Proposed Text for Appendix D, Part Three of the Chairman's Note: Registries

Submission by Australia, Canada, Iceland, Japan, New Zealand, Norway, Russian Federation, Ukraine, and the United States

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1   Each Annex I Party, with an emission limitation or reduction commitment inscribed in Annex B, shall establish and maintain a national registry in the form of a computer database to ensure the accurate accounting of assigned amount, and track changes to the Party's assigned amount.[1]

2   Each Party shