on forests and other land use sectors, both programs pay only for verified ERs that fund donors provide to the programs (for retention or retransfer). As such, for both programs to operate effectively, there needs to be an effective way to issue, transact, and hold ERs that the programs generate and to ensure avoidance of duplication (double counting). This section details the specifics of these programs and their needs for effective registries that operate for all key stakeholders (issuers, sellers, buyers).

CATS will record the number of ERs from ER programs that have been verified, transferred, and paid for under corresponding ERPAs. In addition to the transaction of contracted ERs, the transaction registry incorporates accounts to hold and manage a buffer reserve to insure against program-related uncertainty and reversal risks . The reversal and uncertainty buffers are to be set aside and managed by the buffer manager (by default, the World Bank) in accordance with the CF ER Program Buffer Guidelines and ISFL Buffer Requirements . CATS also provides host countries with the accounting capabilities to treat separately those ERs under the WB programs that can be used to justify their own National Determined Contributions (NDCs) using non-tradable ERs and accounts.

1.2. The Forest Carbon Partnership Facility (FCPF)[6]

The FCPF is a global partnership of governments, businesses, civil society, and indigenous peoples focused on reducing emissions from deforestation and forest degradation, forest carbon stock conservation, sustainable management of forests, and enhancement of forest carbon stocks in developing countries (activities commonly referred to as REDD+).

The FCPF has four strategic objectives: assist countries in their REDD+ efforts by providing them with financial and technical assistance to increase their capacity to benefit from possible future systems of positive incentives for REDD+; pilot a performance-based payment system for REDD+ activities with a view to ensuring equitable benefit sharing and promoting future large-scale positive incentives for REDD+; within the approach to REDD+, test ways to sustain or enhance livelihoods of local communities and conserve biodiversity; and disseminate broadly the knowledge gained in development of the FCPF and implementation of Readiness Preparation Proposals (RPPs) and Emission Reductions Programs (ERPs).

The FCPF has two separate but complementary funding mechanisms to achieve its strategic objectives: the Readiness Fund and the Carbon Fund (CF). The Readiness Fund supports tropical and subtropical developing countries in preparing themselves to participate in a future large-scale system of positive incentives for REDD+, including adopting national REDD+ strategies; developing reference emission levels; designing measurement, reporting, and verification systems; and setting up REDD+ national management arrangements, including proper environmental and social safeguards.

The CF became fully operational in May 2011 and is supported by a variety of donor participants (Australia, BP

[6] https://www.forestcarbonpartnership.org/

Technology Ventures, Canada, European Commission, France, Germany, Norway, Switzerland, Nature Conservancy, United Kingdom, United States). The World Bank is trustee for the FCPF CF[7].

The focus of this knowledge product falls under the CF, which makes results-based payments to the entity implementing the ER program (known as the program entity) for ERs that are generated, monitored, and verified. These ERs can only be generated under ER programs that have been selected for the CF portfolio and are subsequently transferred to the CF[8]. Such results-based payments will play an essential part in valuing forests more while they remain standing than after they are cut down.

The CF will pay the respective program entity in accordance with negotiated ER payment agreements (ERPAs) for verified ERs based on a historical emission reference level scenario as specified in the FCPF CF Methodological Framework (FCPF CF MF). CF payments (through benefit-sharing arrangements) are intended to provide an incentive to the recipients and the various stakeholders—including forest-dependent indigenous peoples, other forest dwellers, and the private sector—in each of these countries to achieve long-term sustainability in financing forest conservation and management programs. This would help reduce damage to the global climate from the loss and impoverishment of forests.

Implementation of these ER programs for which the World Bank has signed ERPAs requires that the World Bank—as trustee of the FCPF CF—establish a transaction registry (see FCPF CF MF Criterion 38). The transaction registry will record the number of ERs from ER programs that have been verified, transferred, and paid for under corresponding ERPAs. In addition to transaction of contracted ERs, the transaction registry is supposed to incorporate accounts to hold and manage a buffer reserve to insure against program-related uncertainty and reversal risks (FCPF CF MF Criteria 19, 20, and 22). The reversal and uncertainty buffers are to be set aside and managed by the buffer manager (by default, the World Bank) in accordance with the CF ER Program Buffer Guidelines.

1.3. The BioCarbon Fund Initiative for Sustainable Forest Landscapes (ISFL)[9]

The ISFL is a multilateral fund that donor countries (Germany, Norway, Switzerland, United Kingdom, United States) support and the World Bank manages. It promotes reduction of greenhouse gas emissions from the land sector, from deforestation and forest degradation in developing countries (REDD), and from sustainable agriculture, as well as smarter land-use planning, policies, and practices. ISFL has a geographically diverse portfolio of large-scale programs that can have significant effect and transform rural areas by protecting forests, restoring degraded lands, enhancing agricultural productivity, and improving livelihoods and local environments.

The ISFL supports programs in Colombia, Mexico, Ethiopia, Zambia, and Indonesia. The fund provides technical assistance and investment to support implementation of programs that affect multiple sectors of the economy and makes results-based payments to encourage and sustain program activities.

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[7] World Bank means the International Bank for Reconstruction and Development (IBRD) and the International Development Association (IDA).

[8] Fifteen ER programs remain selected for the FCPF CF portfolio: Chile, Costa Rica, Cote D'Ivoire, Democratic Republic of the Congo, Dominican Republic, Fiji, Ghana, Guatemala, Indonesia, Lao People's Democratic Republic, Madagascar, Mozambique, Nepal, Republic of Congo and Vietnam.

[9] https://www.biocarbonfund-isfl.org/

The ISFL supports countries' efforts to develop, prepare, and implement ISFL ER programs using two funding mechanisms: a capacity-building and technical assistance funding mechanism (BioCFplus) and a results-based finance mechanism (Tranche 3 of the BioCF (BioCF T3)). BioCFplus is intended to support countries in improving their enabling environment for sustainable land use, piloting activities, and forming key partnerships (including engagements with the private sector) and provides countries with resources to develop systems for monitoring, reporting, and verifying reductions in greenhouse gas emissions to prepare jurisdictions for payments. BioCF T3 is intended to make results-based payments to encourage a shift to a sustainable development trajectory in each jurisdiction, using the payments to sustain successful interventions to sustainable land use in each jurisdiction.

The focus of this knowledge product falls under the BioCF T3, which—similar to the FCPF CF (see above)—makes results-based payments to the entity implementing the ER program (known as the program entity) for ERs that are generated, monitored, and verified under ISFL ER programs that have been selected for the BioCF T3 portfolio and are subsequently transferred to the BioCF T3.

Implementation of these ISFL ER programs involves setting up a transaction registry to allow trading with potential buyers and tracking verified ERs generated in the ISFL program area. According to the ISFL ER program requirements, "ISFL ER Programs shall select an appropriate arrangement to avoid double counting, including double issuance, double selling/use, or double claiming, in order to track and ensure that any ERs that have been generated, monitored and verified under the ISFL ER Program and paid for by the ISFL are not used again by any entity for sale, public relations, compliance or any other purpose unless otherwise agreed by the parties to the ERPA. For this purpose, ISFL ER Programs will identify a Transaction Registry to register, track, and as appropriate retire or cancel ER units generated under the ISFL ER Program."

Similar to the FCPF ER program buffer, the ISFL ER program transaction registry must incorporate accounts to hold and manage a buffer reserve to insure against program-related uncertainty and reversal risks. The reversal and uncertainty buffers are to be set aside and managed by the buffer manager (by default, the World Bank) in accordance with the ISFL buffer requirements.

1.4. Growing Need for ER Registries that connect Market Participants

The Paris Agreement[10], negotiated in December 2015, created a framework for post-2020 international climate policy. It was built around voluntary NDCs as the climate change mitigation goals that developed and developing countries have defined. The Paris Agreement Article 6 sets the general conditions for a new market mechanism based on the exchange of internationally transferred mitigation outcomes" (ITMOs) to achieve national mitigation goals. Under this new framework, countries must account for their NDCs, including exchange of ITMOs, and report to a global registry that the UN Framework Convention on Climate Change Secretariat maintains. Countries must develop robust, secure, transparent accounting systems or transaction registries to avoid double counting (Article 6.5), with specific functionalities to issue, record, and track units subject to such transactions.

The World Bank Emission Reductions (ER) Transaction Registry provides user countries with the accounting capabilities to treat separately those ERs under the WB programs that can be used to justify their own NDCs (non-tradable ERs and accounts).

[10] https://unfccc.int/sites/default/files/english_paris_agreement.pdf

2. Registry Guidelines

We are describing the registry procedures, originally defined and agreed in the Business Requirements Document and extensively developed in the *Annex 1. Procedures* of these Operational Guidelines.

2.1. Master data

CATS master data refers to the main entities recognized by the registry and their respective relationships. CATS considers 5 different entities: **Fund, Tranche, Participant, Program and Third-party buyer** and their corresponding accounts, and two key links between these entities: **Tranche/Participant Link** based on a **Donors Agreement** and a **Tranche/Program Link** based on an **ERPA**.

By definition, a Trust Fund (**Fund**) is the financing arrangement set up with contributions from one or more donors (**Participants**) to support development-related activities; particularly Emission Reduction (ER) programs (**Program**) that are results-based payments programs. A fund can be organized in **Tranches**, with each tranche operating as a separate Trust Fund. These jurisdictional ER Programs are implemented in host countries led by a national institution that signs an Emission Reductions Payment Agreement (**ERPA**) with the International Bank for Reconstruction and Development (IBRD) in its capacity as Trustee of a Tranche of the Fund. The ERs generated and verified under a specific program beyond those committed to the Participants through the ERPA signature could be potentially sold to **Third-party buyers.**

These are the logical relationships between the five entities:

- A Program can be linked to one Country only
- A Country can be linked to multiple Programs
- A Fund can be linked to multiple Tranches (according to the Charter establishing the Fund))
- A Program can be linked to multiple Tranches (through various ERPAs)
- A Tranche can be linked to one Fund only
- A Tranche can be linked to multiple Participants
- A Participant can be linked to multiple Tranches (through its contributions)

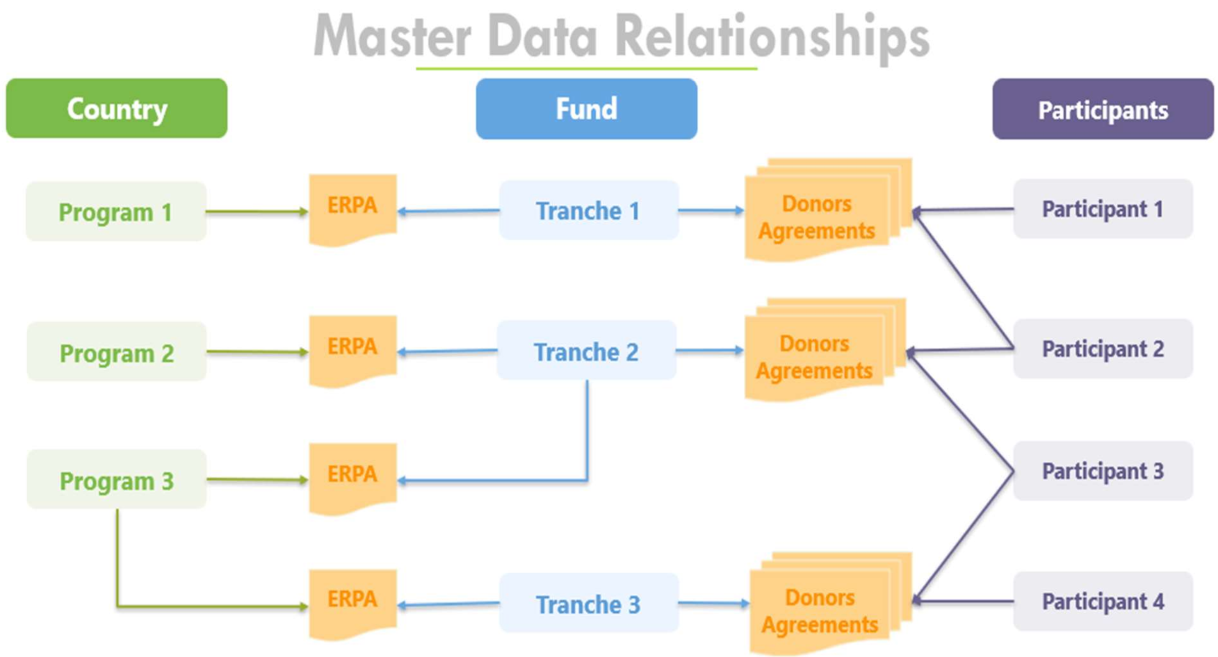

Figure 1. CATS Master Data entities and relationships.

2.1.1. Users and Group Management

Each user operating CATS shall have a unique email ID to login to the system. Users play specific roles that grant them **permissions** (to view, process or approve operations in the system) on **one** of the master data entities (Fund, Tranche, Program, Participant, Third Party), and **restrictions**, that allow them to exercise their role **only** over specific master data entities. Users are granted access in the system to certain transactions or functions within the entity. A Group is made by several users who share the same roles.

CATS **Admin** will manage the on-boarding process of entities and users, the Integrity Due Diligence of those external entities and users (Sanction Screening Services for external entities and users), and the organization of users into groups sharing permissions and restrictions to all or specific Entities.

Each user has a profile containing personal data, groups, roles, and activity log that includes the activities completed by the user.

We consider four different roles for internal users (WB): fund transaction processor (responsible for initiating/requesting certain transactions in the system), fund manager (responsible for approving certain transactions in the system), buffer manager (responsible for approving buffer related transactions in the system) and CATS Admin (global role responsible for platform business management and approving certain transactions in the system).

We consider three different roles for external users: transaction processor (responsible for initiating/requesting certain transactions in the system), approver (responsible for approving certain transactions in the system), and viewer.

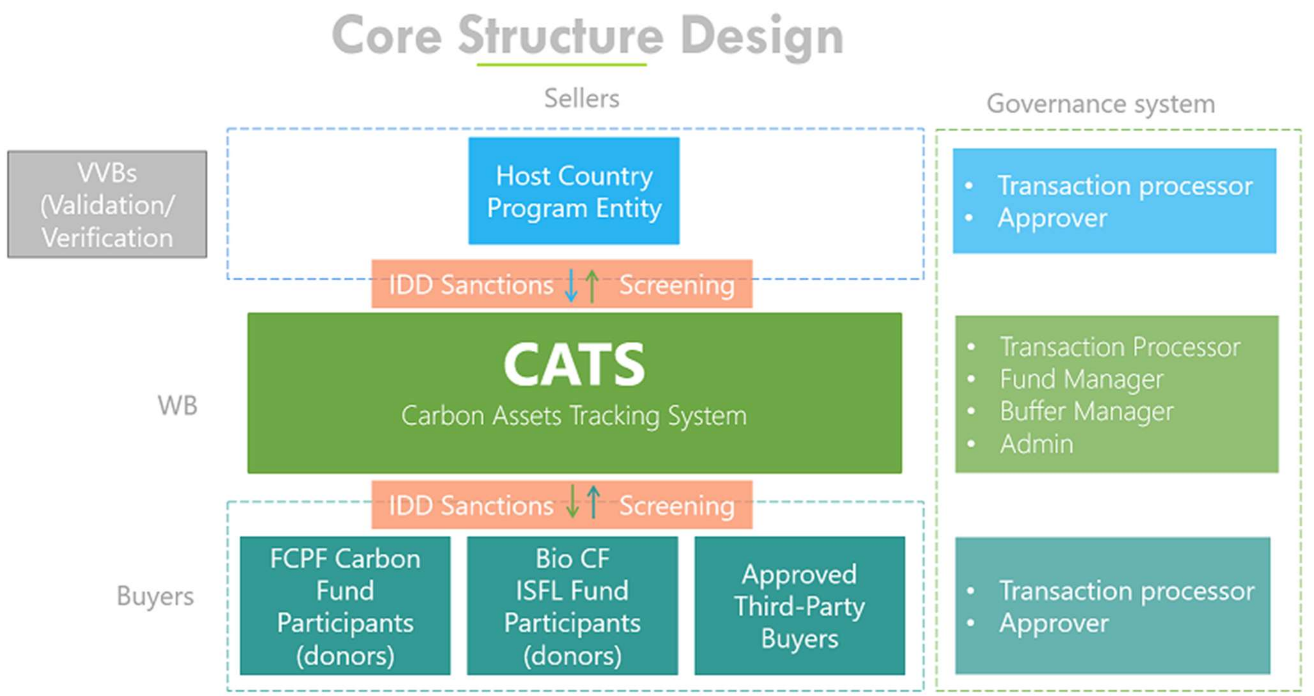

Figure 2. CATS Core structure design and roles in the Governance system.

2.1.2. Creating and editing CATS entities

2.1.2.1. Fund

Fund transaction processors can request and submit for approval to the **administrator** the creation of Funds into CATS system. Once the Fund is approved and tranches are linked, **Fund managers** will be able to view all the information related to their Funds and approve related transactions. The Fund-level accounts (**Pooled Reversal Buffer Account, Share of Proceeds Account and Cancellation Account**) will be created and will be available for corresponding operations.
Funds can also be edited or deleted by the **Fund transaction processors** and after the **administrator's approval**.

2.1.2.2. Tranches

Once Funds are created (open status) a **Fund transaction processor** can request and submit for approval to the **Fund manager** a Tranche; there are three types of Tranches available for selection: Tradable, Non-Tradable, and Both. The Tranche-level accounts (**Tradable Account, Non-Tradable Account or both accounts**) will be created and will be available for corresponding operations.
Tranches can also be edited or deleted by the **Fund transaction processors** and after the **Fund Manager's approval**.

2.1.2.3. Participants

The **Fund transaction processor** linked to an "open" Tranche can create and submit for **Administrator's approval** a Participant. The Participant accounts (**Tradable Interim Account, Tradable Account, Non-Tradable Interim Account, Non-Tradable Account, Retirement Account** and **Cancellation Account**) will be created and will be

available for corresponding operations.
The **Fund transaction processor** can also edit or delete the existing participant's accounts after the administrator's approval.

2.1.2.4. Programs

The **Fund transaction processor** can create and submit for **Administrator's approval** a Program. The Program accounts (**Program Recording Account, Program Issuance Account, Program Uncertainty Buffer Account, Program Reversal Buffer Account, Program Tradable Account, Program Non-Tradable Account, Program Cancellation Account and Program Retirement Account**) will be created and will be available for corresponding operations.
The **Fund transaction processor** can also edit or delete the existing Program accounts after the administrator's approval

2.1.2.5. Third Parties

The **Fund transaction processor** can create and submit for **Administrator's approval** a Third-Party Buyer. The Third-Party accounts (**Tradable Account, Non-Tradable Account, Retirement Account** and **Cancellation Account**) will be created and will be available for corresponding operations.
The **Fund transaction processor** can also edit or delete the existing Third-Party buyer's accounts after the administrator's approval.

Entities	Operations	CATS Governance System	
		Submitter	Approver
Fund	Create fund	Fund Transaction Processor	Administrator
	Edit Fund	Fund Transaction Processor	Administrator
	Delete fund	Fund Transaction Processor	Administrator
Tranche	Create tranche	Fund Transaction Processor	Fund Manager
	Edit tranche	Fund Transaction Processor	Fund Manager
	Delete tranche	Fund Transaction Processor	Fund Manager
Participant	Create participant	Fund Transaction Processor	Administrator
	Edit participant	Fund Transaction Processor	Administrator
	Delete participant	Fund Transaction Processor	Administrator
Third party	Create third party	Fund Transaction Processor	Administrator
	Edit third party	Fund Transaction Processor	Administrator
	Delete third party	Fund Transaction Processor	Administrator
Program	Create program	Fund Transaction Processor	Administrator
	Edit program	Fund Transaction Processor	Administrator
	Delete program	Fund Transaction Processor	Administrator

Table 1. Creating and editing CATS entities. CATS Master Data Governance system.

2.1.3. Creating and editing master data relationships

2.1.3.1. Donor Agreements (Tranche-Participant link)

Open tranches and active participant accounts can be linked by the **Fund transaction processor**. This request must be sent to the **Fund Manager** for approval. Once the Tranche-Participant link is created and the Tranche status is "closed", and only if there is more than one participant linked to the Tranche can initiate the process for calculating the shared contributions between participants (**Participant Contribution Share (pi) = (1 / sum participants' (p1, p2, p3,…, pi,…, pn) contribution amounts) × participant (pi) contribution amount ×100**).

The sum of the shared contributions shall be equal to 100.000% (three accuracy decimals). When the sum is not equal to this value, the **Fund transaction processor** can manually adjust the %.

The **Fund transaction processor** can also edit or delete the existing Tranche-Participant Link after the **Fund Manager**'s approval.

2.1.3.2. ERPA (Tranche-Program link)

Available Programs and Tranches can be linked by the **Fund transaction processor**. This request shall be sent to the **Fund Manager** for approval. The Fund transaction processor can also edit or delete the existing Tranche-Program Link after the Fund Manager's approval.

Entities	Operations	CATS Governance System	
		Submitter	Approver
ERPA	Create	Fund Transaction Processor	Fund Manager
	Edit	Fund Transaction Processor	Fund Manager
	Delete	Fund Transaction Processor	Fund Manager
Donor Agreements	Create	Fund Transaction Processor	Fund Manager
	Edit	Fund Transaction Processor	Fund Manager
	Delete	Fund Transaction Processor	Fund Manager

Table 2. Creating and editing CATS master data relationships. CATS Master Data Governance system.

2.2. On-boarding process

The on-boarding process for external entities and users starts with an official request from the CATS Admin to complete an on-boarding form and submit it along with supporting documents, including a signed consent form that includes the purpose of processing the personal data. CATS Admin (WB) manages users' access and assign roles and authorizations.

The information and documents that will be officially requested during the on-boarding process to the entities, including the information and documents of the users who will operate for the entity under the different roles (there is no limit on the number of on-boarded users being part of an external entity under the three different roles: transaction processor, approver and viewer) are:

*Information and documents requested for external entities/companies:

- Name of the entity/company
- A copy of an official document related to the entity/company's registration (such as Company Registration Certificate, Tax Certificate, Memorandum & Articles of Association).
- Information on the entity/company's ownership (who owns the company).
- A website address for the entity/company, if available.
- How long the entity/company has been in existence.
- The names and addresses of branches of the entity/company, and the names and addresses of related or subsidiary entities/companies, if available.
- Authorized representative identification.

*Information and documents requested for external users (operating under the entities):

- Full Name (First, Middle, Last names).
- A copy of a government issued ID (such as a current passport or driver's license). Provide the information page of the government issued ID showing full name, date and place of birth. The ID should not be expired. If the documents are not in English, provide a notarized translated copy of the document. Ensure that copies are clear and legible.
- A list of all alternative names and aliases (AKA, also known as).
- Date of Birth.
- Address.
- Nationality.
- Contact info: email / phone number.
- Agreement between user and representative/entity.
- Proposed role (transaction processor, approver, viewer)

All this information will be treated as confidential except for that information that could be publicly shared according to the Terms and Conditions of this service. This information will be requested with the only purpose of conducting the on-boarding process of external entities and users and the Integrity Due Diligence process (sanction screening process) that will be explained in the following section of this document.

Once CATS Admin receive and process this information and documents, the on-boarding procedure through the platform starts.

1. The Fund transaction processor will send an invitation email to the external user using the information provided by the external entity. The external user receives a link to create an account on the WB cloud-based user

authentication system. The WB cloud-based user authentication service (Microsoft Azure AD) permits external users to utilize a government/corporate or commercial domain email addresses as user ID to access CATS. The user will create a password, will navigate through various security checks and will accept permissions to grant the WB to use external user's name and email address. The external user can access now the registry by typing CATS on the URL bar and sign in.

2. After approval, CATS Admin has to assign the role to the external user. User roles are based on group memberships. The roles are assigned to a group and each role consists of a set of permissions. The external user will receive an email notification with the group membership granting access through a specific role under the program (still it is possible to edit the user profile and send a request for CATS Admin approval). The external user can check anytime his/her user profile that includes complete name, address and assigned group.

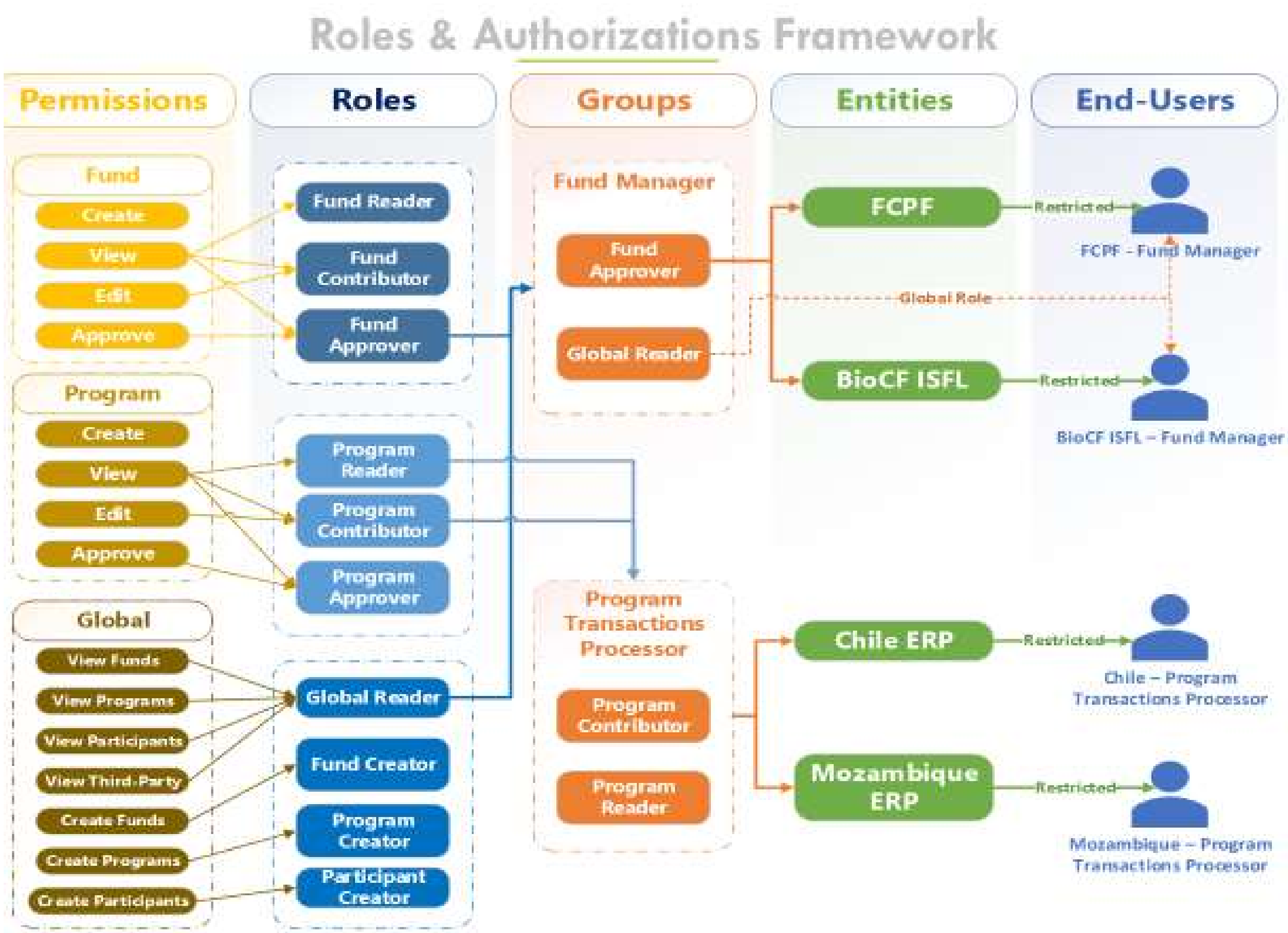

Figure 3. CATS Roles and Authorizations Framework.

3. Internal Users Authentication: CATS application leverages Azure Active Directory for user authentication. When a WB User uses World Bank managed device, authentication process will leverage the locally installed certificate to authenticate the user. Users need not have to enter their credential. In some scenarios, when a user

has multiple accounts, Azure authentication process will prompt the user to choose one to login to CAT authentication.

4. External Users Authentication: During the authentication process, Azure AD will authenticate the user, and also validates if the user belongs to CATS Application Group. As part of onboarding external users, CATS application will add the user to CATS Application group, which Azure AD authentication process uses to authorize users.

5. All users must accept the Terms and Conditions when they log in the system for the first time (and anytime the Terms and Conditions are updated).

2.2.1. Integrity Due Diligence Procedures

CATS follows the Bank Procedure that sets out the steps for Anti-Money Laundering and Combating Financing of Terrorism (AML/CFT) screening and sanction screening of transactions[11]. Integrity Due Diligence checks features of external users and organizations on-boarded in CATS using WBG sanctions screening system, to gain a deeper understanding of the potential external users of the registry, primarily from a corruption risk management perspective and to proactively mitigate such integrity risks.

All external registry users and their institutions (**Participants**, **Programs** - Countries, and **Third-party buyers**) are screened before **creation** and **editing** and **daily** - end of day batch process - against WB internal sanction lists (**WBG Debarred and Temporarily Suspended firms and individuals**, **WBG Corporate Procurement Non-Responsible Vendors**, and **World Bank Corporate Risk Profile Database - CRPD - watchlist**) and major external sanction screening lists (**Consolidated United Nations Security Council (UN) sanctions list, United States Office of Foreign Assets Control (US OFAC) – SDN and Non-SDN Consolidated lists, European Union Consolidated (EU) list of sanctions, and United Kingdom HM Treasury's Consolidated (UK) list of financial sanctions targets**) using **Lexis Nexis (LN) Bridger Insight**.

2.2.1.1. CATS - API - LN procedures

In all cases, CATS will initiate a Sanctions Screening Plus API call to Lexis Nexis right after **CATS Admin** approve the complete request submitted by the **Fund transaction processor.** In case of failure in communication with LN, a system error email notification will be sent to CATS support team (CATS_Team@worldbankgroup.org). WFA AML-CFT business team will be contacted and informed manually.

If LN returns the call with a no hit, then the external user/entity will be created; (i) a pop-up confirmation message will be displayed at the Admin's screen, (ii) a notification approval e-mail message will be sent to the fund transactions processor, (iii) an external user/entity profile and accounts will be created, and (iv) the audit-log report will be updated.

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[11] Bank Procedure: Anti-Money Laundering and Countering Financing of Terrorism (AML/CFT) and Sanctions Screening Procedure. Catalogue Number IVP1.04-PROC.110. Effective: April 1st , 2020. This Procedure sets out steps that are consistent with Article VI of the 1947 Relationship Agreement between the United Nations and the International Bank for Reconstruction and Development (IBRD) and the decisions of the WBG Sanctions Board.

On the contrary, if a hit is found, (i) a pop-up notification message will be displayed and then (ii) the external user/entity on-boarding request will be listed as pending for approval tab and (iii) a case under IDD Management is created (Open Cases Tab)[12]. The external user/entity is sanctioned and/or have negative news/substantial risk associated with it, and CATS will flag the external user/entity creation request with a red banner that reads "Due Diligence Block".

Until the case is resolved, users/entities will be frozen, and all their accounts will be blocked, so no one will be able to initiate transactions from or to the frozen account.

CATS **Admin** will analyze the case[13] and decide to clear or accept the blacklisting from LN. Upon approval of the decision by another Admin, CATS will initiate an API call to resolve the case in LN and add the user/entity to the accepted lists. In case CATS **Admin** accept the blacklisting, the user/entity accounts will be permanently frozen.

For hits against the major external sanction screening lists with a confidence score of 100, CATS support team (CATS_Team@worldbankgroup.org) must forward the supporting documents to the WFA AML-CFT team (wbsanctionscreening@worldbank.org) for review. Once WFATA AML-CFT team reviews and clears the case, notifies to the CATS support team to clear and close the case in the CATS. The status of the case will be automatically updated in LN.[14]

Request	**Operations**	**CATS Governance System**	
		Submitter	**Approver**
External Entity Creation Request - Open Case	Clear	Admin 1	
	Block	Admin 1	
External Entity Creation Request - Pending Case	Approve Clearance		Admin 2
	Approve Block		Admin 2
External User Onboarding Request - Open Case	Clear	Admin 1	
	Block	Admin 1	
External User Onboarding Request - Pending Case	Approve Clearance		Admin 2
	Approve Block		Admin 2
External Entity Edit Request - Open Case	Clear	Admin 1	
	Block	Admin 1	

[12] CATS will check if a case for the same user/entity already exists in the database. If no case was found in the database, CATS will initiate an API call to LN to create a new case. LN will send the case number and details to CATS. LN record status reflects "Blank" status (under review) and LN alert status reflects "Open" status. CATS will create a case for the user/entity in the database and will update the audit-log report.

[13] IDD Case Management page includes the following details: Case # (E), Case Creation Date (E), External User/Entity Name (E), Request Type (E), Sanctions Screening ID (Hyper-link to the Lexis Nexis web portal), Score: the match score assigned by Lexis Nexis (maximum is 100% for exact match), List: Name of screening list (e.g. US OFAC list) which had a match for the entity name, Entity/Individual ID: The id of the entity from the screening list which matched with entity name, Hyperlink of the original entity creation request, Attach supporting documents, Comments box (mandatory field in case of Block and Clear Entity submission), Acknowledgement check box:" I confirm that I have necessary information provided by the Sanctions Screening Team to act on this case.", Clear Button, Block Button. (E=Essential - Displayed on the screen).

[14] See Case Management Desk procedures for details (following section)

Request	Operations	CATS Governance System	
		Submitter	Approver
External Entity Edit Request - Pending Case	Approve Clearance		Admin 2
	Approve Block		Admin 2
External User Profile Edit Request - Open Case	Clear	Admin 1	
	Block	Admin 1	
External User Profile Edit Request - Pending Case	Approve Clearance		Admin 2
	Approve Block		Admin 2
External Entity End-of Day-Hit - Open Case	Clear	Admin 1	
	Block	Admin 1	
External Entity End-of Day-Hit - Pending Case	Approve Clearance		Admin 2
	Approve Block		Admin 2
External User End-of-Day Hit - Open Case	Clear	Admin 1	
	Block	Admin 1	
External User End-of-Day Hit - Pending Case	Approve Clearance		Admin 2
	Approve Block		Admin 2

Table 3. Integrity Due Diligence Governance System.

2.2.1.2. Case Management Desk procedures

Due Diligence of External Users/Entities requires the following information for IDD case management (CATS_Team@worldbankgroup.org):

For external users as individuals.

- Full Name (First, Middle, Last names).
- A copy of a government issued ID (such as a current passport or driver's license). Provide the information page of the government issued ID showing full name, date and place of birth. The ID should not be expired. If the documents are not in English, provide a notarized translated copy of the document. Ensure that copies are clear and legible.
- A list of all alternative names and aliases (AKA, also known as).
- Date of Birth.
- Address.
- Nationality.

For external entities/companies.

- Name of the entity/company
- A copy of an official document related to the entity/company's registration (such as Company Registration Certificate, Tax Certificate, Memorandum & Articles of Association).
- Information on the entity/company's ownership (who owns the company).
- A website address for the entity/company, if available.
- How long the entity/company has been in existence.

- The names and addresses of branches of the entity/company, and the names and addresses of related or subsidiary entities/companies, if available.

For hits against the external lists with confidence score 100 and Blacklist with confidence **score 100**, CATS support team (CATS_Team@worldbankgroup.org) should forward the supporting documents to AML-CFT team (wbsanctionscreening@worldbank.org) for review. Once AML-CFT reviews, clears (WFAVP) and notifies to CATS team, CATS team clears and closes the case in CATS system. If CATS team determines a true hit from a case with confidence score under 100, the case review should be sent to AML-CFT team for clearance. The status of case will be automatically updated to LN.

For hits against the WBG Debarred and Temporarily Suspended firms and individuals and **World Bank Corporate Risk Profile Database - CRPD – watchlist regardless of confidence score**, CATS team should send the documentation to INT (INTSanctionsInquiries@worldbank.org) and copy AML-CFT team (wbsanctionscreening@worldbank.org). Once INT reviews, clears and notifies to CATS team, copying AML-CFT team (wbsanctionscreening@worldbank.org), CATS team clears and closes the case in CATS system. The status of case will be automatically updated to LN.

For hits against the WBG Corporate Procurement Non-Responsible Vendors list regardless of confidence score, CATS team should send the documentation to Corporate Procurement (gprocurement@worldbank.org), and copy AML-CFT team (wbsanctionscreening@worldbank.org). Once Corporate Procurement reviews, clears and notifies to CATS team, copying AML-CFT team (wbsanctionscreening@worldbank.org), CATS team clears and closes the case in CATS system. The status of case will be automatically updated to LN.

If CATS team determines a true hit from a case with Confidence Score under 100, the case review should be sent to Corporate Procurement team for clearance with AML-CFT team being copied.

For all other cases; i) all hits with confidence score below 100 for external lists which are determined as false hits by CATS team, and ii) all hits against World Compliance list (IDD search) (both 100 and below 100), CATS team reviews, clears and closes the case in CATS.

CATS team (Admin) should retain all supporting documents including review/clearance emails from AML-CFT, INT, CP team when they clear and close the case and make them readily available to auditors and AML-CFT Quality Assurance. All cases with a 100 score are audited and a sample of those with a score lower than 100.

Sanctions List	Individual Business Units	WFATA AML/CFT	WFA AML/CFT	WFAVP	INT	Corporate Procurement
External Sanctions Lists (Confidence Score 100 or True Hits)	Recommender	Recommender	Adviser	Decider		
External Sanctions Lists (False Hit under Confidence Score 100)	Decider					
Debarred & Suspended Firms or Individuals	Decider				Adviser	
CRPD	Decider				Adviser	
Non-Responsible vendors	Decider					Adviser

Table 4. ADM Framework for True Hits against Sanctions Lists

2.3. Transactions

The main transactions that can be carried out in CATS are described below. For a complete and detailed explanation of all registry procedures consult the *Annex 1. Procedures* of these Operational Guidelines.

2.3.1. CATS accounts chart

As a key reference before describing the main transactions in the system, let us first consider the accounts that are generated in CATS at different levels: Program accounts, Fund Accounts Participant/Donors Accounts and Third-Party Accounts, and used in various phases through the registration process: Recording and Issuance phase, Buffer phase and Allocation and Transfers phase.

- **Recording account**: account where the ER units from the monitoring report (Reported ERs - RERs) or from the verification report (Verified ERs -VERs) are recorded.
- **Issuance account**: account where the VERs can be issued (a unique serial number is assigned to each ERs) and certified (Certified ERs - CERs) under a specific standard.
    - **Cancellation account**: account where the CERs can be cancelled from the issuance account.

- **Uncertainty Buffer**: account where the CERs can be buffered to mitigate the risk of a non-accurate estimation (uncertainty)
- **Reversal Buffer**: account at program level, where the CERs can be buffered to mitigate the risk of occurrence of a reversal event that compromise ER units verified and transferred to buyers during previous monitoring events.
- **Pooled Reversal Buffer**: account at a portfolio level, where the CERs can be buffered to mitigate the risk of occurrence of a reversal event that compromise ER units verified and transferred to buyers during previous monitoring events and when the amount of ER units allocated in the reversal buffer account (program level) is not enough to cover the reversal event, given its magnitude.

- **SoP**: Share of Procedures account, enabled to receive any fees or subscriptions as retribution for registry services.

The following accounts are created at Program level (holding accounts), Participant/Donor level (we differentiate interim and permanent accounts) and Third-Party level:

- **Tradable Account**: account where tradable CER units can be allocated.
- **Non-Tradable Account**: account where non-tradable CER units can be allocated.
    - **Cancellation Account**: account where the CERs from the tradable or non-tradable accounts can be cancelled.
    - **Retirement Account**: account where the CERs from the tradable or non-tradable accounts can be retired (against a mitigation goal).

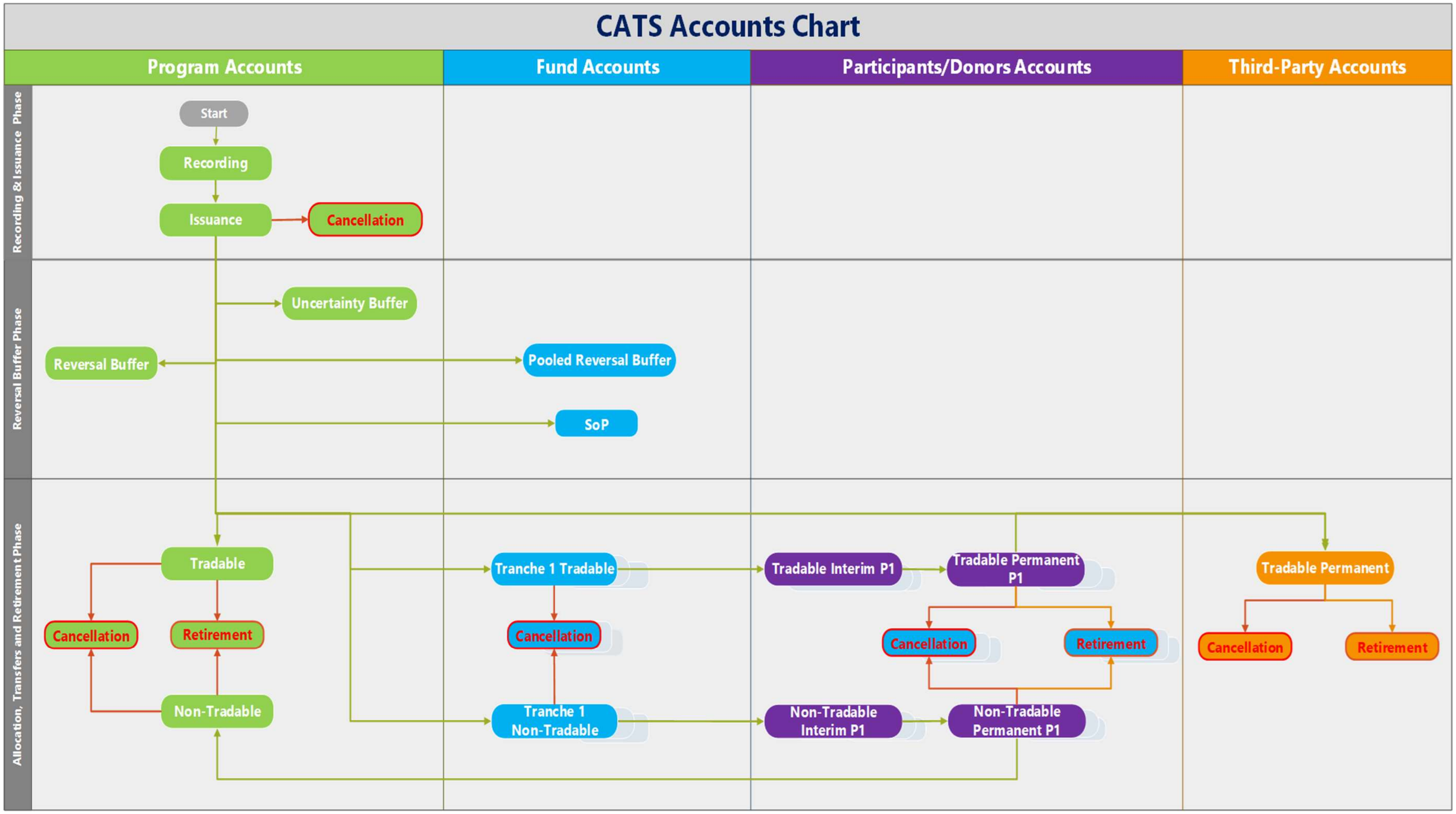


Figure 5. CATS accounts chart.

2.3.2. Recording and Issuance

The ER units measured in a monitoring report and verified in a validation and verification report can be recorded in the Recording account as Reported ERs – RERs – or Verified ERs – VERs – respectively. From the Recording account the VERs can be issued in the issuance account as Certified ERs – CERs – under a specific standard with a unique serial number or Global Carbon Ticket Code (GCTC).

6. The ER units reported by a host country (in the monitoring report) and verified by an accredited auditor (in the validation and verification report) will be recorded in the Program's Recording Account. A Fund Transaction Processor will record the units either as Reported (from the monitoring report) or Verified (from the validation and verification report). After the **Fund Transaction Processor** records and submit the transaction, the request goes to the **Fund Manager** for approval.

7. Issuance refers to the process of certifying ERs (acting the WB as the certification Authority), assigning a GCTC (unique serial number) and moving units from the Recording account to the Issuance account. **A Fund Transaction Processor** can issue partial – not overlapped periods – or total verified ER units from the Recording account selecting available units from a specific verification period (the ER class will be changed from 'verified' to 'certified). After the Fund Transaction Processor records and submits the transaction, the request goes to the **Country Program Approver** and to the **Fund Manager** for the final clearance.

2.3.2.1. Mitigating double-counting risks

We define the term double-counting broadly as the situation in which a single greenhouse gas ER or removal is used more than once to demonstrate compliance with mitigation targets. Several terms are used for different forms of double counting: double issuance, double claiming, double selling, or double use.

Avoiding or mitigating the risk of double counting is a complete process and can't be addressed only from a unique perspective. We should start considering the preparation of the monitoring reports and the implementation of the audits and the elaboration of the validation/verification report. The monitoring and validation/verification reports must refer to the whole amount of ERs generated under the ER Program area for a given Reporting Period.
Only the FCPF/ISFL ERs units generated under the ER program and validated/verified for a specific Reporting Period will be issued in CATS; and that entails, an uncertainty buffer that will be applied on all verified Total ERs and a reversal buffer that will be applied to the total amount of FCPF ER units to be issued.

The Program Entity shall inform in Section 6.4 of the ER-Monitoring Report (ER-MR) on whether all Emission Reductions will be issued as FCPF ERs and if this is not the case it shall describe under which other GHG Program or Standard these ERs will be issued and how double counting will be avoided for these units. The non-provision of this information in the ER-MR in form and substance satisfactory to the FMT will mean that the FMT assumes that all Transferable ERs generated under the ER Program are generated as FCPF/ISFL ERs.

Once the ERs are issued and serialized in CATS, there is a list of static and dynamic elements (part of the Global Carbon Ticket Code – GCTC – unique serial number assigned to each ER unit) that serve to identify the units and to the extent possible to track them within the system. These fields have been compared with other registries and the technical specifications for data exchange between registries and the Independent Transaction Log (ITL) under the Kyoto Protocol. We have enabled in the Registry under the GCTC the dynamic field called 'type' (tradable, non-tradable) that identify and distinguish those units, 'non-tradable', that will be counted toward their host country's NDC, from others, 'tradable' that could be used to another Party's mitigation pledge, and implemented the retransfer of the ER titles to the country non-tradable account for retirement purposes (NDC justification).

Finally, in the Term and Conditions of CATS, as the legal agreement between the service provider (The WB) and the users that sets the rules and guidelines that users must agree to and follow to use the registry services, we can find a set of provisions in relation to Double-Counting, Double-Selling or Double-Claiming issues:

- Section 7.02, paragraph (d) - Transfers of ERs that result in Double-Counting, Double-Selling or Double-Claiming are prohibited;

- Section 8.02, paragraph (b) - Cancellation of ERs for erroneous or fraudulent use, including but not limited to the ERs or Buffer ERs subject to Double-Counting, Double-Selling or Double-Claiming;

- Section 11.02, paragraph (n) – User represents and warrants is not aware of nor has engaged in Double-Counting, Double-Selling or Double-Claiming of the ERs and Buffer ERs, and (o) has not registered and will not register any ERs simultaneously both in CATS and in any other system.

- Section 14.01 – (a) Users shall not engage in Double-Counting, Double-Selling or Double-Claiming of ERs or Buffer ERs, (b) shall immediately notify the Registry Operator in writing in case becomes aware of those, and (c) the Registry Operator may immediately suspend the associated Registry Accounts (Section 15.01).

- Section 15.01 – (a) The Registry Operator may temporarily suspend the User's Registry Account and its access to the Registry if reasonably believes that (v) any ERs or Buffer ERs have been or are suspected to be subject to Double-Counting, Double-Selling or Double-Claiming.

2.3.2.2. Global Carbon Ticker Code (GCTC). ER Units Serialization

The certified emission reduction units (CERs) are recorded in the issuance account as blocks. Each block will be assigned a unique Global Carbon Ticker Code (GCTC). The mechanism of GTCT serialization consists of 14 elements, reflected as 74 alpha-numeric characters that can be described as: (i) Static Elements that never change throughout the block life-cycle and define the details and characteristics of the block origin; and (ii) Dynamic Elements that are subject to continuous changes through the block life-cycle and define current state and characteristics of the block in relation to the transactions which have been performed.

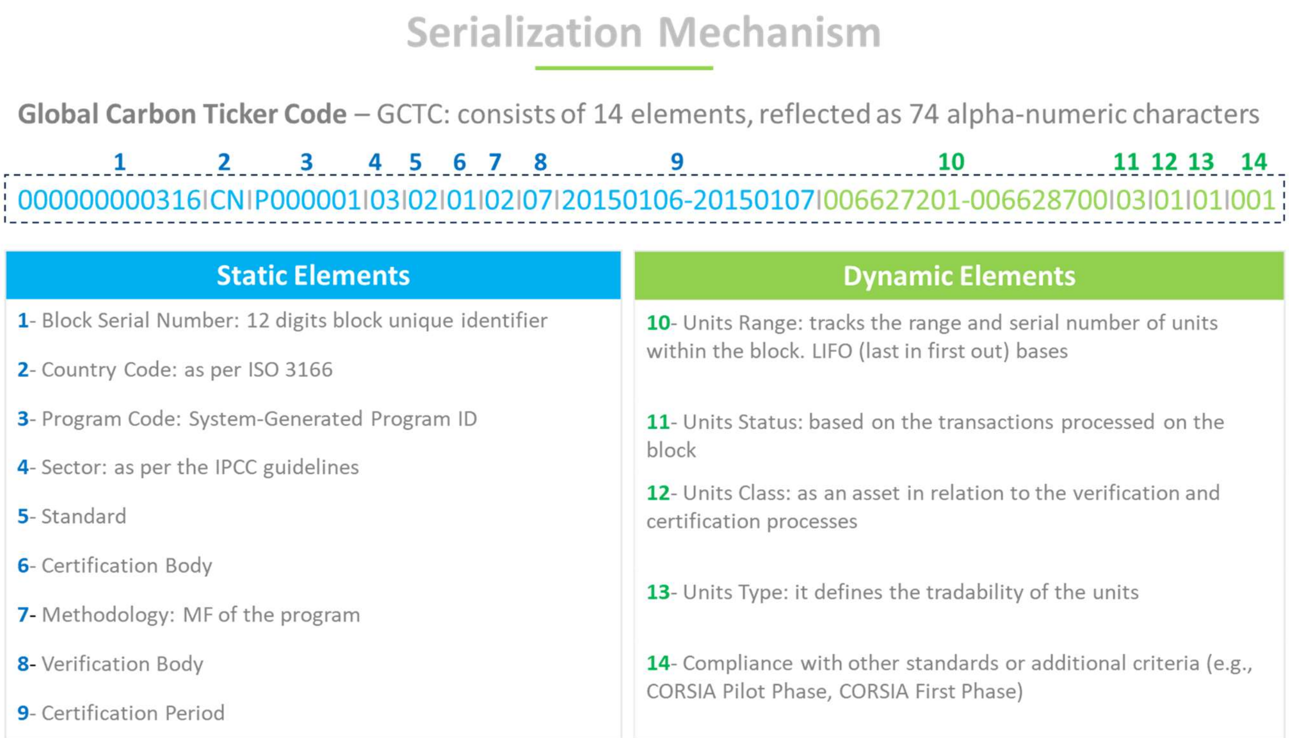


Figure 6. CATS Serialization Mechanism. Global Carbon Ticker Code.

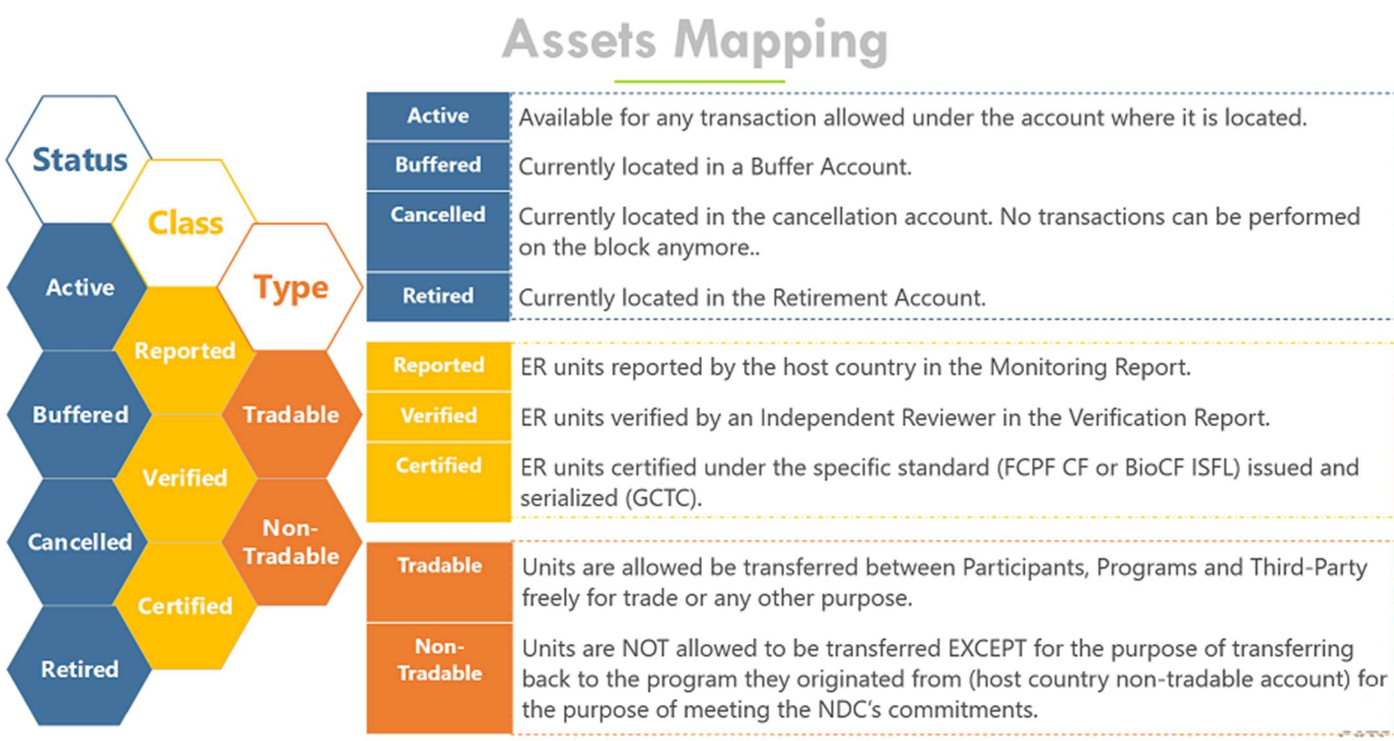


Figure 7. CATS Serialization Mechanism. Global Carbon Ticker Code: Status, Class and Type.

2.3.3. Buffer

Certified ER units (CERs) are allocated in Buffer accounts to help manage both Uncertainty and Reversal Risks. Three separate specific buffer accounts are established:

- '**Uncertainty Buffer** to create incentives for improving (reducing) uncertainty associated with the estimation of ERs and to manage the risk that the emission reductions were overestimated for prior reporting periods;
- **'Reversal Buffer'** to insure against potential reversal events; and
- **'Pooled Reversal Buffer'** to insure against potential large-scale reversal events which exceed the amount of buffered ERs set aside in the Reversal Buffer (covering, on a pro-rata basis and subject to certain requirements, Reversal Risks that may materialize under any ER Program for which an ERPA has been signed).

8. A **Buffer Transaction Processor** selects the Issuance account and the action 'Buffer for Uncertainty' or 'Buffer for Reversal', setting the discount percentage or the specific number of units from a specific certification period. After recording and submitting the transaction, the request goes to the **Country Program Approver** and to the **Buffer Manager** for the final clearance.

9. A **Buffer Transaction Processor** selects the Program's reversal buffer account and sets the discount percentage or the specific number of units from a specific certification period (block) to be transferred to the Fund's Pooled reversal buffer account. The transaction request goes to the **Country Program Approver** and to the **Buffer Manager** for the final clearance.

10. Release and Cancellation of buffered CER units allocated in the buffer accounts can be done according to the approved buffer guidelines.

2.3.4. Purchase by the Fund Participants according to the ERPA conditions

From the Issuance account, and once the buffer discounts have been performed, the available serialized CER units from a specific certification period can be transferred to the Fund Participants (Donors) accounts (purchase by Fund Participants).

11. The **Fund Transaction Processor** can record and submit the transaction, 'Purchase Units' for **Fund Manager**'s approval. These Purchased Certified Units must be allocated to the Participant Interim Non-Tradable or Tradable Accounts based on their contributions (once the Tranches are closed). A **Fund Transaction Processor** records and submit the transaction and the request goes to the **Fund Manager** for approval.

12. The corresponding amount, once the "purchase" has been performed, is credited in the Participant Interim Accounts waiting to be forwarded to the Participant's Non-Tradable or Tradable Accounts. Again, the **Fund Transaction Processor** records and submit the transaction and the request goes to the **Fund Manager** for approval.

2.3.5. Transfer-back by the Fund Participants according to the ERPA conditions

Transfer-back is the operation of Re-Transferring ERs from the **Participant Non-Tradable Account** to the **Program**

specific (holding) Non-Tradable account for **retirement**, with the only purpose to be accounted for the host country's NDCs justification.

13. A **Participant Transaction Processor** can initiate the operation of Re-Transferring ERs from the Participant Non-Tradable Accounts to the Program specific Non-Tradable account (NDCs justification) for retirement. This request will go to the **Participant Approver** and to the **Country Program Approver** for approval (final clearance from the **Fund Manager**). The corresponding amount is credited in the Program Non-Tradable Account (holding accounts).

2.3.6. Transfer

Transfer transactions are restricted to Tradable ER units only and there is no limit on the number of units that can be transferred (it only depends on the account balance and ERPA conditions) and number of transactions that can be executed. It is a 3-levels of approval transaction; by the sending entity by the receiving entity and final clearance from the WB.

Let us consider as an example the general sale and transfer of CER units to a third-party buyer beyond the volume committed to the Fund Participants through the Emission Reduction Payment Agreement (ERPA). It is a two steps operation in the platform: allocation of CERs from the Issuance Account to the Tradable Program Account (holding accounts) and transfer to a Third-Party Buyer Tradable account.

14. Allocating available serialized CERs from the Issuance account to the Tradable Program Account (holding account) and transfer a specific amount to a Third-Party Buyer Tradable account (sale) is also possible once the buffer discounts have been performed and considering the specific ERPA conditions. The **Fund Transaction Processor** records and submit the transaction to the **Fund Manager**'s approval and the corresponding amount is credited in the Program Tradable Account (holding accounts). In a second phase the **Country Program Transaction Processor** records and submits the transaction to the **Country Program Approver** and to the **Third-Party Approver** for approval (final clearance from the **Fund Manager**).

2.3.7. International Transfers requiring Corresponding Adjustments

For international transfers requiring corresponding adjustments, the designated focal point of the country shall prepare a Letter of Authorization (LOAA) declaring that the country will not use those ERs to track progress towards, or for demonstrating achievement of its NDC and will account for their use by the buyer by applying relevant adjustments. The LOAA along valid evidence that the country has carried out a corresponding adjustment covered by the LOAA are required prior to label and transfer those units in CATS (e.g. to qualify post-2020 FCPF Credits for CORSIA, this information is required before labeling and will be uploaded in CATS along with the transaction request).

2.3.8. Cancellation

Both tradable and non-tradable ER units can be cancelled. Cancellation is permanent; it is not allowed to be released out of the cancellation account (the ER status changes from active to cancelled). Cancellation is a two- levels of approval operation. The operation is requested and initially approved by the entity owning the CER units to be cancelled and the final clearance comes from the WB.

15. As a particular example a **Third-Party Transaction Processor** can request the cancellation of those units that leave the system again through a 2-level of approval system (**Third-Party Approver** and final clearance from the **Fund Manager**).

2.3.9. Retirement

Both tradable and non-tradable ER units can be retired. Retirement is permanent; it is not allowed to be released out of the retirement account (the ER status changes from active to retired). Retirement is a two- levels of approval operation. The operation is requested and initially approved by the entity owning the CER units to be retired and the final clearance comes from the WB.

16. As a particular example a **Program Transaction Processor** can request the retirement of those non-tradable re-transferred units against a mitigation goal: NDCs justification. The **Program Transaction Processor** records and submits the transaction to the Program Approver (final clearance from the Fund Manager).

Tables 4 to 10 summarize all CATS transactions including the corresponding governance system and debit and credit accounts.

Account	Transactions	CATS Governance System				Accounts	
		Submitter	Approver 1	Approver 2	Approver 3	Debit Account	Credit Account
Recording Account	Report Units	Fund Transaction Processor	Fund Manager				Recording Account
	Issue Units	Fund Transaction Processor	Program Approver	Fund Manager		Recording Account	Issuance Account
	Cancel Units	Fund Transaction Processor	Fund Manager			Recording Account	Program/Issuance/ Cancellation Account
Issuance Account	Allocate Units Uncertainty Buffer	Buffer Transaction Processor	Program Approver	Buffer Manager		Issuance Account	Uncertainty Buffer Account
	Allocate Units Reversal Buffer	Buffer Transaction Processor	Program Approver	Buffer Manager		Issuance Account	Reversal Buffer Account
	Deduct Share of Proceeds	Fund Transaction Processor	Fund Manager			Issuance Account	Fund/Share of Proceeds (SOP) Account
	Purchase Units	Fund Transaction Processor	Fund Manager			Issuance Account	Tradable or Non-tradable Tranche
	Allocate Units Program	Fund Transaction Processor	Fund Manager			Issuance Account	Program/Holding /Tradable or Non-tradable Tranche
	Cancel Units	Fund Transaction Processor	Fund Manager			Issuance Account	Program/Issuance/ Cancellation Account

Table 5. CATS Transactions Governance system: Recording and Issuance accounts.

Account	Transactions	CATS Governance System				Accounts	
		Submitter	Approver 1	Approver 2	Approver 3	Debit Account	Credit Account
Uncertainty Buffer Account -	Release Units	Buffer Transaction Processor	Program Approver	Buffer Manager		Uncertainty Buffer Account	Program -> Issuance -> Issuance account
	Cancel Units	Buffer Transaction Processor	Program Approver	Buffer Manager		Uncertainty Buffer Account	Program -> Issuance -> Cancellation Account
Reversal Buffer Account	Reversal Buffer Account - Pooled Reversal	Buffer Transaction Processor	Program Approver	Buffer Manager		Reversal Buffer Account	Pooled Reversal Buffer Account
	Release Units	Buffer Transaction Processor	Program Approver	Buffer Manager		Reversal Buffer Account	Program/Issuance/ Issuance account
	Cancel Units	Buffer Transaction Processor	Program Approver	Buffer Manager		Reversal Buffer Account	Program/Issuance/ Cancellation Account

Table 6. CATS Transactions Governance system: Buffer accounts.

Account	Transactions	CATS Governance System				Accounts	
		Submitter	Approver 1	Approver 2	Approver 3	Debit Account	Credit Account
Tranche Tradable Account	Allocate to Participants	Fund transaction processor	Fund Manager			Tranche Tradable Account	Participant Interim Tradable Account
Tranche Non-Tradable	Allocate to Participants	Fund transaction processor	Fund Manager			Tranche Non - Tradable Account	Participant Interim Non - Tradable Account
Participant Interim Account-Tradable	Forward units	Fund transaction processor	Fund Manager			Participant Interim Tradable Account	Participant Holding Account (Tradable)
Participant Interim Account - Non-Tradable	Forward units	Fund transaction processor	Fund Manager			Participant Interim Non - Tradable Account	Participant Holding Account (non-Tradable)

Table 7. CATS Transactions Governance system: Tranche and Participant Interim accounts.

Account	Transactions	CATS Governance System				Accounts	
		Submitter	Approver 1	Approver 2	Approver 3	Debit Account	Credit Account
Participant Holding Accounts	Participant Tradable Account - Transfer Units	Participant Transaction Processor	Participant Transaction Approver	Participant/Third-Party/Program Approver - Receiver	WB Admin or Fund Manager (Global)	Participant Tradable Account	Third party Tradable Account OR Program Tradable Account
	Participant Tradable Account - Cancel Units	Participant Transaction Processor	Participant Transaction Approver	WB Admin		Participant Tradable Account	Participant/Holding/ Cancellation Account
	Participant Tradable Account - Retire Unit	Participant Transaction Processor	Participant Transaction Approver	WB Admin		Participant Tradable Account	Participant/Holding/ Retirement Account
	Participant Non-Tradable Account - Transfer Units	Participant Transaction Processor	Participant Transaction Approver	Participant/Third-Party/Program Approver - Receiver	WB Admin or Fund Manager (Global)	Participant Non-Tradable Account	Third party Non-Tradable Account OR Program Non-Tradable Account
	Participant Non-Tradable Account - Cancel Units	Participant Transaction Processor	Participant Transaction Approver	WB Admin		Participant Non-Tradable Account	Participant/Holding/ Cancellation Account
	Participant Non-Tradable Account - Retire Units	Participant Transaction Processor	Participant Transaction Approver	WB Admin		Participant Non-Tradable Account	Participant/Holding /Retirement Account

Table 8. CATS Transactions Governance system: Participant holding accounts.

Account	Transactions	CATS Governance System				Accounts	
		Submitter	Approver 1	Approver 2	Approver 3	Debit Account	Credit Account
Third-Party Holding Accounts	Third Party Tradable Account - Transfer Units	Third Party Transaction Processor	Third Party Transaction Approver - Source	Participant/Third-Party/Program Approver - Receiver	WB Admin or Fund Manager (Global)	Third Party Tradable Account	Participant Tradable Account OR Program Tradable Account
	Third Party Tradable Account - Cancel Units	Third Party Transaction Processor	Third Party Transaction Approver	WB Admin		Third Party Tradable Account	Third Party/ Holding/ Cancellation Account
	Third Party Tradable Account - Retire Units	Third Party Transaction Processor	Third Party Transaction Approver	WB Admin		Third Party Tradable Account	Third Party/ Holding/ Retirement Account
	Third Party Non-Tradable Account - Transfer Units	Third Party Transaction Processor	Third Party Transaction Approver - Source	Participant/Third-Party/Program Approver - Receiver	WB Admin or Fund Manager (Global)	Third Party Non-Tradable Account	Participant Non-Tradable Account OR Program Non-Tradable Account
	Third Party Non-Tradable Account - Cancel Units	Third Party Transaction Processor	Third Party Transaction Approver	WB Admin		Third Party Non-Tradable Account	Third Party/ Holding/ Cancellation Account
	Third Party Non-Tradable Account - Retire Units	Third Party Transaction Processor	Third Party Transaction Approver	WB Admin		Third Party Non-Tradable Account	Third Party/ Holding/ Retirement Account

Table 9. CATS Transactions Governance system: Third-party holding accounts.

Account	Transactions	CATS Governance System				Accounts	
		Submitter	Approver 1	Approver 2	Approver 3	Debit Account	Credit Account
Program Holding Accounts	Program Tradable Account - Transfer Units	Program Transaction Processor	Program Transaction Approver	Participant/Third-Party/Program Approver - Receiver	WB Admin or Fund Manager (Global)	Program Tradable Account	Participant Tradable Account OR Third-party Tradable Account
	Program Tradable Account - Cancel Units	Program Transaction Processor	Program Transaction Approver	WB Admin		Program Tradable Account	Program/ Holding/ Cancellation Account
	Program Tradable Account - Retire Units	Program Transaction Processor	Program Transaction Approver	WB Admin		Program Tradable Account	Program/ Holding/ Retirement Account
	Program Non-Tradable Account - Cancel Units	Program Transaction Processor	Program Transaction Approver	WB Admin		Program Non-Tradable Account	Program/ Holding/ Cancellation Account
	Program Non-Tradable Account - Retire Units	Program Transaction Processor	Program Transaction Approver	WB Admin		Program Non-Tradable Account	Program/ Holding/ Retirement Account

Table 10. CATS Transactions Governance system: Program holding accounts.

Account	Transactions	CATS Governance System				Accounts	
		Submitter	Approver 1	Approver 2	Approver 3	Debit Account	Credit Account
Fund Account - Pooled Reversal Buffer Account	Pooled Reversal Buffer Account (Cancel Units)	Fund Transaction Processor	Buffer Manager	Fund Manager		Pooled Reversal Buffer Account	Fund/ Cancellation Account
Fund Account - Share of Proceeds (SOP) Account	Share of Proceeds (SOP) Account (Cancel Units)	Fund Transaction Processor	Fund Manager			Share of Proceeds (SOP) Account	Fund/ Cancellation Account

Table 11. CATS Transactions Governance system: Fund accounts.

Annex 1. Business Procedures

1.1 User & Group Management

1.1.1 User Management

Title	Description	Fields to be included on page	Acceptance Criteria
User Management - Invite External User - UM_ US 1	Given: User with the Group that has 'Invitation Processor' Permission has logged in and wants to invite an external user When: User navigates to 'Invite User' at a program level and records First Name, Last Name and Email Address. Details are submitted. IDD check is done and Unique name check is also done. Then: Invitation Email is triggered to the User if the IDD check is cleared. If IDD check is not cleared, then notification is sent to the submitter with administrator on Copy stating that the IDD check has been Rejected. The Invitation email should not be triggered	Navigation - Program -> Users First Name* - Text box Last Name* - Text box Email Address* - Text box Send Invite - button Cancel - button	System should perform the IDD check after the name and email address has been recorded in the system. If IDD check is cleared system should send the invitation mailer, if IDD check is not cleared system should not send the invitation mailer. Email notification should be sent to submitter with administrator on Copy stating that the IDD check has been Rejected.

Title	Description	Fields to be included on page	Acceptance Criteria
User Management - User Search & List of the Invited Users - UM_US 2	Given: Invitation mailer has been sent and 'awaiting user response When: Administrator / User with Invitation Processor access navigates to view the list of users that have been sent the invitation and should also be able to search for the user that has been sent the pending invite. The details like First Name, Last Name, Email address, Status and Country is displayed Then: Grid is displayed with the list of users under 'Users' tab and list of users who have received the invitation but are yet to respond is listed in the 'Awaiting Invitation Response' tab	Name - Name of the user Entity Invited for - Name of the program and associated ID Status - System to display the status Invitation Sent on - Date when the invitation was sent Invitation Sent by - Name of the user who sent the Invitation	List of users who have been sent the invitation and is yet to respond is listed 1- External user receives the invitation message. 2- External user log-in for the first time to the system. 3- A welcome pop-up message should be added: " Congratulations! you have been granted access to the Carbon Assets Trading System. Please Click on the below button to provide the required information to create your profile" 4- A button should be added "Complete Profile"

Title	Description	Fields to be included on page	Acceptance Criteria
User Management - Add User to a Group - UM_US 3	Given: Administrator wants to add user to a group When: Administrator should make a search by providing Name, Email or UPI. System should provide the 'Search' functionality. The administrator should select the user by navigating to 'Add User'. System should display the selected user and should provide the functionality to add user to a group. Administrator should select a group from the list of available groups to add the user to. Then: The system displays the group that the user has been added to with the set of roles that the group has along with an option to 'provide access' to 'All' or 'specific entities' -> name of entity	<Group selected> Roles - system to display text Restrictions - system to display access restrictions selected Access Provide Access - Link Add user to a group - Link	The system displays the group that the user has been added to with the set of roles that the group has along with an option to 'provide access' to 'All' or 'specific entites' -> name of entity
User Management - View User profile details - UM_US 4	Given: User profile has been created in the system When: Administrator navigates to a User's page to view details about the user's profile, Groups and Roles, Group description, Documents and Activity Log. Then: System displays the profile details of the User. System displays the Roles, Restrictions and Access. System displays a placeholder for storing the documents for viewing /display. System displays the set of activities completed by the user.	Profile Groups and Roles Documents Activity log	

Title	Description	Fields to be included on page	Acceptance Criteria
User Management - Remove User from a Group - UM_US 5	Given: Administrator wants to remove user from a group When: Administrator should select the delete icon displayed alongside the role Then: A pop-up gets displayed with the list of groups, role and associated access levels	Remove User from a Group - Display of the user name and email id along with profile picture -Roles -Restriction -Access Confirm button; Cancel button	A pop-up gets displayed with the list of groups, role and associated access levels
User Management - View Change History - UM_US 6	Given: Administrator wants to view the historical and current changes done to the groups of a particular user When: Administrator tries to navigate to 'Change History' Then: The list of changes done on the user is displayed as a row	Request ID - ID - Link to be enabled Request Date - system to display the requested date Requested By - System to display the administrator's name Changes - Add user Approver Approver action Date	The list of changes done on the user is displayed as a row
User Management - My Request - My Profile - UM_US 7	Given: User is trying to make changes to the profile When: Administrator navigates to Request ID, details of the profile get displayed. Then: Approval history and Change history is tracked and displayed. System generated email is triggered to administrator for approval	Request ID - Link to be enabled Request Date - system to display the requested date Transaction Type Approval status Approver Comments Approver action Date	System generated email should be triggered to administrator for approval and the submitter should be notified of the approval status

Title	Description	Fields to be included on page	Acceptance Criteria
User Management - Delegate Approvals - UM_US 8	Given: User (Delegator) tagged to a group with the fund approver role is trying to delegate permission to other User When: User (Delegator) navigates to 'Delegate Approval' link and searches the user by name / UPI / Email in the system. System should list the users and delegator should select the user for delegating the permission. Delegator should record the Start date and End Date. The Delegator should be able to submit the request. Then:1. A message should be displayed asking for confirmation that states that 'The Delegated user will be authorized to perform all tasks / transactions on your behalf during the period selected. Are you sure you want to continue? 2. System generated email should be triggered to the delegated user with administrator and delegator on Cc	Delegate Approvals - Link Search - Text box (by Email, Name, UPI) Start Date End Date	1. Message that asks for confirmation should be displayed when 'Submit' button is clicked by the delegator. The information should be saved when the user clicks on Submit first time. The transaction should be submitted only after the delegator confirms to the message displayed 2. System generated email should be triggered to the delegated user with administrator and delegator on Cc 3. The delegated user should be able to perform the tasks / transactions of the delegator only during the specified time period. The delegated user should have the exact permission as of the delegator for performing the tasks / transactions 4. The 'Delegate Approval link should be made available only for the 'user tagged to the group that has the Fund Approver role.
User Management - Users Profile display - UM_US 9	Given: Fund transaction processor wants to view the associated users tagged to the Fund / Tranche / Participant / Program When: Fund transaction processor navigates to the Users tab to see the list of users tagged Then: System displays the list of Users tagged to different groups that has permission to access this fund /	Fund -> Users; Tranche -> Users; Participant -> Users; Program -> Users; Third Party -> Users	System should display all the users that are tagged to groups that has specific permission to the entities respectively

Title	Description	Fields to be included on page	Acceptance Criteria
	Tranche / Participant / Program		

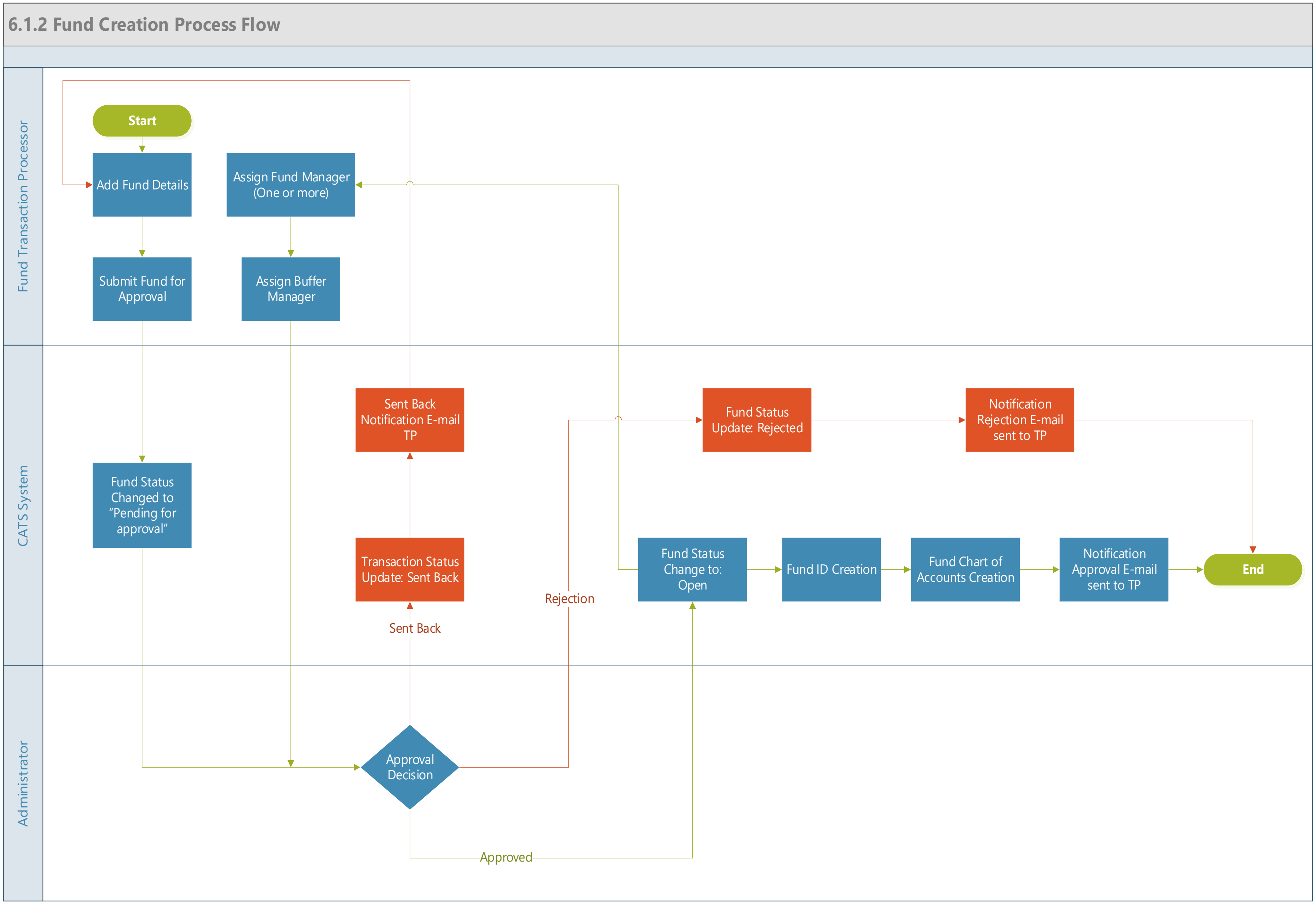
1.1.2 Groups Management

Title	Description	Fields to be included on page	Acceptance Criteria
Groups Management - Creation of Groups - US 1	Given: System Administrator / authorized User to create and manage the groups is available in CATS system and wants to create a new group When: System displays the list of Groups and its description for system administrator to view the groups and create new one if needed. System administrator navigates to 'Create a Group' and system administrator selects the desired role / roles from the list of options provided and submits the details. Then: The group should get created in the system and is available in the list of groups displayed by the system	Search by Group name - Search option Create Group - Link Group Name* - Text box Description* - Text box Select Roles to add in the Group* - Checkbox to be provided and Roles to be listed	Group is created successfully and is available in the list of Groups created
Groups Management - Change History - Groups - US 2	Given: System has at least one group created and user wants to view the change history of the groups in the system When: System Administrator navigates to 'Change History' link. Then: System should display the list of Groups for a User that has been created and the changes to the role and access within the Group	Group - System to display the Group Role - System to display the Role Restrictions - System to display the Restrictions Access - System to display the Access Start Date - System to display the Start Date End Date - System to display the End Date Last Modified by - System to display the user that had last modified the Group	System should display the list of Groups for a User that has been created and the changes to the role and access within the Group

Title	Description	Fields to be included on page	Acceptance Criteria
Groups Management - View Groups - Members & Permissions - US 3	Given: System has at least one group created, and members added to the group. User wants to view the list of members tagged to the Group When: System Administrator navigates to list of Groups and click on a particular Group to view details of the Group be navigated to view the list of Members and Permission Then: System Administrator should be able to view the list of members and associated permission to the Group	View Members: Name and Email address - System to display name and email address Country - System to display Country details Start Date - System to display when the user was tagged to this group View Group Permission: Group Name - Group name to be displayed as a text - System to display the name of the group selected to view the permission Status - Current status of the group Description - Text to be displayed Selected Roles - Roles and Restriction to be displayed	1. System should display the list of members and the group permission. 2. My Profile page should contain the Group Membership field and should list the names of all the groups which the user is a member of.

1.2. Master Data Setup

1.2.1. Fund Creation


6.1.2 Fund Creation Process Flow
Fund Transaction Processor
CATS System
Administrator
Start
Add Fund Details
Assign Fund Manager (One or more)
Submit Fund for Approval
Assign Buffer Manager
Sent Back Notification E-mail TP
Fund Status Update: Rejected
Notification Rejection E-mail sent to TP
Fund Status Changed to "Pending for approval"
Transaction Status Update: Sent Back
Rejection
Fund Status Change to: Open
Fund ID Creation
Fund Chart of Accounts Creation
Notification Approval E-mail sent to TP
End
Sent Back
Approval Decision
Approved

Title	Description	Fields to be included on page	Acceptance Criteria
Create Fund -CF_US 1	Given Fund Transaction Processor has logged in CATS system When 1- User (Fund Transaction Processor) clicks on "Create Fund" tab , and fills all required information (Fund Name *, Fund Name *, Fund Name *, Fund Holding Currency *, Fund Start Date *, Fund Closing Date) 2- User should be able to upload the required documents Then 1- Fund transaction processor should be able to submit the fund creation request after recording the details and uploading the necessary documents.	1.Fund Name * - Single line text. (special characters allowed and up to 300 Characters) 2.Fund Short Name * - User entered: up to 150 Characters(special characters allowed) 3.Fund ID * - User-entered Unique ID: the letters “TF” and 3 digits 4 Fund Holding Currency * - Drop down list with currency abbreviation: USD AND EUR 5 Fund Start Date* - Date 6 Fund Closing Date - Date 7. Fund TF Number - User entered ID (format - TF and 6 digits)	1- Fund Transaction processor should able to create a fund upon approval by the Administrator. 2- The difference between the fund start date and the fund closing date shouldn’t be less than 30 days. 3- System generated error message should be triggered if all the required fields are not complete. 4- System generated email should be triggered to the administrator and task is listed in the queue of the approver. 5-System should display a warning message if the user navigates from the page 6. Two funds should NOT be allowed to have the same short name
Create Fund - CF_US 2	Given, Fund Transaction Processor has logged in CATS system When, 1- Fund transaction processor submit the fund creation request after recording the details and uploading the necessary documents. Then, 1- Administrator should be able to review the information included in the fund creation request. a. Approve the transaction b. Reject the transaction c. Sent the transaction back		1- System generated email should be triggered to the fund transaction processor in case of approval, send back and rejection with the reason of send back. There should be a comment box to record the reason for rejection, approval or send back for revision.

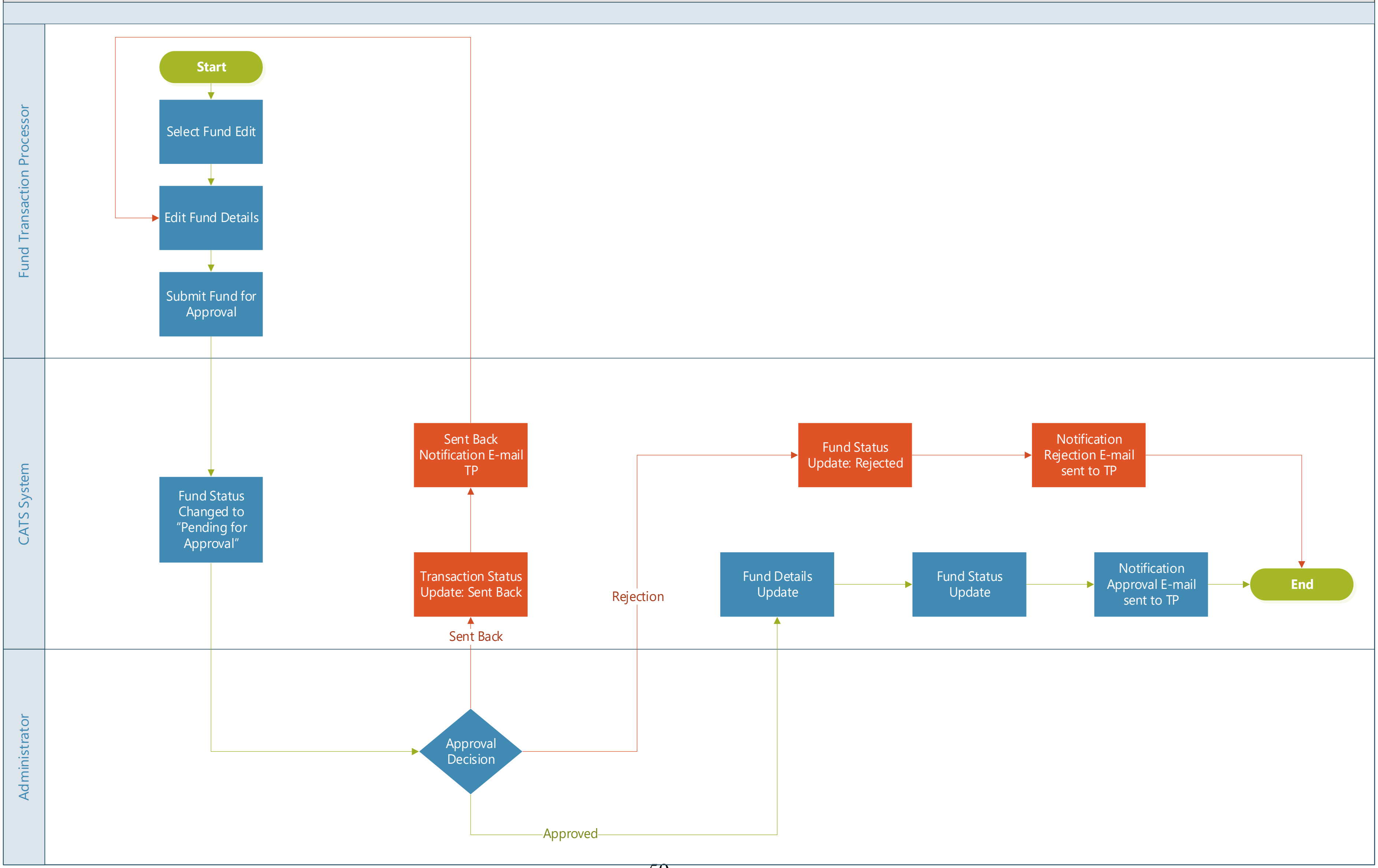
Title	Description	Fields to be included on page	Acceptance Criteria
Create Fund - CF_US 3	Given, User submits the fund creation request after recording the details and uploading the necessary documents When, 1- Administrator approves the funds Then, Fund-level accounts will be available for the users A- Pooled Reversal Buffer Account B- Share of Proceeds C- Fund Cancellation Account		1- Fund creation must be approved by Administrator before Tranche can be linked 2- The system should maintain the appropriate status of the fund according to the user interaction 3- Fund managers should have access to view all the information related to their funds but should be able to approve transactions only to the funds that they have been assigned to 4- All actions performed on the fund creation and all the updates on the fund status will captured in version control and audit history 5- Once the Fund is approved, the following Fund-level accounts will be available for the users A- Pooled Reversal Buffer Account B- Share of Proceeds C- Fund Cancellation Account

Title	Description	Fields to be included on page	Acceptance Criteria
Create Fund - CF_US 4 (to be merged with Delegate Approval User story)	Given Fund status is 'Open' and Fund transaction processor / administrator is logged in to the system When 1- User (Fund Transaction Processor) should be able to assign a Fund Manager from the list of available Fund Managers in the system 2-User(Fund Transaction Processor) should be able to assign a Buffer Manager from the available Buffer Managers in the system Then Administrator should be able to review the information included in the fund creation request. a. Approve the transaction b. Reject the transaction c. Sent the transaction back		1- User can be allowed to assign more than one fund manager. One Fund can have more than one fund manager. The transactions related to that fund which needs fund manager approval will be routed to both the fund managers tagged to that fund 2- System generated email should be triggered to the administrator and task is listed in the queue of the approver. 3- System generated email should be triggered to the fund transaction processor in case of approval, send back and rejection with the reason of send back. There should be a comment box to record the reason for rejection, approval or send back for revision. 4- Fund manager can be removed only if there is at least one fund manager is assigned to a fund 5- All actions performed on the fund creation and all the updates on the fund status will captured in version control and audit history

Title	Description	Fields to be included on page	Acceptance Criteria
Create Fund -CF_US 5	Given, Fund has been created and is in "Open" Status When, 1-Fund Transaction Processor deletes a fund if there is no Tranche / transaction associated with it. The request for deleting the fund should be sent to administrator for approval Then, 1- Administrator should be able to review the information and take an action a. Approve the transaction b. Reject the transaction		1-Fund transaction processor should be able to delete a fund, if it's not associated with any Tranches. 2- If system fails to successfully delete a fund, fund transaction processor will be informed of the reason/s. An email will be generated upon submission for approval; rejection or approval 3- Fund transaction processor should not be able to re-open the fund 4- All actions performed on the fund creation and all the updates on the fund status will captured in version control and audit history
Create Fund -CF_US 6	Given Fund is in "Open" status and 3 accounts have been created When Fund transaction processor should be able to delete an account and add one of the available accounts Then, Administrator should be able to review the information and take an action a. Approve the transaction b. Reject the transaction		1- System generated email should be triggered to the fund transaction processor in case of approval and rejection with the reason of send back. There should be a comment box to record the reason for rejection, approval or send back for revision. 2.Fund transaction processor should be able to add the account only if one of the 3 accounts has been deleted

1.2.2. Fund Edit

6.1.3 Fund Edit Process Flow



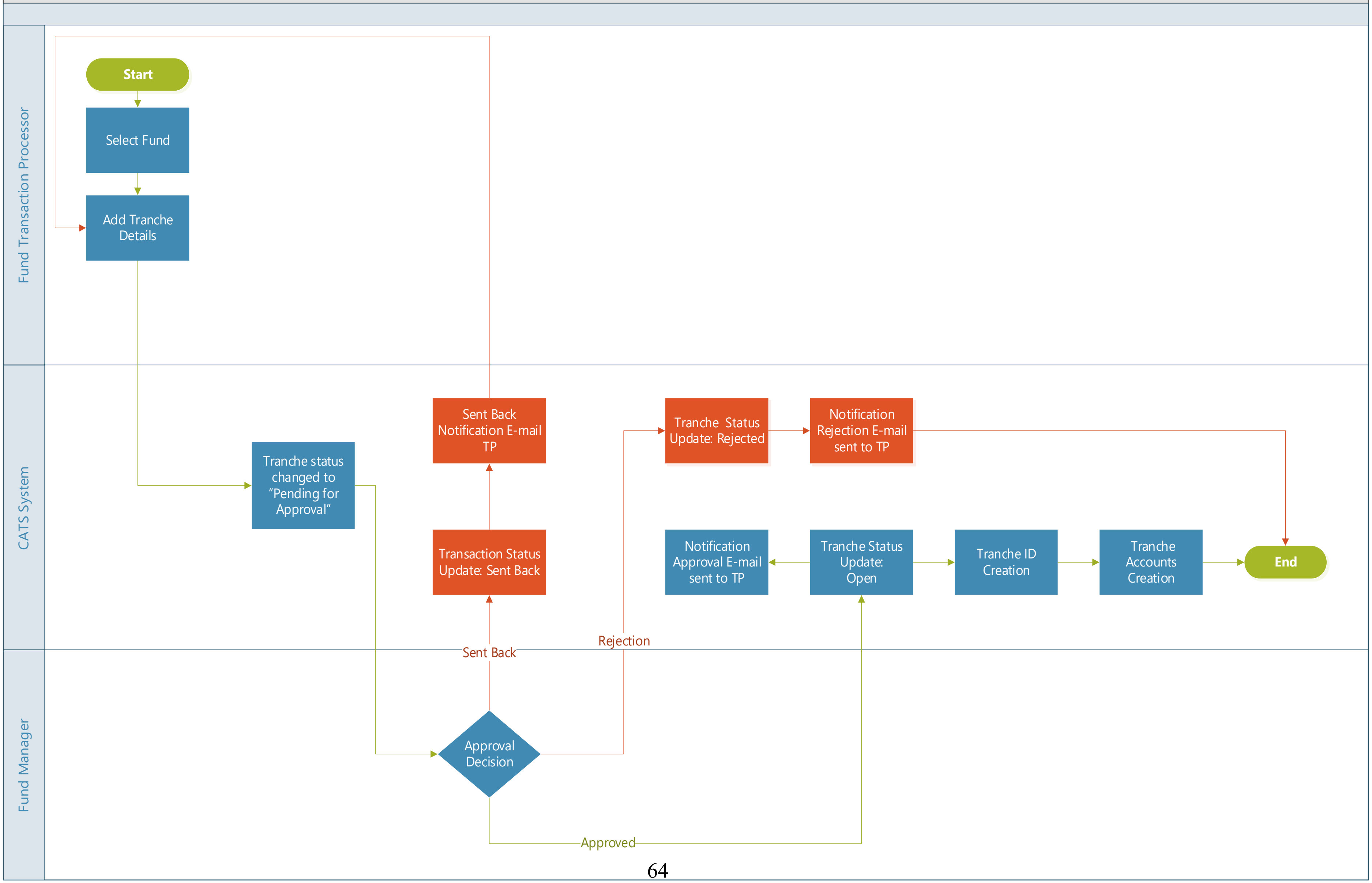
Title	Description	Fields to be included on page	Acceptance Criteria
Edit Fund - US 1	Given, Fund creation transaction has been approved & "Fund Transaction Processor " log in system When, "Fund Transaction Processor 1 " tries to update fund details Then, 1- System display a list of existing funds 2- User should be able to search the list by: (Fund Name, Fund ID, Fund Short Name, Fund ID) 3- User should be able to pick one fund to be edited System should allow "Fund Transaction Processor 1 " to edit fund details including "Fund Name, Fund Short Name, Fund Holding Currency, Closing Date etc."	1-"Fund Name*: Single line text. 2-Fund Short Name*: User Entered 3-Fund ID: System Generated Unique ID: the letters "TF" and 3 digits 4- Fund Holding Currency: Drop down list with currency abbreviation: 1- USD 2- EUR 5- Closing Date: Date 6. Fund TF number - User entered ID (format - TF and 6 digits)	1- "Fund Transaction Processor "should be able to update designated fields as mentioned in Column C 2- "Fund Transaction Processor " should be able to submit fund for approval with updated details 3- User should be able to change fund status to Open or Closed 4. Two funds should NOT be allowed to have the same short name

Title	Description	Fields to be included on page	Acceptance Criteria
Edit Fund - US 2	Given, Fund creation transaction has been approved & "Fund Transaction Processor 1 " log in system When, "Fund Transaction Processor 1 " tries to update fund details Then, 1-Users should be able to delete a fund, if it's not associated with any Tranche 2-User should be able to close the fund. User should not be able to re-open the fund 3-User should be able change the fund manager by choosing a different fund manager from system generated list of the available fund managers 4-User should be able to change the fund manager from the list of available fund managers 5-User should be able to submit a fund edit request if all required fields are completed. 6-System generated error message should be triggered if all the required fields are not complete. 7- System generated email should be triggered to the approver and task is listed in the queue of the approver.	1-Fund Manager *: Drop-down list with the following values: Fund Manager	1- Ability to delete a fund, if it's not associated with any Tranches. 2- User's ability to close and not re-open the fund 4- User's ability to change the fund manager or acting fund manager by choosing a different fund manager 5- System ability to submit a fund edit request if all required fields are completed 6- An Error message should pop-up if all the required fields are not complete "Please fill all the required fields". 7- An e-mail triggered to approvers & listing of task in the queue of approver's

Title	Description	Fields to be included on page	Acceptance Criteria
Edit Fund - US 3	Given, "Fund Transaction Processor 1 " has submitted fund for approval. When, Administrator review the information included in the fund creation request Then, 1- Administrator should be able to Approve, Reject or Send back the request 2- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back 3- All actions performed on the fund edit and all the updates on the fund status will captured in version control and audit history		1- Ability of Administrator to Approve, Reject or Sent back the request 2- Ability of system to email to the submitter in case of approval, send back and rejection with the reason of send back 3- System generated email should be triggered to the Fund Transaction Processor, Fund Manager, Buffer Manager, Buffer Transaction Processor in case of any changes on the fund details 4- Ability of system to capture actions performed on the fund edit and all the updates on the fund status will captured in version control and audit history
Edit Fund - US 4	Given, Fund creation transaction has been approved & 3 accounts have been created When, System should allow the "Fund Transaction Processor to remove an account and add an account from the available accounts Then, 1- System should display the list of accounts with the "Add" and "Delete" functionality 2- User should be able to submit the functionality		1- System generated email should be triggered to the Fund Transaction Processor, Fund Manager, Buffer Manager, Buffer Transaction Processor if there are changes to the Accounts

1.2.3. Tranche Creation

6.1.4 Tranche Creation Process Flow



Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Creation - TCF_US 1	Given, Fund status is "Open "and Fund transaction processor is trying to create a Tranche When, 1- System should display a list of open funds 2- User should be able to search the list by: (Fund Name, Fund Short Name, Fund ID) 3- User should be able to pick one fund under which the Tranche will be created 4- User should be able to enter all the required tranche details in appropriate fields (*Mandatory Fields): (Tranche Name *, Tranche Short Name *) 5 -User should be able to select Tranche Type (Tradable, Non-Tradable, Both) 6- User should be able to upload the required documents Then 1- Fund transaction processor should be able to submit the Tranche creation request after recording the details and uploading the necessary documents.	Tranche Creation Request: 1- Tranche Name *: Single line text(special characters allowed and up to 300 characters) 2- Tranche Short Name * User entered: up to 150 characters(can contain special characters) 3- Tranche ID *User entered Unique ID: the letters "TN" and 3 digits 4. Tranche TF Number - User entered ID (format - TF and 6 digits)	1-System generated error message should be triggered if all the required fields are not complete. 2-System generated email should be triggered to the approver and task is listed in the queue of the approver. 3-System should display a warning message if the user navigates from the page

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Creation - TCF_US 2	Given "Fund Transaction Processor " has successfully submitted "Tranche Creation Request" When Fund Manager is reviewing the information included in the Tranche creation request Then Fund Manager should be able to Approve, Reject or Sent the transaction back		1- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- Tranche should be created only upon the approval of the administrator. 3- The system should maintain the appropriate status of the Tranche according to the user interaction. 4- All actions performed on the Tranche creation and all the updates on the Tranche status will be captured in version control and audit history 5. The Approvals section has a column that displays "Parent Entity"
Tranche Creation - TCF_US 3	Given "Fund Transaction Processor " has successfully submitted "Tranche Creation Request" When Tranche is approved by Fund Manager Then System shall automatically create the Tranche level accounts depending on the user input to 'Tranche Type'. If the user selected 'Tranche Type' as Tradable then 'Tradable Account' should be created If the user selected 'Tranche Type' as Non-Tradable then 'Non-Tradable' Account should be created If the user selected 'Both' then 'Tradable' Account and 'Non-Tradable' Account should be created		Once the Tranche is approved, the system shall automatically create the following Tranche level accounts depending on the user input to 'Tranche Type' 1. If the user selected 'Tranche Type' as Tradable, then 'Tradable Account' should be created 2. If the user selected 'Tranche Type' as Non-Tradable, then 'Non-Tradable' Account should be created 3. If the user selected 'Both' then 'Tradable' Account and 'Non-Tradable' Account should be created

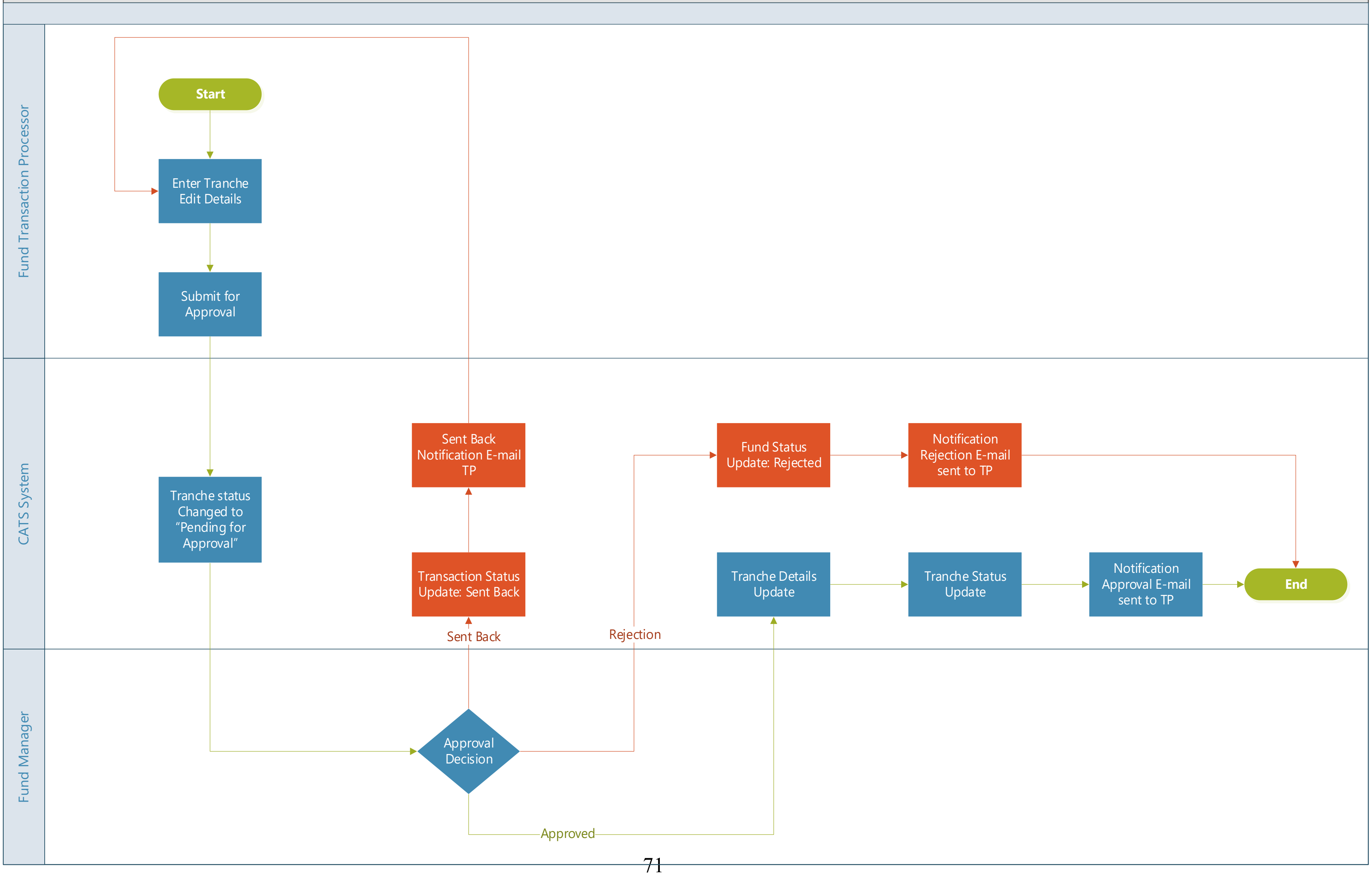
Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Creation - TCF_US 4	Given Tranche has been created and approved When 1-The system should also provide an option for the fund transaction processor to select "same as fund manager' which implies the Tranche manager will also be the same as fund manager. 2- User should be able to assign Tranche manager by providing the following details if the 'Same as Fund Manager' option is not selected -Tranche Manager name - * Drop down values from the system 3- Tranche manager assignment is mandatory. Then Fund Manager should be able to Approve, Reject or Sent the transaction back	Assign Tranche manager: 1- Tranche Manager's name Drop-down list with the following values of Fund Manager available in the system 2. Same as Fund Manager System should auto-populate the Fund Manager's name of that Fund	1- User should be allowed to assign more than one Tranche manager and one acting Tranche manager at any period of time. 2.The transactions related to that Tranche which needs Tranche manager's approval will be routed to both the Tranche managers tagged to that Tranche
Tranche Creation - TCF_US 5	Given "Fund Transaction Processor " has successfully submitted "Assign Tranche Manager Request" When Fund Manager is reviewing the request Then Fund Manager should be able to Approve, Reject or Sent the transaction back		1- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- All actions performed on the Tranche creation and all the updates on the Tranche status will captured in version control and audit history

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Creation - TCF_US 6	Given Fund status is “Open “and Fund transaction processor is trying to close a Tranche When User should navigate to Tranche Profile page and the system should provide a button "Close Tranche" to close the Tranche in the system. Then User should be able to submit "Close Tranche" request		1. "Fund Transaction Processor" should be able to submit "Close Tranche" request
Tranche Creation - TCF_US 7	Given, User has submitted "Close Tranche" request When, Fund Manager is reviewing the information included in the Tranche closure request Then, Fund Manager should be able to Approve, Reject or Sent the transaction back		1- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- Tranche should be closed only upon the approval of the Fund Manager 3- The system should maintain the appropriate status of the Tranche according to the user interaction. 4- All actions performed on the Tranche closure and all the updates on the Tranche status will be captured in version control and audit history 5- Export to excel should be available at participants list section.

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Creation - TCF_US 8	Given, Tranche is in "Closed" status When, Fund transaction processor clicks on "Reopen Tranche" button Then, 1- Tranche status should change to "Open" & should be available for revision 2- Fund transaction processor should be able to submit the Tranche creation request after recording the details and uploading the necessary documents.	"Reopen Tranche" button on Tranche Profile	1- After Reopening, Tranche should be in editable & should allow to link more participants 2- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back.

1.2.4. Tranche Edit

6.1.5 Tranche Edit Process Flow

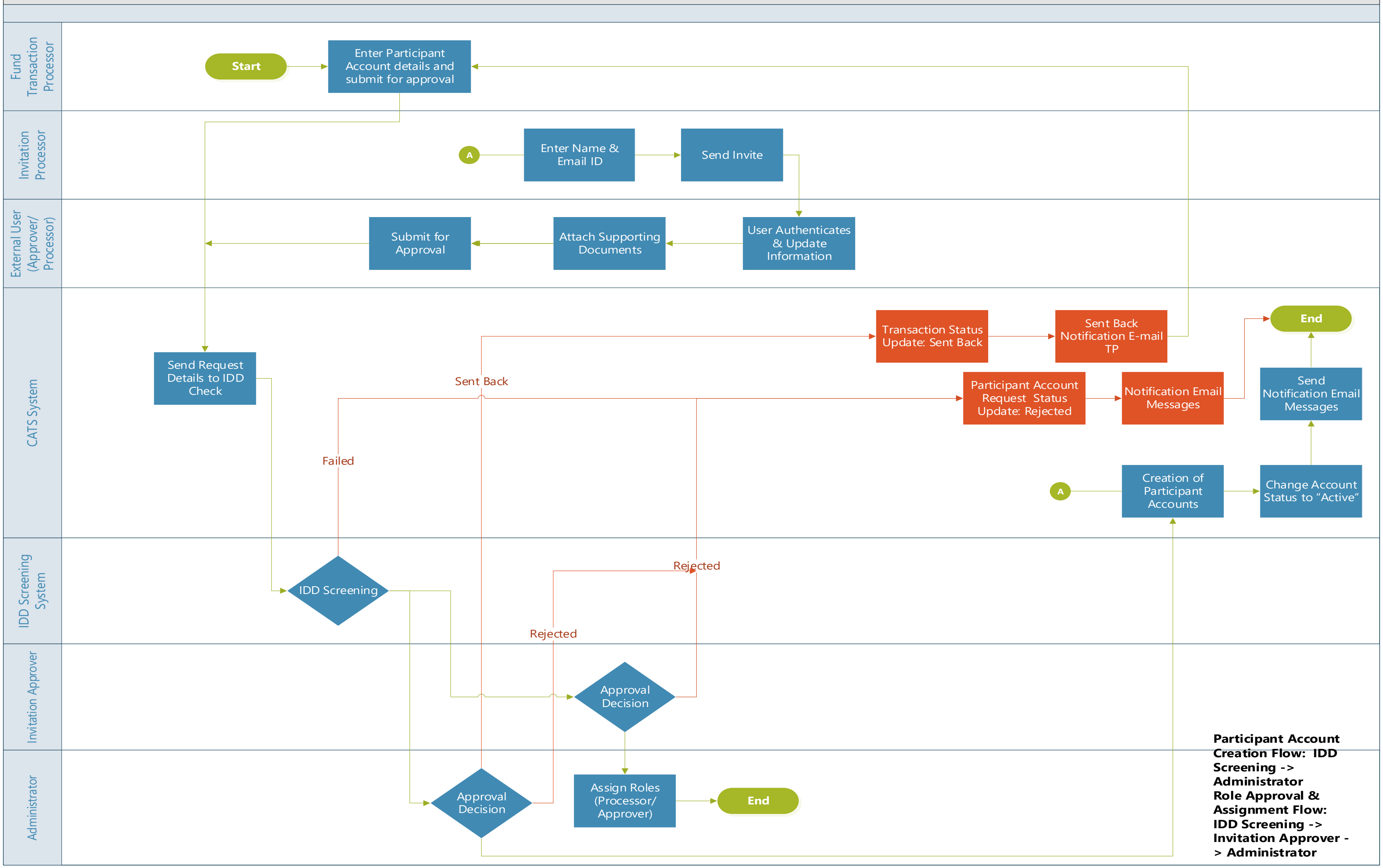


Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Edit - US1	Given Tranche creation has been approved in system When "Fund Transaction Processor" tries to modify/edit Tranche details Then 1- System display a list of existing Tranches 2- "Fund Transaction Processor" should be able to search list by (Tranche Name, Tranche Short Name & Tranche ID) 3- "Fund Transaction Processor" should be able to pick one Tranche to be edited 4- "Fund Transaction Processor" should be able to select Tranche status (Open or Closed) 5- "Fund Transaction Processor" should be able to edit Tranche details (Tranche Name *, Tranche Short Name *, Tranche Type) 6- "Fund Transaction Processor" should be able to delete a Tranche only if it's not associated with any participants/programs	Tranche Name *: Single line text Tranche Short Name *: User entered: 5 letters and 2 numbers Tranche ID *: System Generated Unique ID: the letters "TN" and 3 digits Tranche Type Tranche TF Number - User entered ID (format - TF and 6 digits)	1- If system fails to successfully delete a Tranche, user will be informed of the reason/s. 2- An email will be generated upon submission for approval; rejection or approval. 3. Tranche ID should be non-editable
Tranche Edit - US2	Given, "Fund Transaction Processor " is trying to edit already created Tranche When, "Fund Transaction Processor " fills all the mandatory details while editing Tranche Then, "Fund Transaction Processor "should be able to submit a Tranche		1- System generated email should be triggered to the approver and task is listed in the queue of the approver

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Edit - US3	Given "Fund Transaction Processor" is trying to edit already created Tranche When "Fund Transaction Processor " do not fill all the mandatory details while editing Tranche Then "Fund Transaction Processor" should not be able to submit a Tranche		1- System generated error message should be triggered if all the required fields are not complete.
Tranche Edit - US4	Given Fund Transaction Processor" is trying to edit already created Tranche When "Fund Transaction Processor 1" submits a edit Tranche request Then Fund Manager should be able to review the information included in the tranche creation request & take action as Approve, Reject or Sent back the Request		1-System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- Reason for Rejection to be captured in the system 3- All actions performed on the Tranche edit and all the updates on the tranche status will captured in version control and audit history. 4. FTP should be able to delete previously attached supporting documents when editing a Sent Back document. 5. The Approvals section has a column that displays "Parent Entity"

1.2.5. Participant Account Creation

6.1.6 Participant Account Creation Process Flow



Title	Description	Fields to be included on page	Acceptance Criteria
Participant Third Party Account Creation -US1	Given, 1 -User with the Group as Fund transaction processor configured with the necessary role as 'Fund contributor' should exist in the system 2 - The Tranche status of the Tranche that the participant will be associated with should be ‘Open’ When 1- Fund transaction processor should be able to record the Participant / Third Party account details for Participant / Third Party account creation (Full Name *, Short name*,Web site, Physical address, Mailing Address ,City *,Country, State * ,Postal code *). information. 2-Fund Transaction Processor should also be able to upload the supporting documents 3-System should run an automatic check on the Full name entered , to ensure that they are unique on the system and no existing account have the same information Then, 1- Fund transaction processor should be able to submit the request if all fields are completely filled. 2- CATS System should trigger Integrity Due Diligence (IDD) Screening process.	Participant / Third Party Details 1- Full Name *: Single line text(Up to 300 characters and special characters allowed) 2- Short name*: Single line text (up to 150 characters) 3- Participant ID *: User entered Unique ID: the letters “PT” and 4 digits 4- Web site: URL 5. Type* - Drop down values (Public / Private) 6- Physical address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State - Single line text, Country* - drop down list , Postal Code - single line text 7- Mailing Address: <provide a check box> Same as Physical Address Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 8- Upload Feature 9. Participant TF Number - Textbox - User entered ID TF + 6 digits	1- System should run an automatic check on both the participant name and email address and make sure that they are unique on the system and no existing account have the same information. 2. System should consider the external entity either as participant / third party based on the user selection and should get listed accordingly in My Portfolio - Participants and My Portfolio - Third Party page 3. Fund transaction processor" should able to submit the request if all fields are completely filled. 4. If the option ‘Mailing address is the same as Physical address ' is selected by the user, the address should get populated in the Mailing address section 5- A pop-up message should display saying "Request submitted successfully" 5.System should display a warning message if the user navigates from the page

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Third Party Account Creation -US2	Given, User with the Group as Fund transaction processor configured with the necessary role as 'Fund contributor' should exist in the system and has submitted the details When, "Fund transaction processor" submit the request for approval without all mandatory fields completely filled. Then, "Fund transaction processor" should not able to submit the request if all fields are completely filled.		1- An Error message should display saying "Please fill all mandatory fields before submitting the request"
Participant Third Party Account Creation -US3	Given, User with the Group as Fund transaction processor configured with the necessary role as 'Fund contributor' should exist in the system and has submitted the details When, 1- CATS system automatically send details for IDD screening check 2- Request successfully passes through IDD screening system Then, 1- Participant / Third Party account creation request will be submitted to Administrator		1- System generated email should be triggered to the Administrator and task is listed in the queue of the approver

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Third Party Account Creation -US5	Given, Participant / Third Party account creation request successfully passes through IDD screening system When, Administrator able to review the information included in the participant / Third Party account creation request Then, 1- Administrator should be able to "Approve", "Reject" or "Send Back" transactions	1-Tradable Account 2- Non-Tradable Account 3- Cancellation Account 4- Retirement Account	1- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- Upon the approval by the administrator system should create the following accounts: Tradable Account Non-Tradable Account Cancellation Account Retirement Account 3- Upon "Rejection", Participant / Third Party account creation request status should be updated as "Rejected" 4- Upon "Sent Back", Participant / Third Party account creation request status should be updated as "Sent Back" along with e-mail notification to Fund transaction processor"

Title	Description	Fields to be included on page	Acceptance Criteria
Participant / Third Party Account Creation -US6 - (Approver / Processor)	Given, 1 -User with the Group as Fund transaction processor configured with the necessary role as 'Invitation Processor' and User with the Group as Fund Manager with the necessary role as 'Invitation Approver' should exist in the system 2 - The tranche status of the tranche that the participant will be associated with should be 'Open' When, 1- Fund transaction processor / User associated with the group with 'Invitation processor' role records the First name and email address of the user. 2- The system should send the email to the external user. 3. The external user authenticates successfully and logs in to the system and record the details (Title, First Name, Last Name, Middle Name, Phone Number, Mobile Phone, Fax Number, Job Title, Desired Role, Skype ID, Organization Address) 3-The external user should also be able to upload the supporting documents and Profile picture Then, 1- The User should be able to submit the request if all fields are completely	1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver / External Viewer) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record • Appointment Letter confirming the person to handle the accounts in his/her capability • Signed copy of this application form 14. Photo upload option - Upload Feature	1. System should run an automatic check on the external user's name to ensure that they are unique on the system and no existing account have the same information 2. 'External User' should be able to submit the request if all fields are completely filled. 3. A pop-up message should display saying "Request submitted successfully"

Title	Description	Fields to be included on page	Acceptance Criteria
	filled. 2- CATS System should trigger Integrity Due Diligence (IDD) Screening process.		

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Account Creation -US7 - Form submission (error message - submission)	Given, External User is trying to submit the form When, 'External User' submit the request for approval without all mandatory fields completely filled. Then, External User should not able to submit the request if all fields are completely filled.		1- An Error message should display saying "Please fill all mandatory fields before submitting the request"
Participant Account Creation -US10 - Invitation Approver Approval scenario	Given, External User request successfully passes through IDD screening system When, 1. User tagged to a group with the role 'Invitation Approver' reviews the information and should either Approve/ Reject the request. Then, 1- If the request is approved the system should also notify Administrator that the profile has been created and role assignment should be completed. 2. If the request is rejected system generated email should be triggered to the external user with administrator and 'Invitation Approver' on copy stating the reason. The 'Reason for Rejection' should also be captured in the system.		1- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- Upon the approval by the user with role as Invitation approver the Approval Status is 'Approved' 3- Upon "Rejection", Approval Status should be updated as "Rejected"

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Account Creation -US11 - Role Assignment (Approver / Processor)	Given, User tagged to the Group with the role 'Invitation Approver' has approved the request and the administrator has been notified to complete role assignment 2 - The Tranche status of the Tranche that the participant will be associated with should be 'Open' When, 1- The Administrator reviews the form and assigns the role as 'Approver' or 'Processor' to the external user. Then, 1- System generated email should be sent to the external user notifying of the role assignment same. 2- The role assignment done should be recorded and saved in the system		1. External User should be tagged to a role 'Approver' or 'Processor' 2. System generated email should be triggered to external user with administrator and user tagged to the group with the role Invitation approver on copy.

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Account Creation -US16 - Approver / Processor - Profile edit / delete	Given, External User (Processor / Approver) wants to edit their profile When, External user navigates to the 'Edit' functionality to make the changes and submits the details Then 1- System generated email is triggered to the Administrator 2- Administrator should either approve or reject the request	All fields are editable 1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver / External Viewer) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record • Appointment Letter confirming the person to handle the accounts in his/her capability • Signed copy of this application form	1- System generated email is triggered to the Administrator 2- Administrator should either approve or reject the request 3. System generated email should be triggered to the submitter in case of approval or rejection

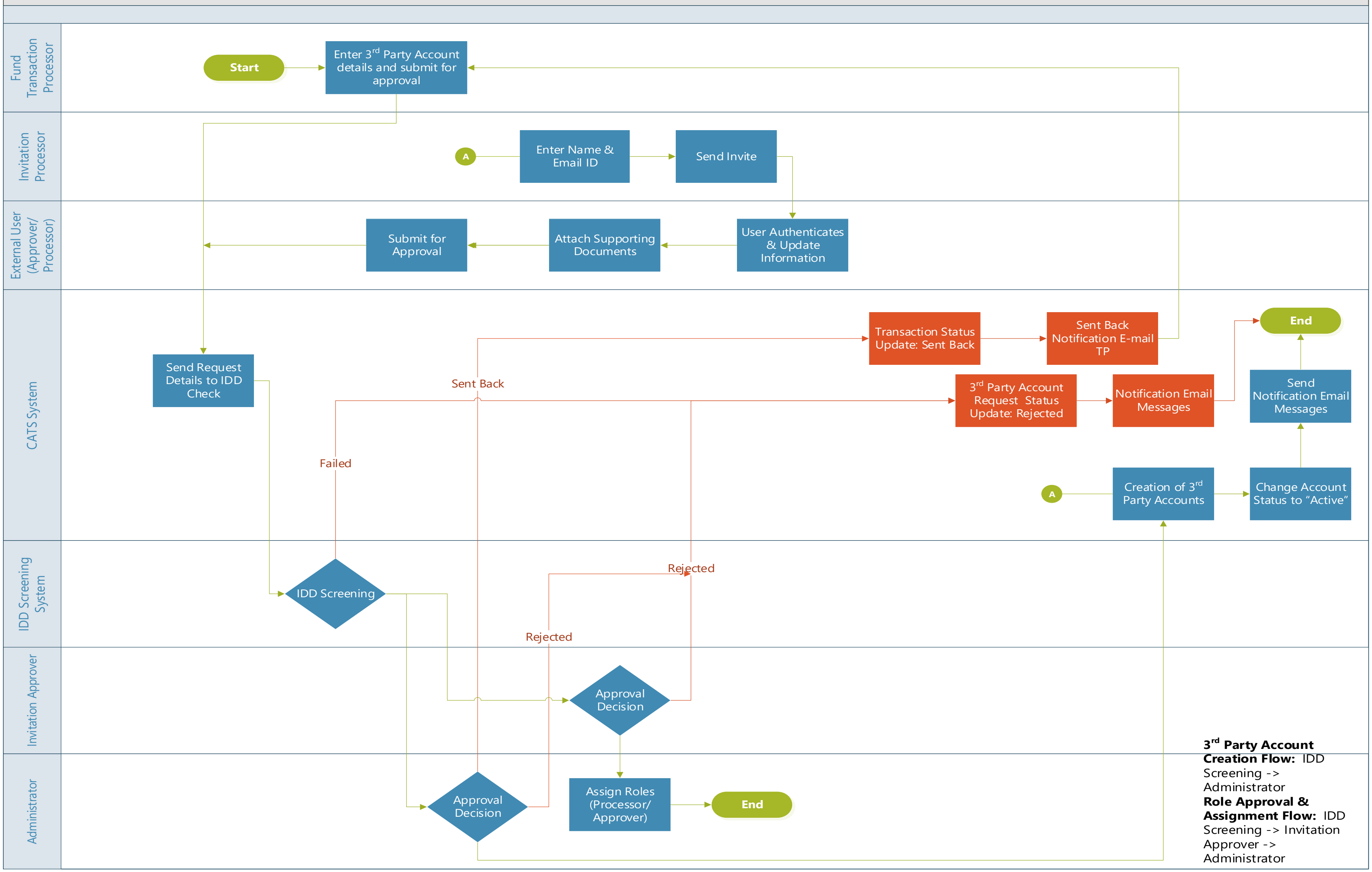
Title	Description	Fields to be included on page	Acceptance Criteria
Participant Account Creation - US17	Given, Participant account exists and fund transaction processor wants to modify the details of the account When, System should provide an option to edit the following fields (Participant Full Name *, Short name*,Web site, Physical address, Mailing Address ,City *,Country, State * ,Postal code *) Then, the fund transaction processor should be able to edit the details and this should be routed to administrator for approval. Administrator should be able to review the request and either approve, reject or send back the request	Edit profile' - Navigating to 'Participant profile' Editable fields - 1- Participant Full Name *: Single line text 2- Short name*: Single line text 3- Web site: URL 4- Physical address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 5- Mailing Address: <provide a check box> Same as Physical Address Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 6- Upload Feature	1- System generated email should be triggered to the administrator and task is listed in the queue of the approver 2. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 3. User should be able to edit the existing participants accounts even if there are linkages and if there are transactions executed under the fund

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Account Creation -US18	Given, Fund transaction processor has logged in and wants to delete a participant / third party account When, System should display the list of participants available in "My Portfolio" Then 1- User should be able to select a participant / Third party account that needs to be deleted. User should be able to delete existing participants account if the participant account is not linked to any funds yet and if no transactions have been executed under the fund yet 2. System generated email will be triggered to administrator for approval (Approve, Reject) on any changes to the participant account. System generated email should be triggered to the submitter.	Delete functionality at the participant account level '	1. User should be able to delete existing participants account if the participant account is not linked to any funds yet and if no transactions have been executed under the fund yet 2. System generated email will be triggered to administrator for approval on any changes to the participant account. System generated email should be triggered to the submitter.

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Account Creation - US 19 - External User_ Invitation Contributor form submission (Approver / Processor)	Given, User with the Group configured with the necessary role as 'Invitation Contributor' wants to record details on behalf of 'Approver' / 'Processor' When, User records the details in the form on behalf of the external user in the system and submits the form if all mandatory fields are filled Then Details are routed for IDD check and if IDD check is cleared, system generated email is sent to the User with the group with role as 'Invitation Approver' for approval. If IDD check is not cleared the status is updated as 'Pending WB Clearance'	1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver/External Viewer) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record • Appointment Letter confirming the person to handle the accounts in his/her capability • Signed copy of this application form	1. System should run an automatic check on the external user's name to ensure that they are unique on the system and no existing account have the same information 2. 'External User' should be able to submit the request if all fields are completely filled. 3. A pop-up message should display saying "Request submitted successfully" 4. An Error message should display saying "Please fill all mandatory fields before submitting the request" 5. System should route the details for IDD check. On clearance of IDD check system generated email is triggered to the group with the role 'Invitation Approver' and email is triggered to the submitter on the approval status based on the approval by the 'Invitation Approver'

1.2.6. Third-Party Account Creation

6.1.7 Third Party Account Creation Process Flow



Title	Description	Fields to be included on page	Acceptance criteria
Third Party Account Creation -TPAC_US6 (Approver / Processor)	Given, 1 -User tagged to the Group with the necessary role as 'Invitation Processor' and User with the Group with the necessary role as 'Invitation Approver' should exist in the system 2 - The tranche status of the tranche that the participant will be associated with should be 'Open' When, 1. User associated with the group with 'Invitation processor' role records the First name and email address of the user. 2- The system should send the email to the external user. 3. The external user authenticates successfully and logs in to the system and record the details (Title, First Name, Last Name, Middle Name, Phone Number, Mobile Phone, Fax Number, Job Title, Desired Role, Skype ID, Organization Address) 3-The external user should also be able to upload the supporting documents and Profile	1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver/ External Viewer) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record	1. System should run an automatic check on the external user's name to ensure that they are unique on the system and no existing account have the same information 2. 'External User' should be able to submit the request if all fields are completely filled. 3. A pop-up message should display saying "Request submitted successfully"

Title	Description	Fields to be included on page	Acceptance criteria
	picture Then, 1- The User should be able to submit the request if all fields are completely filled. 2- CATS System should trigger Integrity Due Diligence (IDD) Screening process.	• Appointment Letter confirming the person to handle the accounts in his/her capability • Signed copy of this application form 14. Photo upload option - Upload Feature	

Title	Description	Fields to be included on page	Acceptance criteria
Third Party Account Creation -TPAC_US7 - Form submission (error message - submission)	Given, External User is trying to submit the form When, 'External User' submit the request for approval without all mandatory fields completely filled. Then, External User should not able to submit the request if all fields are completely filled.		1- An Error message should display saying "Please fill all mandatory fields before submitting the request"

Title	Description	Fields to be included on page	Acceptance criteria
Third Party Account Creation -TPAC_US10 - Invitation Approver Approval scenario	Given, External User request successfully passes through IDD screening system When, 1. User tagged to a group with the role 'Invitation Approver's reviews the information and should either Approve/ Reject the request. Then, 1- If the request is approved the system should also notify Administrator that the profile has been created and role assignment should be completed. 2. If the request is rejected system generated email should be triggered to the external user with administrator and 'Invitation Approver' on copy stating the reason. The 'Reason for Rejection' should also be captured in the system.		1- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- Upon the approval by the user with role as Invitation approver the Approval Status is 'Approved' 3- Upon "Rejection", Approval Status should be updated as "Rejected"

Title	Description	Fields to be included on page	Acceptance criteria
Third Party Account Creation -TPAC_US11- Role Assignment (Approver / Processor)	Given, User tagged to the Group with the role 'Invitation Approver' has approved the request and the administrator has been notified to complete role assignment 2 - The Tranche status of the Tranche that the participant will be associated with should be 'Open' When, 1- The Administrator reviews the form and assigns the role as 'Approver' or 'Processor' to the external user. Then, 1- System generated email should be sent to the external user notifying of the role assignment same. 2- The role assignment done should be recorded and saved in the system		1. External User should be tagged to a role 'Approver' or 'Processor' 2. System generated email should be triggered to external user with administrator and user tagged to the group with the role Invitation approver on copy.

Title	Description	Fields to be included on page	Acceptance criteria
Third Party Account Creation -TPAC_US16 - Approver / Processor - Profile edit / delete	Given, External User (Processor / Approver) wants to edit their profile When, External user navigates to the 'Edit' functionality to make the changes and submits the details Then 1- System generated email is triggered to the Administrator 2- Administrator should either approve or reject the request	All fields are editable 1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver / External Viewer) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record • Appointment Letter confirming the person to handle the accounts in	1- System generated email is triggered to the Administrator 2- Administrator should either approve or reject the request 3. System generated email should be triggered to the submitter in case of approval or rejection

Title	Description	Fields to be included on page	Acceptance criteria
		his/her capability • Signed copy of this application form	

Title	Description	Fields to be included on page	Acceptance criteria
Third party Account Creation - TPAC_US17 - Edit Account details	Given, Third Party account exists and fund transaction processor wants to modify the details of the account When, System should provide an option to edit the following fields Then, the fund transaction processor should be able to edit the details and this should be routed to administrator for approval. Administrator should be able to review the request and either approve, reject or send back the request	Third Party details 1- Third Party Full Name *: Single line text 2- Short name*: Single line text 3- Web site: URL 4- Physical address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 5- Mailing Address: <provide a check box> Same as Physical Address Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 6. Upload feature Third Party TF number - User entered ID - TF + 6 digits	1- System generated email should be triggered to the administrator and task is listed in the queue of the approver 2. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back.

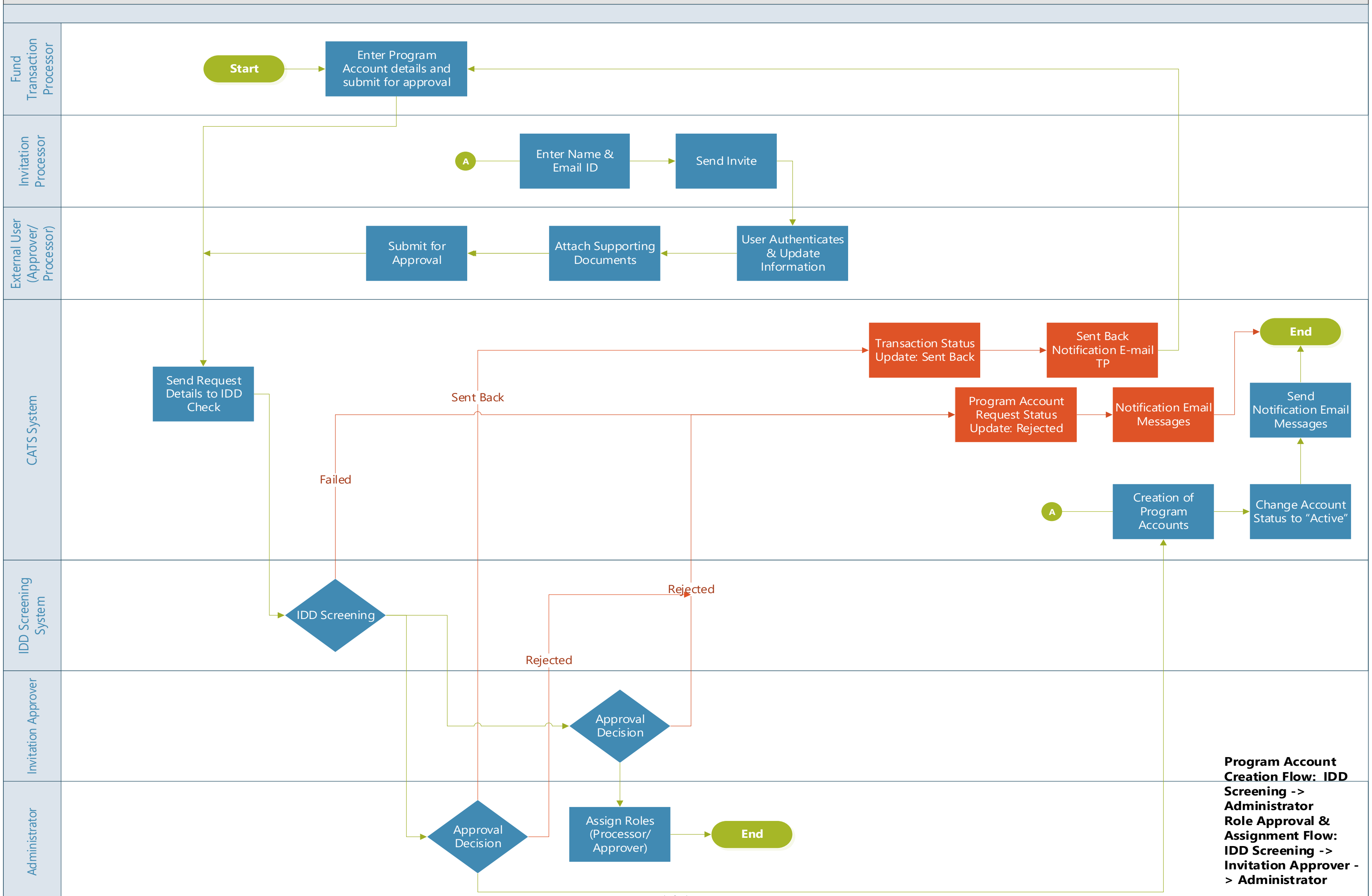
Title	Description	Fields to be included on page	Acceptance criteria
Third Party Account Creation -US18 - Delete a Third-Party Account	Given, Fund transaction processor has logged in and wants to delete a Third Party account When, System should display the list of third parties available in "My Portfolio" Then 1- User should be able to select a third party account that needs to be deleted. 2. System generated email will be triggered to administrator for approval (Approve, Reject) on any changes to the participant account. System generated email should be triggered to the submitter.	Delete' functionality at the third-party account level '	1. User should be able to delete existing participants account if no transactions have been executed under the fund yet 2. System generated email will be triggered to administrator for approval on any changes to the participant account. System generated email should be triggered to the submitter.

Title	Description	Fields to be included on page	Acceptance criteria
Third Party Account Creation - US 19 - External User_ Invitation Contributor form submission (Approver / Processor)	Given, User with the Group configured with the necessary role as 'Invitation Contributor' wants to record details on behalf of 'Approver' / 'Processor' When, User records the details in the form on behalf of the external user in the system and submits the form if all mandatory fields are filled Then Details are routed for IDD check and if IDD check is cleared, system generated email is sent to the User with the group with role as 'Invitation Approver' for approval. If IDD check is not cleared the status is updated as 'Pending WB Clearance'	1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State - Single line text, Country* - drop down list , Postal Code - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record • Appointment Letter confirming the person to handle the accounts in his/her capability • Signed copy of this application	1. System should run an automatic check on the external user's name to ensure that they are unique on the system and no existing account have the same information 2. 'External User' should be able to submit the request if all fields are completely filled. 3. A pop-up message should display saying "Request submitted successfully" 4. An Error message should display saying "Please fill all mandatory fields before submitting the request" 5. System should route the details for IDD check. On clearance of IDD check system generated email is triggered to the group with the role 'Invitation Approver' and email is triggered to the submitter on the approval status based on the approval by the 'Invitation Approver'

Title	Description	Fields to be included on page	Acceptance criteria
		form	

1.2.7. Program Account Creation

6.1.8 Program Account Creation Process Flow



Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation -US1	Given, 1 -User with the role Fund transaction processor should exist in the system 2 - The Tranche status of the Tranche that the program will be associated with should be 'Open' When, 1- Fund transaction processor should be able to record the Program account details for Program account creation 2-Fund Transaction Processor should also be able to upload the supporting documents Then, 1- Fund transaction processor should be able to submit the request if all fields are completely filled. 2- CATS System should trigger Integrity Due Diligence (IDD) Screening process.	Program Custom Id* - Single line text(user entered) Program Name* - Single line text (up to 300 characters allowed) Program Short Name* - Single line text (up to 150 characters allowed) Region*- Drop down Drop-down list with values: 1- AFR 2- EAP 3- ECA 4- LCR 5- MENA 6- SAR Sector*- Drop down Drop down list with values - 1. Energy 2.Industrial processes and Product Use 3. Agriculture, Forestry and Other Land Use 4.Waste 5. Other Category - Drop down values (Please refer to PDF in TFS for values) Sub Category - Drop down values (Please refer to PDF in TFS for values) LULUCF Activity - Drop down values Drop down list with values - 1. Afforestation and Reforestation 2. Deforestation 3. Forest management 4. Cropland Management 5. Grazing Land Management 6. Revegetation 7. Wetland Drainage and Rewetting 8. N/A	1- System should run an automatic check on both the Program name and and make sure that they are unique on the system and no existing account have the same information. 2- Fund transaction processor" should able to submit the request if all fields are completely filled. 3- A pop-up message should display saying "Request submitted successfully" 4. System should display a warning message if the user navigates from the page

Title	Description	Fields to be included on page	Acceptance Criteria
		Methodology* - Drop down values Drop down list with values - 1. FCPF Carbon Fund Methodological Framework 2. ISFL Emission Reductions (ER) Program Requirements 3. Other 4. N/A Standard* - Drop down values Drop down list with values - 1. WB FCPF CF 2. WB BIOCF ISFL 3. Other 4. N/A Crediting Period Start Date* - Date time Crediting Period End Date* - Date time Program Managing Institution Physical Address Program Managing Institution Name * - Single line text Address Line 1 * - Multiline of text Address Line 2 * - Multiline of text City *: Single line text Country * : Dropdown list Postal code : Single line text State : Single line text Program Managing Institution Mailing Address Address Line 1 * - Multiline of text Address Line 2 * - Multiline of text City *: Single line text	

Title	Description	Fields to be included on page	Acceptance Criteria
		Country * : Dropdown list Postal code : Single line text State : Single line text Comments*- Multiline of text Supporting Documents - Upload Feature	

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation -US2	Given, Fund transaction processor is trying to submit account creation request When, “Fund transaction processor" submit the request for approval without all mandatory fields completely filled. Then, Fund transaction processor" should not able to submit the request if all fields are completely filled.		1- An Error message should display saying "Please fill all mandatory fields before submitting the request"
Program Account Creation -US3	Given, “Fund transaction processor" have successfully submitted request for Account creation When, 1- CATS system automatically send details for IDD screening check 2- Request successfully passes through IDD screening system Then, 1- Program account creation request will be submitted to Administrator		1- System generated email should be triggered to the Administrator and task is listed in the queue of the approver

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation -US5	Given, Program account creation request successfully passes through IDD screening system When, Administrator able to review the information included in the program account creation request Then, 1- Administrator should be able to "Approve", "Reject" or "Sent Back" transactions	1.Program Recording Account 2.Program Issuance Account 3.Program Uncertainty Buffer Account 4.Program Reversal Buffer Account 5.Program Tradable Account 6.Program Non-Tradable Account 7.Program Cancellation Account 8.Program Retirement Account	1- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- Upon the approval of the fund manager system should create the following accounts: Program Recording Account Program Issuance Account Program Uncertainty Buffer Account Program Reversal Buffer Account Program Tradable Account Program Non-Tradable Account Program Cancellation Account Program Retirement Account 3- Upon "Rejection", Program account creation request status should be updated as "Rejected" 4- Upon "Sent Back", Program account creation request status should be updated as "Sent Back" along with e-mail notification to Fund transaction processor"

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation -US6 - (Approver / Processor)	Given, 1 -User with the Group as Fund transaction processor configured with the necessary role as 'Invitation Processor' and User with the Group as Fund Manager with the necessary role as 'Invitation Approver' should exist in the system 2 - The tranche status of the tranche that the participant will be associated with should be ‘Open’ When, 1- Fund transaction processor / User associated with the group with 'Invitation processor' role records the First name and email address of the user. 2- The system should send the email to the external user. 3. The external user authenticates successfully and logs in to the system and record the details (Title, First Name, Last Name, Middle Name, Phone Number, Mobile Phone, Fax Number, Job Title, Desired Role, Skype ID, Organization Address) 3-The external user should also be able to upload the supporting documents and Profile picture Then,	1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver / External Viewer) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record • Appointment Letter confirming the person to handle the accounts in his/her capability • Signed copy of this application form 14. Photo upload option - Upload Feature	1. System should run an automatic check on the external user's name to ensure that they are unique on the system and no existing account have the same information 2. 'External User' should be able to submit the request if all fields are completely filled. 3. A pop-up message should display saying "Request submitted successfully"

Title	Description	Fields to be included on page	Acceptance Criteria
	1- The User should be able to submit the request if all fields are completely filled. 2- CATS System should trigger Integrity Due Diligence (IDD) Screening process.		

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation -US7 - Form submission (error message - submission)	Given, External User is trying to submit the form When, 'External User' submit the request for approval without all mandatory fields completely filled. Then, External User should not able to submit the request if all fields are completely filled.		1- An Error message should display saying "Please fill all mandatory fields before submitting the request"
Program Account Creation -US10- Invitation Approver Approval scenario	Given, External User request successfully passes through IDD screening system When, 1. User tagged to a group with the role 'Invitation Approver' reviews the information and should either Approve/ Reject the request. Then, 1- If the request is approved the system should also notify Administrator that the profile has been created and role assignment should be completed. 2. If the request is rejected system generated email should be triggered to the external user with administrator and user with invitation approver role on copy stating the reason. The 'Reason for Rejection' should also be captured in the system.		1- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2- Upon the approval by the user with role as Invitation approver the Approval Status is 'Approved' 3- Upon "Rejection", Approval Status should be updated as "Rejected"

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation -US11- Role Assignment (Approver / Processor)	Given, User tagged to the Group with the role 'Invitation Approver' has approved the request and the administrator has been notified to complete role assignment 2 - The Tranche status of the Tranche that the participant will be associated with should be ‘Open’ When, 1- The Administrator reviews the form and assigns the role as 'Approver' or 'Processor' to the external user. Then, 1- System generated email should be sent to the external user notifying of the role assignment same. 2- The role assignment done should be recorded and saved in the system	<to be filled>	1. External User should be tagged to a role 'Approver' or 'Processor' 2. System generated email should be triggered to external user with administrator and user tagged to the group with the role Invitation approver on copy.

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation -US16 - Approver / Processor - Profile edit / delete	Given, External User (Processor / Approver) wants to edit their profile When, External user navigates to the 'Edit' functionality to make the changes and submits the details Then 1- System generated email is triggered to the Administrator 2- Administrator should either approve or reject the request	All fields are editable 1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record • Appointment Letter confirming the person to handle the accounts in his/her capability • Signed copy of this application form	1- System generated email is triggered to the Administrator 2- Administrator should either approve or reject the request 3. System generated email should be triggered to the submitter in case of approval or rejection

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation - US17	Given, Program account exists and fund transaction processor wants to modify the details of the account When, System should provide an option to edit the following fields (Program Custom ID Program Name, Program Short Name, Country, Region, Sector, Category, Sub Category LULUCF Activity, ,Crediting Period Start Date, Crediting Period End Date, Program Managing Institution Physical Address City *: Single line text, Country * : Dropdown list, Postal code *: Single line text , State*, Methodology, Standard, Comments*, Upload feature) Then, the fund transaction processor should be able to edit the details and this should be routed to administrator for approval. Administrator should be able to review the request and either approve, reject or send back the request	Program Custom Id* - Single line text Program Name* - Single line text Program Short Name* - Single line text Region*- Drop down Drop-down list with values: 1- AFR 2- EAP 3- ECA 4- LCR 5- MENA 6- SAR Sector*- Drop down Drop down list with values - 1. Energy 2.Industrial processes and Product Use 3. Agriculture, Forestry and Other Land Use 4.Waste 5. Other Category - Drop down values (Please refer to PDF in TFS for values) Sub Category - Drop down values (Please refer to PDF in TFS for values) LULUCF Activity - Drop down values Drop down list with values - 1. Afforestation and Reforestation 2. Deforestation 3. Forest management 4. Cropland Management 5. Grazing Land Management 6. Revegetation 7. Wetland Drainage and Rewetting 8. N/A Methodology* - Drop down values Drop down list with values - 1. FCPF	1- System generated email should be triggered to the administrator and task is listed in the queue of the approver 2. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back.

Title	Description	Fields to be included on page	Acceptance Criteria
		Carbon Fund Methodological Framework 2. ISFL Emission Reductions (ER) Program Requirements 3. Other 4. N/A Standard* - Drop down values Drop down list with values - 1. WB FCPF CF 2. WB BIOCF ISFL 3. Other 4. N/A Crediting Period Start Date* - Date time Crediting Period End Date* - Date time Program Managing Institution Physical Address Program Managing Institution Name * - Single line text Address Line 1 * - Multiline of text Address Line 2 * - Multiline of text City *: Single line text Country * : Dropdown list Postal code : Single line text State : Single line text Program Managing Institution Mailing Address Address Line 1 * - Multiline of text Address Line 2 * - Multiline of text City *: Single line text Country * : Dropdown list Postal code : Single line text	

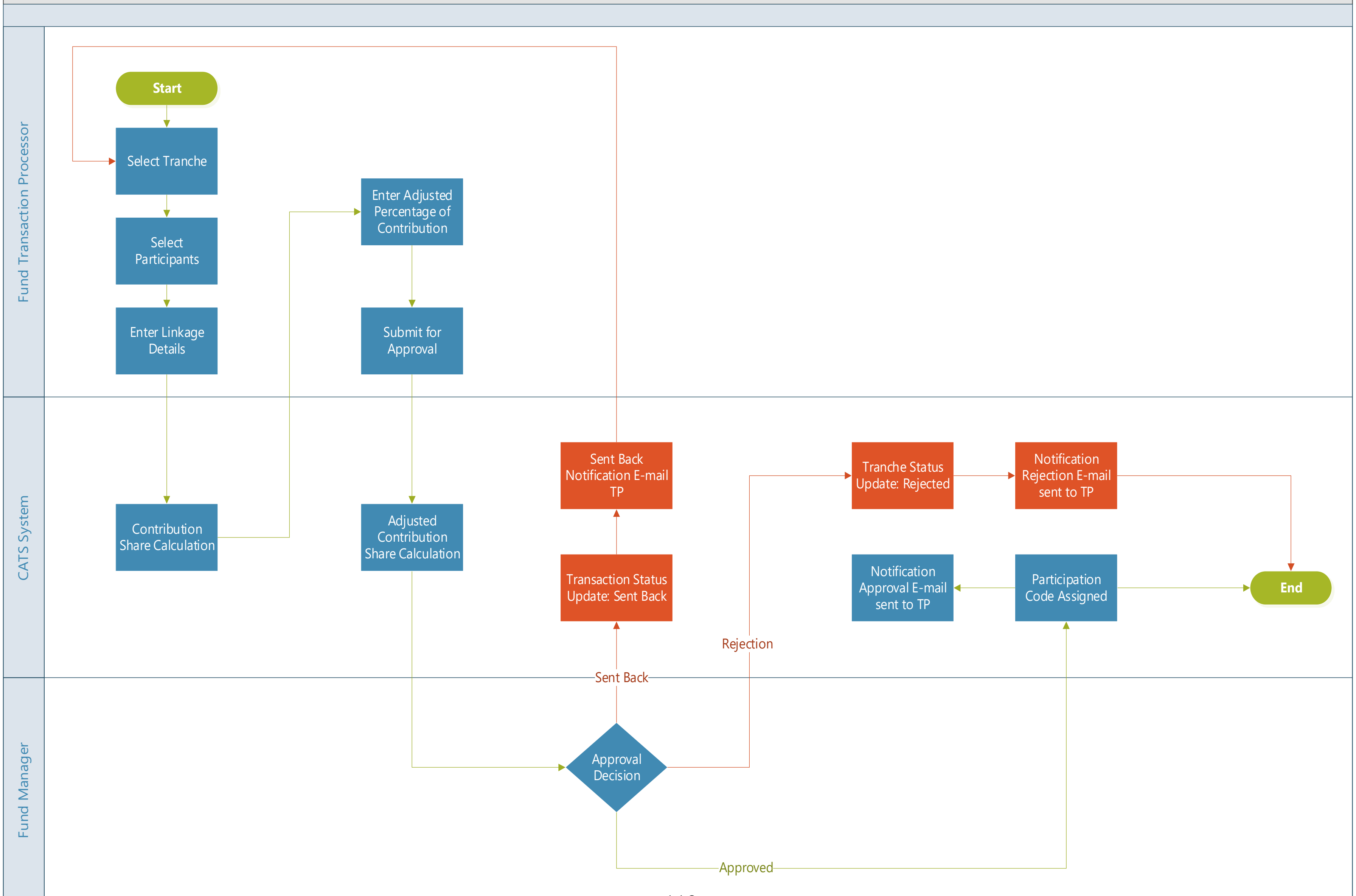
Title	Description	Fields to be included on page	Acceptance Criteria
		State : Single line text Comments*- Multiline of text Supporting Documents - Upload Feature	

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation -US18	Given, Fund transaction processor has logged in and wants to delete a program account When, System should display the list of programs available in "My Portfolio" Then 1- User should be able to select a program account that needs to be deleted. User should be able to delete existing program account if the program account is not linked to any funds yet and if no transactions have been executed under the fund yet 2. System generated email will be triggered to administrator for approval (Approve, Reject) System generated email should be triggered to the submitter.	Delete' functionality at the program account level '	1. User should be able to delete existing program account if the program account is not linked to any funds yet and if no transactions have been executed under the fund yet 2. System generated email will be triggerd to administrator for approval System generated email should be triggered to the submitter.

Title	Description	Fields to be included on page	Acceptance Criteria
Program Account Creation - US 19 - External User_ Invitation Contributor form submission (Approver / Processor)	Given, User with the Group configured with the necessary role as 'Invitation Contributor' wants to record details on behalf of 'Approver' / 'Processor' When, User records the details in the form on behalf of the external user in the system and submits the form if all mandatory fields are filled Then Details are routed for IDD check and if IDD check is cleared, system generated email is sent to the User with the group with role as 'Invitation Approver' for approval. If IDD check is not cleared the status is updated as 'Pending WB Clearance'	1- Title: Drop-down list with values: (Mr., Mrs., Miss, Dr.) 2- First Name*: Single line text 3- Last Name*: Single line text 4- Middle Name: Single line text 5- E-mail Address*: Single line text 6- Phone Number: Numbers 7- Mobile Phone: Numbers 8- Fax Number: Numbers 9- Job Title Single line text 10. Desired Role - Drop down value (Processor / Approver / External Viewer) 11- Skype ID: Text 12. Organization address: Address line 1*- Single line text; Address Line 2 - Single line text ; City* - Single line text, State* - Single line text, Country* - drop down list , Postal Code* - single line text 13. Upload Feature - List of Supporting Documents • Government Issued Photo ID or Passport with signature. If the document is in a different language, a translated version in English with the attestation from appropriate government authorities is required • Criminal History Record • Appointment Letter confirming the person to handle the accounts in his/her capability • Signed copy of this application form	1. System should run an automatic check on the external user's name to ensure that they are unique on the system and no existing account have the same information 2. 'External User' should be able to submit the request if all fields are completely filled. 3. A pop-up message should display saying "Request submitted successfully" 4. An Error message should display saying "Please fill all mandatory fields before submitting the request" 5. System should route the details for IDD check. On clearance of IDD check system generated email is triggered to the group with the role 'Invitation Approver' and email is triggered to the submitter on the approval status based on the approval by the 'Invitation Approver'

1.2.8. Tranche /Participant Link

6.1.9 Tranche/Participant Link



Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Participant Link - TPL_ US 1	Given, 1. Tranche status is “Open” 2. Participant account status is “Active” 3. Fund transaction processor has logged into CATS system When, Fund Transaction processor tries to create a link between Participant and Tranche Then, 1- "Fund Transaction Processor " should select a fund and the list of Tranche should be displayed. 2- "Fund Transaction Processor " should be able to select one Tranche from a system generated list of the available “Open” Tranches . 3- "Fund Transaction Processor " should be able to select one of the options - either 'Participant' or 'Third party' after navigating to 'Linked Participants' and navigating to 'Link a Participant' .	1- List of active participants / Third Parties, Country, Type, Associated Tranches, Participant Transaction Approver 2- Link a Participant button	1. "Fund Transaction Processor " should be able to select one Participant from a system generated list of available “Active” participants after navigating to 'Linked Participants' tab and click on 'Link a participant' button to link a tranche to participant 2. Third parties cannot be linked to tranches.

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Participant Link - TPL_US 2	Given, "Fund Transaction Processor " enters all mandatory fields in the donor agreement When, "Fund Transaction Processor " tries to submit the request after entering the data (Donor agreement Signature Date, Contribution Amount and Comments) Then, User should be able to submit Tranche/participant link request successfully which should be routed for approval to Fund Manager System generated email should be triggered to approver and task is listed in the queue of approver	1- Donor agreement signature date- Date 2- Contribution Amount - Number 3. Upload feature	1. User Should be able to submit Tranche /participant / Third Party link request successfully and should be routed for approval to Fund Manager 2. System generated email should be triggered to the Fund Manager and task is listed in the queue of the Fund Manager for the fund manager to perform one of the actions (Approval, Rejection, Send back)3.System should not allow duplicate link between a participant and a Tranche. 4. The donor agreement signature date should not be allowed to be a future date
Tranche Participant Link - TPL_US 3	Given, "Fund Transaction Processor " does not enters all mandatory fields When, "Fund Transaction Processor " tries to submit the request Then, Fund Transaction Processor should not be able to submit Tranche/participant link request		1- System generated error message should be triggered if all the required fields are not complete.

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Participant Link - TPL_ US 4	Given, "Fund Transaction Processor 1" submits tranche/participant / third party link request When, System generated email gets triggered to the approver and task is listed in the queue of the approver Then, 1 -Fund Manager should be able to review the information included in the Tranche - Participant linkage creation request and perform one of the actions a. Approve the link request b. Reject the link request c. Send the link request back 2. System generated email should be triggered to the submitter on the approval status		1. When a user links a participant to a tranche, the system should generate a code called "Participation Code" consists of letters PA and the sequence of participation in the tranche. 2. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 3- All actions performed on the Tranche/Participant link creation and all the updates on the linkage status will captured in version control and audit history.

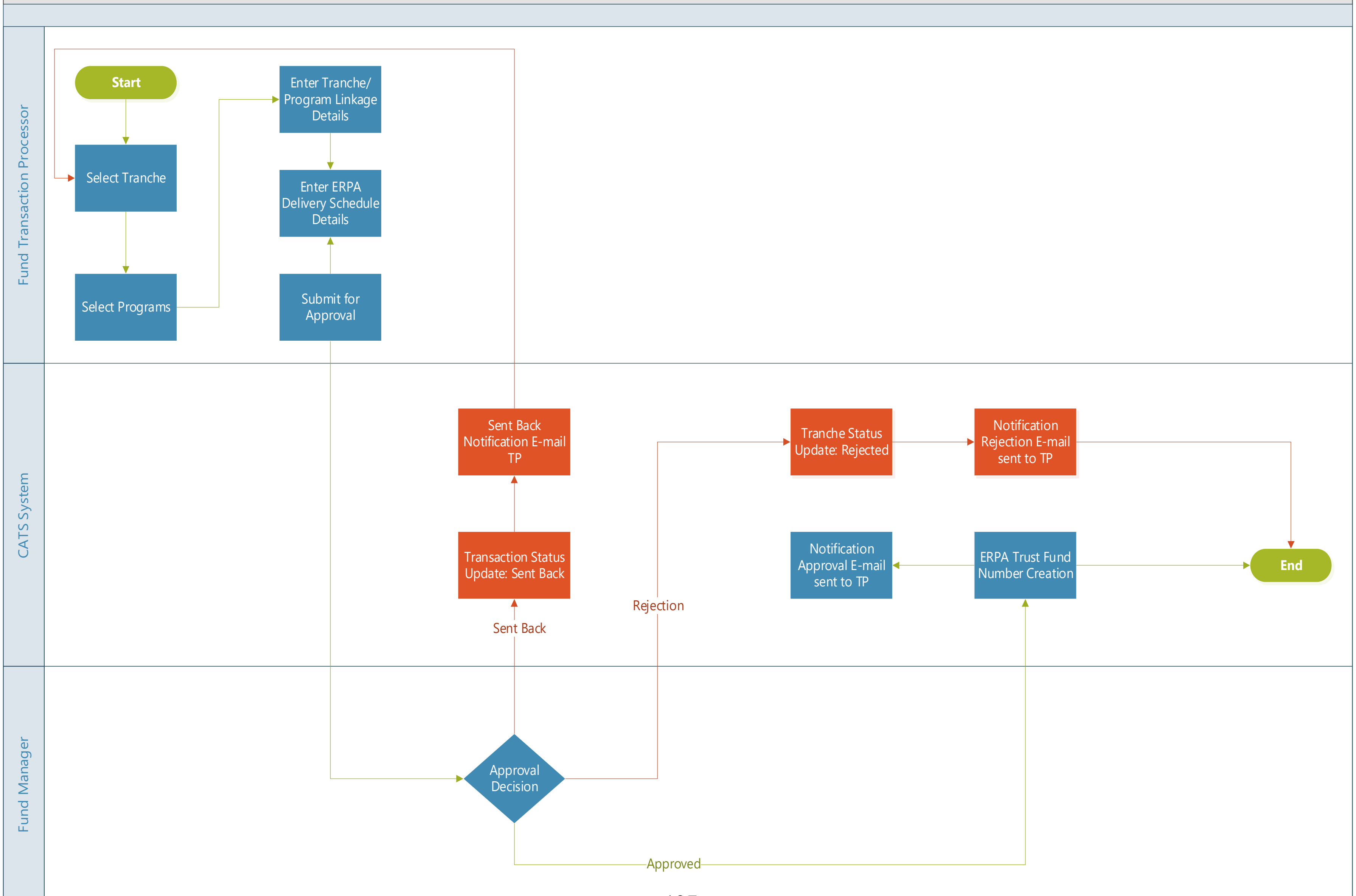
Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Participant Link - TPL_ US 5	Given, 1. Tranche status is “Closed” 2. There are more than one participant linked to the tranche and contribution share needs to be calculated When, System should calculate the Contribution share based on the following formula Contribution Share = participant (P1) contribution share = (1 / participants’ (p1, p2, p3 etc.) contribution amount) × participant (p1) share ×100. Then 1- Transaction processor shall have the ability to enter adjusted % of contribution share to ensure all share added up to exact 100.000% . The contribution shall have 3 decimal points accuracy (xx.xxxx).		1- The system shall calculate the contribution share of all participants based on their contribution keeping 100.000% base (with maximum of 3 decimal digits) only after the tranche is closed for participation 2- Transaction processor shall have the ability to enter adjusted % of contribution share to ensure all share added up to exact 100.000%. The contribution shall have 3 decimal points accuracy (xx. xxxx).

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Participant Link - TPL_ US 6	Given, Tranche - Participant link has been created, associated Fund is in "Open" Status and there is no transactions executed When, 1-Fund Transaction Processor deletes the participant linkage only if there are no transaction associated with tranche and the status of the fund is open for participants. 2. The request for deleting the linkage should be sent to Fund Manager for approval Then, 1- Fund Manager should be able to review the information and take an action a. Approve the transaction b. Reject the transaction	Delete' functionality - User should click on 'Participation Code' of the linked participant that is available in the grid that displays the list of linked participants to be navigated to 'Delete' functionality	1. System generated email should be sent to the administrator for approval 2. System generated email should be triggered to the fund transaction processor in case of approval and rejection.
Tranche Participant Link - TPL_ US 7	Given: Tranche status is Open and Tranche-Participant link exists. User wants to modify the donor agreement details When: System should display the edit functionality for the user to make modifications to the agreement (Donor agreement signature date and Contribution Amount) Then: User should be able to submit the form and this should be routed to Fund manager for approval. System generated email should be triggered Fund Manager should be able to review the request and perform the following action (Approve, Reject or Send back). Email should be triggered to submitter of the approval status	Editable fields - Donor Agreement Signature Date; Contribution Amount 'Edit Agreement' Functionality. User should click on the 'Participation Code' to navigate to the 'edit agreement' functionality	1. System generated email should be sent to the administrator for approval 2. System generated email should be triggered to the fund transaction processor in case of approval, send back and rejection with the reason of send back. There should be a comment box to record the reason for rejection, approval or send back for revision. 3. The donor agreement signature date should not be allowed to be a future date 4. 2. Third parties cannot be linked to tranches.

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Participant Link - TPL_US 8	Given: Tranche-Participant link is Approved When: Fund transaction Processor navigates to the Linked Participant tab and clicks on the participation code of the participant. Fund transaction processor clicks on the 'Interim' Tab and should be able to see the Interim Tradable Account and Interim Non-Tradable Account created after the Tranche-Participant linkage is approved based on the Tranche Type (Tradable, Non-Tradable, Both). Fund transaction processor should be able to initiate the transfer of units from Interim Tradable Account to the corresponding Participant's Tradable Account only if the Participant has 2 users (Transaction Processor and Approver) onboarded. If the Processor and approver is available, the fund transaction processor submits the transaction for transfer of units to Participant Tradable account This will be routed to Fund Manager for Approval. Then: System generated email is triggered to Fund Manager. Fund Manager will Approve, Reject / Send back the request. System generated email is triggered to the submitter on the approval status. On approval of the request by the Fund Manager the certified units will get debited from the Interim Tradable Account and will get credited in Tradable Account of Participant		1. The Interim tradable account / Interim non-tradable account is created based on the Tranche Type after the approval of the Tranche - Participant linkage. If Tranche type is selected as 'Both', Interim Tradable and Interim Non-Tradable account should be created. If Tranche Type is selected as Tradable, then Interim Tradable account alone is created. if Tranche Type is selected as Non-Tradable then Interim Non-Tradable account alone is created 2. The Fund transaction processor should be able to transfer units from Interim tradable account to Participant Tradable Account only if the Participant account has 2 users already onboarded (Transaction Processor and Transaction Approver) and if the Fund Manager has approved

1.2.9. Tranche/Program Link

6.1.10 Tranche/Program Link



Title	Description	Fields to be included on page	Acceptance Criteria
Tranche-Program Link - TPG_US 1	Given: Program is available in the system and the user wants to link a program to a tranche When, 1- System should display the funds and tranche available in the corresponding user's portfolio for the user to link Then, 1- "Fund Transaction Processor" should be able to select a fund. The list of Tranches available should be displayed. 2- "Fund Transaction Processor" should be able to select one Tranche and navigate to 'Linked Programs' 3- System should list all the available programs available to be linked with the Tranche 4- User should be able to select one program.	List of available programs and associated details 1.Program Name 2.Region 3.Country 4.Institution 5.Sector 6.Crediting Period End Date 7.ERPAs 8.Associated Tranches 9. Program transaction approver Link a Program	1-System should list all the available programs available to be linked with the Tranche 2- User should be able to select one program for completing the linkage

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche - Program Link - TPG_US 2	Given: User selects one program. When: "Fund Transaction Processor" wants to submit the request for linking Program to Tranche Then, 1- System should allow the user to enter all the required information fields to link the Tranche to the program (ERPA Details - ERPA Trust Fund Number *, Contracted Units' Class *, ERPA Signature Date, ERPA End Date; ERPA Contract - Total Volume of Contracted Units *, Additional units call option (Yes/ No), Maximum Options Volume, Cure Period, Option Exercise Completion Grace Period, Country Split details - Country Split Percentage Split *, Percentage Split Seniority; Reporting Period - Reporting Period Start Date, Reporting Period End Date, Minimum Contracted ER, Comments*) 2. System should provide a feature to add reporting periods	ERPA Details 1- ERPA Trust Fund Number * : User entered Single line text 2- Contracted Units' Class *: Dropdown List: a- Reported b- Verified c- Other Specify (text box to be provided) 3- ERPA Signature Date *: Date 4-ERPA End Date* 5- ERPA Total Volume of Contracted Units *: Number 6- Additional Units Call Option* (Yes / No) 7- Maximum Option Volume 8. Cure Period - number of days 9. Option Exercise Completion Grace Period - number of days 10. Country Split Percentage : Percentage 11. Percentage Split Seniority: Drop-down list: a- Fund b- Country c- None 12. Add functionality to add Reporting Period a. Reporting Period Start Date	1. User should be able to fill the details and should be able to submit the form if all the mandatory fields have been filled. 2. System should display the fields 'Maximum option volume' and 'Option Exercise Completion Grace Period' only if the value of the field 'Additional Units Call Option' is marked as 'Yes' 3- Once the link is approved system should consider the provided ERPA trust fund number as the unique identifier of the linkage between Tranche and project. 4- All actions performed on the Tranche/Program link creation and all the updates on the linkage status will captured in version control and audit history 5. The reporting period should not overlap 6. Reporting periods end date should not be allowed to be beyond the ERPA end date or the fund end date 7. ERPA end date should not exceed the fund closing date. 8. End date should be greater than signature date

Title	Description	Fields to be included on page	Acceptance Criteria
		b. Reporting period End Date 13 Minimum contracted ER (for each reporting period) 14. Comments* (Multi-line text) 15. Upload Feature	

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche - Program Link - TPG_US 3	Given: Linkage of Tranche to the program is completed by entering all mandatory details When: User should be able to submit Tranche/Program link request if all required fields are completed. Then: Email should be triggered to Fund Manager and Fund Manager should be able to review the information included in the Tranche- Program linkage request and process the request a. Approve the link request b. Reject the link request c. Send the link request back Email should be triggered to Submitter on the approval status		1- System generated error message should be triggered if all the required fields are not complete. 2- System generated email should be triggered to the approver and task is listed in the queue of the approver 3- System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back
Tranche - Program Link - TPG_US 4	Given, "Fund Transaction Processor " does not enter all mandatory fields When, "Fund Transaction Processor " tries to submit the request Then, Fund Transaction Processor should not be able to submit Tranche/program link request		1- System generated error message should be triggered if all the required fields are not complete.

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche - Program Link - TPG_US 5	Given: User wants to modify the ERPA details When: System should provide a edit functionality to update the ERPA details (ERPA Trust Fund Number *, Contracted Units' Class *, ERPA Signature Date, ERPA End Date; ERPA Contract - Total Volume of Contracted Units *, Additional units call option (Yes/ No), Maximum Options Volume, Cure Period, Option Exercise Completion Grace Period, Country Split details - Country Split Percentage Split *, Percentage Split Seniority; Reporting Period - Reporting Period Start Date, Reporting Period End Date, Minimum Contracted ER, Comments* Then: The user should modify the details and this should be routed to Fund Manager for approval. Email should be sent to the Fund Manager. Fund Manager should be able to review the information included in the ERPA details Edit request and process the request a. Approve the request b. Reject the request c. Send the request back	ERPA Details 1- ERPA Trust Fund Number * : User entered Single line text 2- Contracted Units' Class *: Dropdown List: a- Reported b- Verified c- Other Specify (text box to be provided) 3- ERPA Signature Date *: Date 4-ERPA End Date* 5- ERPA Total Volume of Contracted Units *: Number 6- Additional Units Call Option (Yes / No) 7- Maximum Option Volume 8. Cure Period - number of days 9. Option Exercise Completion Grace Period - number of days 10. Country Split Percentage *: Percentage 11. Percentage Split Seniority: Drop-down list: a- Fund b- Country c- None 12. Add functionality to add Reporting Period a. Reporting Period Start Date* b. Reporting period End Date *	1.System generated email should be triggered to the approver and task is listed in the queue of the approver 2. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back 3. ERPA details that was updated should reflect in the system only after the request was approved by the approver 4. Reporting periods end date should not be allowed to be beyond the ERPA end date or the fund end date 5. ERPA end date should not exceed the fund closing date. 6. End date should be greater than signature date

Title	Description	Fields to be included on page	Acceptance Criteria
		13 Minimum contracted ER (for each reporting period) 14. Cumulative Contracted ER (for each reporting period) 15. Comments* (Multi-line text) 16. Upload Feature	

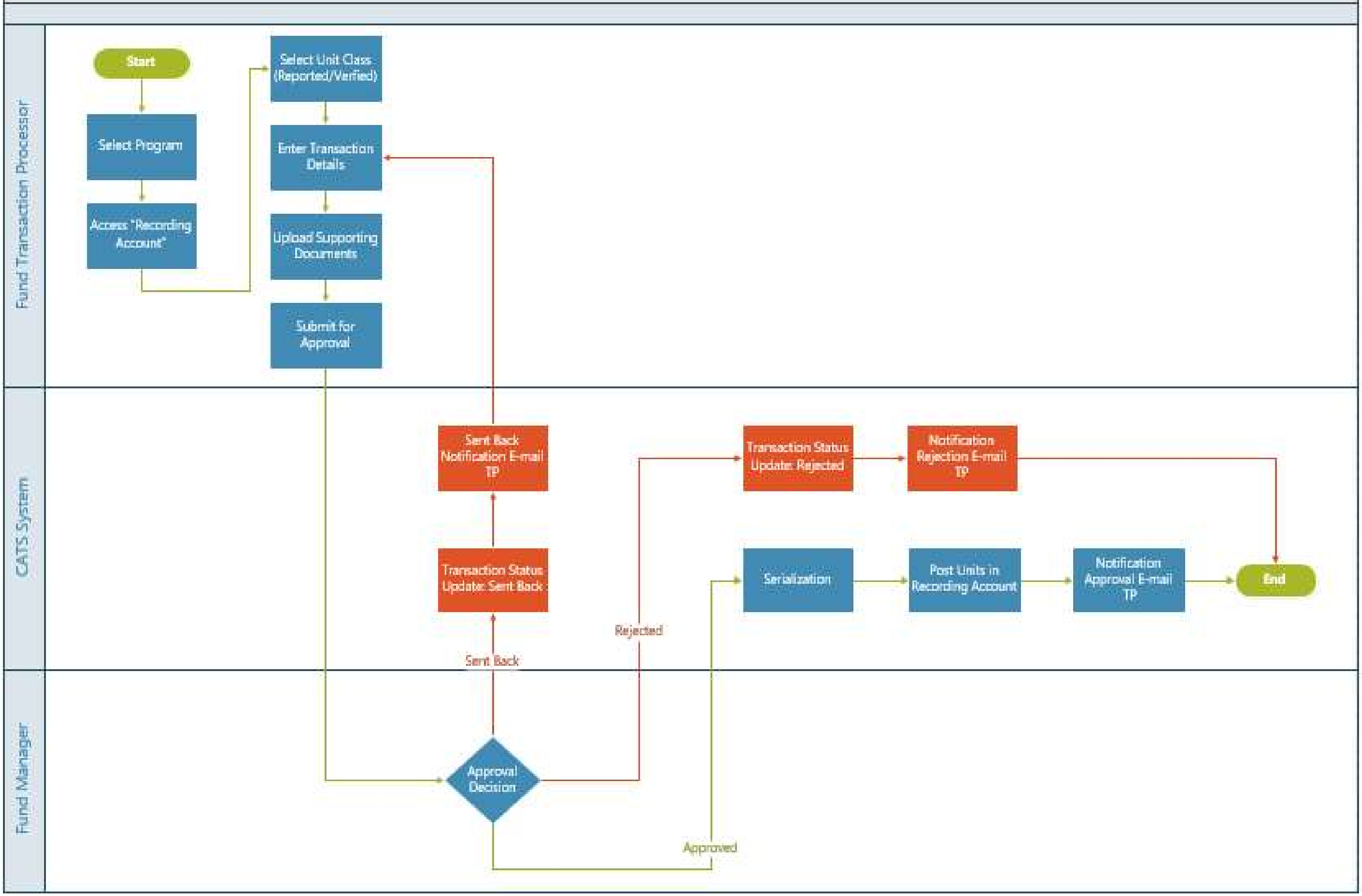
Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Program Link - TPL_ US 6	Given, Tranche - Program link has been created, associated Fund is in "Open" Status and there is no transactions executed When, 1-Fund Transaction Processor deletes the program linkage only if there are no transaction associated with tranche. The request for deleting the linkage should be sent to Fund Manager for approval Then, 2- Fund Manager should be able to review the information and take an action a. Approve the transaction b. Reject the transaction 3.System generated email should be sent to submitted on approval status	Delete linkage' button	1. User should be able to delete the linkage between Tranche and program only if: a. There’re no transactions executed under the Tranche. b. The ERPA is not associated with any transactions 2. System generated email should be sent to the administrator for approval 3. System generated email should be triggered to the fund transaction processor in case of approval and rejection.

1.3. Transactions

1.3.1. Recording Account

1.3.1.1. Record Units (Recording Account)

6.2.3.1 Record Units

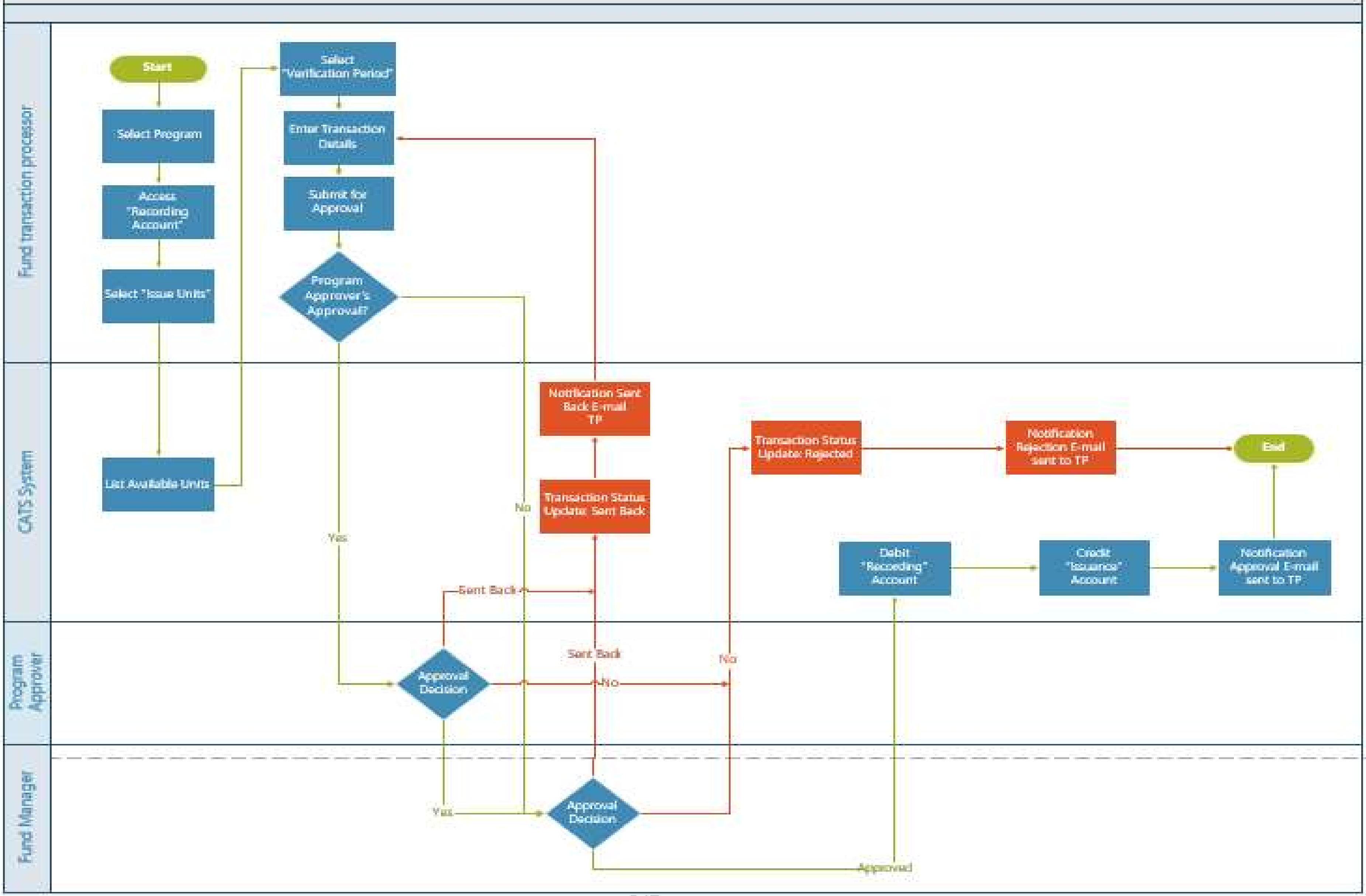


Title	Description	Fields to be included on page	Acceptance Criteria
Recording Account - Record Units - US 1 (Scenario: Fund Transaction Processor is recording the units in the Recording Account)	Given, Program account is available in the system and with a linkage to at least one Tranche. When, 1- Fund transaction processor should select a program from the list of programs available to record the units and the Fund transaction processor should by default be directed to program level "Issuance Accounts" page that displays the Recording Account, Issuance Account, Uncertainty Buffer Account, Reversal Buffer Account, Cancellation Account 2. Fund Transaction Processor should record the units either as Reported or Verified and will provide the details. On completing the details, the transaction will be submitted Then, 1. On submission of the transaction email is triggered to the approver for approval.	Issuance Accounts Tab - Recording Account, Issuance Account, Uncertainty Buffer Account, Reversal Buffer Account and Cancellation Account Recording Account -> Record Units 1- Class of units* - Reported Units or Verified Units: Radio Button 2.Number of Units *: Number 3- Reporting Period Start date *: Date (if class of units chosen as 'Reported') 4- Reporting Period End date *: Date (if class of units is chosen as ' Reported') 5. Verification Period Start Date*: Date (If verified units is chosen as class of units 6. Verification Period End Date*: Date (If verified units is chosen as class of units) 7. Verification body 5- Waiver: Radio button - Yes / No 6- Waiver Date *: Date (mandatory if waiver is selected as 'Yes' 7- Comments: Text 8. Upload Feature *: Document Type - Monitoring Report / Verification Report	1. No recording transaction is allowed, if there's no ERPA linked to the program yet 2. If the Waiver has been indicated as 'Yes' then the 'waiver date' is mandatory for the user to record and user should not be permitted to submit the recording of the units without this information 3. The user should be allowed to record the reported units any number of times and system should allow the user to record the units with overlapping reporting period 4. The user should be allowed to record the verified units any number of times 5. The period of recording the units should not be for future dates 6. System should generate an error message in case any mandatory field is missing or not valid. 7. Email should be triggered to approver if all required fields are filled and transaction is submitted 8. Verification Period start date and Verification Period end date should not overlap

Recording Account - Record Units - US 2 (Scenario: Fund manager either approves / rejects/ sends back the transaction)	Given, Fund transaction processor has completed submitting the details When, System generated email gets triggered to the approver for transaction approval Then, Fund Manager should be able to take one of the following actions: a. Approve the transaction b. Reject the transaction c. Send the transaction back System generated email is sent to the submitter on the approval status		1. On Approval of the transaction by Fund Manager, System should credit the 'Recording Account' with the number of reported / verified units. ERUs Class should be updated as 'Reported / Verified' accordingly; Status should be recorded as Active 2. System should send an email to submitter on the approval status

1.3.1.2. Issue Units (Recording Account)

6.2.3.2 Issue Units



Title	Description	Fields to be included on page	Acceptance Criteria
Recording Account - Issue Units - US 3	Given: Fund transaction processor wants to issue units When: 1. User should select one of the verification periods listed along with verification units in the system and selected period should be displayed by the system 2.User should be able to view the Original Verified Units, Available Verified Units and Balance units that is present in the system along with the corresponding icons for each of the status (Sent back for Revision, Pending for Approval, Issued, Cancelled) to indicate that one of the transactions have taken place 3. User should enter the details and submit the transaction Then: 1. User submits the transaction and this is routed for approval to the Program approver of the program first and if approved by it then routed to the Fund manager for 2nd approval.	Certification Period Start Date* - Date Certification Period End Date* - Date Number of Units* - User entered (number in units) Certification Body* - Drop down value Available verified units - <System should display the value> Comments * - Multiline text Upload Feature: Document Type - Drop down values Number of units to be issued - Partial issuance of units should be permitted Grid that displays the list of verification period and the corresponding units for selection - Column labels a. Verification ID b. Verification Period Range c. Original Verified Units d. Balance Units	1. System should display the 'Available Verified Units' of the selected certifying period by deducting the units that were issued / cancelled / pending approval for this certifying period from the 'Original Verified units' 2.System should display the balance units by deducting the units that was already issued / cancelled from Original verified units. The units from a transaction that is in pending approval status should be included in the count. The icon should be displayed alongside the original verified units if there was any transaction 3. System should ensure that the certification period recorded by the user is within the verification period that has been selected 4. System should display the verification period that was selected on the page while the fund transaction processor tries to record the details 5. System generated email is triggered to approver task is listed in the queue of the approver 6. System generated error message should be triggered if all the required fields are not complete. 7. Certification Period start date and Certification Period end date – no overlapping dates and should be within the Verification Period. 8. Number of units to be issued - Partial issuance of units should be permitted 9. Prepopulate certificate date during

Title	Description	Fields to be included on page	Acceptance Criteria
			issuance

Title	Description	Fields to be included on page	Acceptance Criteria
Recording Account - Issue Units - US 4	Given: Fund transaction processor has submitted the transaction When: System generated email is triggered to Program approver of the program first and if approved by it then routed to the Fund manager for 2nd approval. Then: Program Approver and Fund Manager reviews the request and performs one of the actions and email is triggered to submitter on the approval status a. Approve the transaction b. Reject the transaction c. Send back the transaction		1. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2. On approval the fixed number of issued units get credited in the Issuance Account and the fixed number of issued units get debited from Recording account 3. ERUs Class should be updated as "Certified" 4. On clicking the certified unit the block header should be visible (please refer to the wireframes)

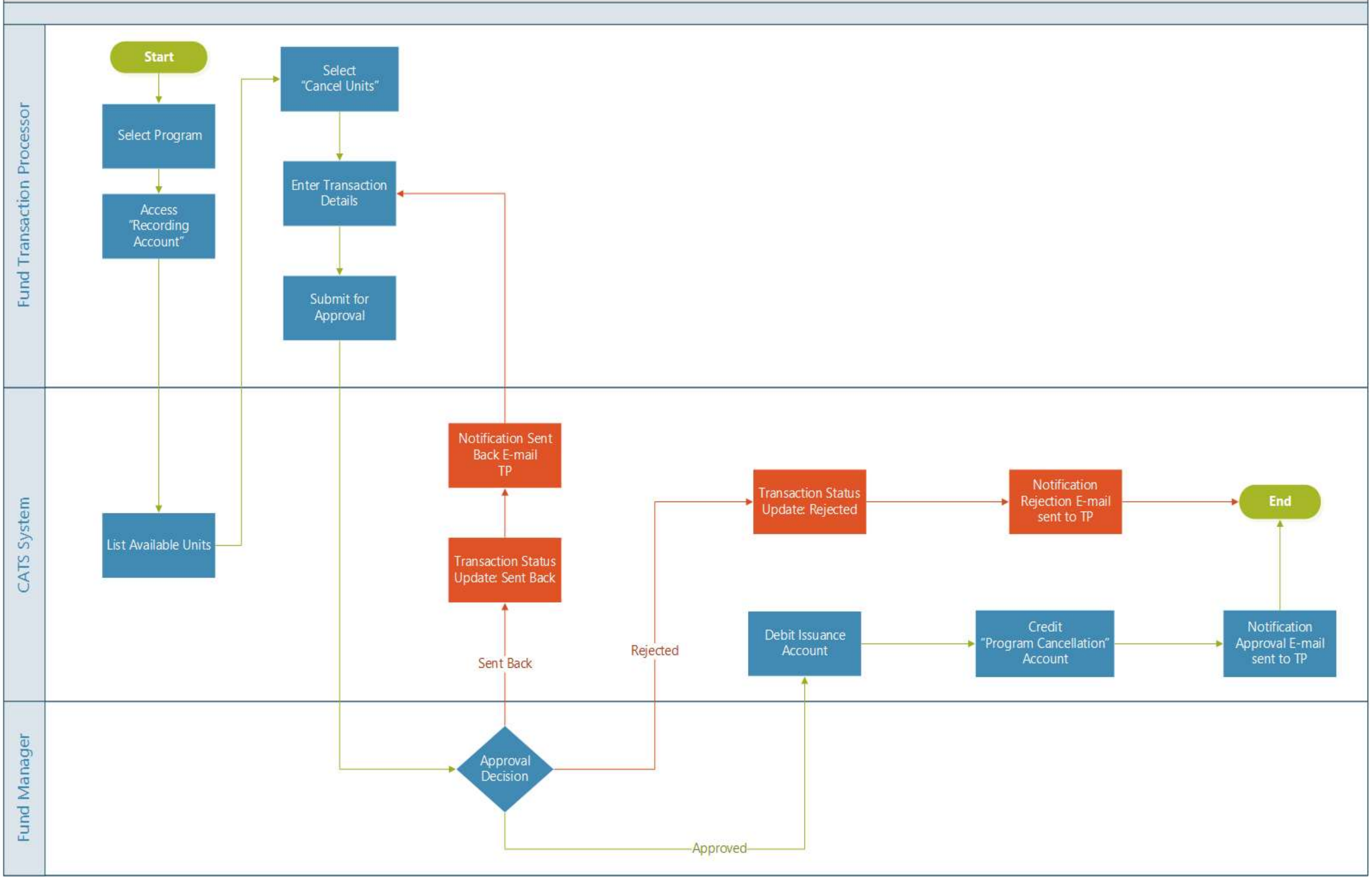
1.3.1.3. View Units (Recording Account)

Title	Description	Fields to be included on page	Acceptance Criteria
Recording Account - View Activity - US 5	**Given**: User has recorded units (reported / verified) in the Recording Account and performed certain transactions and wants to view the details on the transactions that has taken place **When**: 1. System should display the list of reporting periods along with the reported units and verified units at the Recording account level, activity details at each reporting period level and historical units recorded listed by reporting periods for both Reported and Verified units 2. System should also display the transaction details about the 'Reported Units' and 'Verified Units' along with the transaction status (Pending for approval, Approved) Then: 1. User views the details of the reported units and verified units from the most recent activity that spans across 3 reporting periods. The User is able to view activity in detail for each reporting period 2. User is also able to view the historical units recorded and the transaction details about the 'Reported Units' and 'Verified Units' along with the transaction status (Pending for approval, Approved)	**Recording Account Level - List** 1.Reporting/ ID - System generated 2.Reporting Period Range - System display of the recorded reporting period 3.Original Reported Volume - System display of the recorded volume of units 4.Balance units - System calculated units by deducting the original volume of units from the transactions The system should display the corresponding icons for each of the status (Sent back for Revision, Pending for Approval, Issued, Cancelled) to indicate that one of the transactions have taken place Recording Account Level - "View Activity" Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Recording, Verification 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Recording, Verification 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units	1. View History - System should display all reporting periods that were recorded in the system and should reflect the Original Volume of Reported and Verified Units and the Balance of Units that is available in the Recording Account. 2. System should display the units that has been deducted from the account with prefix (-) and the units that has been credited to the Recording Account with prefix (+). 3. View Activity (at Recording account level and at each reporting period level) - System should list all activities at the account level along with the listing of all activites at each reporting period level System should display the units that has been allocated for credit / debit and which is pending for approval under Pending Transactions 4. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Recording Account or debit from the Recording Account 5. If it's a debit transaction: the column should show the account where the units are credited (Target Account).If it's a credit transaction: the column should show the account where the units were debited (Source Account)

Title	Description	Fields to be included on page	Acceptance Criteria
		Reported Units - View History - displays list of reporting periods, Original Volume of Reported Units and Current balance of units in the Recording Account Verified Units - View History displays list of reporting periods, Original Volume of Verified Units and Current balance of units in the Recording Account	

1.3.1.4. Cancel Units (Recording Account)

6.2.3.4 – Cancel Units (Recording Account)

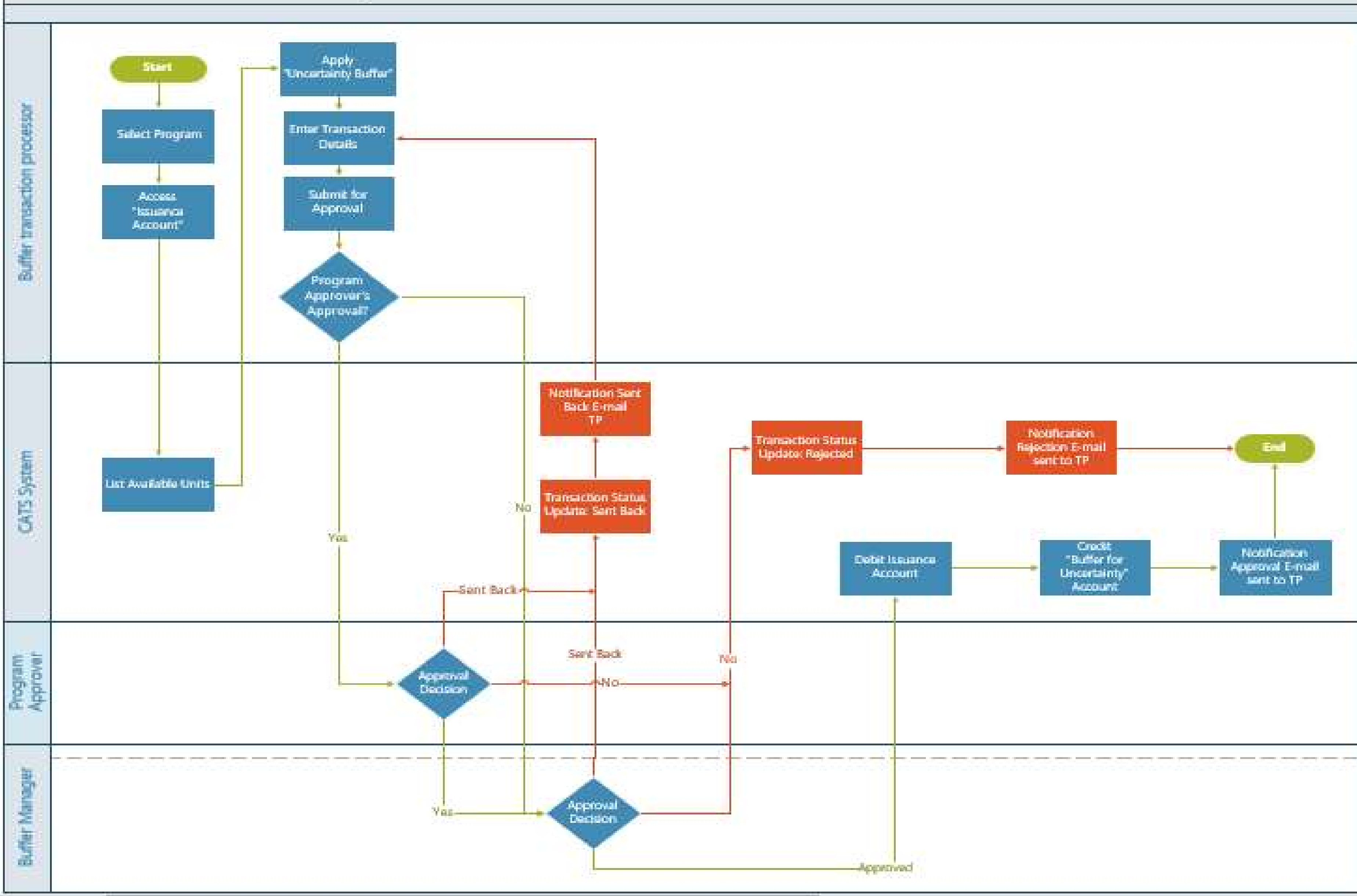


Title	Description	Fields to be included on page	Acceptance Criteria
Recording Account - Cancel Units - US 6	**Given:** There are Reported Units or Verified units in the Recording Account and the User wants to cancel the 'Reported Units' or 'Verified Units' across one or more reporting periods from the Recording Account **When:** 1. System should provide an option for user to select 'Reported Unit' or 'Verified Unit' for cancellation. User selects the unit for cancellation ('Reported Units' or 'Verified Units') 2. System should display the list of reporting periods based on the user selection of Reported Units or Verified Units at the Recording account level. 2.User selects the units associated with multiple reporting periods or should select units associated with one reporting period for cancellation. 3. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to approver for performing one of the actions (Approval, Reject, or Send back the transaction)	Grid that is displayed on the cancellation page 1.Reporting ID - System generated 2.Reporting Period Range - System display of reporting period 3.Original Reported Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to be cancelled - System calculated value 6.Number of units to be cancelled - User Entered number	1. The number of units to be cancelled should be less or equal to number of "Available units to be cancelled" 2. System generated email is triggered to approver
Recording Account - Cancel Units - US 7	**Given**: Fund transaction processor has submitted the transaction for cancelling the units When: System generated email is triggered to the Fund Manager **Then**: Fund Manager reviews the request and performs one of the actions and email is triggered to submitter on the approval status a. Approve the transaction b. Reject the transaction c. Send back the transaction		1. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2. On approval the fixed number of Reported / Verified units get credited to the Program Cancellation Account that is under the Issuance Accounts of the Program and the same number of units get debited from the Recording Account

1.3.2. Issuance Account

1.3.2.1. Uncertainty Buffer Allocation (Issuance Account)

6.2.3.5 Issuance – Buffer for Uncertainty



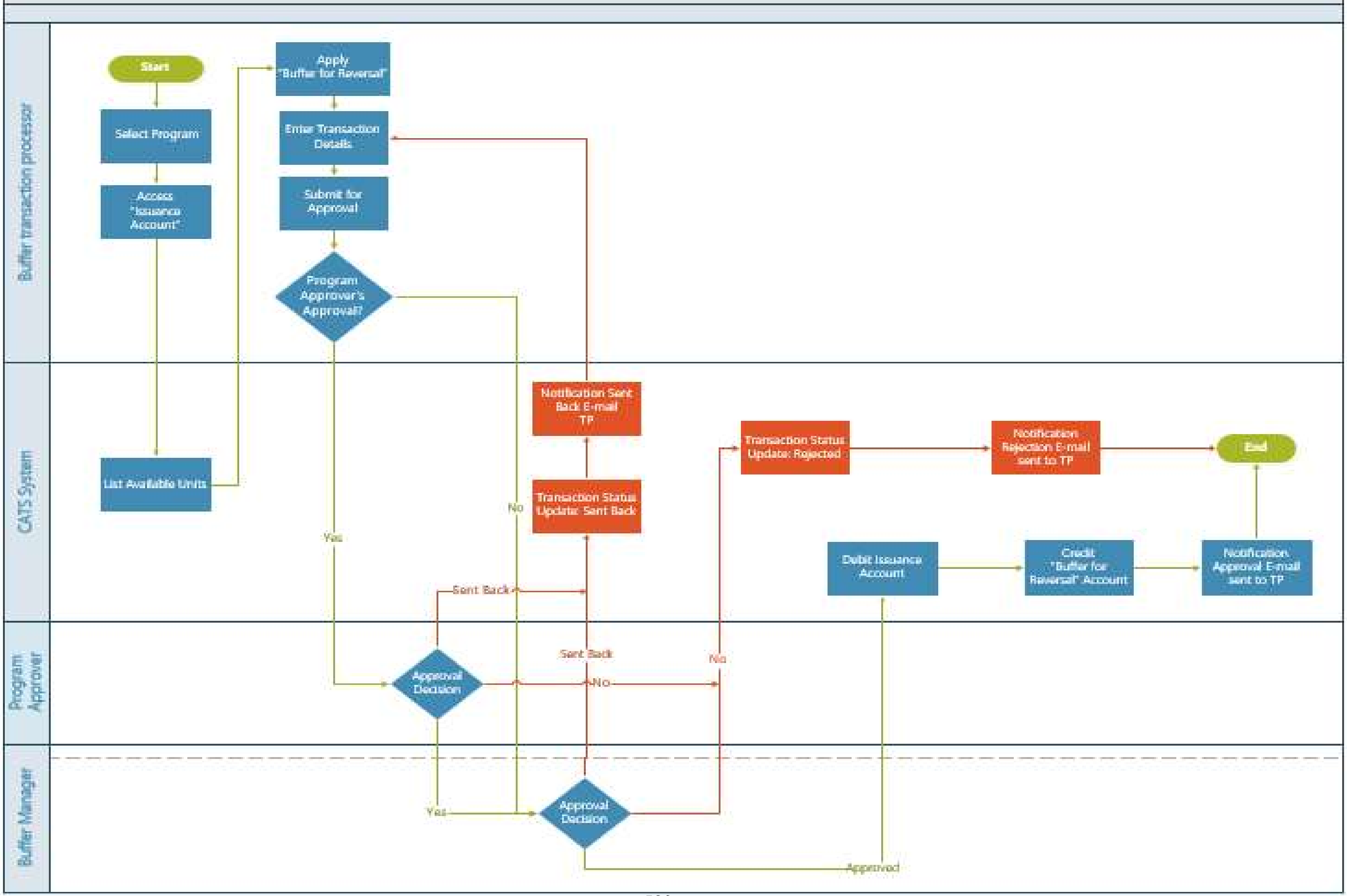
Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account -IA_ US 1 (Uncertainty Buffer Units - transaction submission)	Given, 'Verified units' from a block have been "Certified" in a particular program with the associated certification periods and Buffer transaction processor wants to buffer some of the "Certified units" from the same program corresponding to the same certification periods When, 1- System should provide a functionality for recording Uncertainty buffer, Reversal buffer, deducting Share of Proceeds, Purchase units and Allocate units. 2. User selects the 'Buffer for Uncertainty' functionality in the Issuance Account of the same program 3 System should provide a functionality to select either buffer by percentage or buffer by units and to record them. 4. User selects one of the options: Buffer by Percentage or Buffer by Units and selects one / many of the issuance blocks listed by certifying period 5. User records the percentage of units or the number of units and records the comments (if any) and submits the	Legend to be displayed for each of the following status (as per wireframe) - Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled Buffer by (Percentage/ Units) - Radio button Check box to be provided for displaying each of the blocks to buffer units 1.Issuance ID - System generated 2.Certification Period Range - System display of the Recorded Certification Period 3.Original Certified Volume - System display of the Certified volume 4.Balance units - System calculated value 5. Available units to buffer for uncertainty - System calculated value 6. Percentage for Uncertainty Buffer (in %) - User entered (in percentage) 7. Number of units to Buffer for Uncertainty - User entered (in number of units) The system should display the corresponding icons for each of the transaction alongside the Original Certified Volume of Units (Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled to indicate that one of the transactions have taken place	1- System should not allow the user to record value greater than 100% in the percentage field 2. System should not allow the user to record to record value greater than the 'Available units to Buffer for uncertainty" 3. System should calculate the "Available Units" by deducting the units that is pending for approval, Cancelled units from the "Original Certified Volume" of Issued Units that is available 4. System should calculate the number of units to buffer for uncertainty if buffer percentage is recorded by (Available units to buffer for uncertainty * Percentage) 4- System should generate an error message in case any mandatory field is missing or not valid. 5- User should be able to submit the transaction for approval once all required fields are filled. 6- System generated email should be triggered to the approver and task is listed in the queue of the approver / approvers

Title	Description	Fields to be included on page	Acceptance Criteria
	transaction Then, 1. User submits the transaction, and this is routed for approval to the Program approver of the program first and if approved by it then routed to the Buffer manager for 2nd approval. 2. System generated email will be triggered to Program approver and Buffer Manager for approval	8. Total - cumulative count of total number of units (system calculated) 9. Comments - Text box - User entered 10. Upload Feature - Upload Feature *: Document Type - <drop down values>	

Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - IA_US 2 (Uncertainty Buffer transaction - Approval)	Given, Buffer Transaction Processor submits transaction for approval once all fields are filled When, 1- Firstly, Program Approver should be able to take one of the following actions and then if approved, this should be routed for Buffer Manager's approval. a. Approve the transaction b. Reject the transaction c. Sent the transaction back Then 1. If the transaction is approved, the units for uncertainty should be credited to the uncertainty buffer account and the same number of units should be debited from the Issuance Account 2. System should send a transaction status notification email to the transaction submitter based on the approver decision.		1- In case of Approval, a. System should Debit the Issuance account with the number of units for uncertainty buffer and System should Credit the Uncertainty Buffer Account with the Buffer units b. System should Change the ERUs status of the corresponding units from "Active" to "Buffered" units c. System should send a transaction status notification email to the transaction submitter based on the approver decision 2- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Buffer Transaction Processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Buffer Transaction Processor

1.3.2.2. Reversal Buffer Allocation (Issuance Account)

6.2.3.6 Issuance – Buffer for Reversal



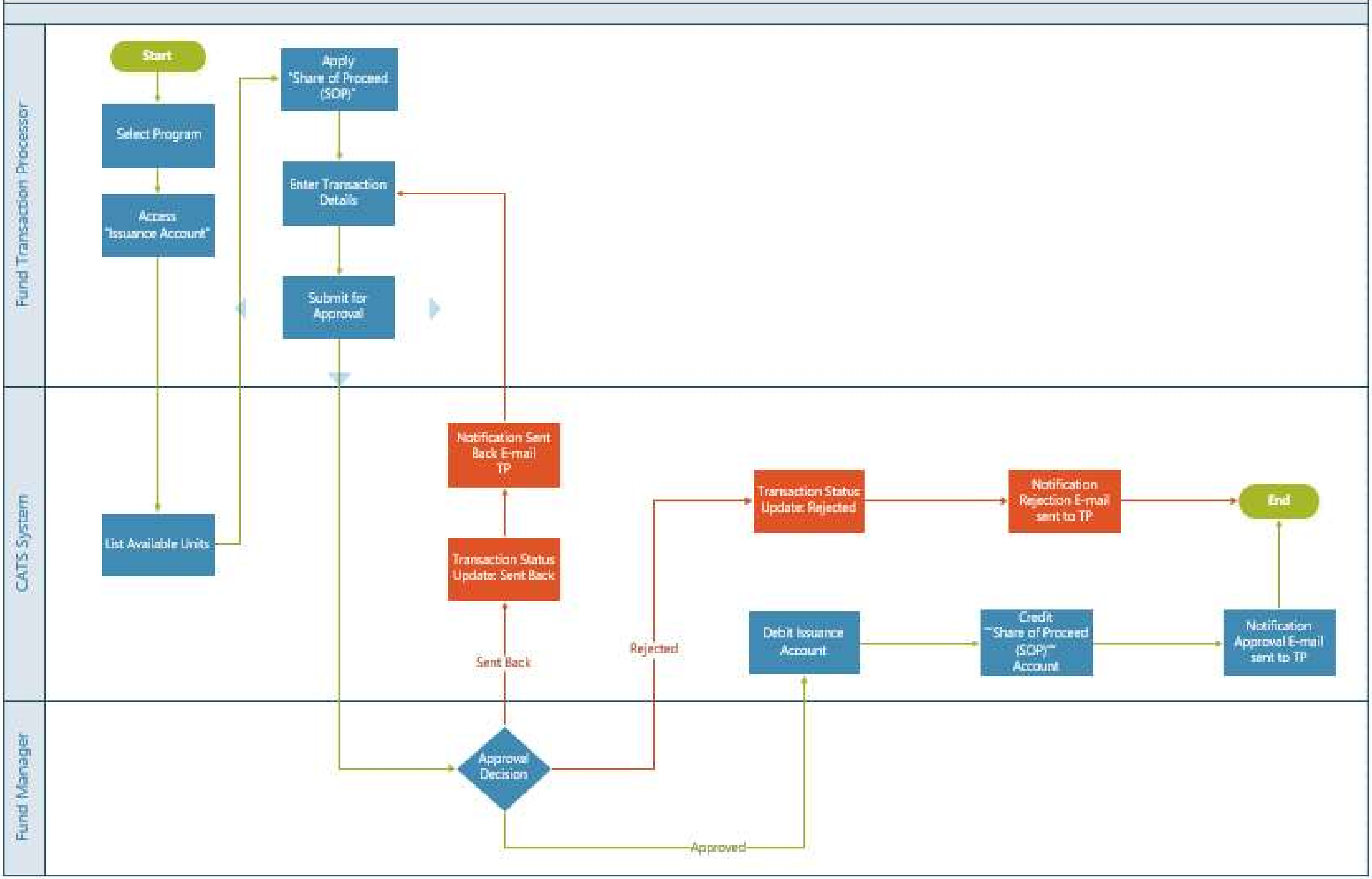
Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Reversal Buffer Transaction IA_ US 3	Given, 'Verified units' from a block have been "Certified" in a particular program with the associated certification periods and Buffer transaction processor has buffered some of the units towards Uncertainty Buffer and wants to buffer some of the units towards 'Reversal Buffer' When, 1. User selects the 'Reversal Buffer' functionality in the Issuance Account of the same program 2. System should provide a functionality to select either buffer by percentage or buffer by units and to record them. 3. User selects one of the options: Buffer by Percentage or Buffer by Units and selects one / many of the issuance blocks listed by certifying period 4. User records the percentage of units or the number of units and records the comments (if any) and submits the transaction Then, 1. User submits the	Legend to be displayed for each of the following status (as per wireframe) - Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled Buffer by (Percentage/ Units) - Radio button Check box to be provided for displaying each of the blocks to buffer units 1.Issuance ID - System generated 2.Certification Period Range - System display of the Recorded Certification Period 3.Original Certified Volume - System display of the Certified volume 4.Balance units - System calculated value 5. Available units to be buffered for Reversal - System calculated value 6. Number of units to apply the reversal buffer Percentage % - System calculated value 7. Percentage for Reversal Buffer (in %) - Text box - User entered in % 7. Number of units to Buffer for Reversal - Text box - User entered (in number of units) The system should display the corresponding icons for each of the transaction alongside the Original Certified Volume of Units (Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted	1. System should not allow the user to record value greater than 100% in the percentage field 2. System should not allow the user to record to record value greater than the 'Number of units to apply the reversal buffer Percentage %" in 'Number of Units to buffer for Reversal' text box 3. Available units to be buffered for Reversal should be calculated by the system by deducting the Original Volume of Certified Units from the number of units allocated for Uncertainty Buffer and if there are any other transactions that is pending for approval 4. System should calculate the number of units to buffer for Reversal if buffer percentage is recorded by (Number of units to apply the reversal buffer Percentage % * Percentage) 5- System should generate an error message in case any mandatory field is missing or not valid. 6- User should be able to submit the transaction for approval once all required fields are filled. 7- System generated email should be triggered to the approver and task is listed in the queue of the approver / approvers

Title	Description	Fields to be included on page	Acceptance Criteria
	transaction, and this is routed for approval to the Program approver of the program first and if approved by it then routed to the Buffer manager for 2nd approval. 2. System generated email will be triggered to Program approver and Buffer Manager for approval	Share of Proceeds, Allocated to Program, Purchased, Cancelled) to indicate that one of the transactions have taken place 8. Total - cumulative count of total number of units (system calculated) 9. Comments - Text box - User entered 10. Upload Feature - Upload Feature *: Document Type - <drop down values>	

Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Reversal Buffer Transaction Approval - IA_US 4 (Uncertainty Buffer transaction - Approval)	Given, Buffer Transaction Processor submits transaction for approval once all fields are filled When, 1-Firstly, Program Approver should be able to take one of the following actions and if approved by it then this should be routed for Buffer Manager's approval. It can take any of the following actions: a. Approve the transaction b. Reject the transaction c. Sent the transaction back Then 1. If the transaction is approved, the units for Reversal Buffer should be credited to the Reversal buffer account and the same number of units should be debited from the Issuance Account 2. System should send a transaction status notification email to the transaction submitter based on the approver's decision.		1- In case of Approval, a. System should Debit the Issuance account with the number of units for Reversal Buffer and System should Credit the Reversal Buffer Account with the Buffer units b. System should Change the ERUs class of the corresponding units from "Certified" to "Buffered" units c. System should send a transaction status notification email to the transaction submitter based on the approver decision 2- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Buffer Transaction Processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Buffer Transaction Processor

1.3.2.3. Share of Proceeds (SoP) Allocation (Issuance Account)

6.2.3.7 - Issuance – Share of Proceeds

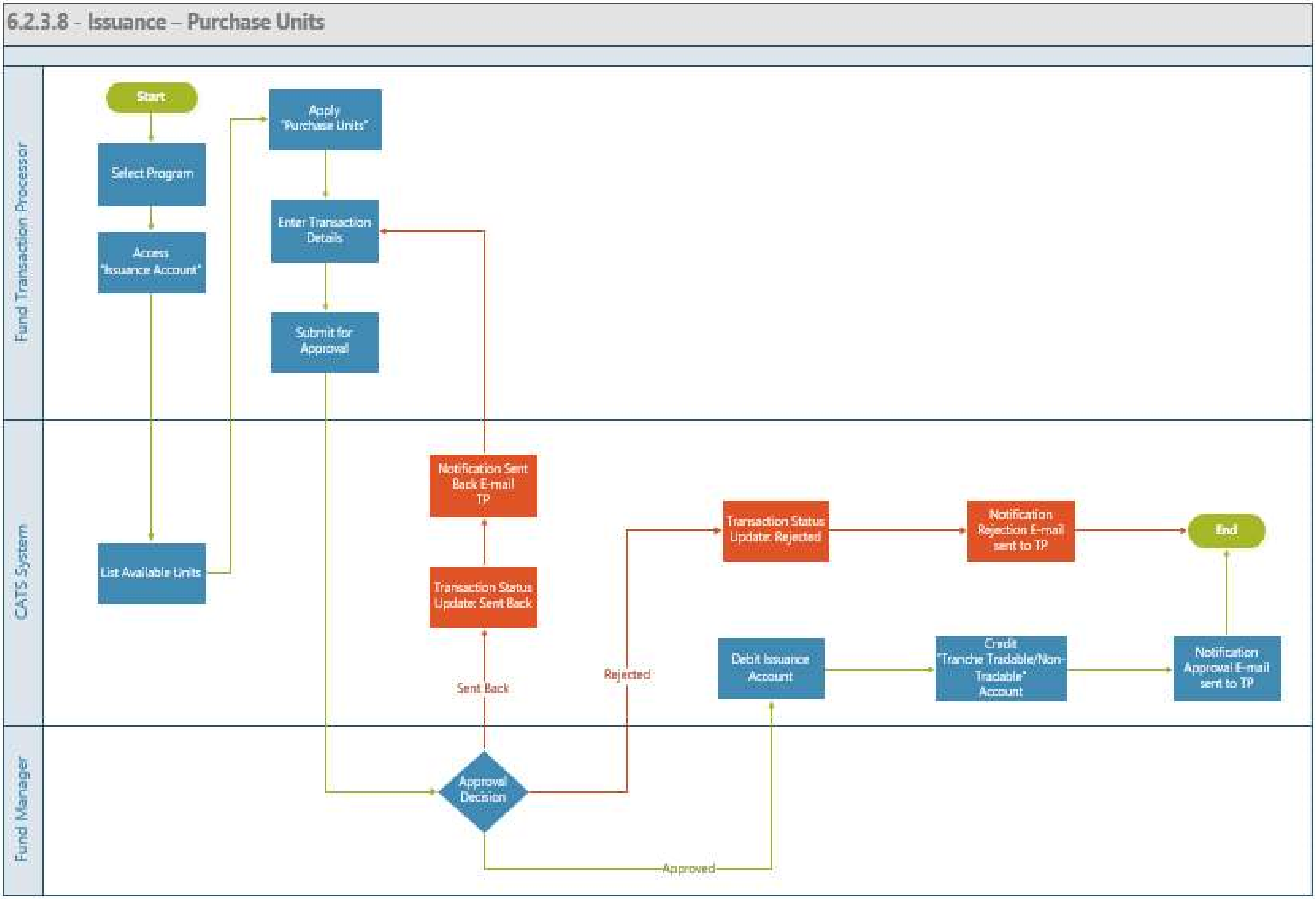


Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Share of Proceeds - IA_US 5 (Share of proceeds deduction)	Given: 'Verified units' from a block have been "Certified" in a particular program with the associated certification periods and Fund transaction processor wants to have a contribution made as part of Share of Proceeds. Uncertainty buffer should have been applied to the certified units of the block under consideration When: 1. User selects the 'Share of Proceeds' functionality in the Issuance Account of the same program 2. System should provide a functionality to record the percentage to be applied towards Share of Proceeds and edit the system populated 'Number of units to apply SoP%' 3. User records the Share of proceeds Percentage and edits (if required) the system populated 'Number of units to apply SoP%' and records the comments (if any) and submits the transaction Then, 1- System generated email is triggered to the Fund Manager for approval	Legend to be displayed for each of the following status (as per wireframe) - Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled Buffer by (Percentage/ Units) - Radio button Check box to be provided for displaying each of the blocks to buffer units 1.Issuance ID - System generated 2.Certification Period Range - System display of the Recorded Certification 3.Original Certified Volume - System display of the Certified volume 4.Balance units - System calculated value 5. Available units to be deducted for SoP - System calculated value 6. Number of units to apply the SoP % - Text box - User entered (in number of units) 7. Percentage for SoP (in %) 8. Number of units to deduct for SoP - System calculated value (Number of units to apply the SoP% * Percentage for SoP (in%)) The system should display the corresponding icons for each of the transaction alongside the Original Certified Volume of Units (Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled to indicate that one of the transactions have taken place 8. Total - cumulative count of total number of units (system calculated) 9. Comments - Text box - User entered	1. System should not allow the user to record value greater than 100% in the percentage field 2. System should not allow the user to edit value greater than the 'Available units to be deducted for SoP in 'Number of Units to apply the SoP %' text box. System should auto populate the 'Number of units to apply the SoP%' field with the value in 'Available units to be deducted from SoP' 3. Available units to be deducted for SoP should be calculated by the system by deducting the Original Volume of Certified Units from the number of units allocated for Uncertainty Buffer and if there are any other transactions that is pending for approval 5. System should calculate the number of units to be deducted for SoP by (Number of units to apply the SoP Percentage % * Percentage for SoP in %) 6. The system should not allow the user to record more than 100% for the Percentage for SoP (in %) 7- System should generate an error message in case any mandatory field is missing or not valid. 8- User should be able to submit the transaction for approval once all required fields are filled. 9- System generated email should be triggered to the approver and task is listed in the queue of the approver

Title	Description	Fields to be included on page	Acceptance Criteria
		10. Upload Feature - Upload Feature *: Document Type - <drop down values>	

Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Share of proceeds Approval - IA_US 6 (Share of Proceeds - Approval)	Given,Fund Transaction Processor submits transaction for approval once all fields are filled When, 1-Fund Manager should be able to take one of the following actions: a. Approve the transaction b. Reject the transaction c. Sent the transaction back Then 1. If the transaction is approved, the units for SoP should be credited to the Share of Proceeds account and the same number of units should be debited from the Issuance Account 2. System should send a transaction status notification email to the transaction submitter based on the approver decision.		1- In case of Approval, a. System should Debit the Issuance account with the number of units for Share of proceeds and System should Credit the Share of Proceeds Account with the corresponding units b. System should send a transaction status notification email to the transaction submitter based on the approver decision 2- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Fund Transaction Processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Fund Transaction Processor

1.3.2.4. Purchase Allocation (Issuance Account)


6.2.3.8 - Issuance – Purchase Units
Fund Transaction Processor
CATS System
Fund Manager
Start
Select Program
Access "Issuance Account"
List Available Units
Apply "Purchase Units"
Enter Transaction Details
Submit for Approval
Approval Decision
Sent Back
Transaction Status Update: Sent Back
Notification Sent Back E-mail TP
Rejected
Transaction Status Update: Rejected
Notification Rejection E-mail sent to TP
End
Approved
Debit Issuance Account
Credit "Tranche Tradable/Non-Tradable" Account
Notification Approval E-mail sent to TP

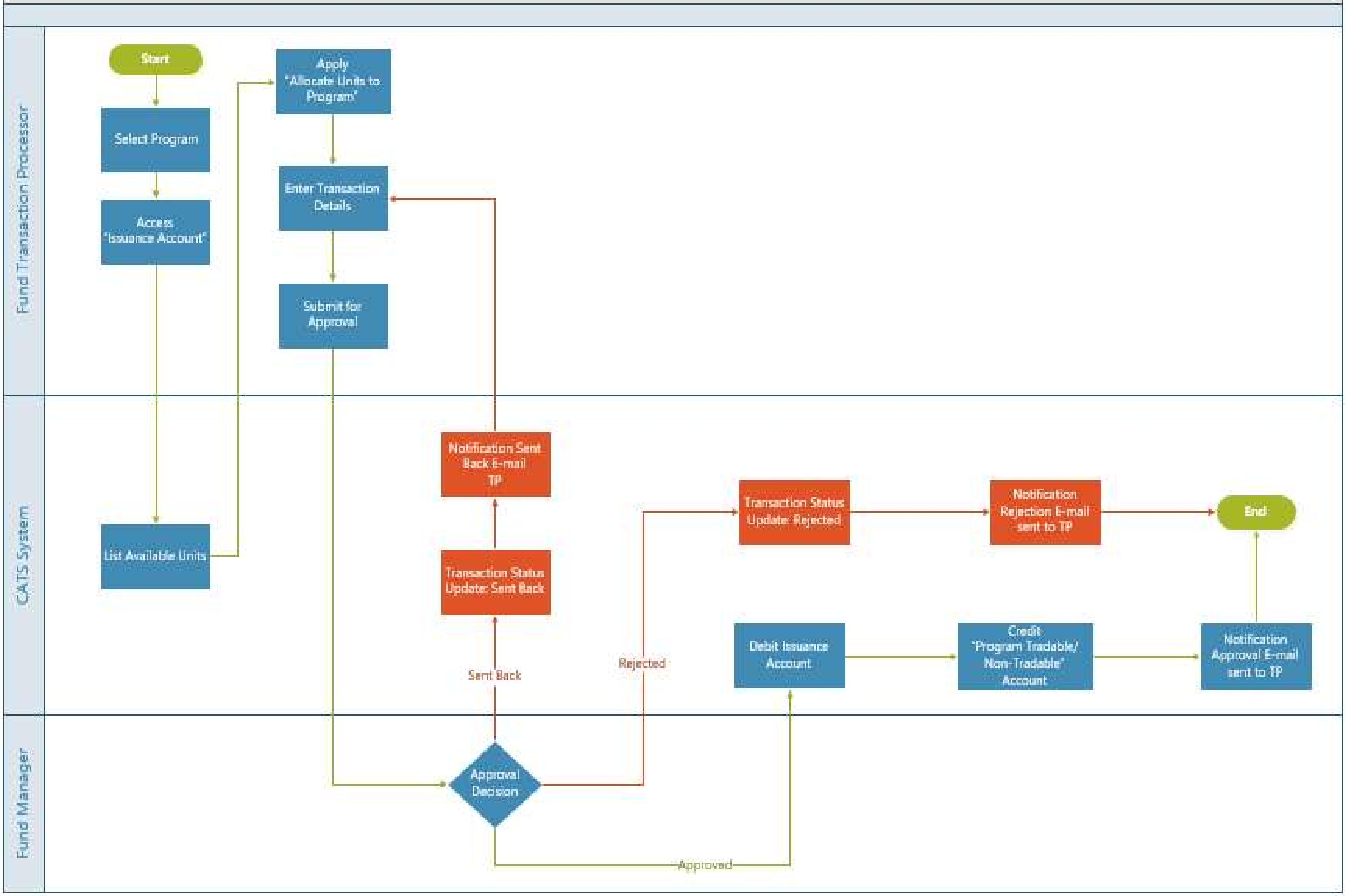
Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Purchase - IA_US 7	Given: Verified units from a block have been "Certified" in a particular program with the associated certification periods and Buffer transaction processor has buffered some of the units towards Uncertainty Buffer, Reversal Buffer and Pooled Reversal Buffer. Fund Transaction Processor wants to purchase units from that program When: 1. Fund transaction processor selects the 'Purchase Units' functionality in the Issuance Account of the same program. 2. The Fund transaction processor should select one of the tranches from the available linked tranches for the program in the system. 3. Fund transaction processor should record the account for the units to be credited into. 4. Fund Transaction processor should be able to view the Country Split percentage and Percentage seniority Split that was recorded during tranche and program linkage 5. Fund transaction processor should be able to select one or multiple certifying periods	A Tranche that purchases the units * - <Drop-down list of available tranches linked to the program> b. Account to Credit *- < Drop-down list of account - Tranche Tradable Account, Tranche Non-Tradable Account c. Country Split percentage - System populated value recorded by the user - Text display d. Country Split Seniority - System populated value recorded by the user - Text display legend to be displayed for each of the following status (as per wireframe) - Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled Buffer by (Percentage/ Units) - Radio button Check box to be provided for displaying each of the blocks to purchase units 1.Issuance ID - System generated 2.Certification Period Range - System display of the Recorded Certification Period 3.Original Certified Volume - System display of the Certified volume 4.Balance units - System calculated value 5. Available units to be purchased - System calculated value 6. Number of units to Purchase - Text box - User entered (in number of units)	1. System should not allow the user to enter value in the field 'Number of units to be purchased' that is greater than the value available in "Available units to be purchased 2. Available units to be purchased should be calculated by the system by deducting the Original Volume of Certified Units from the issuance account and if there are any other transactions that is pending for approval 3- System should generate an error message in case any mandatory field is missing or not valid. 4- User should be able to submit the transaction for approval once all required fields are filled. 5- System generated email should be triggered to the approver and task is listed in the queue of the approver

Title	Description	Fields to be included on page	Acceptance Criteria
	from the list and record the 'Number of Units to be Purchased' 6. Fund transaction processor should also be able to view the released units from buffer (if any) and that is available for Purchase to proceed with purchase of units if desired by recording the number of units for purchase. 7. Fund transaction processor should be able to submit the transaction Then: 1. System generated email is triggered to Fund Manager for approval	The system should display the corresponding icons for each of the transaction alongside the Original Certified Volume of Units (Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled) to indicate that one of the transactions have taken place 8. Total - cumulative count of total number of units (system calculated) 9. Comments - Text box - User entered 10. Upload Feature - Upload Feature *: Document Type - <drop down values> Released units from Buffer 1.Issuance ID - System generated 2.Certification Period Range - System display of the Recorded Certification Period 3.Original Released Volume - System display of the Released volume 4.Balance units - System calculated value 5. Available units to be purchased - System calculated value 6. Number of units to purchase - Text box - User entered (in units) 7.Total - cumulative count of total number of units (system calculated)	

Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Purchase Process - IA_US 8 (Purchase Transaction - Approval)	Given, Fund Transaction Processor submits transaction for approval once all fields are filled When, 1- Fund Manager should be able to take one of the following actions: a. Approve the transaction b. Reject the transaction c. Sent the transaction back Then 1. If the transaction is approved, the units purchased should be credited to the Tranche account (Tradable or Non-Tradable depending on the user selection) and the same number of units should be debited from the Issuance Account 2. System should send a transaction status notification email to the transaction submitter based on the approver decision.		1- In case of Approval, a. System should Debit the Issuance account of the Program with the number of purchased units and System should Credit the Tranche Account (Tranche Tradable / Tranche Non-Tradable) with the purchased units b. System should record the ERUs Type as Tradable(TD) / Non-Tradable(NTD) c. System should send a transaction status notification email to the transaction submitter based on the approver decision 2- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Fund Transaction Processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Fund Transaction Processor

1.3.2.5. Country Allocation (Issuance Account)

6.2.3.9 - Issuance – Allocate Units to Program



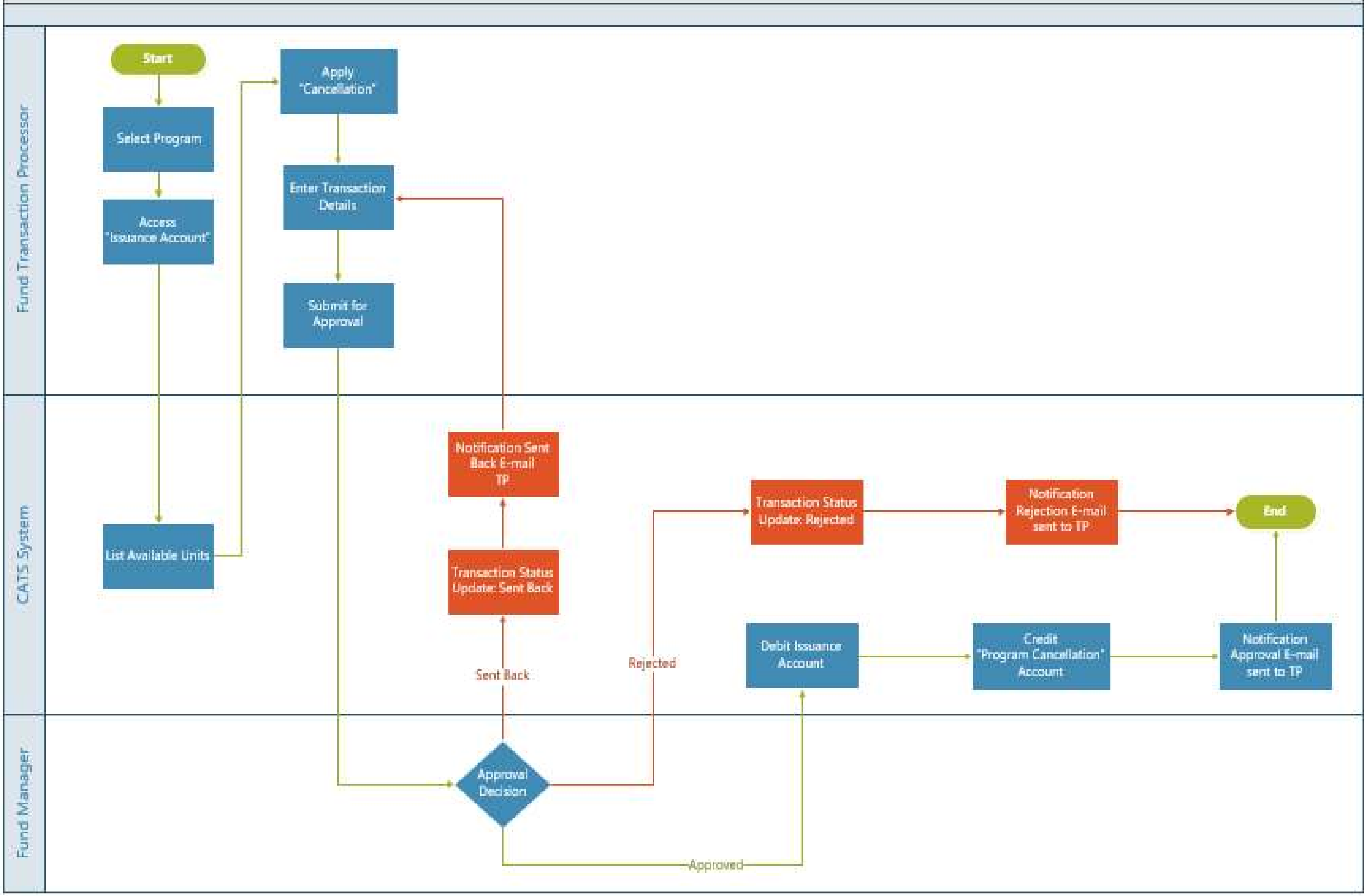
Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Allocate Units to Country - IA_US 9 (Country allocation)	Given: Verified units from a block have been "Certified" in a particular program with the associated certification periods and Fund Transaction Processor wants to allocate units to the program. Uncertainty buffer transaction has been completed and units have been buffered in that program When: 1. Fund transaction processor selects the 'Allocate units to program' functionality in the Issuance Account of the same program. 2. The Fund transaction processor should select one of the accounts (Tradable / Non-Tradable) for the program in the system. 3. Fund transaction processor should be able to select one or multiple certifying periods from the list and record the 'Number of Units to be allocate' 4. Fund transaction processor should also be able to view the released units from buffer (if any) and record the number of units for allocation 5. Fund transaction processor should be able to submit the transaction Then: 1. System generated email is triggered to Fund Manager for approval	a. Account *- < Drop-down list of account - Tranche Tradable Account, Tranche Non-Tradable Account Legend to be displayed for each of the following status (as per wireframe) - Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled Check box to be provided for displaying each of the blocks to allocate units to country 1.Issuance ID - System generated 2.Certification Period Range - System display of the Recorded Certification Period 3.Original Certified Volume - System display of the Certified volume 4.Balance units - System calculated value 5. Available units to be allocated - System calculated value 6. Number of units to allocate - Text box - User entered (in number of units) The system should display the corresponding icons for each of the transaction alongside the Original Certified Volume of Units (Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled) to indicate that one of the transactions have taken place 8. Total - cumulative count of total	1. System should not allow the user to enter value in the field 'Number of units to be allocated' that is greater than the value available in "Available units to be allocated" 2. Available units to be allocated should be calculated by the system by deducting the Original Volume of Certified Units from the issuance account and if there are any other transactions that is pending for approval 3- System should generate an error message in case any mandatory field is missing or not valid. 4- User should be able to submit the transaction for approval once all required fields are filled. 5- System generated email should be triggered to the approver and task is listed in the queue of the approver

Title	Description	Fields to be included on page	Acceptance Criteria
		number of units (system calculated) 9. Comments - Text box - User entered 10. Upload Feature - Upload Feature *: Document Type - <drop down values> Released units from Buffer 1.Issuance ID - System generated 2.Certification Period Range - System display of the Recorded Certification Period 3.Original Released Volume - System display of the Released volume 4.Balance units - System calculated value 5. Available units to be allocated - System calculated value 6. Number of units to allocate - Text box - User entered (in units) 7.Total - cumulative count of total number of units (system calculated)	

Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Allocate units to country - IA_US 10 (Allocation transaction - Approval)	Given, Fund Transaction Processor submits transaction for approval once all fields are filled When, 1- Fund Manager should be able to take one of the following actions: a. Approve the transaction b. Reject the transaction c. Sent the transaction back Then 1. If the transaction is approved, the units should be credited to the Program account (Tradable or Non-Tradable depending on the user selection) and the same number of units should be debited from the Issuance Account 2. System should send a transaction status notification email to the transaction submitter based on the approver decision.		1- In case of Approval, a. System should Debit the Issuance account of the Program with the number of allocated units and System should Credit the Program Account of the country (Tradable / Non-Tradable) with the units b. System should record the ERUs Type as Tradable(TD) / Non-Tradable(NTD) c. System should send a transaction status notification email to the transaction submitter based on the approver decision 2- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Fund Transaction Processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Fund Transaction Processor

1.3.2.6. Cancel Units (Issuance Account)

6.2.3.10 - Issuance – Cancellation



Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Cancel Units - IA_US 11	Given: There are Certified Units in the Recording Account and the User wants to cancel the 'Certified Units' from one or more certified periods from the Issuance Account When: 1. System should display the list of certified periods along with the Certified Units at the Issuance account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to approver for performing one of the actions (Approval, Reject, or Send back the transaction)	Grid that is displayed on the cancellation page 1.Issuance ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Certified Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to cancel - System calculated value 6.Number of units to be cancel - User Entered number - Text box 7. Comments - Text box	1. The number of units to be cancelled should be less or equal to number of "Available units to be cancelled" 2. System generated email is triggered to approver

Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - Cancel Units (Approval)- IA_ US 12	Given: Fund transaction processor has submitted the transaction for cancelling the units When: System generated email is triggered to the Fund Manager Then: Fund Manager reviews the request and performs one of the actions and email is triggered to submitter on the approval status a. Approve the transaction b. Reject the transaction c. Send back the transaction		1. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2. On approval the fixed number of Certified units get credited to the Program Cancellation Account that is under the 'Issuance Accounts' of the program and the same number of units get debited from the Issuance Account which is also under the 'Issuance Accounts' of the Program

1.3.2.7. View Activity (Issuance Account)

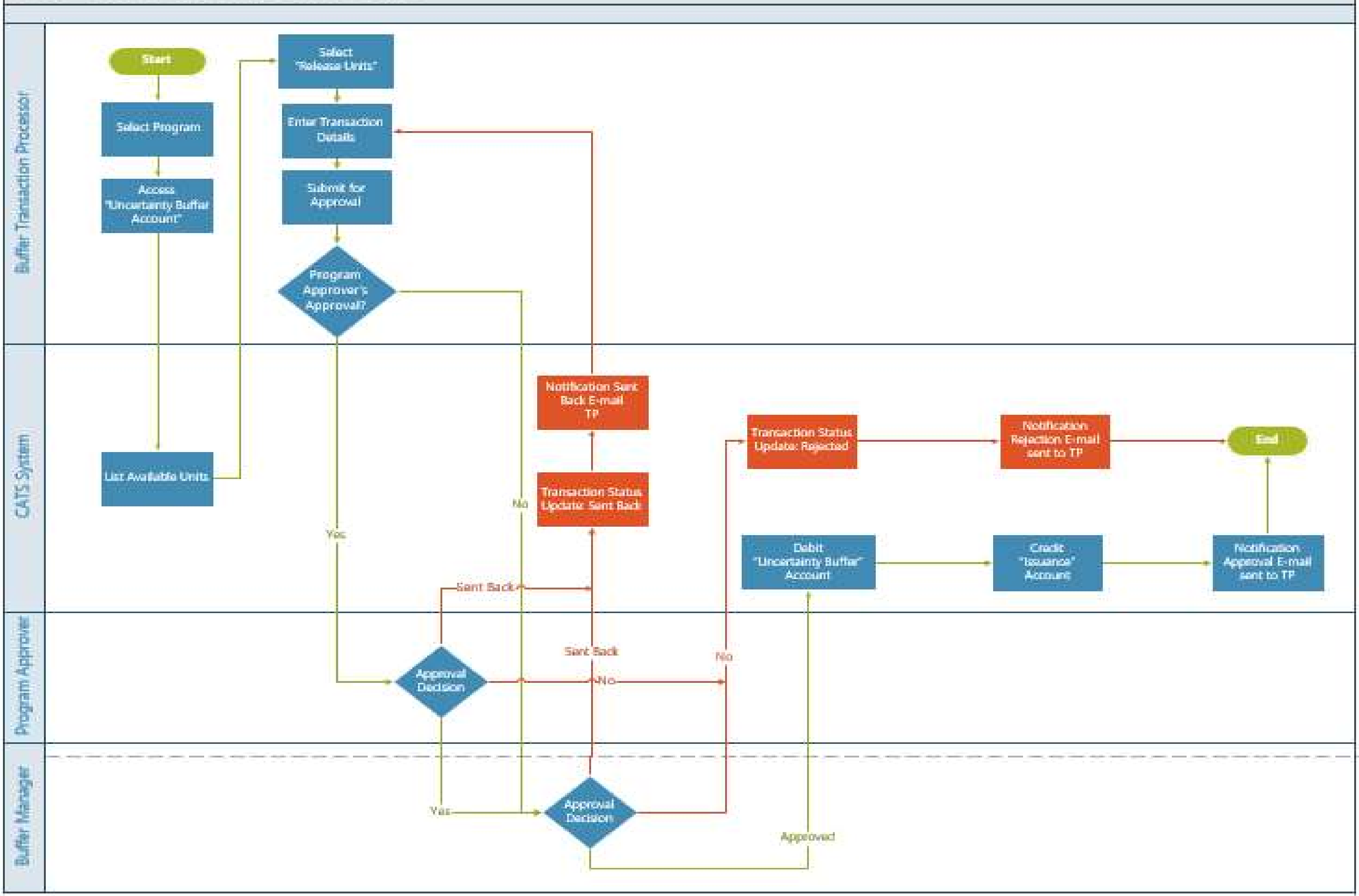
Title	Description	Fields to be included on page	Acceptance Criteria
Issuance Account - View Activity - IA_US 13	Given: User wants to view the transaction details at the Issuance account level When: 1. System should display the list of certified periods along with the Certified units at the Issuance account level, activity details at each Certifying period level and historical transactions that has taken place 2. System should also display the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved) and if there are units released from buffer Then: 1. User views the details of the certified units across the certifying periods. The User is able to view activity in detail for each certifying period 2. User is also able to view the historical units recorded and the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved)	Recording Account Level - List 1.Issuance ID - System generated 2.Certifying Period Range - System display of the recorded Certifying period 3.Original Certified Volume - System display of the recorded volume of units certified 4.Balance units - System calculated units by deducting the original volume of units from the transactions Legend to be displayed for each of the following transaction (as per wireframe) - Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled Issuance Account Level - "View Activity" Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Reversal Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by	1. View History - System should display all Certifying periods that were recorded in the system and should reflect the Original Volume of Certified Units and the Balance of Units that is available in the Issuance Account. 2. System should display the units that has been deducted from the account with prefix(-) and the units that has been credited to the Issuance Account with prefix (+). 3. View Activity (at Issuance account level and at each Certifying period level) - System should list all activities at the account level along with the listing of all activities at each Certifying period level System should display the units that has been allocated for credit / debit and which is pending for approval under Pending Transactions 4. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Issuance Account or debit from the Issuance Account 5. If it's a debit transaction: the column should show the account where the units are credited (Target Account).If it's a credit transaction: the column should show the account where the units were debited

Title	Description	Fields to be included on page	Acceptance Criteria
		the user 3. Transaction Type - Cancellation, Issuance, Uncertainty Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units Certified Units - View History - displays list of Certifying periods, Original Volume of Certified Units and Current balance of units in the Issuance Account	(Source Account)

1.3.3. Uncertainty Buffer Account

1.3.3.1. Release Units (Uncertainty Buffer Account)

6.2.4.1 - Uncertainty Buffer - Release Units

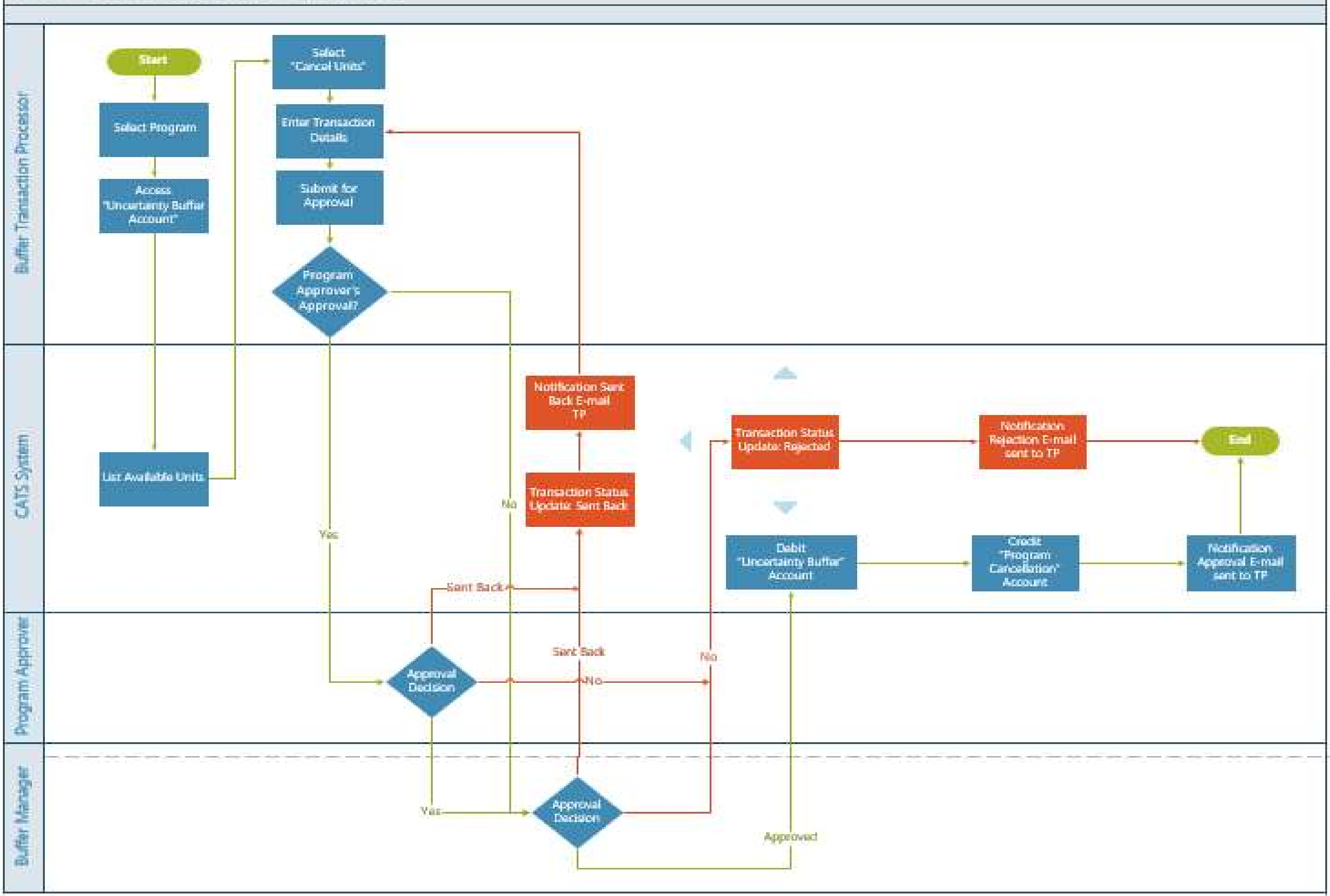


Title	Description	Fields to be included on page	Acceptance Criteria
Uncertainty Buffer Account - UBA_US 1 - Release Units	Given, 1. Buffered Units are available in a Program in the uncertainty buffer account and the buffer transaction processor wants to release the units back to issuance account of the program When, 1- Buffer transaction processor selects the Program and navigates to the Uncertainty Buffer Account to perform the Buffer Release transaction. 2. System should provide a functionality for the user to release the units. User selects one or more of the blocks of the certifying periods that is displayed by the system along with the number of available units for 'Release Units' and records the number of units to be released from the Uncertainty Buffer Account. 3. User enters comments and uploads supporting documents and submits the transaction Then, 1. User submits the transaction, and this is routed for approval to the Program approver of the program first and if approved by it then routed to the Buffer manager for 2nd approval. 2. System generated email will be triggered to Program approver and Buffer Manager for approval	Grid that is displayed on the uncertainty buffer - release units page 1.Uncertainty Buffer ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Buffered Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to be released - System calculated value 6.Volume Transacted - User Entered number - Text box 7. Comments - Text box 8. Upload Feature *	1- System should calculate and display the number of available units to be released (Original Buffered volume deducted by any other transaction that has taken place and transaction that is pending for approval) 2. System should calculate the balance units and display the value (Original buffered volume is subtracted from any other transactions that is completed) 3. User should not be able to record value greater than the 'Available units to release' in the 'Number of units to release' text box 4- System should generate an error message in case any mandatory field is missing or not valid 5- User should be able to submit the transaction for approval once all required fields are filled 6- System generated email should be triggered to the approver and task is listed in the queue of the approver / approvers.

Title	Description	Fields to be included on page	Acceptance Criteria
Uncertainty Buffer Allocation - UBA_US 2 - Release Units - Approval Submission	Given, 1. Fund status is " Open" and Buffer Release Units has been submitted by the Buffer Transaction Processor When, 1- Firstly, Program Approver should be able to take one of the following actions and if approved by it then this should be routed for Buffer Manager's approval. It can take any of the following actions: a. Approve the transaction b. Reject the transaction c. Sent the transaction back Then, a. If the transaction is approved system should debit the uncertainty buffer account with the units and credit the issuance account b System generated email should be sent to submitter notifying the approval status		1- In case of Approval, a- System should Debit the Uncertainty Buffer account with the the number of units to release b- System should Credit the Issuance account with the calculated number of units to release and these units should be available for purchase (these units need not be buffered again) c- System should generate a transaction status notification email to the transaction submitter based on the approver decision d- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Buffer transaction processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Buffer transaction processor

1.3.3.2. Cancel Units (Uncertainty Buffer Account)

6.2.4.2 - Uncertainty Buffer - Cancellation



Title	Description	Fields to be included on page	Acceptance Criteria
Uncertainty Buffer Allocation - Cancel Units - UBA_US 3	**Part 1:** Given: There are buffered Units in the Uncertainty Buffer Account and the User wants to cancel the 'Buffered Units' from one or more certified periods from the Uncertainty Buffer Account When: 1. System should display the list of certified periods along with the Certified Units at the Uncertainty Buffer account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to approver for performing one of the actions (Approval, Reject, or Send back the transaction)		1. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2. On approval the fixed number of Buffered units get Cancelled and credited to the Program Cancellation Account that is under the 'Issuance Accounts' of the program and the same number of units get debited from the Uncertainty Buffer Account which is also under the 'Issuance Accounts' of the Program

Title	Description	Fields to be included on page	Acceptance Criteria
	Part 2: Given: Buffer transaction processor has submitted the transaction for cancelling the units When: Firstly, Program Approver should be able to take one of the following actions and if approved by it then this should be routed for Buffer Manager's approval. Then: Buffer Manager reviews the request and performs one of the actions and email is triggered to submitter on the approval status a. Approve the transaction b. Reject the transaction c. Send back the transaction		

1.3.3.3. View Units (Uncertainty Buffer Account)

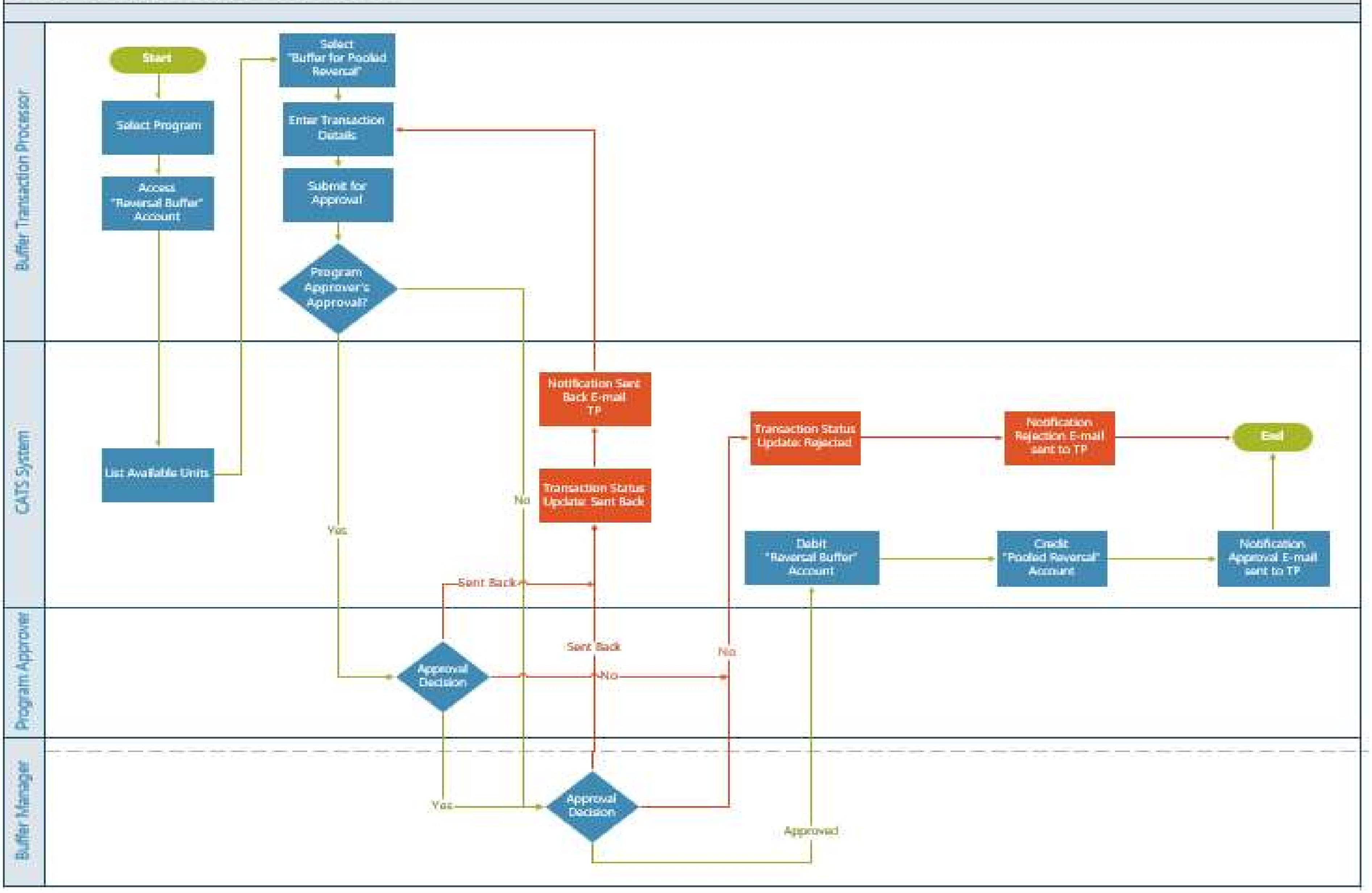
Title	Description	Fields to be included on page	Acceptance Criteria
Uncertainty Buffer Allocation - View Activity - UBA_US 4	**Part 1:** Given: There are buffered Units in the Uncertainty Buffer Account and the User wants to cancel the 'Buffered Units' from one or more certified periods from the Uncertainty Buffer Account **When:** 1. System should display the list of certified periods along with the Certified Units at the Uncertainty Buffer account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction **Then:** 1. System generated email is triggered to approver for performing one of the actions (Approval, Reject, or Send back the transaction) **Part 2:** Given: Buffer transaction processor has submitted the transaction for cancelling the units When: Firstly, Program Approver should	**Uncertainty Buffer Account Level - List** 1.Uncertainty Buffer ID - System generated 2.Certifying Period Range - System display of the recorded Certifying period 3.Original Buffered Volume - System display of the volume of units buffered 4.Balance units - System calculated units by deducting the original volume of units from the transactions Legend to be displayed for each of the following transaction (as per wireframe) - Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled **Uncertainty Buffer Account Level - "View Activity"** __ **Pending Transactions** 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Reversal Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units **Approved Transactions** 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Issuance, Uncertainty Buffer	1. View History - System should display all Certifying periods that were recorded in the system and should reflect the Original Buffered Volume of Units and the Balance of Units that is available in the Uncertainty Buffer Account. 2. System should display the units that has been deducted from the account with prefix(-) and the units that has been credited to the Uncertainty Buffer Account with prefix (+). 3. View Activity at Uncertainty Buffer Account level and at each Certifying period level) - System should list all activities at the account level along with the listing of all activities at each Certifying period level. System should display the units that has been / will be credited into the account / debited from / will be debited from the account for Approved / Pending transactions . The balance units that is available in uncertainty buffer account should be available. 4. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Uncertainty Buffer Account or debit from the Uncertainty Buffer Account 5. If it's a debit transaction: the column should show the account where the units are credited (Target Account).If it's a credit transaction: the column should show the account where the units were debited (Source Account)

Title	Description	Fields to be included on page	Acceptance Criteria
	be able to take one of the following actions and if approved by it then this should be routed for Buffer Manager's approval. Then: Buffer Manager reviews the request and performs one of the actions and email is triggered to submitter on the approval status a. Approve the transaction b. Reject the transaction c. Send back the transaction	4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units **Buffered Units - View History** - displays list of Certifying periods, Original buffered Volume and Current balance of units in the Uncertainty buffer Account .	

1.3.4. Reversal Buffer Account

1.3.4.1. Pooled Reversal Allocation (Reversal Buffer Account)

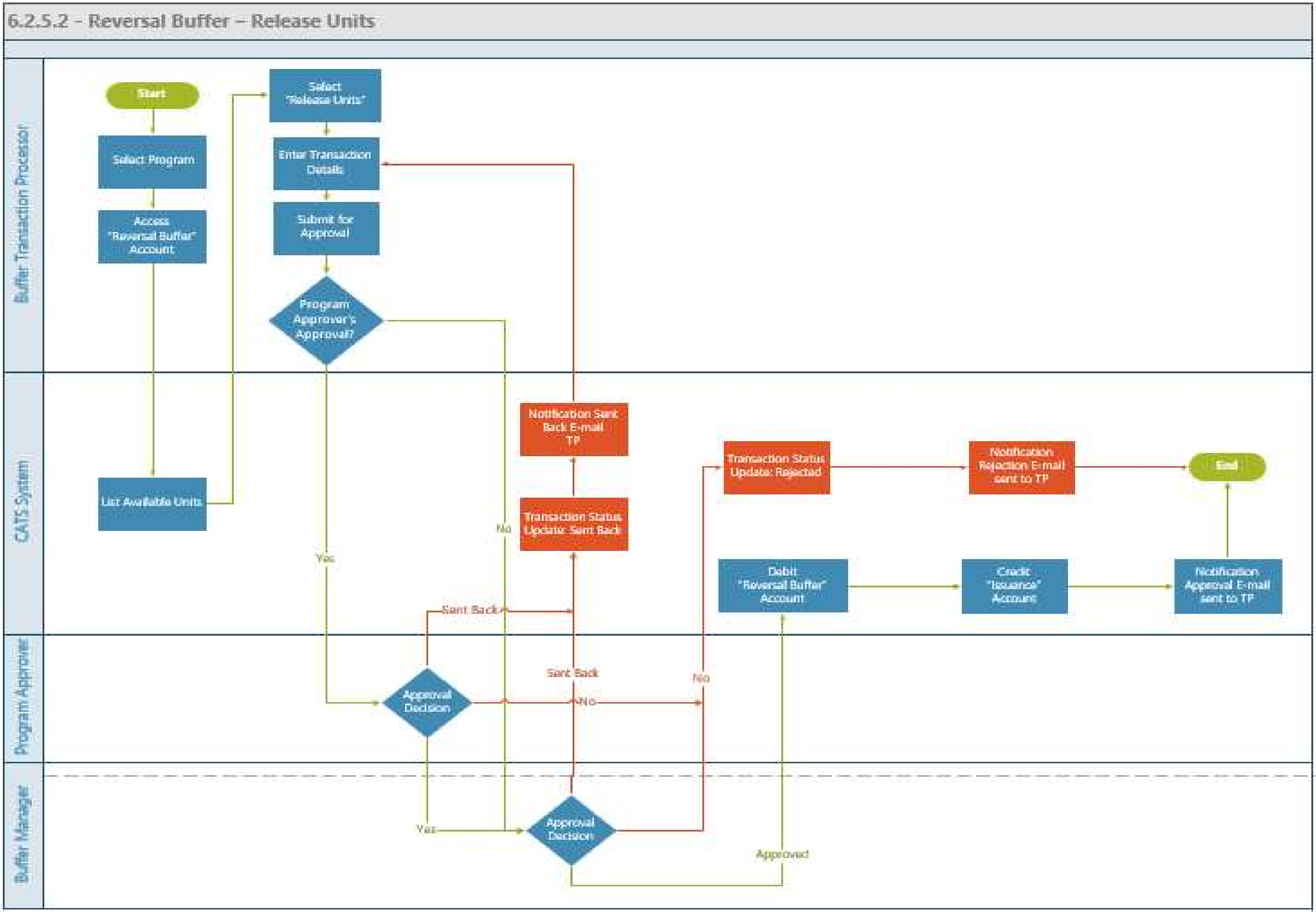
6.2.5.1 – Reversal Buffer – Pooled Reversal



Title	Description	Fields to be included on page	Acceptance Criteria
Reversal Buffer Account - Pooled Reversal - RBA_ US 1	Given, 1. Uncertainty buffer transaction and Reversal Buffer transaction has been executed. Buffer transaction processor wants to apply pooled reversal buffer When, 1- Buffer Transaction Processor selects a Fund and the list of certifying periods along with available Volume of units that is available for applying reversal buffer percentage gets displayed. System should display the list along with the checkbox for the user to select one / multiple certifying periods to apply the pooled reversal buffer 2- Buffer Transaction Processor selects one of the certifying periods and enters the percentage or the number of units and submits the transaction Then, 1-. User submits the transaction, and this is routed for approval to the Program approver of the program first and if approved by it then routed to the Buffer manager for 2nd approval.	Grid that is displayed on the Reversal buffer account for Pooled Reversal Buffer Transaction 1.Reversal Buffer ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Buffered Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to be buffered for Pooled Reversal - System calculated value 6.Percentage for Pooled Reversal Buffer (in %) - Text box - User entered 7. Number of units to buffer for reversal - User Entered number - Text box 8. Comments - Text box 9. Upload Feature *	1- The system should ensure that the Buffer Transaction Processor should not be able to record more than the available units to be buffered for pooled reversal buffer in the field ‘Number of units to buffer for Reversal’ when the user enters the number of units. System should calculate the percentage up to 3 decimal places based on the number of units entered and the field 'Percentage for Pooled Reversal Buffer (in %)' should be disabled (non-editable). The system should calculate the number of units to buffer for reversal if the percentage is entered by the user and the field ' number of units to buffer for reversal' should be disabled (none editable) 2. System should calculate 'available units to be buffered for pooled reversal' by deducting the Original buffered volume from any other completed transaction and from transaction that is pending approval 3. Number of units to buffer for reversal = available units to be buffered for pooled reversal* percentage for pooled reversal buffer in % 4.The system should ensure that the Pooled Reversal Buffer Percentage should not exceed 100% 5- System should generate an error message in case any mandatory field is missing or not valid. 6- User should be able to submit the transaction for approval once all required fields are filled. 7- System generated email should be triggered to the approver and task is listed in the queue of the approver.

Title	Description	Fields to be included on page	Acceptance Criteria
Reversal Buffer Account - Pooled Reversal - RBA_ US 2	Given, 1. Pooled Reversal Buffer Release Units has been submitted by the Buffer Transaction Processor When, 1- Firstly, Program Approver should be able to take one of the following actions and if approved by it then this should be routed for Buffer Manager's approval. Buffer Manager reviews the request and performs one of the actions and email is triggered to submitter on the approval status a. Approve the transaction b. Reject the transaction c. Sent the transaction back Then, a. If the transaction is approved system should debit the Issuance account with the units and credit the Pooled Reversal Buffer account b System generated email should be sent to submitted notifying the approval status		1- In case of Approval, a- System should Debit the Issuance account with the number of units to buffer b- System should Credit the Pooled Reversal Buffer account at the fund level c- System should generate a transaction status notification email to the transaction submitter based on the approver decision d- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Buffer transaction processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Buffer transaction processor

1.3.4.2. Release Units (Reversal Buffer Account)

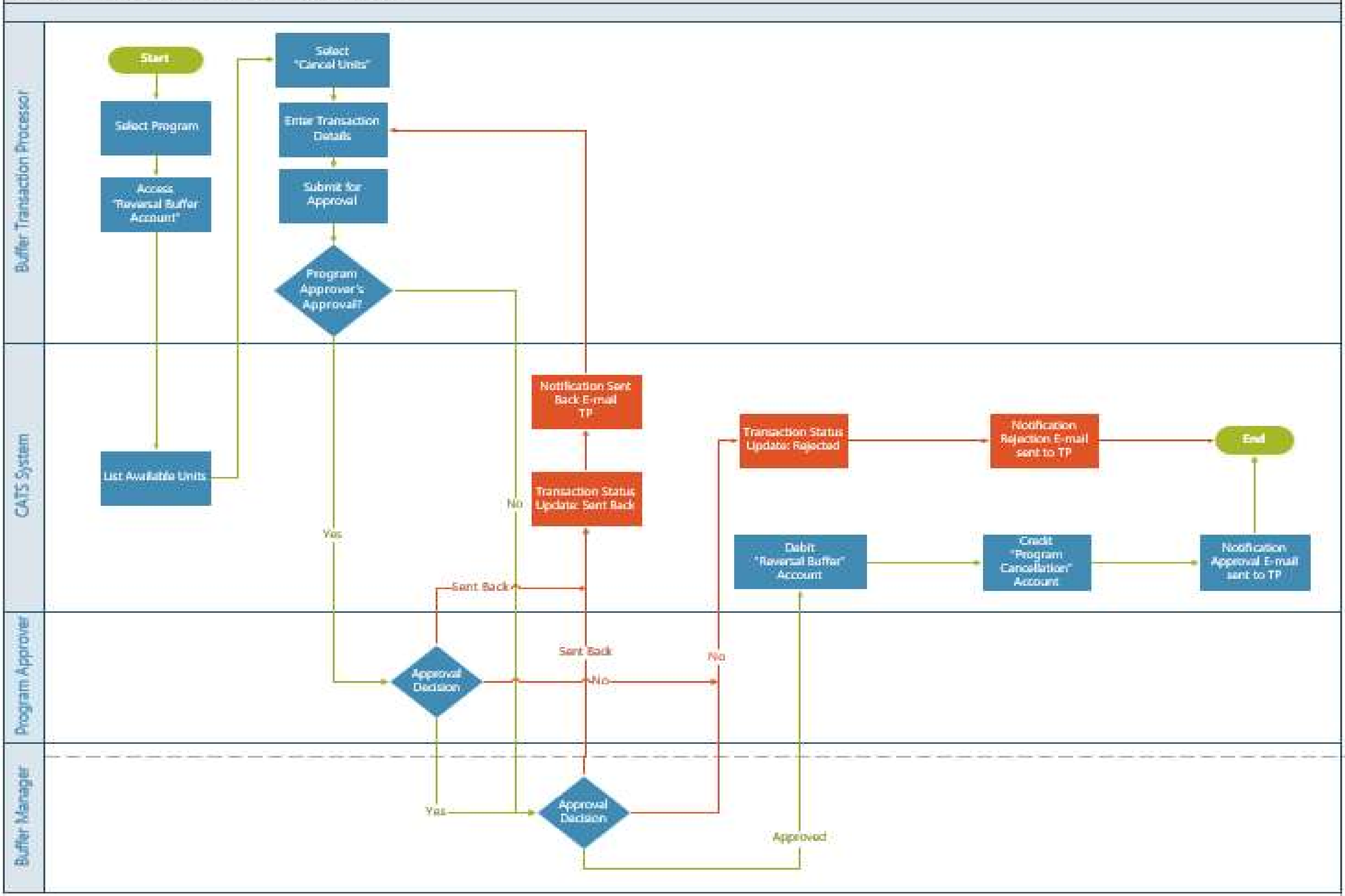

6.2.5.2 - Reversal Buffer – Release Units
Buffer Transaction Processor
CATS System
Program Approver
Buffer Manager
Start
Select Program
Access "Reversal Buffer" Account
List Available Units
Select "Release Units"
Enter Transaction Details
Submit for Approval
Program Approver's Approval?
Yes
No
Approval Decision
Sent Back
No
Yes
Approval Decision
Sent Back
No
Approved
Transaction Status Update: Sent Back
Notification Sent Back E-mail TP
Transaction Status Update: Rejected
Notification Rejection E-mail sent to TP
End
Debit "Reversal Buffer" Account
Credit "Issuance" Account
Notification Approval E-mail sent to TP

Title	Description	Fields to be included on page	Acceptance Criteria
Reversal Buffer Account – RBA_US 3 - Release Units	**Given,** 1. Buffered Units are available in a Program in the reversal buffer account and the buffer transaction processor wants to release the units back to issuance account of the program **When,** 1- Buffer transaction processor selects the Program and navigates to the Reversal Buffer Account to perform the Buffer Release transaction. 2. System should provide a functionality for the user to release the units. User selects one or more of the blocks of the certifying periods that is displayed by the system along with the number of available units for 'Release Units' and records the number of units to be released from the Reversal Buffer Account. 3. User enters comments and uploads supporting documents and submits the transaction **Then,** 1.User submits the transaction, and this is routed for approval to the Program approver of the program first and if approved by it then routed to the Buffer manager for 2nd approval. 2. System generated email will be triggered to Program approver and Buffer Manager for approval	Grid that is displayed on the Reversal buffer - release units page 1.Reversal Buffer ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Certified Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to be released - System calculated value 6.Number of units to be released` - User Entered number - Text box 7. Comments - Text box 8. Upload Feature *	1- System should calculate and display the number of available units to be released (Original Buffered volume deducted by any other transaction that has taken place and transaction that is pending for approval) 2. System should calculate the balance units and display the value (Original buffered volume is subtracted from any other transactions that is completed) 3. User should not be able to record value greater than the 'Available units to release' in the 'Number of units to be released' text box 4- System should generate an error message in case any mandatory field is missing or not valid 5- User should be able to submit the transaction for approval once all required fields are filled 6- System generated email should be triggered to the approver and task is listed in the queue of the approver / approvers.

Title	Description	Fields to be included on page	Acceptance Criteria
Reversal Buffer Allocation - RBA_US 4 - Release Units - Approval Submission	**Given,** 1.Fund status is "Open" and Buffer Release Units has been submitted by the Buffer Transaction Processor **When,** 1- Firstly, Program Approver should be able to take one of the following actions and if approved by it then this should be routed for Buffer Manager's approval. Buffer Manager reviews the request and performs one of the actions and email is triggered to submitter on the approval status a. Approve the transaction b. Reject the transaction c. Sent the transaction back **Then,** a. If the transaction is approved system should debit the Reversal buffer account with the units and credit the issuance account b System generated email should be sent to submitter notifying the approval status		1- In case of Approval, a- System should Debit the Reversal Buffer account with the number of units to release b- System should Credit the Issuance account with the calculated number of units to release and these units should be available for purchase (these units need not be buffered again) c- System should generate a transaction status notification email to the transaction submitter based on the approver's decision d- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Buffer transaction processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Buffer transaction processor

1.3.4.3. Cancel Units (Reversal Buffer Account)

6.2.5.3 - Uncertainty Buffer - Cancellation



Title	Description	Fields to be included on page	Acceptance Criteria
Reversal Buffer Account - Cancel Units - RBA_US 3	**Given:** Buffer transaction processor has submitted the transaction for cancelling the units **When:** System generated email is triggered to the Buffer Manager **Then:** System generated email is triggered to the Program approver first and if approved by it then routed for the Buffer Manager's approval. Then: Buffer manager reviews the request and performs one of the actions and email is triggered to submitter on the approval status a. Approve the transaction b. Reject the transaction c. Send back the transaction		1. System generated email should be triggered to the submitter in case of approval, send back and rejection with the reason of send back. 2. On approval the fixed number of Buffered units get Cancelled and credited to the Fund Cancellation Account that is under the 'Issuance Accounts' of the program and the same number of units get debited from the Pooled Reversal Buffer Account which is also under the 'Issuance Accounts' of the Program

1.3.4.4. View Activity

Title	Description	Fields to be included on page	Acceptance Criteria
Reversal Buffer Account - View Activity -RBA_ US 4	**Given:** User wants to view the activity details at the Pooled Reversal Buffer account level **When:** 1. System should display the list of certified periods along with the Buffered units, activity details at each Certifying period level and historical transactions that has taken place 2. System should also display the transaction details about the 'buffered Units' that has been credited into the account and the number of buffered units released from the account. **Then:** 1. User views the details of the buffered units in the account (units that got credited and cancelled). The User is able to view activity in detail for each certifying period 2. User is also able to view the historical units credited, debited from the account along with the transaction status (Pending for approval, Approved).	**Reversal Buffer Account Level - List** 1.Reversal Buffer ID - System generated 2.Certifying Period Range - System display of the recorded Certifying period 3.Original Buffered Volume - System display of the volume of units buffered 4.Balance units - System calculated units by deducting the original volume of units from the transactions Legend to be displayed for each of the following transaction (as per wireframe) - Sent back for Revision, Pending for Approval, Buffered for Uncertainty, Deducted Share of Proceeds, Allocated to Program, Purchased, Cancelled Uncertainty Buffer Account Level - "View Activity" __ Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Reversal Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Issuance, Uncertainty Buffer 4. Status - Pending for Approval,	1. View History - System should display all Certifying periods that were recorded in the system and should reflect the Original Buffered Volume of Units and the Balance of Units that is available in the Uncertainty Buffer Account. 2. System should display the units that has been deducted from the account with prefix(-) and the units that has been credited to the Reversal Buffer Account with prefix (+). 3. View Activity at Reversal Buffer Account level and at each Certifying period level) - System should list all activities at the account level along with the listing of all activities at each Certifying period level. System should display the units that has been / will be credited into the account / debited from / will be debited from the account for Approved / Pending transactions. The balance units that is available in reversal buffer account should be available. 4. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Reversal Buffer Account or debit from the Reversal Buffer Account for release

Title	Description	Fields to be included on page	Acceptance Criteria
		Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units Buffered Units - View History - displays list of Certifying periods, Original buffered Volume and Current balance of units in the Uncertainty buffer Account .	

1.3.5. Cancellation Account

Title	Description	Fields to be included on page	Acceptance Criteria
Cancellation Account (Program Issuance Accounts Level)-PGIACA_US 1 - Display	Given: User wants to view the cancelled units in the cancellation account When: 1. System should display the cancelled units on the tile and should be listed by their corresponding reporting, verifying or certifying periods grouped under Reported, Certified and Verified. 2. User views the number of units(Reported, Verified and Certified) in cancellation account.2. The user views the number of cancelled units from the Recording account that was from the recording transaction (listed under 'Reported 'category). The user views the number of cancelled units from the User 2. System should also display the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved) and if there are units released from buffer Then: 1. User views the details of the cancelled units across the ERU class (Reported, Verified and Certified) 2. User also views the history of Units cancelled across the ERU class	Cancellation Account Page Reported Units 1.Cancellation ID - System generated 2.Reporting Period Range - System display of the recorded Certifying period 3.Cancelled Units - System display of the number of reported units that has been cancelled "View Activity" functionality is provided at the Reported Units level and at the account level Verified Units 1.Cancellation ID - System generated 2.Verification Period Range - System display of the recorded verification period 3.Cancelled Units - System display of the number of reported units that has been cancelled "View Activity" functionality is provided at the Verified Units level and at the account level Certified Units 1.Cancellation ID - System generated 2.Reporting Period Range - System display of the recorded Certifying period 3.Cancelled Units - System display of the number of reported units that has been cancelled "View Activity" functionality is provided at the Reported Units level and at the account level Cancelled Units - View History - displays list of Certifying periods and Cancelled Units in the Cancellation Account historically	1. The system should display the number of cancelled units from the Recording Account with the ERU class as 'Reported' under 'Reported' section on the 'Cancellation Account' page . 2. The system should display the number of cancelled units from the Recording Account with the ERU class as 'Verified' under 'Verified' section on the 'Cancellation Account' page, transaction (listed under 'verified'). The system should display the cancelled units with the ERU class as 'Certified' under 'Certified' section of the 'Cancellation Account' page from the Recording Account and other accounts within the Issuance Accounts of the program under 'certified'.

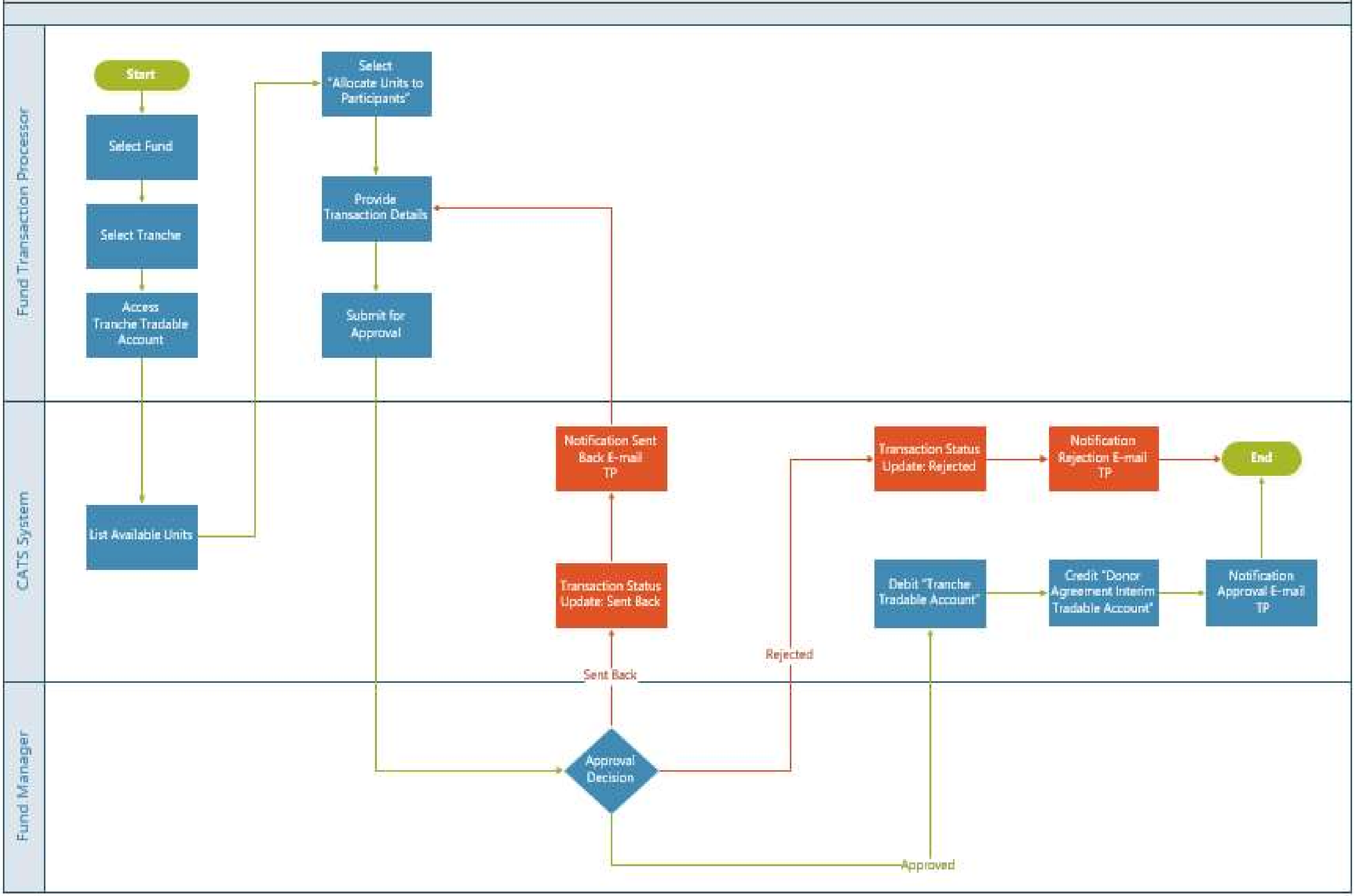
Title	Description	Fields to be included on page	Acceptance Criteria
Cancellation Account - View Activity - PGIACA_ US 2	Given: User wants to view the activity details in the Cancellation account When: 1. System should also display the transaction details about the 'Cancelled' Units' / Units for cancellation Then: 1. User views the details of the cancelled units in the account (units that got credited and cancelled). The User is able to view activity in detail for each reporting, verification and certifying period 2. User is also able to view the historical units credited, in the account along with the transaction status (Pending for approval, Approved)	Cancellation Account Level - "View Activity" Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units	1. View History - System should display all Certifying periods that were recorded in the system and should reflect the Original Buffered Volume of Units and the Balance of Units that is available in the Uncertainty Buffer Account. 2. System should display the units that has been deducted from the account with prefix(-) and the units that has been credited to the Reversal Buffer Account with prefix (+). 3. View Activity at Reversal Buffer Account level and at each Certifying period level) - System should list all activities at the account level along with the listing of all activites at each Certifying period level. System should display the units that has been / will be credited into the account / debited from / will be debited from the account for Approved / Pending transactions . The balance units that is available in reversal buffer account should be available. 4. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Reversal Buffer Account or

Title	Description	Fields to be included on page	Acceptance Criteria
			debit from the Reversal Buffer Account for release 5. If it's a debit transaction: the column should show the account where the units are credited (Target Account).If it's a credit transaction: the column should show the account where the units were debited (Source Account) 6. If it's a debit transaction: the column should show the account where the units are credited (Target Account).If it's a credit transaction: the column should show the account where the units were debited (Source Account)

1.3.6. Tranche Tradeable Account

1.3.6.1. Close Tranche - Allocation to Participants

6.2.7.1 – Tranche Tradable Allocation Process



Title	Description	Fields to be included on page	Acceptance Criteria
Close Tranche - Allocate to Participants (Contribution Share Percentage) - TTA_US 1	Given: Tradable units purchased from the fund needs to be allocated to participants. The corresponding tranche should be closed for participation to calculate the contribution share percentage for allocating number of units to participants When: 1.Fund transaction processor (Group created with the role: Fund contributor) navigates to the Fund page and navigates to corresponding Tranche to close the tranche. System should provide a functionality to close the tranche 2. Fund transaction processor views the contribution percentage and adjusts the percentage up to 3 decimal place and submits the details Then: System displays the Tranche Contribution Adjusted (in %) 4. The close tranche request then goes to the fund manager for approval. The fund manager can either approve, reject or send the request back for revision.	1. Participant Name - System to display the participant name along with participant short name and participation code 2. Country - System to display the recorded 'Country' 3. Tranche Contribution (in USD)- System to display the contribution amount (in USD) 4. Tranche Contribution Calculated (in %) - System to calculate the % based on the contribution amount 5. Tranche Contribution Adjusted (in %) - Text box to edit the 'Tranche Contribution' % up to 3 decimal places 6. Total - system to display the total calculated value of 'Tranche Contribution (in USD' and Tranche Contribution Adjusted (in %) 7. Export to Excel	1.: System should display the 'Total value' for the Tranche Contribution Adjusted (in %) 2. User should be allowed to adjust the contribution percentage up to the third (last) decimal place by +0.001 or -0.001 3. Calculated Tradable Units for Allocation (A) Allocation of Remainder (R) Total Units Allocated (T) Deficit for this allocation (D) Previous Deficit for this program (P) Overall Deficit for the program (O) A+ R = T D+ P = O

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Tradable Account - Allocate to Participants (Interim account)- TTA_ US 2	Given: Tranche is closed for participation and Adjusted contribution share has been calculated, the fund transaction processor wants to allocate units to participants When: 1. Fund transaction processor navigates to 'Allocate Units to Participants' from the Tranche Tradable Account 2. Fund transaction processor selects a program and the available blocks should be listed with the available Units 3.User enters the number of units to allocate and enters the value in the text box for the Remainder Then: System generated email is sent to Fund Manager for approval. On approval the units are transferred to Participant Interim Account. The units are transferred from Interim Tradable account to Participant account only if the Participant account has 2 users: Transaction Processor and approval by the Fund Manager.	Select a program: Drop down values of the list of available programs Select from available units to allocate: text to be displayed Legend to be displayed (as shown in the wireframes) List with the column labels as shown below to be displayed - Radio button for each of the certifying period blocks for the user selection Purchase ID - System to display the available data Certifying Period Range - System to display the available data Original Purchased Volume - System to display the available data Balance Units - System to display the Balance Units Selected Unit Legend to be displayed - Allocated to Participant Transferred to Other fund, Cancelled Purchase ID - System to display the ID	1. The system shall display the total fractional holdings for each participant and suggests/proposes possible allocation of remaining units. 2. User should be able to change the proposed system allocation by allocating more or less units to any participant, as long as total allocated remainder units doesn't exceed the total remainder unit available in the selected block. 3. System should automatically calculate and display the totally fractional holding value in case user change the number of allocated units. 4. The total fractional holdings are an accumulation of all the fractional remainder units of the previous participants transactions. 5.Participants that have already received the whole unit from the previous issuance shall have negative or lower fractional unit than those that have not received a whole unit from the previous issuance/s. 6. System generated email should be triggered to Fund Manager for approval and on approval the units should be Credited to the Interim Account of the participant and debited from the Tranche Tradable Account. The units are transferred from Interim Tradable account to Participant account only if the Participant account has 2 users: Transaction Processor and approval by the Fund Manager.

Title	Description	Fields to be included on page	Acceptance Criteria
		Certifying Period Range - System to display the certifying period Original Purchased Volume - System to display the volume of units Balance Units - System to display the balance units Available Units to allocate* - Text box Number of Units to allocate - Text box Allocate Unit Total Units allocated Calculated Units Remainder 1 Participant Name Country Tradable Units contribution(in %) Calculated Tradable Units for Allocation Allocation of Remainder Total Units Allocated Excess / Deficit for this allocation Previous Excess / Deficit for this program Overall Excess / Deficit for the program	

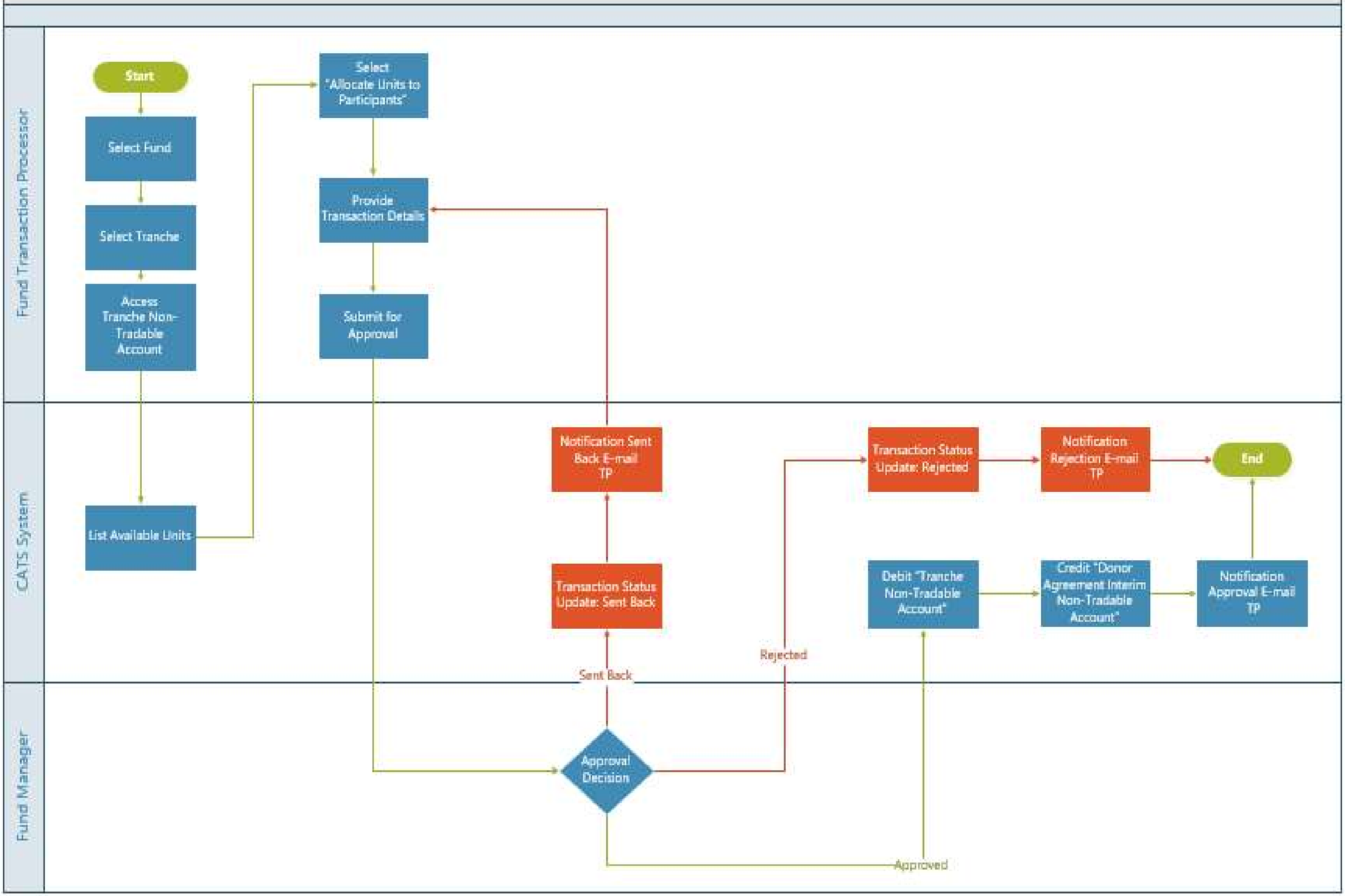
1.3.6.2. View Activity (Tranche Tradeable Account)

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Tradable Account - View Activity - TTA_ US 3	Given: User wants to view the transaction details activity When: 1. System should display the list of certified periods along with the Certified units' activity details at each Certifying period level and historical transactions that has taken place 2. System should also display the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved) and if there are units released from buffer Then: 1. User views the details of the certified units across the certifying periods. The User is able to view activity in detail for each certifying period 2. User is also able to view the historical units recorded and the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved)	Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Reversal Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Issuance, Uncertainty Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units 7. Total	2. System should display the units that has been deducted from the account with prefix (-) and the units that has been credited to the Issuance Account with prefix (+). 3. View Activity - System should list all activities at the account level along with the listing of all activities at each Certifying period level System should display the units that has been allocated for credit / debit and which is pending for approval under Pending Transactions 4. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Issuance Account or debit from the Issuance Account 5. If it's a debit transaction: the column should show the account where the units are credited (Target Account). If it's a credit transaction: the column should show the account where the units were debited (Source Account)

1.3.7. Tranche Non-Tradable Account

1.3.7.1. Close Tranche: Allocation to Participants

6.2.8.1 – Tranche Non-Tradable Allocation Process



Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Non - Tradable Account - Allocate to Participants - TNTA_ US 1	Given: Tranche is closed for participation and the units have to be allocated to Participants When: 1. Fund transaction processor navigates to 'Transfer Units' 2. Fund transaction processor selects a program and the available blocks should be listed with the available Units 3. User enters the number of units to allocate and submits the details Then: System generated email should be triggered to Fund Manager for approval and to submitter. The units from Non-tradable account should be transferred to corresponding Interim Account of the Participant	Select a program: Drop down values of the list of available programs Available blocks to transfer Select the checkbox to transfer units from a block Legend to be displayed (as shown in the wireframes) List with the column labels as shown below to be displayed - Radio button for each of the certifying period blocks for the user selection Allocation / Trade ID - System to display the available data Program Certifying Period Range - System to display the available data Standard Balance Units - Available Units to be Transferred Number of Units to Transfer Total Comments Upload Feature Allocation of Remainder Total Units Allocated Excess / Deficit for this allocation Previous Excess / Deficit for this program Overall Excess / Deficit for the program	1. System generated email should be triggered to Fund Manager for approval and to submitter. 2, System should not allow users to enter more than the available units 3. The units are transferred from Interim Non-Tradable account to Participant account only if the Participant account has 2 users: Transaction Processor approval by the Fund Manager.

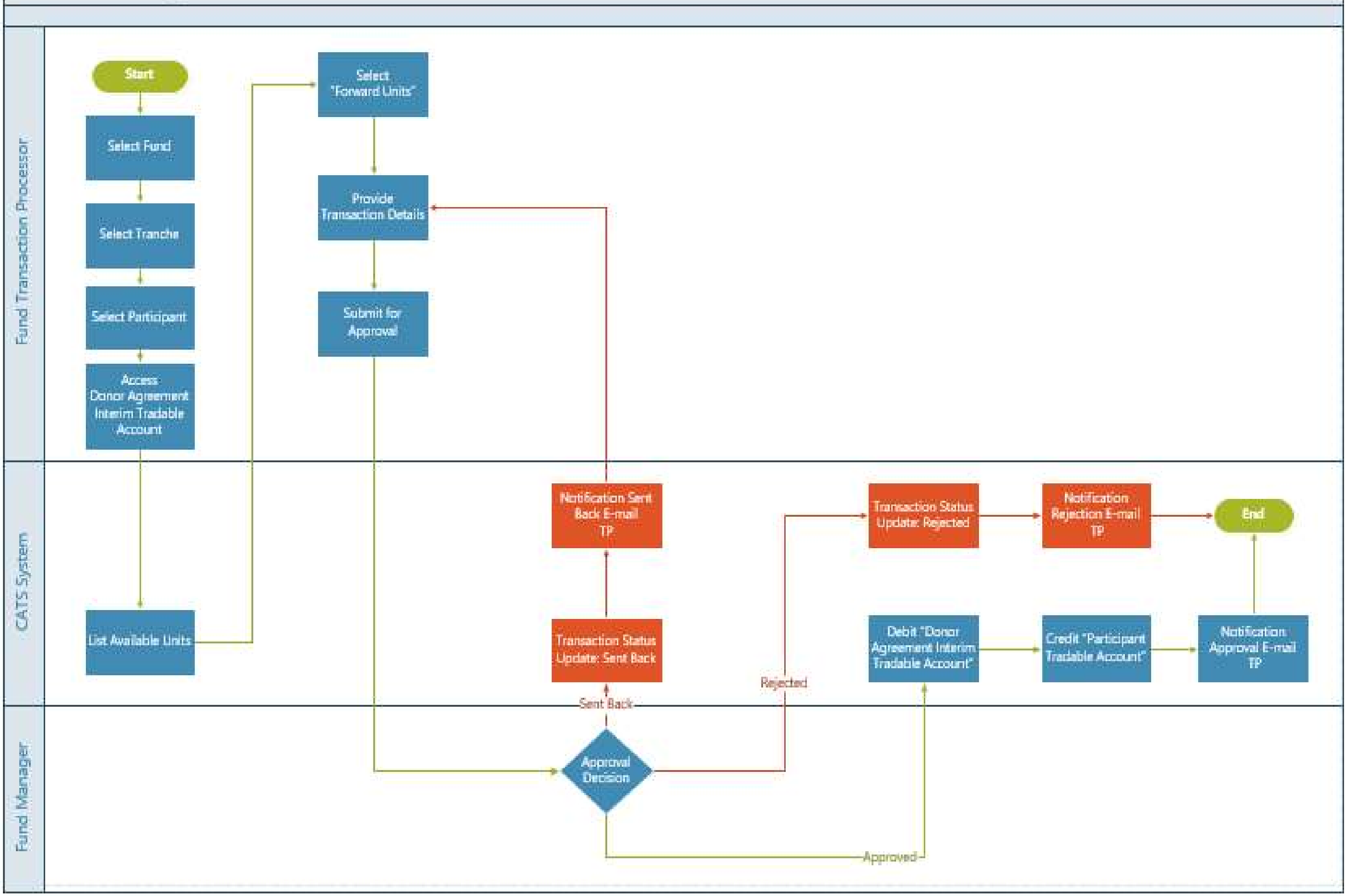
1.3.7.2. View Activity

Title	Description	Fields to be included on page	Acceptance Criteria
Tranche Non-Tradable Account - View Activity - TNTA_US 2	Given: User wants to view the transaction details activity When: 1. System should display the list of certified periods along with the Certified units' activity details at each Certifying period level and historical transactions that has taken place 2. System should also display the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved) and if there are units released from buffer Then: 1. User views the details of the certified units across the certifying periods. The User is able to view activity in detail for each certifying period 2. User is also able to view the historical units recorded and the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved)	Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Reversal Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction -System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Issuance, Uncertainty Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units	2. System should display the units that has been deducted from the account with prefix (-) and the units that has been credited to the Issuance Account with prefix (+). 3. View Activity - System should list all activities at the account level along with the listing of all activities at each Certifying period level System should display the units that has been allocated for credit / debit and which is pending for approval under Pending Transactions 4. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Issuance Account or debit from the Issuance Account 5. If it's a debit transaction: the column should show the account where the units are credited (Target Account). If it's a credit transaction: the column should show the account where the units were debited (Source Account)

1.3.8. Donor Agreement Interim Account

1.3.8.1. Interim Tradable Account - Forward Units

6.2.9.1 – Donor Agreement Interim Tradable Account

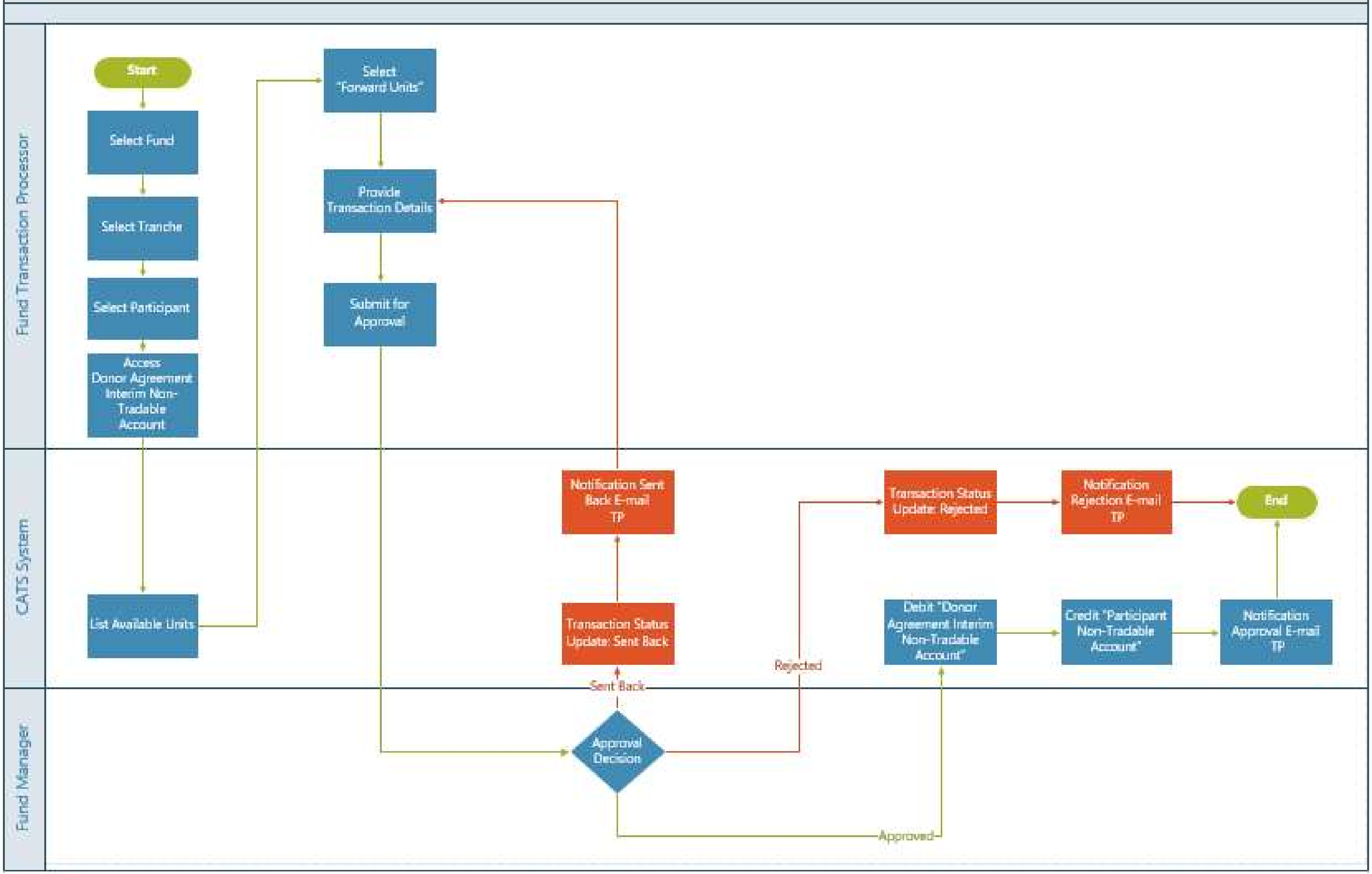


Title	Description	Fields to be included on page	Acceptance Criteria
Interim tradable Account - Forward units_US1- Submission	Given - Units have been transferred from Tranche Tradable account and is available in Donor agreement Interim tradable Account. When - 1) User (Fund transaction Processor) navigates to 'Forward Units' 2) User is displayed with set of blocks that spans across multiple certifying Period for selection and recording the number of Units planned to be transferred. Then- 1) User (Fund Transaction Processor) should be able to select multiple blocks and record the units. 2) System generated email should be triggered to submitter and approver. 3)The units from Interim tradable Account should be transferred to corresponding Participant's Tradable Account.	Grid that is displayed on the Interim tradable Account - Forward units page: 1. Allocation Trade ID - System generated 2. Program Name - Name of the program entered by user. 3. Standard - System to display this 4.Certification Period Range - System to display the available data 5.Original Certified Volume - System to display the available data 6.Balance units - System to display the balance units 7.Available units to be Forwarded - System to display the units available to be forwarded 8.Number of units to be Forwarded - User Entered number(should not enter more than available units to be forwarded) - Text box Total 9. Comments - Text box 10. Upload Feature *	1- System shouldn't allow the user to enter more than the available units. 2- User should be able to attach supporting documents to the transaction. 3- User should be able to submit the transaction for approval once all required fields are filled. 4. System generated email should be triggered to submitter and approver.

Title	Description	Fields to be included on page	Acceptance Criteria
Interim tradable Account - Forward units (Approval) - US2	Given, 1. Fund Transaction Processor submits transaction for approval once all fields are filled and transfer of units have been initiated. When, 1- Fund manager should be able to Approve, Reject or send the transaction back . Then, 1-On approval, system should debit the Donor agreement's Interim tradable account with the numbers of units planned to be transferred to the corresponding Participant's Tradable account. The Participant's Tradable account should be credited with the number of units. 2)System should send a transaction status notification email to the transaction submitter based on the approver's decision		1- In case of Approval, a. System should debit the Donor agreement's Interim tradable account with the number of units to forward and should Credit the corresponding Participant's Tradable account with the corresponding units. b. System should send a transaction status notification email to the transaction submitter based on the approver's decision 2- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Fund Transaction Processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Fund Transaction Processor

1.3.8.2. Interim Non - Tradable Account - Forward Units

6.2.9.2 – Donor Agreement Interim Non-Tradable Account



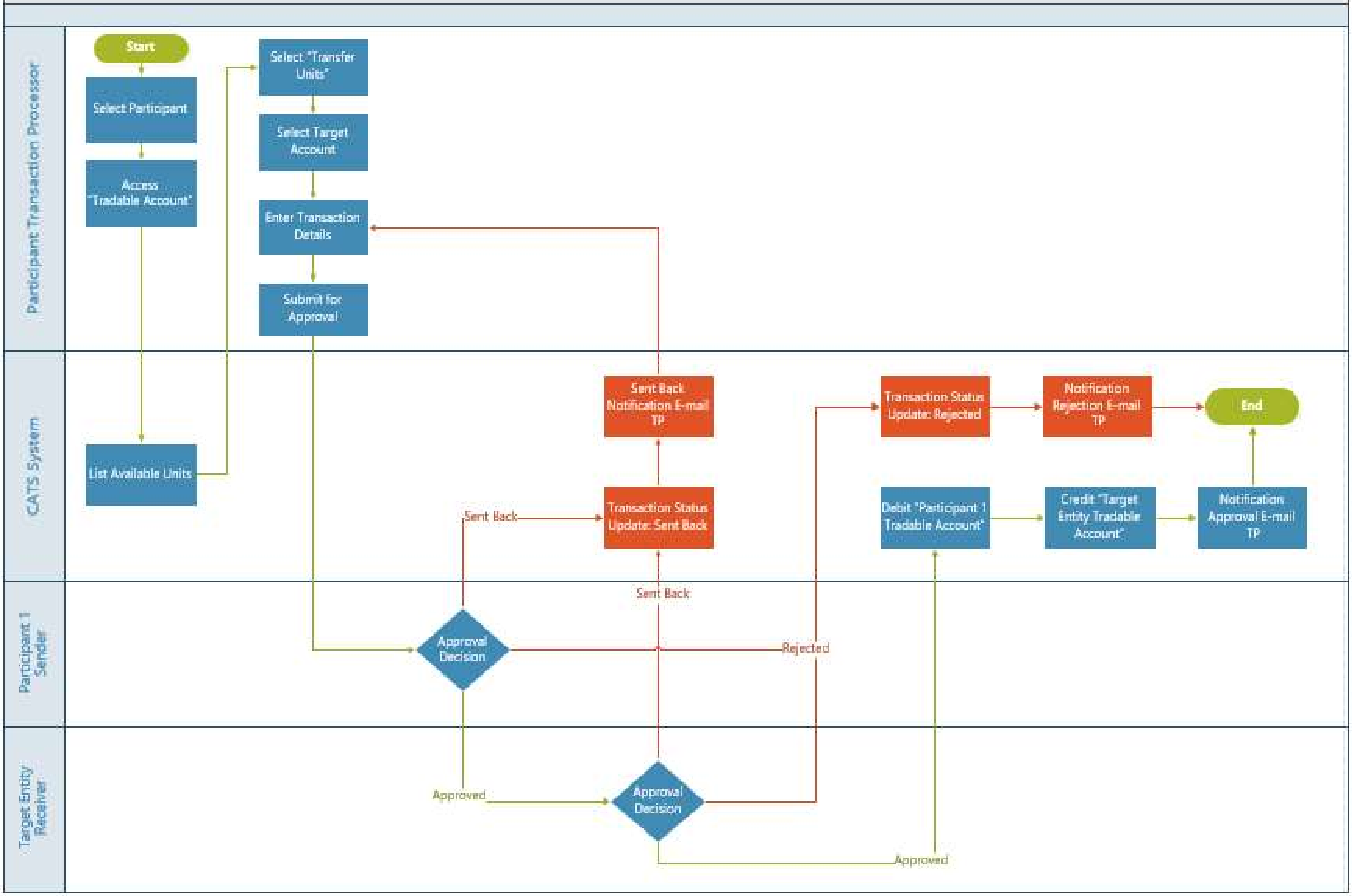
Title	Description	Fields to be included on page	Acceptance Criteria
Interim Non- Tradable Account - Forward units_US3 - Submission	Given - Units have been transferred from Tranche Non - Tradable account and is available in Donor agreement's Interim Non- Tradable Account. When - 1) User (Fund Transaction Processor) navigates to 'Forward Units' 2) User is displayed with set of blocks that spans across multiple certifying Period for selection and recording the number of Units planned to be transferred. Then- 1) User (Fund Transaction Processor) should be able to select multiple blocks and record the units. 2) System generated email should be triggered to submitter and approver. 3)The units from Interim Non - tradable Account should be transferred to corresponding Participant's Non-Tradable Account.	Grid that is displayed on the Interim Non- Tradable Account - Forward units page: 1. Allocation Trade ID - System generated 2. Program Name - Name of the program entered by user. 3. Standard - System to display this 4.Certification Period Range - System to display the available data 5.Original Certified Volume - System to display the available data 6.Balance units - System to display the balance units 7.Available units to be Forwarded - System to display the units available to be forwarded 8.Number of units to be Forwarded - User Entered number(should not enter more than available units to be forwarded) - Text box 9. Comments - Text box 10. Upload Feature *	1- System shouldn't allow the user to enter more than the available units. 2- User should be able to attach supporting documents to the transaction. 3- User should be able to submit the transaction for approval once all required fields are filled. 4. System generated email should be triggered to submitter and approver.

Title	Description	Fields to be included on page	Acceptance Criteria
Interim Non- Tradable Account - Forward units (Approval) - US4	Given, 1. Fund Transaction Processor submits transaction for approval once all fields are filled and transfer of units have been initiated. When, 1- Fund manager should be able to Approve, Reject or send the transaction back . Then, 1-On approval, system should debit the Donor agreement's Interim Non-Tradable account with the numbers of units planned to be transferred to the corresponding Participant's Non - Tradable account. The Participant's Non-Tradable account should be credited with the number of units. 2) System should send a transaction status notification email to the transaction submitter based on the approver's decision.		1- In case of Approval, a. System should debit the Donor agreement's Interim Non-Tradable account with the number of units to forward and should Credit the corresponding Participant's Non - Tradable account with the corresponding units. b. System should send a transaction status notification email to the transaction submitter based on the approver's decision 2- In case of Rejection, Transaction status should be updated as "Rejected" along with e-mail notification to Fund Transaction Processor 3- In case of transaction sent back, Transaction status should be updated as "Sent Back" along with e-mail notification to Fund Transaction Processor

1.3.9. Participant Holding Account

1.3.9.1. Participant Tradable Account - Transfer Units

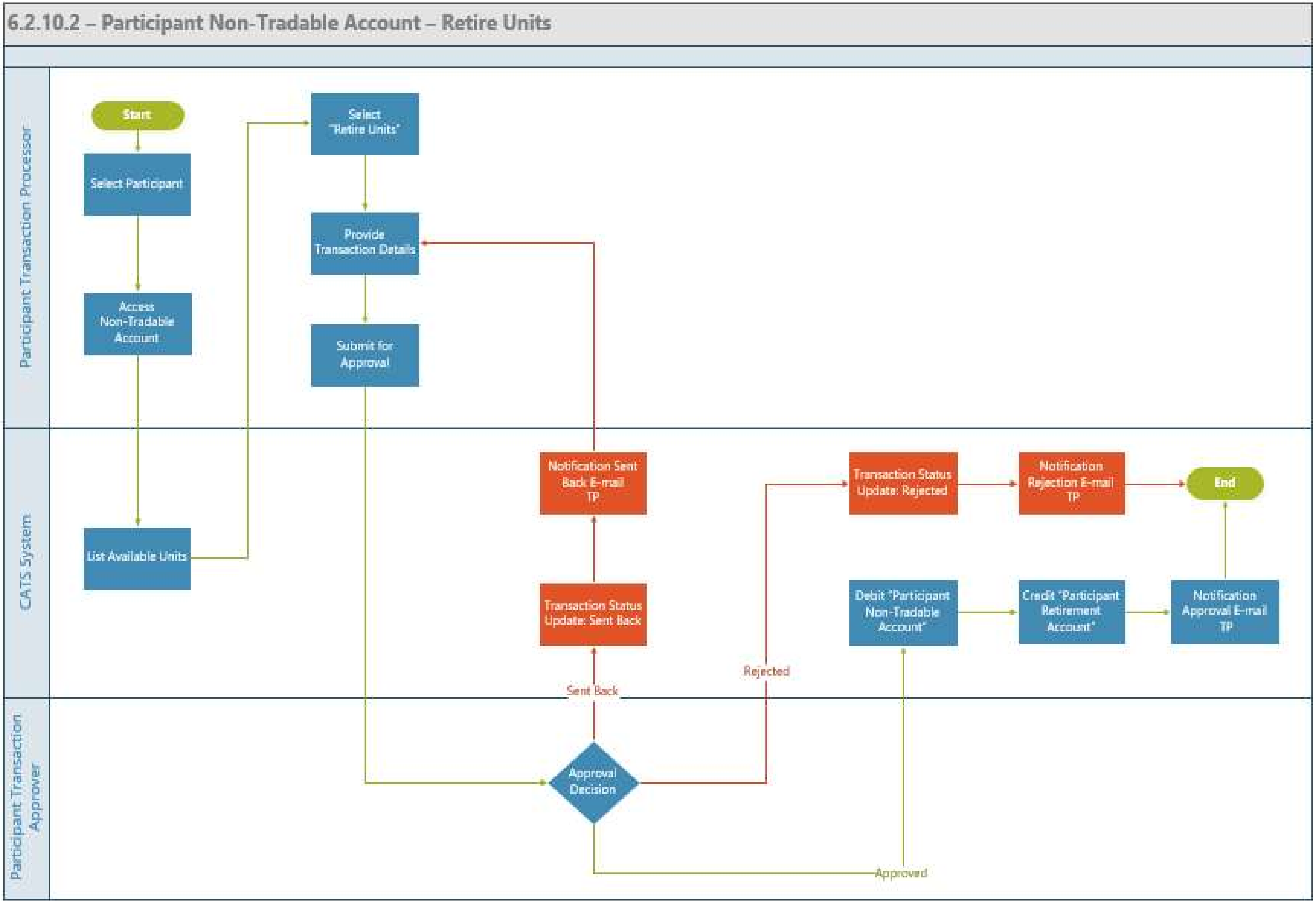
6.2.10.1 Participant Tradable Account - Transfer Units



Title	Description	Fields to be included on page	Acceptance Criteria
Participant Tradable Account - Transfer Units - PATD_US1 - Submission	Given, 1. Units have been transferred from Interim Account and is available in the Participant Tradable Account (e.g.; Participant 1). Transaction Processor / Approver can transfer units to any other entity's Tradable Account (Participant, Third Party, e.g.; Participant 2) When, 1- User (Participant Transaction Processor 1) selects the entity to transfer the units. User should also be able to change the entity that was selected, the system should provide a link to change the entity 2. User is displayed with set of blocks that spans across multiple certifying Period for selection and recording the number of Units planned to be transferred Then 1- System should display blocks of the units available for participant allocation 2- User should be able to select multiple blocks and record the units 3. System generated email should be triggered to approver and submitter	My Portfolio -> Participants -> List of participants for selection 1. Selected Entity - System should display the selected Participant / Third Party /Program tradable account 2. 'Change Entity' - Link should be made available for the user to change the entity Grid that is displayed while transferring of units Allocation Trade ID - System to display this as text Program - System to display this as text Certification Period Range - System to display this as text Standard - System to display this Balance Units - System to display this Available units to be transferred- System to display this as text Number of units for transfer	1- System shouldn't allow the user to enter beyond the total value available for allocation 2-User should be able to attach supporting documents to the transaction. 3- User should be able to submit the transaction for approval once all required fields are filled. 4. System generated email should be triggered to Third Party Approvers (Source, Target and WB Admin) of the Third party account to credit / debit the units
Participant Tradable Account - Transfer Units (Approval) -	Given, 1. Transfer of units has been initiated		1- System should Debit the Participant 1 tradable account with the numbers of

Title	Description	Fields to be included on page	Acceptance Criteria
PATD_US2	and system generated email has been triggered to Participant approver, Participant approver (Receiving account) and WB Admin (or Fund Manager). When, 1- Participant approver (Source account), Participant approver (Receiving account) and WB Admin (or Fund Manager) should be able to Approve, Reject or send the transaction back Then, 1-On approval, System should Debit the Participant 1 tradable account with the numbers of units planned to be transferred to Participant 2 tradable account. The Participant 2 tradable account should be credited with the number of units		units planned to be transferred to Participant 2 tradable account. The Participant 2 tradable account should be credited with the number of units 2. System should generate and send a transaction status notification email to the transaction submitter based on the approver decision.

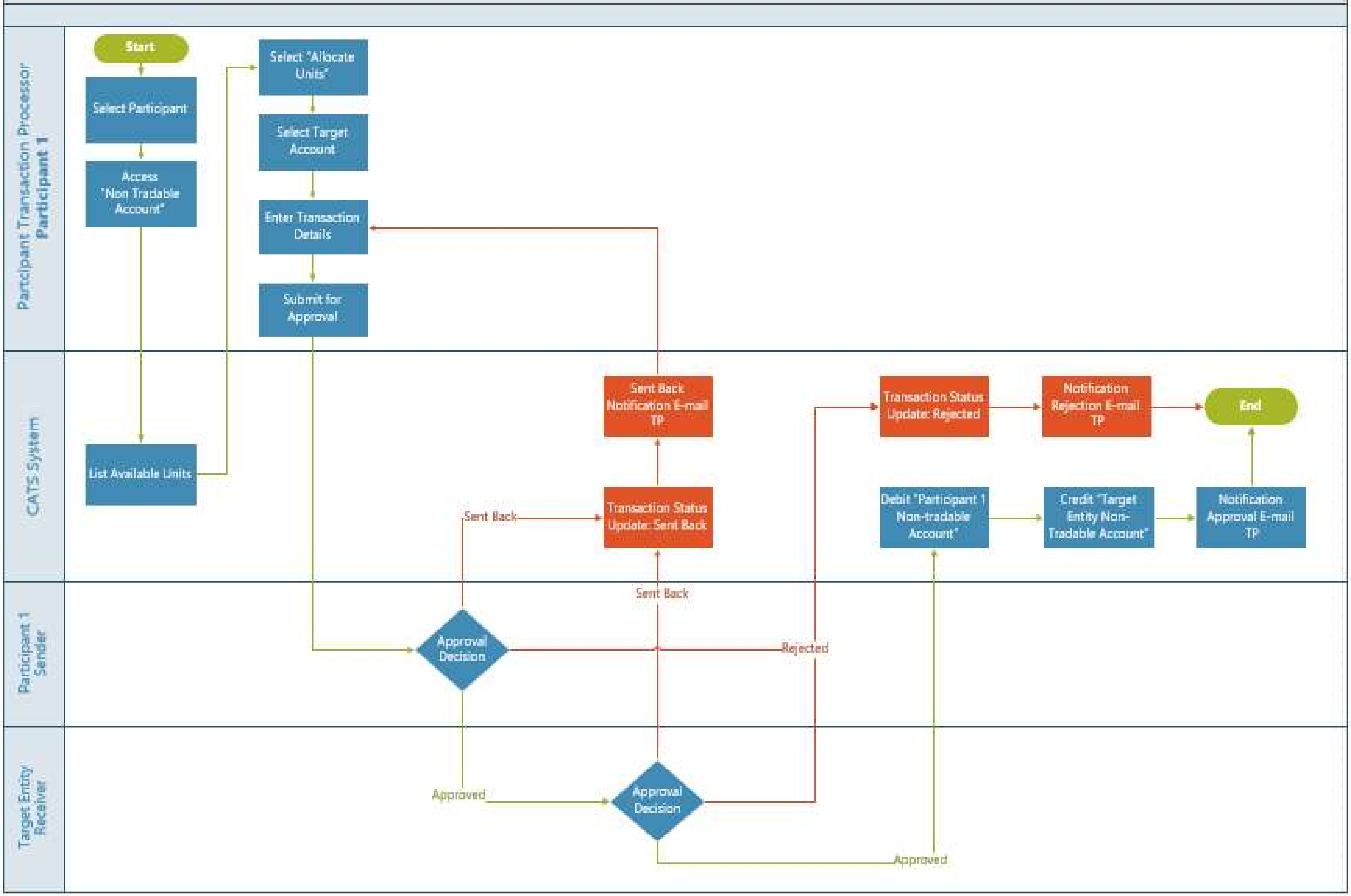
1.3.9.2. Participant Non-Tradable Account - Retire Units


6.2.10.2 – Participant Non-Tradable Account – Retire Units
Participant Transaction Processor
CATS System
Participant Transaction Approver
Start
Select Participant
Access Non-Tradable Account
List Available Units
Select "Retire Units"
Provide Transaction Details
Submit for Approval
Approval Decision
Sent Back
Transaction Status Update: Sent Back
Notification Sent Back E-mail TP
Rejected
Transaction Status Update: Rejected
Notification Rejection E-mail TP
End
Approved
Debit "Participant Non-Tradable Account"
Credit "Participant Retirement Account"
Notification Approval E-mail TP

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Non-Tradable Account - Retire Units - PATD_US 3	Given, 1. Units are available in Participant non-tradable account and which cannot be used for trade and transaction processor / approver retires the units When Approver / Processor selects "Retire Units' and this is sent for approval to the Approver(First approver - Participant Transaction Approver and Second approver - WB Admin) of the Participant account Then System generated email is sent to the approver for approval. System generated email is sent to submitter on the approval status	Grid that is displayed while transferring of units Allocation Trade ID Program Certification Period Range Standard Balance Units Available units to be retired Number of units for transfer Number of Units to retire - Text box	On approval, system should credit the Participant Retirement Account with the units and debit the Participant non-Tradable Account

1.3.9.3. Participant Non-Tradable Account – Allocate Units

6.2.10.3 Participant Non-Tradable Account - Allocate Units



Title	Description	Fields to be included on page	Acceptance Criteria
Participant Non-Tradable Account - Transfer Units - US4	Given, 1. Units have been transferred from Interim Account and is available in the Participant Non -Tradable Account (e.g.; Participant 1). Transaction Processor / Approver can transfer units to any Program's non-tradable account (Program When, 1- User (Participant Transaction Processor) selects the Program to transfer the units. 2. User is displayed with set of blocks that spans across multiple certifying Period for selection and recording the number of Units planned to be transferred Then 1- System should display blocks of the units available for transfer 2- User should be able to select multiple blocks and record the units 3. System generated email should be triggered to approver and submitter	1. Select a Program to transfer - System should display the programs available Grid that is displayed while transferring of units Allocation Trade ID Program Certification Period Range Standard Balance Units Available units to be transferred Number of units for transfer	1- System shouldn't allow the user to enter beyond the total value available for allocation 2- User should be able to attach supporting documents to the transaction. 3- User should be able to submit the transaction for approval once all required fields are filled. 4. System generated email should be triggered to Participant Approver (Source account), Program Approver (Receiving account) and WB Admin(or Fund Manager) to credit / debit the units.

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Non-Tradable Account - Transfer Units (Approval) - US5	Given, 1. Transfer of units has been initiated and system generated email has been triggered to Participant Approver, Program Approver (Receiving account) and WB Admin (or Fund Manager) When, 1- Approvers (Participant Approver, Program Approver and WB Admin (or Fund Manager)) approves the transaction, submit the transaction for approval once all required fields are filled Then, 1-Approvers (Participant Approver, Program Approver and WB Admin (or Fund Manager)) should be able to take one of the following actions: a. Approve the transaction b. Reject the transaction c. Send the transaction back		1- System should Debit the Participant 1 non-tradable account with the numbers of units planned to be transferred to Program non-tradable account. The Program non-tradable account should be credited with the number of units 2. System should generate and send a transaction status notification email to the transaction submitter based on the approver decision.

1.3.9.4. Participant Retirement Account - View Activity

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Retirement Account - View Activity - PARA_US 6	Given: User wants to view the activity in the Retirement account When: 1. System should display the list of certified periods along with the retired units' activity details at each Certifying period level and historical transactions that has taken place 2. System should also display the transaction details about the 'Retired Units' along with the transaction status (Pending for approval, Approved) Then: 1. User views the details of the retired units across the certifying periods. The User is able to view activity in detail for each certifying period 2. User is also able to view the historical units recorded and the transaction details about the 'retired Units' along with the transaction status (Pending for approval, Approved)	Grid that is displayed: Retirement ID - System auto generated ID Program - name of the program Certifying Period Range - Start date and End Date Standard - System will display the standard Retired Units - System will display the available retired units Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Reversal Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Issuance, Uncertainty Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units	1. System should display the units that has been deducted from the account with prefix (-) and the units that has been credited to the Retirement Account with prefix (+). 2. View Activity - System should list all activities at the account level along with the listing of all activities at each Certifying period level System should display the units that has been allocated for credit / debit and which is pending for approval under Pending Transactions 3. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Issuance Account or debit from the Issuance Account 4. If it's a debit transaction: the column should show the account where the units are credited (Target Account). If it's a credit transaction: the column should show the account where the units were debited (Source Account)

1.3.9.5. Participant Cancellation Account - View Activity

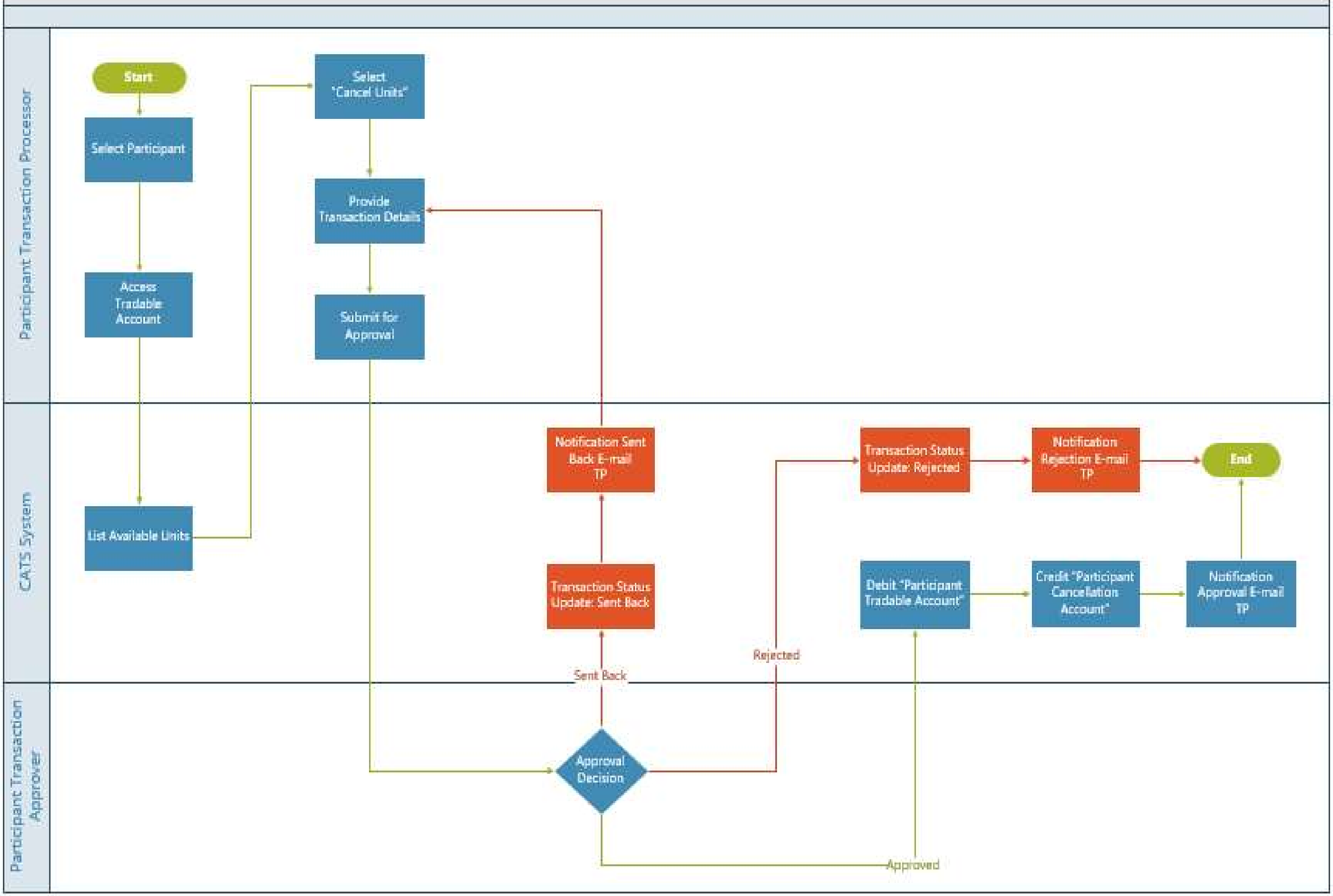
Title	Description	Fields to be included on page	Acceptance Criteria
Participant Cancellation Account PACA_US 7 - View Activity	Given: User wants to view the cancelled units in the participant cancellation account When: 1. System should display the total cancelled units on the tile and should be listed by their corresponding certifying periods 2. System should also display the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved) and if there are units released from buffer Then: 1. User views the details of the cancelled units at certifying period level 2. User also views the history of Units cancelled across the ERU class	Cancellation Account Page 1.Cancellation ID - System generated 2.Certifying Period Range - System display of the recorded Certifying period 3. Program - System displays the program 4. Standard - System displays the Standard 3.Cancelled Units - System display of the number of cancelled units "View Activity" functionality is provided at the Certifying period level Cancelled Units - View History - displays list of Certifying periods and Cancelled Units in the Cancellation Account historically	1. The system should display the total number of cancelled units for the participant account and should also view activity at certifying period level. System should display the units that has been credited into the account with a with prefix (+)

1.3.9.6. Participant Interim Account

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Interim Account PAIA_US 8	Given: User wants to view the units available in the participant Interim account (s) (depending on Donor Agreement Interim Account type - Tradable, Non-tradable) When- 1. System should display the total number of units on the tile (should be a read only card) 2. The units displayed would be the units left after transferred from Donor Agreement Interim tradable/ Non-Tradable account to Participant Tradable / Non-Tradable account. Then- 1. User views the total number of units		The total number of units displayed in the Interim Account Tile in Participant Tab should be the same as that is available under Donor Agreement Interim Account type.

1.3.9.7. Participant Tradable Account - Cancel Units

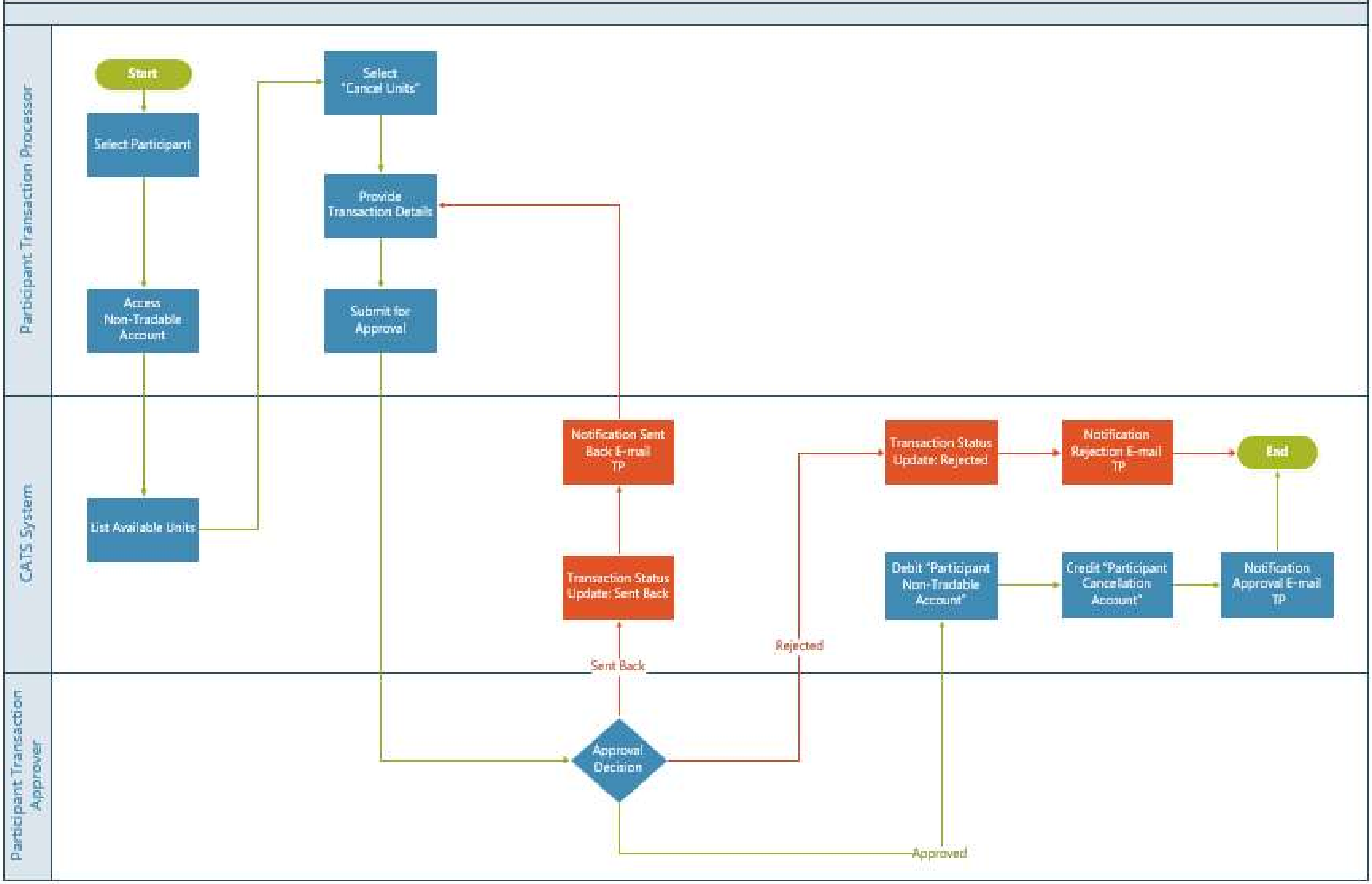
6.2.10.7 – Participant Tradable Account – Cancel Units



Title	Description	Fields to be included on page	Acceptance Criteria
Participant Tradable Account - Cancel Units - US 9	Given: There are Certified Units in the Participant tradable account and the User wants to cancel the 'Certified Units' from one or more certified periods from the Participant tradable Account When: 1. System should display the list of certified periods along with the Certified Units at the participant account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to the approvers (First Approver - Participant Transaction Approver and Second Approver - WB Admin) for performing one of the actions (Approval, Reject, or Send back the transaction)	Grid that is displayed on the cancellation page 1.Issuance ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Certified Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to cancel - System calculated value 6.Number of units to be cancelled - User Entered number - Text box 7. Comments - Text box	1. The number of units to be cancelled should be less or equal to number of "Available units to be cancelled" 2. System generated email is triggered to approver

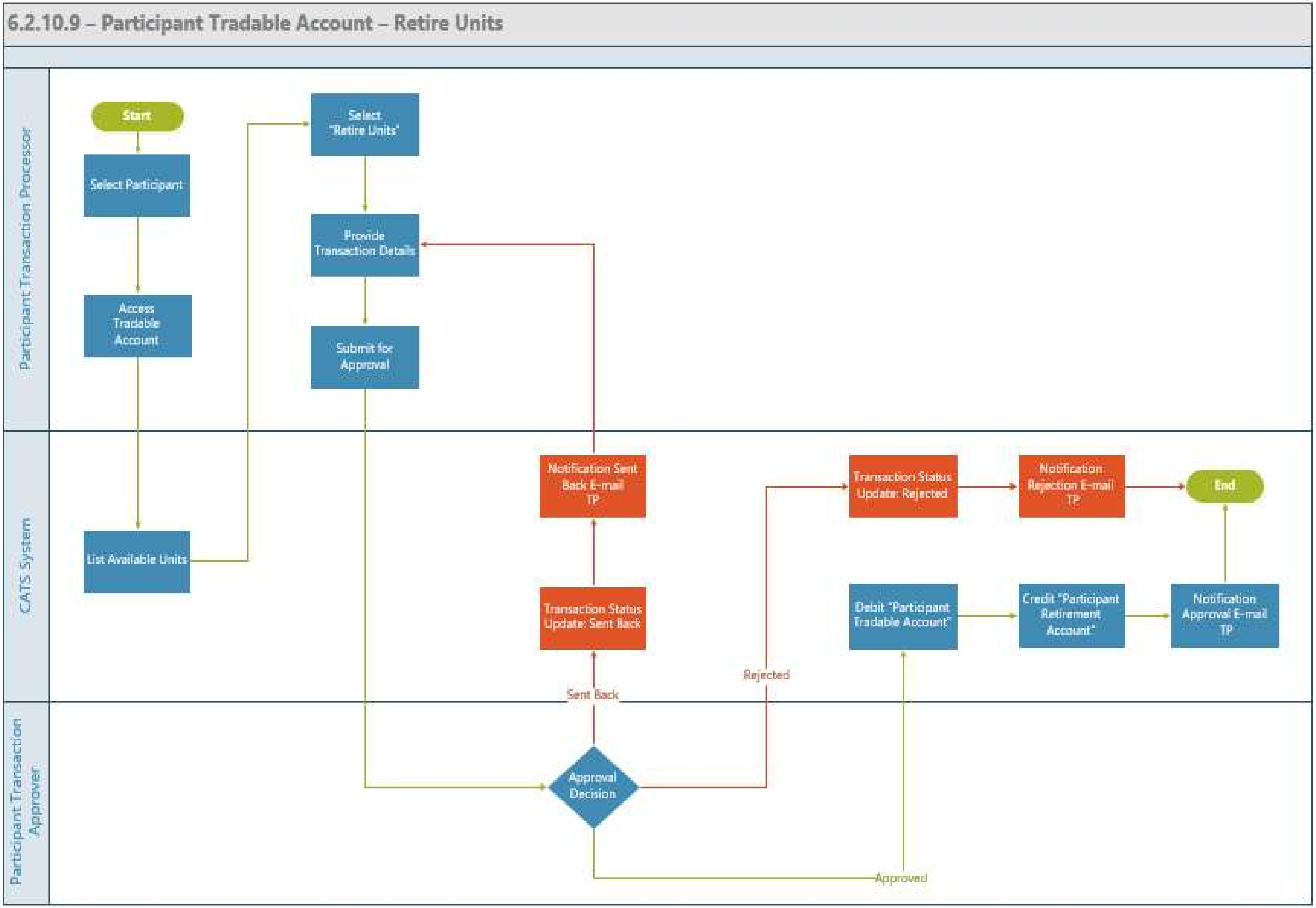
1.3.9.8. Participant Non-Tradable Account - Cancel Units

6.2.10.8 – Participant Non-Tradable Account – Cancel Units



Title	Description	Fields to be included on page	Acceptance Criteria
Participant Non-Tradable Account - Cancel Units - US 10	Given: There are Certified Units in the Participant Non-tradable account and the User wants to cancel the 'Certified Units' from one or more certified periods from the Participant Non-tradable Account When: 1. System should display the list of certified periods along with the Certified Units at the participant non-tradable account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to the approvers(First approver - Participant Transaction Approver and Second approver - WB Admin) for performing one of the actions (Approval, Reject, or Send back the transaction)	Grid that is displayed on the cancellation page 1.Issuance ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Certified Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to cancel - System calculated value 6.Number of units to be cancelled - User Entered number - Text box Total 7. Comments* - Text box	1. The number of units to be cancelled should be less or equal to number of "Available units to be cancelled" 2. System generated email is triggered to approver

1.3.9.9. Participant Tradable Account - Retire Units

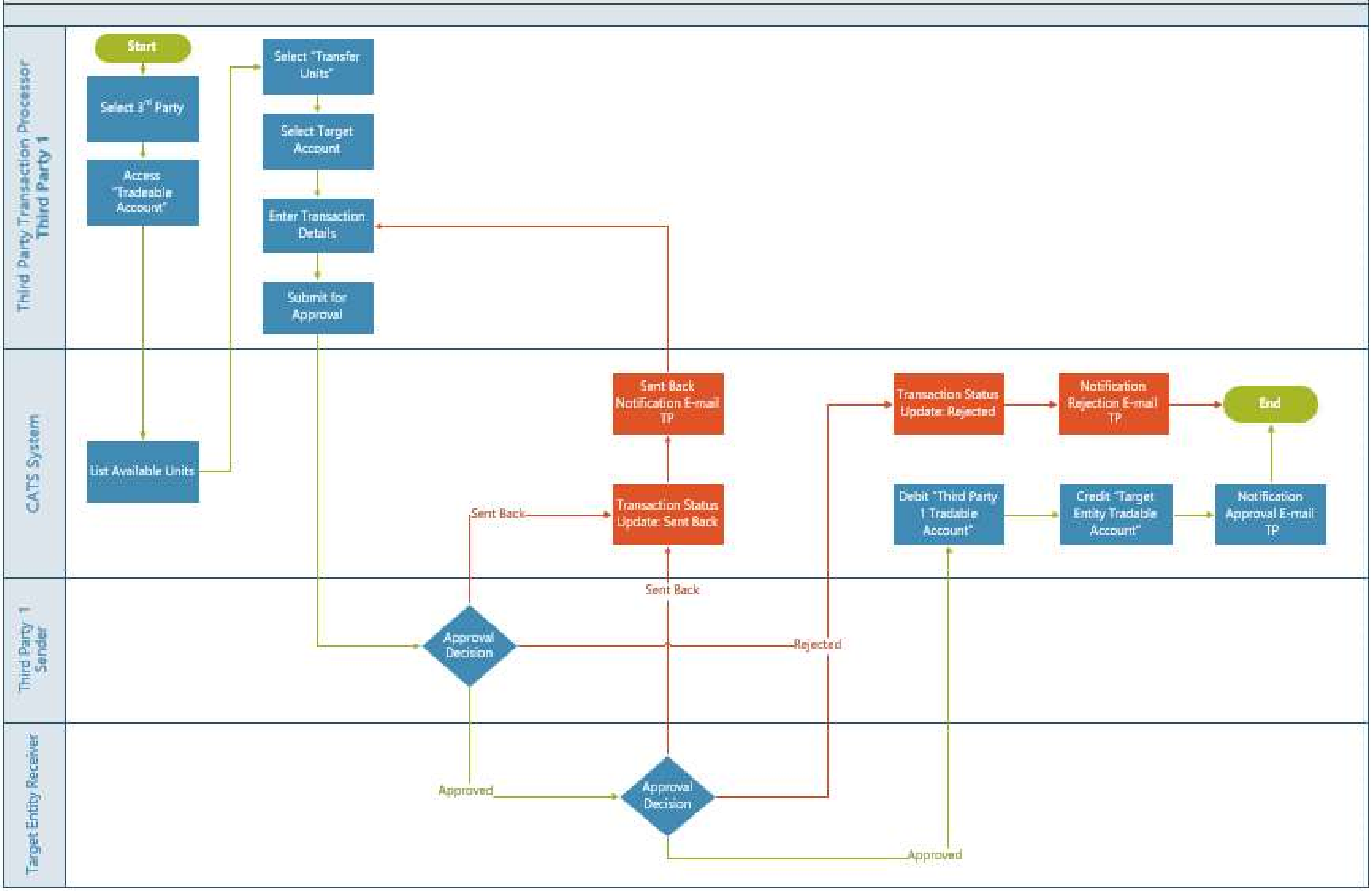

6.2.10.9 – Participant Tradable Account – Retire Units
Participant Transaction Processor
CATS System
Participant Transaction Approver
Start
Select Participant
Access Tradable Account
List Available Units
Select "Retire Units"
Provide Transaction Details
Submit for Approval
Approval Decision
Sent Back
Transaction Status Update: Sent Back
Notification Sent Back E-mail TP
Rejected
Transaction Status Update: Rejected
Notification Rejection E-mail TP
End
Approved
Debit "Participant Tradable Account"
Credit "Participant Retirement Account"
Notification Approval E-mail TP

Title	Description	Fields to be included on page	Acceptance Criteria
Participant Tradable Account - Retire Units - US 11	Given, 1. Units are available in Participant tradable account and which cannot be used for trade and transaction processor / approver retires the units When Approver / Processor selects "Retire Units' and this is sent for approval to the Approvers (First approver - Participant Transaction Approver and Second approver - WB Admin) of the Participant account Then System generated email is sent to the approvers (Participant Transaction Approver and WB Admin) for approval. System generated email is sent to submitter on the approval status	Grid that is displayed while transferring of units Allocation Trade ID Program Certification Period Range Standard Balance Units Available units to be retired Number of units for transfer Number of Units to retire - Text box	On approval, system should credit the Participant Retirement Account with the units and debit the Participant Tradable Account

1.3.10. Third Party Holdings Account

1.3.10.1 Third Party Tradable Account - Transfer Units

6.2.10.1 Third Party Tradable Account - Transfer Units



Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Tradable Account - Transfer Units - TPTD_US1 - Submission	Given, 1. Units are available in the Third-Party Tradable Account (e.g.; Third Party 1). Transaction Processor / Approver can transfer units to any other entity's Tradable Account (Participant, Third Party, e.g.; Participant 2) When, 1- User (Third party Transaction Processor) selects the entity to transfer the units. User should also be able to change the entity that was selected, the system should provide a link to change the entity 2. User is displayed with set of blocks that spans across multiple certifying Period for selection and recording the number of Units planned to be transferred Then 1- System should display blocks of the units available for Third Party allocation 2- User should be able to select multiple blocks and record the units 3. System generated email should be triggered to the approvers and submitter	My Portfolio -> Third Party -> List of Third parties for selection 1. Selected Entity - System should display the selected Participant / Third Party /Program tradable account 2. 'Change Entity' - Link should be made available for the user to change the entity Grid that is displayed while transferring of units Allocation Trade ID - System to display this as text Program - System to display this as text Certification Period Range - System to display this as text Standard - System to display this Balance Units - System to display this Available units to be transferred- System to display this as text Number of units for transfer	1- System shouldn't allow the user to enter beyond the total value available for allocation 2- User should be able to attach supporting documents to the transaction. 3- User should be able to submit the transaction for approval once all required fields are filled. 4. System generated email should be triggered to Third Party Approvers (Source, Target and WB Admin) of the Third-party account to credit / debit the units.
Third Party Tradable Account - Transfer Units (Approval) - TPTD_US2	Given, 1. Transfer of units has been initiated and system generated email has been triggered to Approver (Third Party 1), Participant (Participant 2) and		1- System should Debit the Third Party 1 tradable account with the numbers of units planned to be transferred to Participant 2 tradable account. The Participant 2 tradable account should be credited with the number of units

Title	Description	Fields to be included on page	Acceptance Criteria
	WB Admin or Fund Manager. When, 1- Approvers (Third party 1, Participant 2 and WB Admin) approves the transaction, submit the transaction for approval once all required fields are filled Then, 1-Approver (Third Party 1 ,Participant 2 and WB Admin) should be able to take one of the following actions: a. Approve the transaction b. Reject the transaction c. Send the transaction back		2. System should generate and send a transaction status notification email to the transaction submitter based on the approver decision.

1.3.10.2. Third Party Non-Tradable Account - Retire Units

Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Non-Tradable Account - Retire Units - TPTD_US 3	Given, 1. The transaction processor / approver decides to retire some of the units from Third Party Non-tradable account When Approver / Processor selects "Retire Units' and this is sent for approval to the Approver of the Third Party account Then System generated email is sent to the approver for approval. System generated email is sent to submitter on the approval status	Grid that is displayed while transferring of units Allocation Trade ID Program Certification Period Range Standard Balance Units Available units to be retired Number of units for transfer Number of Units to retire - Text box	On approval, system should credit the Third-Party Retirement Account with the units and debit the Third party Non-Tradable Account

1.3.10.3. Third Party Retirement Account - View Activity

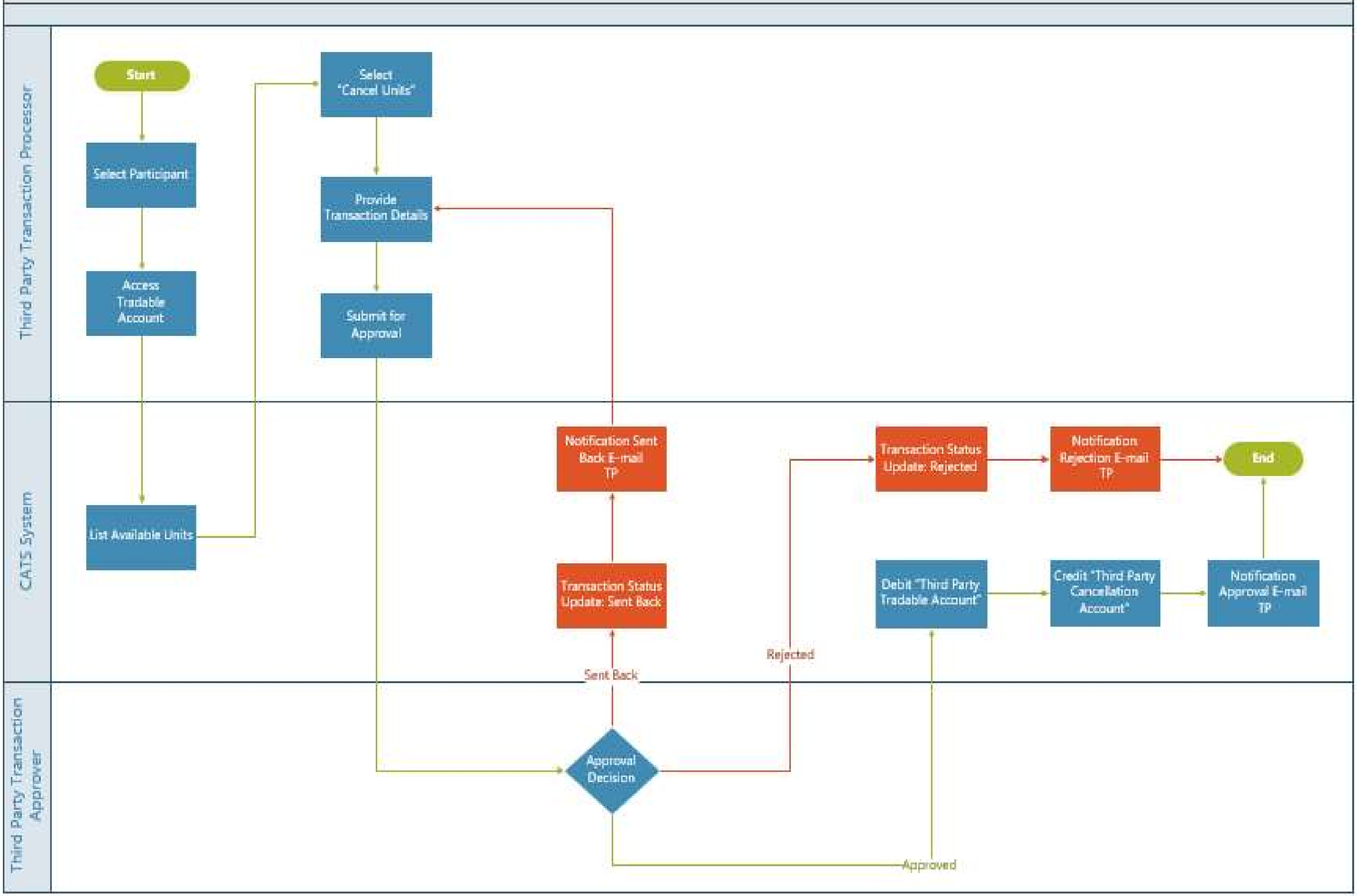
Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Retirement Account - View Activity - TPRA_US 4	Given: User wants to view the activity in the Retirement account When: 1. System should display the list of certified periods along with the retired units' activity details at each Certifying period level and historical transactions that has taken place 2. System should also display the transaction details about the 'Retired Units' along with the transaction status (Pending for approval, Approved) Then: 1. User views the details of the retired units across the certifying periods. The User is able to view activity in detail for each certifying period 2. User is also able to view the historical units recorded and the transaction details about the 'retired Units' along with the transaction status (Pending for approval, Approved)	Grid that is displayed: Retirement ID - System auto generated ID Program - name of the program Certifying Period Range - Start date and End Date Standard - System will display the standard Retired Units - System will display the available retired units Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Reversal Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Issuance, Uncertainty Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units	1. System should display the units that has been deducted from the account with prefix -) and the units that has been credited to the Retirement Account with prefix (+). 2. View Activity - System should list all activities at the account level along with the listing of all activities at each Certifying period level System should display the units that has been allocated for credit / debit and which is pending for approval under Pending Transactions 3. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Issuance Account or debit from the Issuance Account 4. If it's a debit transaction: the column should show the account where the units are credited (Target Account). If it's a credit transaction: the column should show the account where the units were debited (Source Account) 5. If it's a debit transaction: the column should show the account where the units are credited (Target Account). If it's a credit transaction: the column should show the account where the units were debited (Source Account)

1.3.10.4. Third-party Cancellation Account – View Activity

Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Cancellation Account TPCA_US 5 - View Activity	Given: User wants to view the cancelled units in the Third-Party cancellation account When: 1. System should display the total cancelled units on the tile and should be listed by their corresponding certifying periods 2. System should also display the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved) and if there are units released from buffer Then: 1. User views the details of the cancelled units at certifying period level 2. User also views the history of Units cancelled across the ERU class	Cancellation Account Page 1.Cancellation ID - System generated 2.Certifying Period Range - System display of the recorded Certifying period 3. Program - System displays the program 4. Standard - System displays the Standard 3.Cancelled Units - System display of the number of cancelled units "View Activity" functionality is provided at the Certifying period level Cancelled Units - View History - displays list of Certifying periods and Cancelled Units in the Cancellation Account historically	1. The system should display the total number of cancelled units for the participant account and should also view activity at certifying period level. System should display the units that has been credited into the account with a with prefix (+) 2. If it's a debit transaction: the column should show the account where the units are credited (Target Account).If it's a credit transaction: the column should show the account where the units were debited (Source Account)

1.3.10.5. Third Party Tradable Account - Cancel Units

6.2.11.4 – Third Party Tradable Account – Cancel Units



Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Tradable Account - Cancel Units - US 6	Given: There are Certified Units in the third party tradable account and the User wants to cancel the 'Certified Units' from one or more certified periods from the third party tradable Account When: 1. System should display the list of certified periods along with the Certified Units at the participant account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to the approvers (Third Party Transaction Approver and WB Admin) for performing one of the actions (Approval, Reject, or Send back the transaction)	Grid that is displayed on the cancellation page 1.Issuance ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Certified Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to cancel - System calculated value 6.Number of units to be cancelled - User Entered number - Text box Total 7. Comments - Text box	1. The number of units to be cancelled should be less or equal to number of "Available units to be cancelled" 2. System generated email is triggered to the approvers (Third Party Transaction Approver and WB Admin).

1.3.10.6. Third Party Non-Tradable Account - Cancel Units

Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Non-Tradable Account - Cancel Units - US 7	Given: There are Certified Units in the Third Party Non-tradable account and the User wants to cancel the 'Certified Units' from one or more certified periods from the Third party Non-tradable Account When: 1. System should display the list of certified periods along with the Certified Units at the participant non-tradable account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to approver for performing one of the actions (Approval, Reject, or Send back the transaction)	Grid that is displayed on the cancellation page 1.Issuance ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Certified Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to cancel - System calculated value 6.Number of units to be cancelled - User Entered number - Text box 7. Comments - Text box	1. The number of units to be cancelled should be less or equal to number of "Available units to be cancelled" 2. System generated email is triggered to approver

1.3.10.7. Third Party Non-Tradable Account - Transfer Units

Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Non-Tradable Account - Transfer Units - US 8	Given, 1. Units are available in the Third Party Non-Tradable Account (e.g.; Third Party 1). Transaction Processor / Approver can transfer units to any other entity's non-Tradable Account (Participant, Third Party, e.g..; Participant 2) When, 1- User (Fund Transaction Processor 1) selects the entity to transfer the units. User should also be able to change the entity that was selected, the system should provide a link to change the entity 2. User is displayed with set of blocks that spans across multiple certifying Period for selection and recording the number of Units planned to be transferred Then 1- System should display blocks of the units available for Third Party allocation 2- User should be able to select multiple blocks and record the units 3. System generated email should be triggered to approver and submitter	My Portfolio -> Third Party -> List of Third parties for selection 1. Selected Entity - System should display the selected Participant / Third Party /Program tradable account Grid that is displayed while transferring of units Allocation Trade ID - System to display this as text Program - System to display this as text Certification Period Range - System to display this as text Standard - System to display this Balance Units - System to display this Available units to be transferred- System to display this as text Number of units for transfer	1- System shouldn't allow the user to enter beyond the total value available for allocation 2- User should be able to attach supporting documents to the transaction. 3- User should be able to submit the transaction for approval once all required fields are filled. 4. System generated email should be triggered to approver (participant 1) and the approver (participant 2) of the participant account to credit / debit the units

Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Non-Tradable Account - Transfer Units - US 8 (Approval)	Given, 1. Transfer of units has been initiated and system generated email has been triggered to Approver (Participant 1) and Approver (Participant 2) When, 1- Approvers (Participant 1 and 2) should be able to Approve, Reject or send the transaction back Then, 1-On approval, System should Debit the Participant 1 non-tradable account with the numbers of units planned to be transferred to Participant 2 non-tradable account. The Participant 2 non-tradable account should be credited with the number of units		1- System should Debit the Third Party 1 non-tradable account with the numbers of units planned to be transferred to Participant 2 non-tradable account. The Participant 2 non-tradable account should be credited with the number of units 2. System should generate and send a transaction status notification email to the transaction submitter based on the approver decision.

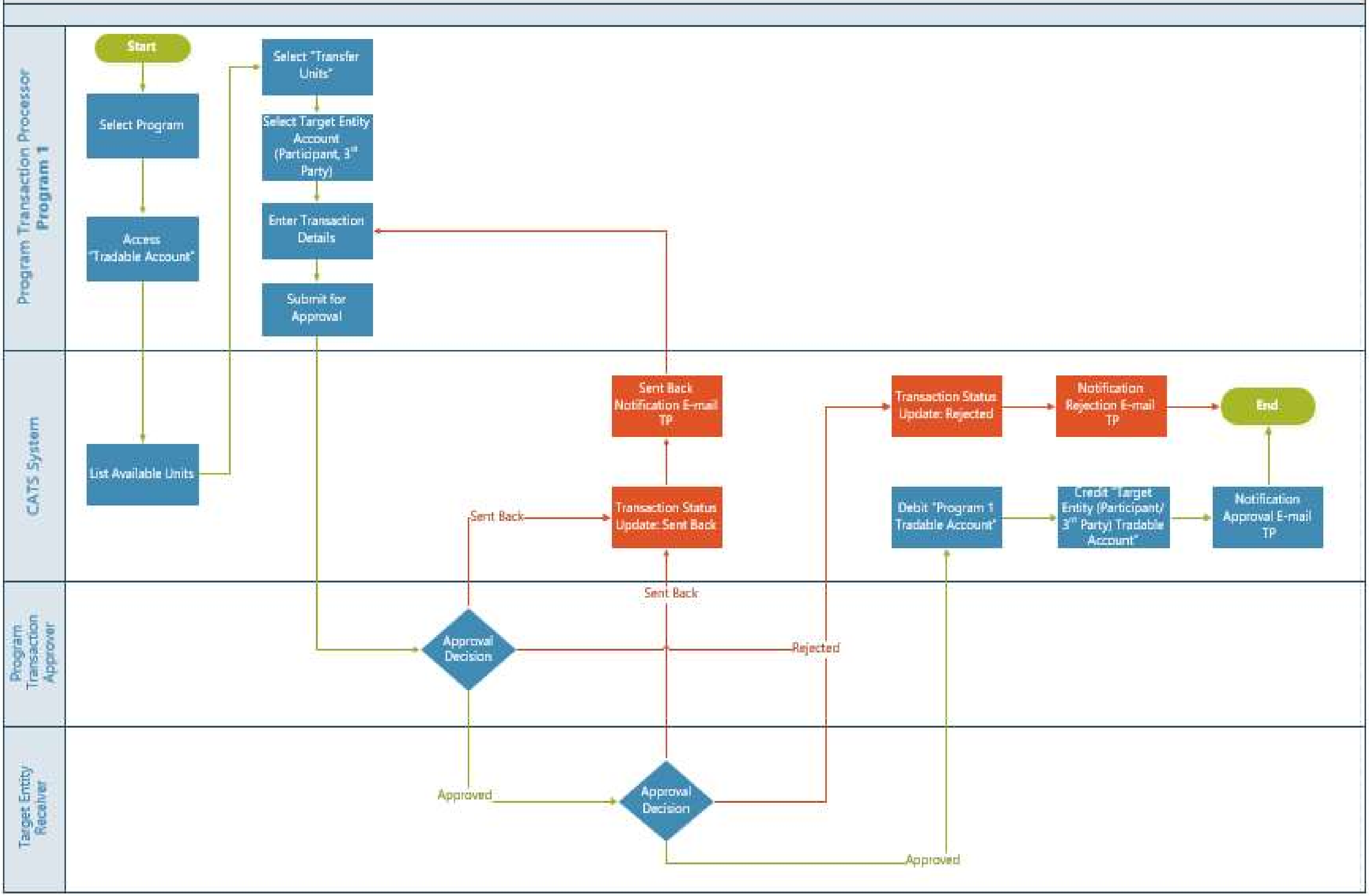
1.3.10.8. Third Party Tradable Account - Retire Units

Title	Description	Fields to be included on page	Acceptance Criteria
Third Party Tradable Account - Retire Units - US 9	Given, 1. The transaction processor / approver decides to retire some of the units from Third Party tradable account. When : Approver / Processor selects "Retire Units' and this is sent for approval to the Approvers (Third Party Transaction Approver and WB Admin) of the Third Party account. Then: System generated email is sent to the approvers (Third Party Transaction Approver and WB Admin) for approval. System generated email is sent to submitter on the approval status	Grid that is displayed while transferring of units: Allocation Trade ID Program Certification Period Range Standard Balance Units Available units to be retired Number of units for transfer Number of Units to retire - Text box	On approval, system should credit the Third-Party Retirement Account with the units and debit the Third-party Tradable Account

1.3.11. Program Holding Account

1.3.11.1. Program Tradable Account - Transfer Units

6.2.12.1 Program Tradable Account - Transfer Units



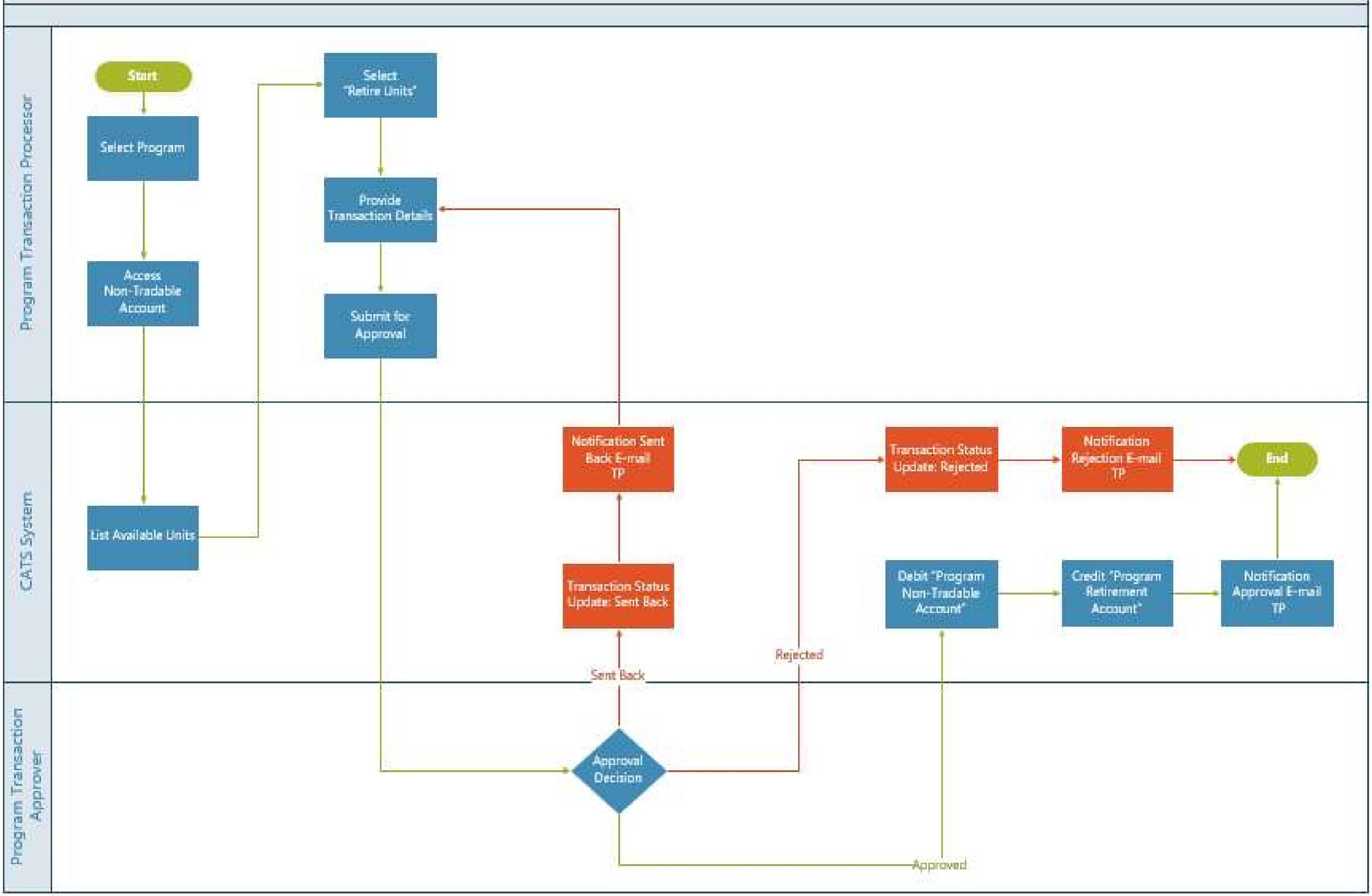
Title	Description	Fields to be included on page	Acceptance Criteria
Program Tradable Account - Transfer Units - PGTD_US1 - Submission	1. Units are available in the Program Tradable Account (e.g.; P1). Transaction Processor / Approver can transfer units to any other entity's Tradable Account (Participant, Third Party, e.g.; Participant 2) When, 1- User (Program Transaction Processor) selects the entity to transfer the units. User should also be able to change the entity that was selected, the system should provide a link to change the entity 2. User is displayed with set of blocks that spans across multiple certifying Period for selection and recording the number of Units planned to be transferred Then 1- System should display blocks of the units available for Program allocation 2- User should be able to select multiple blocks and record the units 3. System generated email should be triggered to the approvers and submitter	My Portfolio -> Program -> List of Program for selection 1. Selected Entity - System should display the selected Participant / Third Party /Program tradable account 2. 'Change Entity' - Link should be made available for the user to change the entity Grid that is displayed while transferring of units Allocation Trade ID - System to display this as text Program - System to display this as text Certification Period Range - System to display this as text Standard - System to display this Balance Units - System to display this Available units to be transferred- System to display this as text Number of units for transfer	1- System shouldn't allow the user to enter beyond the total value available for allocation 2- User should be able to attach supporting documents to the transaction. 3- User should be able to submit the transaction for approval once all required fields are filled. 4. System generated email should be triggered to the approvers (Program Approver, Program Approver (Receiving account) and WB Admin (or Fund Manager)) of the Program's account to credit / debit the units

Title	Description	Fields to be included on page	Acceptance Criteria
Program Tradable Account - Transfer Units (Approval) - PGTD_US2	Given, 1. Transfer of units has been initiated and system generated email has been triggered to Approvers (Program 1 , Participant 2 and WB Admin) When, 1- Approvers (Program 1 , Participant 2 and WB Admin) approves the transaction, submit the transaction for approval once all required fields are filled Then, 1-Approvers (Program 1 , Participant 2 and WB Admin) should be able to take one of the following actions: a. Approve the transaction		1- System should Debit the program tradable account with the numbers of units planned to be transferred to Participant 2 tradable account. The Participant 2 tradable account should be credited with the number of units 2. System should generate and send a transaction status notification email to the transaction submitter based on the approver decision.

Title	Description	Fields to be included on page	Acceptance Criteria
	b. Reject the transaction c. Send the transaction back		

1.3.11.2. Program Non-Tradable Account - Retire Units

6.2.12.2 – Program Non-Tradable Account – Retire Units



Title	Description	Fields to be included on page	Acceptance Criteria
Program Non-Tradable Account - Retire Units - PGTD_US 3	Given, 1. transaction processor / approver decides to retire the units When Approver / Processor selects "Retire Units' and this is sent for approval to the Approvers(Program Transaction Approver and WB Admin) of the Participant account Then System generated email is sent to the approvers (Program Transaction Approver and WB Admin) for approval. System generated email is sent to submitter on the approval status.	Grid that is displayed while transferring of units Allocation Trade ID Program Certification Period Range Standard Balance Units Available units to be retired Number of units for transfer Number of Units to retire - Text box	On approval, system should credit the program retirement Account with the units and debit the Program non-Tradable Account

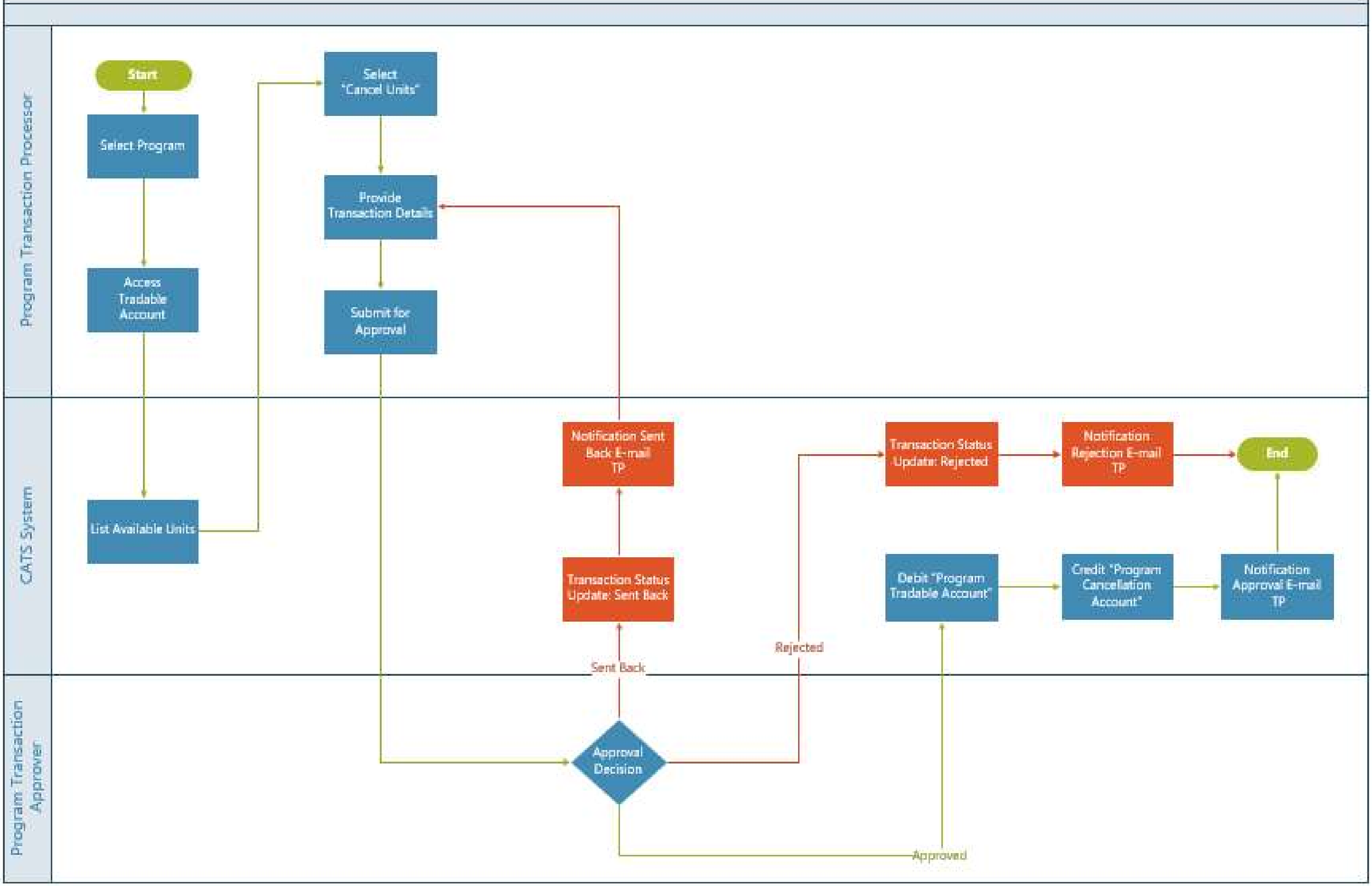
1.3.11.3. Program Retirement Account - View Activity

Title	Description	Fields to be included on page	Acceptance Criteria
Program Retirement Account - View Activity - PGRA_US 4	Given: User wants to view the activity in the Retirement account When: 1. System should display the list of certified periods along with the retired units' activity details at each Certifying period level and historical transactions that has taken place 2. System should also display the transaction details about the 'Retired Units' along with the transaction status (Pending for approval, Approved) Then: 1. User views the details of the retired units across the certifying periods. The User is able to view activity in detail for each certifying period 2. User is also able to view the historical units recorded and the transaction details about the 'retired Units' along with the transaction status (Pending for approval, Approved)	Grid that is displayed: Retirement ID - System auto generated ID Program - name of the program Certifying Period Range - Start date and End Date Standard - System will display the standard Retired Units - System will display the available retired units Pending Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Reversal Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units Approved Transactions 1. Transaction ID - System generated 2. Date of Transaction - System recorded based on the transaction performed by the user 3. Transaction Type - Cancellation, Issuance, Uncertainty Buffer 4. Status - Pending for Approval, Approved, Rejected, Sent back for Revision 5. Units - Number of units 6. Available Units	1. System should display the units that has been deducted from the account with prefix (-) and the units that has been credited to the Retirement Account with prefix (+). 2. View Activity - System should list all activities at the account level along with the listing of all activities at each Certifying period level System should display the units that has been allocated for credit / debit and which is pending for approval under Pending Transactions 3. View Activity - System should display the available units after the transaction has been approved with the corresponding credit to the Issuance Account or debit from the Issuance Account 4. If it's a debit transaction: the column should show the account where the units are credited (Target Account). If it's a credit transaction: the column should show the account where the units were debited (Source Account)

Title	Description	Fields to be included on page	Acceptance Criteria
Program Cancellation Account PGCA_US 5 - View Activity	Given: User wants to view the cancelled units in the Program cancellation account When: 1. System should display the total cancelled units on the tile and should be listed by their corresponding certifying periods 2. System should also display the transaction details about the 'Certified Units' along with the transaction status (Pending for approval, Approved) and if there are units released from buffer Then: 1. User views the details of the cancelled units at certifying period level 2. User also views the history of Units cancelled across the ERU class	Cancellation Account Page 1.Cancellation ID - System generated 2.Certifying Period Range - System display of the recorded Certifying period 3. Program - System displays the program 4. Standard - System displays the Standard 3.Cancelled Units - System display of the number of cancelled units "View Activity" functionality is provided at the Certifying period level Cancelled Units - View History - displays list of Certifying periods and Cancelled Units in the Cancellation Account historically	1. The system should display the total number of cancelled units for the program account and should also view activity at certifying period level. . System should display the units that has been credited into the account with a with prefix (+) 2. If it's a debit transaction: the column should show the account where the units are credited (Target Account). If it's a credit transaction: the column should show the account where the units were debited (Source Account)

1.3.11.4. Program Tradable Account - Cancel Units

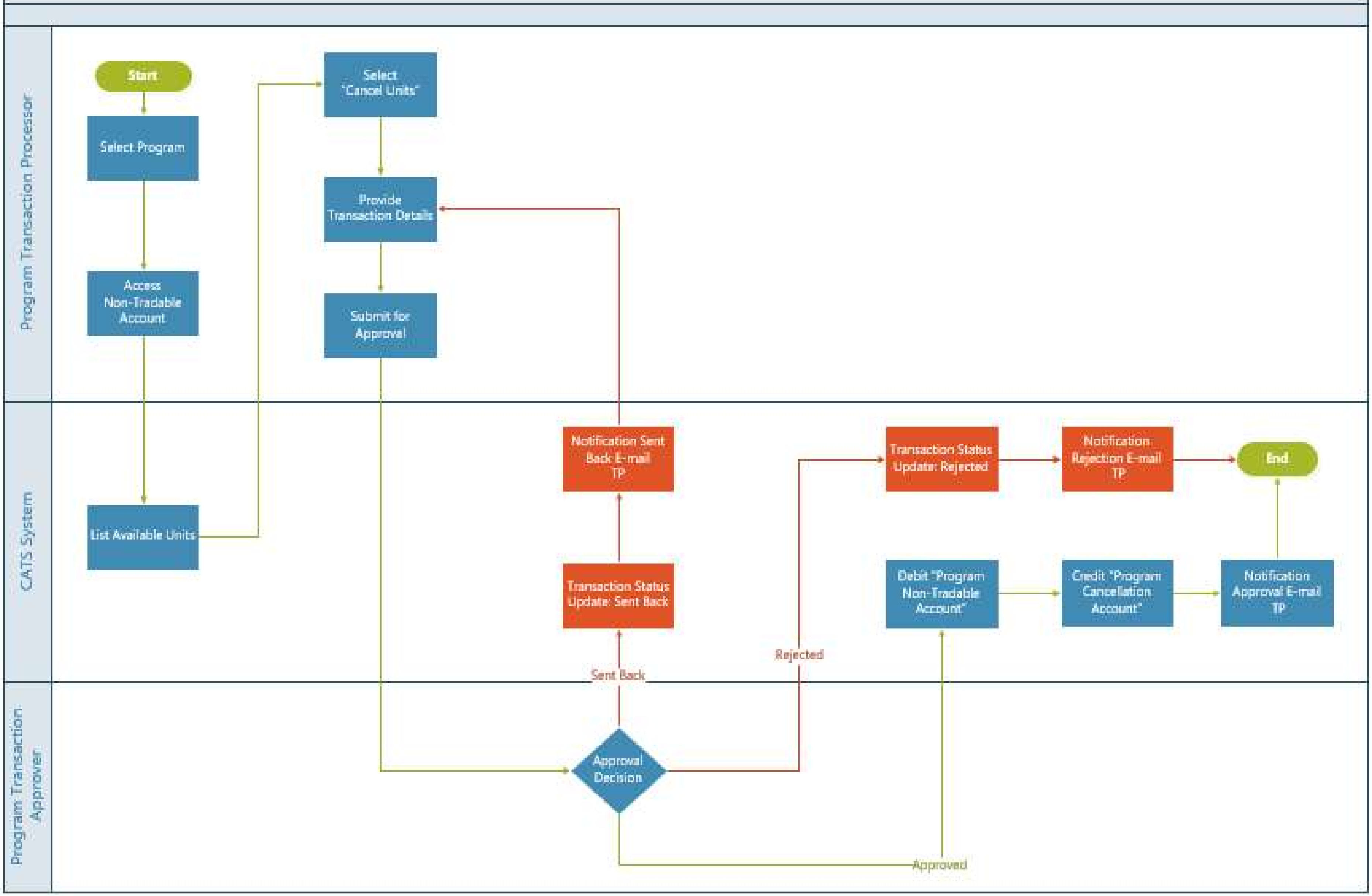
6.2.12.4 – Program Tradable Account – Cancel Units



Title	Description	Fields to be included on page	Acceptance Criteria
Program Tradable Account - Cancel Units_US7	Given: There are Certified Units in the Program tradable account and the User wants to cancel the 'Certified Units' from one or more certified periods from the Program tradable Account When: 1. System should display the list of certified periods along with the Certified Units at the program account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to the approvers(Program Transaction Approver and WB Admin) for performing one of the actions (Approval, Reject, or Send back the transaction)	Grid that is displayed on the cancellation page 1.Issuance ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Certified Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to cancel - System calculated value 6.Number of units to be cancelled - User Entered number - Text box Total 7. Comments - Text box	1. The number of units to be cancelled should be less or equal to number of "Available units to be cancelled" 2. System generated email is triggered to approvers (Program Transaction Approver and WB Admin)

1.3.11.5. Program Non-Tradable Account - Cancel Units

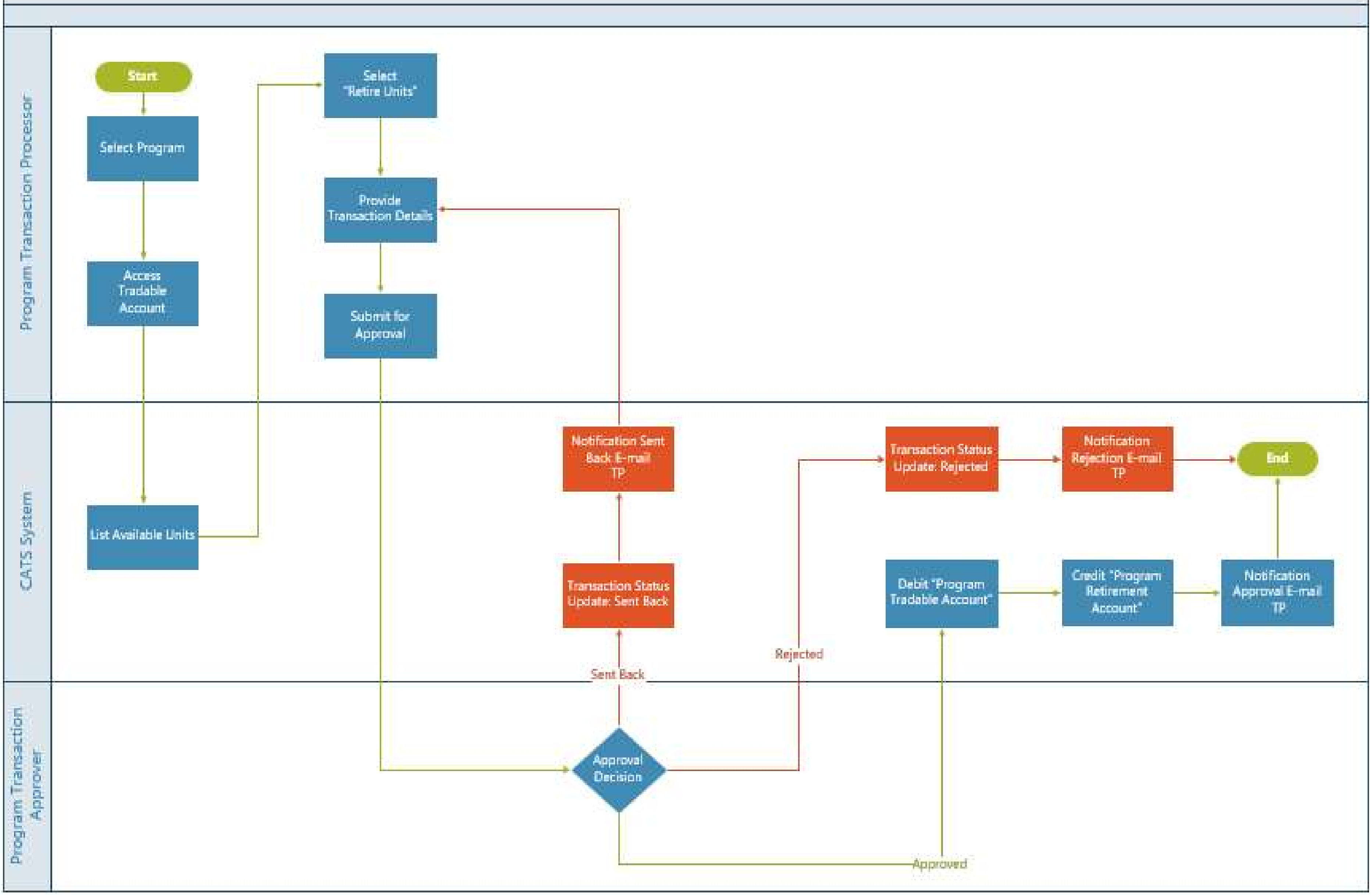
6.2.12.5 – Program Non-Tradable Account – Cancel Units



Title	Description	Fields to be included on page	Acceptance Criteria
Program Non-Tradable Account - Cancel Units - US8	Given: There are Certified Units in the Program non-tradable account and the User wants to cancel the 'Certified Units' from one or more certified periods from the Program non-tradable Account When: 1. System should display the list of certified periods along with the Certified Units at the program account level. 2.User selects one or more of the certified periods from which the units need to be cancelled 3. System should provide a text box for recording the number of units for cancellation and for the comments 4. User enters the number of units to be cancelled along with the comments and submits the transaction Then: 1. System generated email is triggered to the approvers (Program Transaction Approver and WB Admin) for performing one of the actions (Approval, Reject, or Send back the transaction)	Grid that is displayed on the cancellation page 1.Issuance ID - System generated 2.Certification Period Range - System display of reporting period 3.Original Certified Volume - System display of units recorded during this reporting Period 4.Balance units - System calculated value 5.Available units to cancel - System calculated value 6.Number of units to be cancelled - User Entered number - Text box 7. Comments - Text box	1. The number of units to be cancelled should be less or equal to number of "Available units to be cancelled" 2. System generated email is triggered to the approvers (Program Transaction Approver and WB Admin)

1.3.11.6. Program Tradable Account - Retire Units

6.2.12.6 – Program Tradable Account – Retire Units

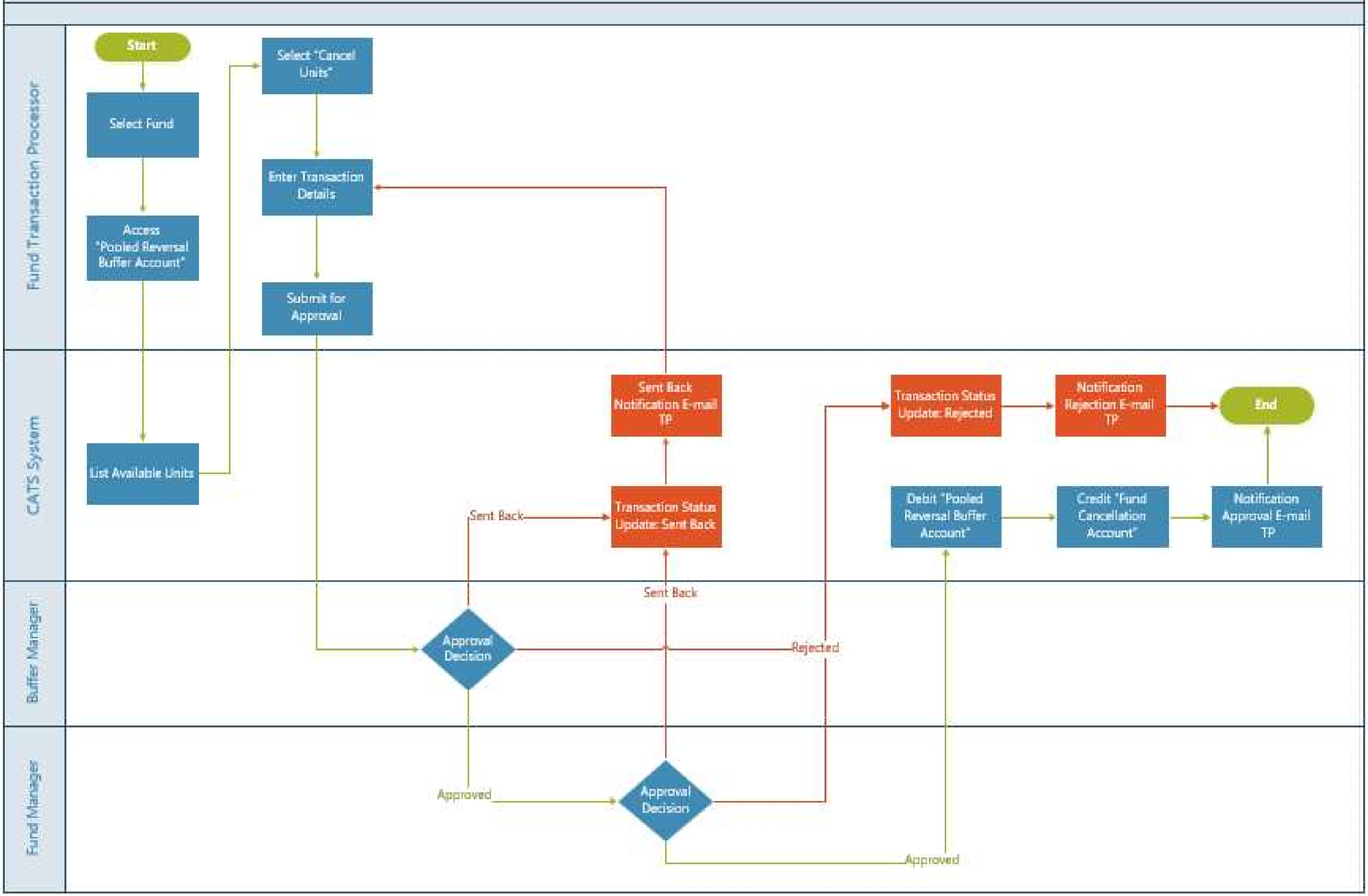


Title	Description	Fields to be included on page	Acceptance Criteria
Program Tradable Account - Retire Units - US 9	Given, 1. transaction processor / approver decides to retire the units When Approver / Processor selects "Retire Units' and this is sent for approval to the Approvers (Program Transaction Approver and WB Admin) of the Participant account Then System generated email is sent to the approvers(Program Transaction Approver and WB Admin) for approval. System generated email is sent to submitter on the approval status.	Grid that is displayed while transferring of units Allocation Trade ID Program Certification Period Range Standard Balance Units Available units to be retired Number of units for transfer Number of Units to retire - Text box	On approval, system should credit the program retirement Account with the units and debit the Program Tradable Account

1.3.12. Fund Account

1.3.12.1. Fund Account - Pooled Reversal Buffer Account (Cancel Units)

6.2.13.1 Fund Pooled Reversal Buffer Account - Cancel Units



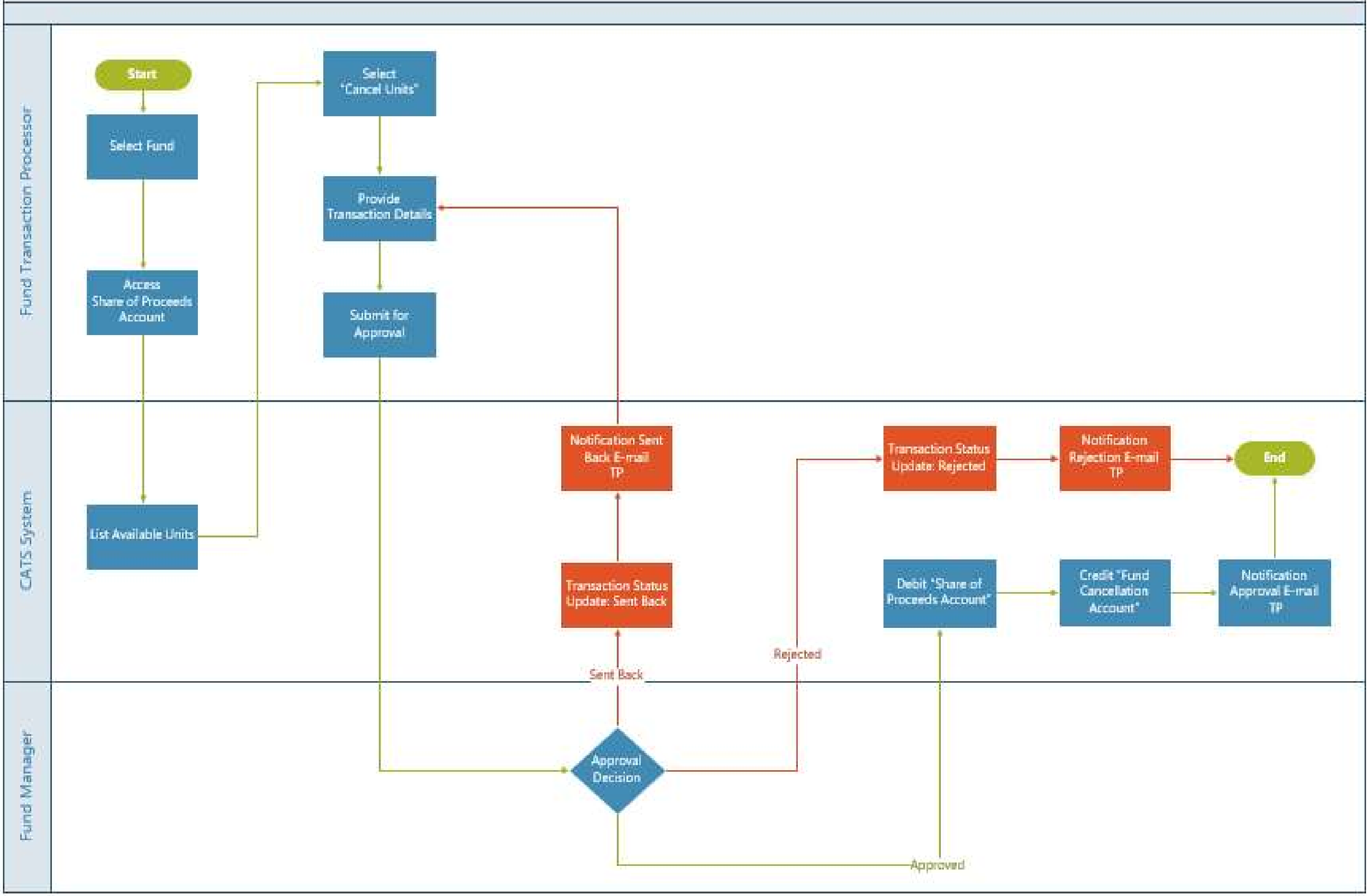
Title	Description	Fields to be included on page	Acceptance Criteria
Fund Account - Pooled Reversal Buffer Account (Cancel Units)- US 1	Given: User wants to cancel the buffer units available in Pooled Reversal Buffer Account When: The number of units available in this account should be displayed. User navigates to the Fund and navigates to 'Cancel' functionality to Cancel the units Then: System generated email is sent to the Buffer Manager and Fund Manager for approval. On approval the certified units get debited from the Pooled Reversal Buffer Account and the units get credited in the Fund Cancellation Account The certified units get debited from the Pooled Reversal Account and the units get credited in the Fund Cancellation Account	Pooled Reversal Buffer ID - System generated ID Program - System displays the associated program Certification Period Range - System to display the range Original Buffered Volume - System to display the buffered volume units Balance Units - System to display the balance units Available units to be cancelled - System to display the available units Number of units for cancellation - Text box	The certified units get debited from the Pooled Reversal Account and the units get credited in the Fund Cancellation Account on approval by Buffer Manager and Fund Manager

1.3.12.2. Fund Account - Share of Proceeds (SOP) Account (Transfer Units)

Title	Description	Fields to be included on page	Acceptance Criteria
Fund Account - Share of Proceeds (SOP) Account (Transfer Units) - US 2	Given: User wants to transfer the SOP units available to another entity When: The number of units available in this account should be displayed. User navigates to the Fund and navigates to 'transfer' to transfer the units Then: System generated email is sent to Fund Manager for approval. On approval, the certified units get debited from the SOP Account and the units get credited in the target entity account	Select an Entity to Transfer - Search box (Participant, Third Party, Program) SoP ID - System generated ID (SOP and 2 digits) Program- System to display the program Certification Period Range - System to display the range Original SoP Volume - System to display the SoP volume units Balance Units - System to display the balance units Available units to be transferred - System to display the available units Number of units to be transferred - Textbox to record the units	The certified units get debited from the SOP Account and the units get credited in the target entity account on approval by Fund Manager

1.3.12.3. Fund Account - Share of Proceeds (SOP) Account (Cancel Units)

6.2.13.3 – Fund Share of Proceeds Account – Cancel Units



Title	Description	Fields to be included on page	Acceptance Criteria
Fund Account - Share of Proceeds (SOP) Account (Cancel Units) - US 3	Given: User wants to cancel the SOP units available When: The number of units available in this account should be displayed. User navigates to the Fund -> SOP Account and navigates to 'Cancel' to cancel the units Then: System generated email is triggered to the Fund Manager for Approval. On Approval, the certified units get cancelled from the SOP Account and the units get credited in the Fund Cancellation Account	SoP ID - System generated ID (SOP and 2 digits) Program- System to display the program Certification Period Range - System to display the range Original SoP Volume - System to display the SoP volume units Balance Units - System to display the balance units Available units to be cancelled - System to display the available units Number of units to be cancelled - Textbox to record the units	The certified units get debited from the SoP Account and the units get credited in the Fund Cancellation Account on approval by the Fund Manager

1.4. Reports

1.4.1. Fund & Tranche Profile Reports

Report Purpose and brief Description:

An aggregation report that provides a snapshot at all the assets under a specific fund & tranche at certain point of time, categorized into respective tranches and classified as per the assets' status, class

Actors/Audience:

Any user who has access to entity will be able to view the report

Report Format, Content and Calculation Logic:

1- User can select one fund from a system generated funds list of the available funds.
2- User can select tranche from a list of the tranches under the selected fund that have at least one processed and approved transaction.
3- User can navigate to "Reports" section (Fund or Transactions)
4- User can generate report either by Transactions or Unit Holding
5- User can generate Transactions related report at Monthly, Quarterly, Yearly & with Customized time period
6- User can generate "Unit Holding" report on a specific date
7- User can enter report beginning and end dates.
8- The report lists the units under each selected tranche divided by:
    a. Status (Active, Cancelled, Retired, Buffered).
    b. Class (Reported, Verified, Certified).

Non-Functional Requirements:

1. Report loading time shouldn't exceed 3 seconds.
2. User can download the report in Ms Excel format.
3. User can download the report in PDF format.
4. User can print the report on a World Bank brand adherent template.

1.4.2. Program Profile Reports

Report Purpose and brief Description:

An aggregation report that provides a snapshot at all the assets allocated to a specific program between specific dates.
Actors/Audience:

Any user who has access to entity will be able to view the report

Report Format, Content and Calculation Logic:

1. User can select one program from a system generated funds list of the available programs
2. User can navigate to “Reports” section (Program)
3. User can generate report either by Transactions or Unit Holding for Issuance & Program Holding
4. User can generate “Transactions" related report at Monthly, Quarterly, Yearly & with Customized time period
5. User can generate “Unit Holding” report on a specific date
6. User can enter report beginning and end dates.
7. The report lists the units under each selected tranche divided by:
   Status (Active, Cancelled, Retired, Buffered).
   Class (Reported, Verified, Certified).

Non-Functional Requirements:

1. Report loading time shouldn’t exceed 3 seconds.
2. User can download the report in Ms Excel format.
3. User can download the report in PDF format.
4. User can print the report on a World Bank brand adherent template.

1.4.3. Participants Profile Reports

Report Purpose and brief Description:

An aggregation report that provides a snapshot at all the assets allocated to a specific participant between specific dates
Actors:

Any user who has access to entity will be able to view the report

Report Format, Content and Calculation Logic:

1- User can select one participant from a system generated funds list of the available participants.
2- User can navigate to “Reports” section (Participant entity)
3- User can generate report either by Transactions or Unit Holding
4- User can generate “Transactions" related report at Monthly, Quarterly, Yearly & with Customized time period
5- User can generate “Unit Holding” report on a specific date
6- User can enter report beginning and end dates.
7- The report lists the units under each selected tranche divided by:
   Status (Active, Cancelled, Retired, Buffered).
   Class (Reported, Verified, Certified).

Non-Functional Requirements:

1- Report loading time shouldn’t exceed 3 seconds.
2- User can download the report in Ms Excel format.
3- User can download the report in PDF format.
4- User can print the report on a World Bank brand adherent template.

1.4.4. Third-Party Profile Reports

Report Purpose and brief Description:

A timeseries or aggregation report provides a snapshot of any assets type, status, class at any account under a specific Third-party account within the fund between two dates.

Actors:

Any user who has access to entity will be able to view the report

Pre-conditions:

Report Format, Content and Calculation Logic:

1- User can select one Third-Party from a system generated funds list of the available Third parties.
2- User can navigate to “Reports” section (Third parties)
3- User can generate report either by Transactions or Unit Holding
4- User can generate “Transactions" related report at Monthly, Quarterly, Yearly & with Customized time period
5- User can generate “Unit Holding” report on a specific date
6- User can enter report beginning and end dates.
7- The report lists the units under each selected tranche divided by:
   Status (Active, Cancelled, Retired, Buffered).
   Class (Reported, Verified, Certified).

Non-Functional Requirements:

1- Report loading time shouldn’t exceed 3 seconds.
2- User can download the report in Ms Excel format.
3- User can download the report in PDF format.
4- User can print the report on a World Bank brand adherent template.

1.5. Other Procedures

1.5.1. My Portfolio

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
My Portfolio - Fund - MP_F1 - US1 & My Portfolio - Fund - MP_F1 - US1.1	Given Fund Transaction Processor has logged in CATS system and navigates to "My Portfolio" When 1-System should display the 'Fund' / 'list of funds' (available) page by default 2- System should display the option to 'Create a Fund' Then 1.Fund transaction processor can create a new fund by providing the details	Create a Fund - Button	1. Fund transaction processor can create a Fund through navigating via 'My Portfolio' page.
My Portfolio - Fund - MP_F1 - US2 & My Portfolio - Fund - MP_F1 - US2.1	Given Fund Transaction Processor has logged in CATS system and navigates to 'My Portfolio' with at least one fund created When 1.System should display a grid view of the available funds with the associated column labels Then 1- Fund transaction processor can view/ navigate to the details of the Funds (Accounts, Tranches, Fund Profile, Users)that has been created along with the associated status and details 2.Fund transaction processor should also be able to create additional funds	Portfolio - Fund Level - Column label 1. Fund Name 2.Status 3.Closing Date 4.Tranche Funds 5.Fund Manager 6.Buffer Manager Individual Fund Level details- Tab label 1. Accounts 2. Tranches 3. Fund profile 4. Users 5. Reports 6. Documents	1. Fund transaction processor can view the details of the funds and can create an additional fund if the situation arises
My Portfolio - Tranche - MP_CF1_US3 & My Portfolio - Tranche - MP_CF1_US3.1	Given Fund Transaction Processor has logged in CATS system and navigates to 'My Portfolio' with at least one fund created When 1. System should display a grid view of the	Portfolio - Tranches Level - Column label 1.Tranche Name 2.Status 3.Programs 4.Participants 5.Tranche Manager Tab	1. Fund transaction processor can view the details of the Tranches and can create an additional Tranche if the situation arises

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
	available funds with the associated column labels 2. System should display the option to 'Create a Tranche' Then 1- Fund transaction processor can view/ navigate to the details of the Fund and access the Tranche information from the Tranche tab to either create a new Tranche or view the existing details of the Tranche 2.Fund transaction processor should be able to create a new Tranche	label: 1.Accounts 2.Linked Programs(link) 3.Linked Participants (link) 4.Tranche Profile 5.Users 6.Reports 7.Documents	
My Portfolio - Programs - MP_Pr_US3&My Portfolio - Programs - MP_Pr_US3.1	Given Fund Transaction Processor has logged in CATS system and navigates to 'My Portfolio' When 1. System should display a grid view of the available Programs with the associated column labels 2. System should display the option to 'Create a Program' Then 1- Fund transaction processor can create a new program or view/ navigate to the details of the Programs that are available	Portfolio - Column Labels to be displayed in the Grid 1. Program Name 2. Region 3. Country 4. Sector 5. ERPAs (Link) 6. Associated Tranche 7 Program Approver Tab label: 1. Issuance Accounts 2. Holding Accounts 3. ERPAs 4. Reports 5. Program Profile 6. Users 7. Documents	1. Fund transaction processor can view the details of the Program and can create an additional Program if the situation arises 2. The ERPA column will indicate the number of tranches (which are separate links) associated with the program. The FTP can click the links to find the ERPAs list. 3. Program Approver Column should show the person who is assigned the approver role for the entity.
My Portfolio - Participant - MP_Pa_US5	Given Fund Transaction Processor has logged in CATS system and navigates to 'My Portfolio' When 1. System should display a grid view of the available Participants with the associated column	 Portfolio - Participant Level - Column label 1. Participant name 2. Country 3. Type 4. Associated Tranches	1- Fund transaction processor can create a new Participant account or view/ navigate to the details of the Participant accounts that are available 2. Participant Approver Column should show the person who is

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
	labels 2. System should display the option to 'Create a Participant' Then 1- Fund transaction processor can create a new Participant or view/ navigate to the details of the Participants that are available	5. Participant Approver Column Labels to be displayed - Tab level 1. Holding Accounts 2. Linked Funds 3. Reports 4. Participant Profile 5. Users 6. Documents	assigned the approver role for the entity.
My Portfolio - Third Party - MP_TP_US6	Given Fund Transaction Processor has logged in CATS system and navigates to 'My Portfolio' When 1.System should display a grid view of the available Third Party Account Names with the associated column labels 2. System should display the option to 'Create a Third Party Account' Then 1- Fund transaction processor can create a new Third party account or view/ navigate to the details of the Third party accounts that are available	 Portfolio - Third Party Level - Column label 1. Third Party name 2. Country 3. Type 4. Third Party Approver Tab label: 1. Holding Accounts 2. Reports 3. Third Party Profile 4. Users 5. Documents	1- Fund transaction processor can create a new Third Party account or view/ navigate to the details of the Third Party accounts that are available 2. Third party Approver Column should show the person who is assigned the approver role for the entity.

1.5.2. My Approval

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
My Approval (Entity) - MA_US 1	Given Administrator has logged in CATS system and navigates to 'My Approval" When 1.System should display the number of requests that need to be actioned alongside the type of requests (Entities, Transactions and User Roles) 2.System should display the requests that is pending for approval as a default view and system should also display tabs: Sent back for Revision, Approved and Rejected 3. System should display the Search feature to search by 'Request ID" Then 1.User can navigate to the view the request in following statuses - Sent back for Revision, Approved and Rejected 2.User can navigate to the request that is pending for approval to view the details and should click on "Approve", "Sent back for Revision" or "Reject" the request 3.User can retrieve the details of the request by making a search by 'Request ID	Column labels to be provided (Pending) Request ID - System populated Action Date - System populated Request Type - System populated (Fund) Requested by - System populated Entity Name - System populated Approval Status - System populated Approver - System populated Comments - System populated Column labels to be provided (Sent back for Revision, Approved, Rejected,) Request ID - System populated Action Date - System populated Request Type - System populated Entity Name - System populated Approval Status - System populated Approver - System populated Comments - System populated Buttons to be provided - "Approve", "Sent back for Revision", Rejected , Export to excel	1. System should route the requests for approval only if the IDD check is cleared 2. The number displayed on the menu bar on the requests that need to be actioned and the number of requests to be actioned in the column should match 3. Default view of the requests should be of the status - Pending for approval 4. Search result should fetch the details of the 'Request ID' that was keyed in for the Search 5. Admin should NOT be able to edit any sent back for revision request/transaction which are created by other users and Approve it 6. When an approver sends back a transaction for revision. the submitter can delete the previously submitted documents. 7. A pop-up confirmation message should show up to confirm the approval of entity request.

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
	'		
My Approval (Entity)- MA_US 2	Given Administrator has logged in CATS system and Approves, Rejects the request / sends back the request When 1. System should display the Approve, sent back for Revision and Reject button 2.System should provide a text box to record the comments after the Approve, sent back for Revision and Reject button is clicked Then 1.User can navigate to the request to view the details of the corresponding request and should click on "Approve", "Reject" / "Sent Back" and should record the comments in the text box 2.User should not be able to complete the action on Rejection and Sent back for Revision without recording the comments. The User will be displayed an error message	Comments* - Text box (500 Characters)	1. System should display the Approve, sent back for Revision, Reject button. On clicking the buttons the corresponding status should be recorded in the system 2.System should provide a text box to record the comments after the Approve, sent back for Revision and Reject button is clicked 3.User should not be able to complete the action on Rejection and Sent back for Revision without recording the comments. The User will be displayed an error message
My Approval (Entity)- MA_US 1.1	Given Administrator has logged in CATS system and navigates to 'My Approval" When 1.System should display the number of requests that need to be actioned alongside the type of requests (Entities, Transactions and User Roles) 2.System should display the IDD status (Approved) in the Approval section	Column labels to be provided (Pending) Request ID - System populated Requested Date - System populated Request Type - System populated (Fund) Account Name - System populated Approval Status - System populated Column labels to be provided (Sent back for Revision, Approved, Rejected,) Request ID - System populated	1. System should route the requests for approval only if the IDD check is cleared 2. The number displayed on the menu bar on the requests that need to be actioned and the number of requests to be actioned in the column should

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
	3.System should display the requests that is pending for approval as a default view and system should also display tabs: Sent back for Revision, Approved and Rejected 4. System should display the Search feature to search by 'Request ID" Then 1.User can navigate to the view the request in following statuses - Sent back for Revision, Approved and Rejected 2.User can navigate to the request that is pending for approval to view the details and should click on "Approve", "Sent back for Revision" or "Reject" the request 3.User can retrieve the details of the request by making a search by 'Request ID'	Requested Date - System populated Request Type - System populated Entity Name - System populated Approval Status - System populated Approver - System populated Comments - System populated Approver Action Date - System populated Buttons to be provided - "Approve", "Sent back for Revision", Rejected, Export to excel	match 3. Default view of the requests should be of the status - Pending for approval 4. Search result should fetch the details of the 'Request ID' that was keyed in for the Search 5. Admin should NOT be able to edit any sent back for revision request/transaction which are created by other users and Approve it
My Approval (Transactions)-MA_US 3	Given Administrator has logged in CATS system and navigates to 'My Approval" When 1.System should display the number of requests that need to be actioned alongside the type of requests (Entities, Transactions and User Roles) 2.System should display the requests that is pending for approval as a default view and system should also display tabs: Sent back for Revision, Approved and Rejected 3. System should display the Search feature to search by 'Request ID" Then 1.User can navigate to the view the request in following statuses - Sent back for Revision, Approved and Rejected 2.User can navigate to the request that is pending for approval to view the details and should click on "Approve", "Sent back for Revision" or "Reject" the request	Column labels to be provided (Pending) Column labels to be displayed: Request ID - System populated Requested Date - System populated Transaction Type - System populated From Entity- System populated Entity Type - System populated Units Transacted - System populated Approval Status- System populated Column labels to be provided (Sent back for Revision, Approved, Rejected,) Request ID - System populated Requested Date - System populated Transaction Type - System populated (Fund) From Entity- System populated Entity Type - System populated Units Transacted - System populated Approval Status- System populated Approver- System populated	1. System should route the requests for approval only if the IDD check is cleared 2. The number displayed on the menu bar on the requests that need to be actioned and the number of requests to be actioned in the column should match 3. Default view of the requests should be of the status - Pending for approval 4. Search result should fetch the details of the 'Request ID' that was keyed in for the Search 5. Transaction code should be a system generated code that follows the same sequence for all types of transactions

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
	3.User can retrieve the details of the request by making a search by 'Request ID'	Comments - System populated Approver Action Date - System populated Buttons to be provided - "Approve", "Sent back for Revision", Rejected, Export to excel	6. Admin should NOT be able to edit any sent back for revision request/transaction which are created by other users and Approve it 7. When an approver sends back a transaction for revision, the submitter can delete the previously submitted documents. 8. A pop-up confirmation message should show up to confirm the approval of transaction request.

1.5.3. My Request

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
My Request - Entities (Fund) MRF_US1	Given Fund Transaction Processor has logged in CATS system and wants to view the request submitted and edit the request submitted When 1-System should display the 'list of requests' that has been sent back for revision by default 2- System should provide an option to edit the fund and submit 3- System should also display the list of requests that is pending approval, approved and rejected Then 1.Fund transaction processor can view the list of requests in different statuses - Sent back for revision, pending approval, approved and rejected 2. Fund transaction processor can edit the request that has been sent back for revision 3. Fund transaction processor should also be able to navigate to the Fund details to view the Fund Profile, Approval details, List of Approvers, Request history and Attachments	Edit Fund - Button Column labels to be displayed: Request ID - System populated Requested Date - System populated Request Type - System populated (Fund) Account Name - System populated Approval Status - System populated Approver - System populated Export to excel Comments - System populated Approver Action Date - System populated	1. The fund transaction processor can view the status of all the requests that were submitted and can edit the request 2. The system should display the details of Fund including the list of approvers, approval log and Request history 3. A pop-up confirmation message should show up to confirm the submission of entity request.
My Request - Entities (Tranche) - MRCF_US2	Given Fund Transaction Processor has logged in CATS system and wants to view the request submitted and	Edit Tranche - Button Column labels to be displayed: Request ID - System populated	1. The fund transaction processor can view the status of all the requests that were submitted and

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
	edit the request submitted When 1-System should display the 'list of requests' that has been sent back for revision by default 2- System should provide an option to edit the Tranche and submit 3- System should also display the list of requests that is pending approval, approved and rejected Then 1.Fund transaction processor can view the list of requests in different statuses - Sent back for revision, pending approval, approved and rejected 2. Fund transaction processor can edit the request that has been sent back for revision	Requested Date - System populated Request Type - System populated (Create / Edit Tranche) Account Name - System populated Approval Status - System populated Approver - System populated Comments - System populated Approver Action Date - System populated Export to excel	can edit the request 2. The system should display the details of Tranche including the list of approvers, approval log and Request history
My Request - Entities (Participant) - MRPa_US3	Given Fund Transaction Processor has logged in CATS system and wants to view the request submitted and edit the request submitted When 1-System should display the 'list of requests' that has been sent back for revision by default 2- System should provide an option to edit the Participant account and submit 3- System should also display the list of requests that is pending approval, approved and rejected Then 1.Fund transaction processor can view the list of requests in different statuses - Sent back for revision, pending approval, approved and rejected 2. Fund transaction processor can edit the request that has been sent back for revision	Edit Program Account - Button Column labels to be displayed: Request ID - System populated Requested Date - System populated Request Type - System populated (Participant) Account Name - System populated Approval Status - System populated Approver - System populated Comments - System populated Approver Action Date - System populated Export to excel	1. The fund transaction processor can view the status of all the requests that were submitted and can edit the request 2. The system should display the details of Tranche including the list of approvers, approval log and Request history 3. My Requests should not show zero in case there's no items in Sent Back for Revision list
My Request - Entities (Program) - MRPO_US4	Given Fund Transaction Processor has logged in CATS	Edit Participant Account - Button	1. The fund transaction processor can view the status of all the

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
	system and wants to view the request submitted and edit the request submitted When 1-System should display the 'list of requests' that has been sent back for revision by default 2- System should provide an option to edit the Program account and submit 3- System should also display the list of requests that is pending approval, approved and rejected Then 1.Fund transaction processor can view the list of requests in different statuses - Sent back for revision, pending approval, approved and rejected 2. Fund transaction processor can edit the request that has been sent back for revision	Column labels to be displayed: Request ID - System populated Requested Date - System populated Request Type - System populated (Program) Account Name - System populated Approval Status - System populated Approver - System populated Comments - System populated Approver Action Date - System populated Export to excel	requests that were submitted and can edit the request 2. The system should display the details of Program including the list of approvers, approval log and Request history
My Request - Entities (Third Party Account) - MRTP_US5	Given Fund Transaction Processor has logged in CATS system and wants to view the request submitted and edit the request submitted When 1-System should display the 'list of requests' that has been sent back for revision by default 2- System should provide an option to edit the Program account and submit 3- System should also display the list of requests that is pending approval, approved and rejected Then 1.Fund transaction processor can view the list of requests in different statuses - Sent back for revision, pending approval, approved and rejected 2. Fund transaction processor can edit the request that has been sent back for revision	Edit Third Party Account - Button Column labels to be displayed: Request ID - System populated Requested Date - System populated Request Type - System populated (Program) Account Name - System populated Approval Status - System populated Approver - System populated Comments - System populated Approver Action Date - System populated Export to excel	1. The fund transaction processor can view the status of all the requests that were submitted and can edit the request 2. The system should display the details of Third Party Account including the list of approvers, approval log and Request history

Title	Description	Fields / Column labels to be made available on page	Acceptance Criteria
My Request - Transactions - MRTRA_US 6	Given Fund Transaction Processor has logged in CATS system and wants to view the request submitted and edit the request submitted When 1-System should display the 'list of requests' that has been sent back for revision by default 2- System should provide an option to edit the transaction and submit 3- System should also display the list of requests that is pending approval, approved and rejected Then 1.Fund transaction processor can view the list of requests in different statuses - Sent back for revision, pending approval, approved and rejected 2. Fund transaction processor can edit the request that has been sent back for revision 3. Fund transaction processor should also be able to navigate to the transaction details to view the approval details, List of Approvers, Request history and Attachments	Column labels to be displayed: Request ID - System populated Requested Date - System populated Transaction Type - System populated (Fund) From Entity- System populated Entity Type - System populated Units Transacted - System populated Approval Status- System populated Approver- System populated Comments Approver Action Date Request ID : Link (transaction related details) should be made available. (Please refer to the wireframes for the details to be made visible. Export to excel	1. The fund transaction processor can view the status of all the requests that were submitted and can edit the request 2. The system should display the details of Fund including the list of approvers, approval log and Request history 3. 3. A pop-up confirmation message should show up to confirm the submission of transaction request.

1.5.4. View Change History

Title	**Description**	**Fields / Column labels to be included on page**	**Acceptance Criteria**
View Change History - Fund - F_CH_US1	**Given** User with permission to access the fund logs in to view the changes made to the fund and users who had made the changes **When** 1. System should display the list of Funds available 2. System should display the fund profile when user clicks on the fund name and navigates to the page 3.System should provide the functionality 'View Change History' on the Fund Profile page **Then** 1.User can click on 'View Change History' to view the details related to changes	1.Request ID 2.Request Date 3. Requested By 4. Changes 5. Approver 6. Approver Action Date	1.User Should be displayed only the funds that they have permission to access 2. System should provide the "View Change History" functionality on the Fund Profile change 3.System should display the fields with corresponding values when the user clicks on "View Change History" page Request ID Request Date Requested By Changes Approver Approver Action Date
View Change History - Tranche - CF_CH_US2	Given User with permission to access the Fund / Tranche logs in to view the changes made to the Tranche and users who had made the changes When 1.System should display the list of Funds available	1.Request ID 2.Request Date 3. Requested By 4. Changes 5.Approver 6. Approver Action Date	1.User Should be displayed only the funds that they have permission to access 2. System should provide the "View Change History" functionality on the Tranche Profile change

Title	Description	Fields / Column labels to be included on page	Acceptance Criteria
	2.System should display the list of Tranches when the user clicks on the fund name and navigates to 'Tranche' tab page 3. System should display the Tranche profile on clicking on the Tranche name and navigating to 'Tranche' tab 3. System should provide the functionality 'View Change History' on the 'Tranche' Profile page Then User can click on 'View Change History' to view the details related to changes		3.System should display the fields with corresponding values when the user clicks on "View Change History" page Request ID Request Date Requested By Changes Approver Approver Action Date
View Change History - Participant - Pa_CH_US3	**Given** User with permission to access a particular participant logs in to view the changes made to the account and users who had made the changes **When** 1. System should display the list of Participants available 2. System should display the Participant profile when user clicks on the participant name and navigates to the page 3. System should provide the functionality 'View Change History' on the Participant Profile page **Then** User can click on 'View Change History' to view the details related to changes	1.Request ID 2.Request Date 3. Requested By 4. Changes 5. Approver 6. Approver Action Date	1.User Should be displayed only the Participants that they have permission to access 2. System should provide the "View Change History" functionality on the Fund Profile change 3.System should display the fields with corresponding values when the user clicks on "View Change History" page Request ID Request Date Requested By Changes Approver Approver Action Date
View Change History - Program - Pr_CH_US3	**Given** User with permission to access the Program logs in to view the changes made to the Program and users who had made the changes **When** 1. System should display the list of Programs available 2. System should display the Program profile when	1.Request ID 2.Request Date 3. Requested By 4. Changes 5. Approver 6. Approver Action Date	1.User Should be displayed only the Programs that they have permission to access 2. System should provide the "View Change History" functionality on the Fund Profile change 3.System should display the fields

Title	Description	Fields / Column labels to be included on page	Acceptance Criteria
	user clicks on the Program name and navigates to the page 3. System should provide the functionality 'View Change History' on the Program Profile page **Then** User can click on 'View Change History' to view the details related to changes		with corresponding values when the user clicks on "View Change History" page Request ID Request Date Requested By Changes Approver Approver Action Date
View Change History - Third Party - TP_CH_US3	**Given** User with permission to access the Third-Party logs in to view the changes made to the Third Party and users who had made the changes **When** 1. System should display the list of Third Parties available 2. System should display the Third-Party profile when user clicks on the Third-Party name and navigates to the page 3. System should provide the functionality 'View Change History' on the Third-Party Profile page **Then** User can click on 'View Change History' to view the details related to changes	1.Request ID 2.Request Date 3. Requested By 4. Changes 5.Approver 6. Approver Action Date	1.User Should be displayed only the Third Parties that they have permission to access 2. System should provide the "View Change History" functionality on the Third-Party Profile change 3.System should display the fields with corresponding values when the user clicks on "View Change History" page Request ID Request Date Requested By Changes Approver Approver Action Date

1.5.5. Announcements

Title	Description	Fields to be included on page	Acceptance Criteria
Announcement - Create Announcement - Ann_US1	**Given:** Administrator wants to publish a new announcement **When:** 1. Administrator navigates to 'Announcements' on the Admin settings page and navigates to 'Create a new announcement' 2. Administrator enters Title, Start Date and End Date, Description of the Announcement, and attaches any image for the announcement through the 'Attach' feature. 3. Administrator saves the details. **Then:** 1. The announcement gets saved and will get displayed on the header when system date is equal to or greater than the Start Date and is on the page till the system date is equal to the End date.	Title of Announcement* - Text box; Start Date* - <Start Date>, End Date* - <End Date>; Description*: Text box; Attach - Feature to attach images; Save - Button; Cancel - Button	1. This Announcement should be displayed on the header for the time period recorded in the system. 2. The announcement should be displayed when the system date is equal to the Start date of the announcement and this announcement should not be displayed if the system date is greater than the 'End date' recorded. 3. If there are more than one announcement, then the announcement with the latest start date will be considered. 4. System should not allow more than one announcement with the same start date and end date
Announcement - View & Edit Announcement - Ann_US2	**Given:** Administrator has created announcements and wants to view the announcements and edit the announcement if needed **When:** Administrator clicks on 'Announcements' and the administrator should see the grid that lists the active and expired announcements. Administrator clicks on 'Announcement ID' to be able to view the	Announcement ID - System generated ID (ANN and 2 digits) Title* - System to display the title of the announcement Modification Date Status - Active / Expired Start Date - System to display the Start date End Date - System to display the end date	The changes made to the announcement should be tracked in the Change History. The status of announcement is populated as 'Active' if system /current date is within start date and end date of announcement. The Status is 'Expired' if system date is beyond the end date.

Title	Description	Fields to be included on page	Acceptance Criteria
	announcement in detail and edit this if needed **Then:** Administrator is able to view and edit the announcement. This is updated as a new version and is maintained in the Change History	Created by - System to display the user who created this	
Announcement - View Change History- Ann_US3	**Given:** Administrator wants to view the historical changes made to the announcements **When:** Administrator clicks on ‘Announcements' and the administrator should see the grid that lists the active and expired announcements. Administrator clicks on 'Announcement ID' to be able to view the announcement in detail and navigates to 'View Change History' page **Then:** Administrator is able to view and edit the announcement. This is updated as a new version and is maintained in the Change History	Version - Version <number> Changes - changes done Updated by - <Username> Updated Date - <updated date>	The historical records should be maintained with the unique version numbers

1.5.6. Documents

Title	Description	Fields to be included on page	Acceptance Criteria
Documents - Doc_US1	**Given:** User tagged to a group with role as Global Reader logs in to the system **When:** User navigates to an Entity and the 'Documents' should be in one of the tabs. User clicks on 'Documents' tab. **Then:** User can view and download the documents	Folders should be created from the back end to group the documents and should be made visible in the front end. Please refer to Document Type (excel attached on Column F). When user uploads a document, the document type needs to be made available wherever the upload feature has been provided. This has also been embedded in TFS.	User can view and download the documents at the entity level. System should provide the Document Type either as a drop down for selection or this should be made as a label name for the mandatory documents

1.5.7. Multilingual

Title	Description	Fields to be included on page	Acceptance Criteria
Multilingual - Mul_US1	**Given:** User logs in to the system and wants to view the user forms in Spanish and French **When:** User selects the language from the 2 Options displayed for the user form related content to be displayed in that language. **Then:** System should render the user forms related content in the language that was chosen.	Option for changing the language is displayed on the header	The user form related content should be displayed in the language that was selected by the user

1.6. Non-Functional Procedures

1.6.1. Data Storage & Log Specifications

Ability to retain raw source data:

CATS have complete support for the ability to retain raw source data. When consuming data, CATS mirrors the source shape & format and persists raw data from each Source. CATS then maintains a complete audit trail of all changes made within the system. System administrators can visualize the raw data as it was received, along with a complete audit on any subsequent changes that were made along the way down through gold copy distribution. There is no limitation on the amount of raw data that can be retained.

Data Log Repository

CATS also supports the need for the transaction log and maintain accurate and consistent information, while providing tools for use in the reconciliation process to resolve inconsistencies. For this, five types of data logs are maintained in a data log repository by the registry system:

1. **A transaction log (including both transaction summary and detailed unit holdings);**
2. **A reconciliation history log;**
3. **A notification log;**
4. **An internal audit log; and**
5. **A message archive**.

These logs are required to support auditing functionality, both internal and external. The reconciliation process constitutes one type of external audit of a registry. All data in these data logs shall be maintained until, at minimum, 7 years after the ending effective date of the ERPA agreement (business decision 2040). Data older than one year may be archived to a secure location outside of the registry's transaction log repository, as long as it can be retrieved or accessed within a 48-hour period should an inconsistency or question arise.

Transaction Log Repository

The Transaction Log Repository contains a detailed record of each initiated, submitted and executed transaction processed through the Central Transactional Registry. Each record contains a summary of the transaction content (reference data and timestamp) and the subsequent outcome of the transaction. The logging of a transaction record occurs after the receipt of a SOAP response indicating that the transaction was successfully completed (approved or declined) and result has been confirmed to involved parties.

At a minimum, transactions and messages logged in the Transaction Log Repository include the below data attributes:

Transaction Identifier

Transaction Type

ER Unit Class

ER Unit Identifier

Originating Account Type

Originating Account Identifier

Receiving Registry Identifier

Receiving Account Type

Receiving Account Identifier

Post-Transaction ER Unit Identifier

Notification ID

Transaction Status

Transaction Status Date-Time

Approver Identifier

Reconciliation History Log

The Reconciliation Log contains a record of each reconciliation action conducted by the Central Transaction Registry. This Reconciliation Log contains one or more records for each step in a Reconciliation action. The Reconciliation process is initiated and driven by messages within CATS and between CATS and other linked registries. The registry shall log each request and its response in its Reconciliation Log. Although information in the Reconciliation Log are not shared directly as part of the Reconciliation itself, access to this information by the Registry Administrator may be necessary to identify the manual intervention needed in order to resolve or inform on transactional inconsistencies. The logging of a transaction message sent to the Reconciliation History Log occur after the receipt of a SOAP response indicating that the message was successfully transmitted and received.

Notification Log

CATS Registry also maintains a log of notifications generated from it and those sent via the registry chosen notification system. These notifications inform the registry regarding specific actions that should be taken relating to listed ER units or transactions.

Internal Audit Log

The CATS System also maintains an internal log of changes to data, which are critical to the transaction or reconciliation process. The scope and design of this functionality is the responsibility of the Registry Administrator. The internal audit log shall capture information on internal and external transactions, including in particular the user ID and date/time of all recorded transactions. It is required to provide additional information for use by the Registry Administrator for manual intervention when an inconsistency is discovered in the reconciliation process.

The internal audit log shall contain the attributes below listed.

Activity Type

Activity Date & Time

Accounts Affected

Data Field Modified

Old Value

New Value

User ID of user who initiated the activity

User ID of user who submitted the activity

User ID of user who approved the activity (if applicable)

Source of Activity (Identifies the server or workstation IP Address from which activity was submitted for processing and approved on.

Audit Trail

Audit trail is available for:

- Emission Reduction Units
- Transactions

- Accounts
- Users

Message Archive

CATS is required to store a copy of all messages and notifications sent and received, in their entirety, as standalone files. These files provide additional information for use by the registry Administrator when an inconsistency is discovered which relates to a messaging problem, which cannot be resolved through the use of the transaction history or internal audit logs.

The location and the medium for this storage are at the discretion of the registry Administrator. The naming convention of the files must enable an authorized user to retrieve the file for a specific transaction or reconciliation. It is recommended that the files be stored in compressed formats using the following naming convention:

aa-#######-********* -ddmmyyyy.zip

Where:

- aa = Country code
- ####### = Transaction Identifier
- *********= ER Unit Serial Transactional code identifier
- ddmmyyyy = File generation timestamp

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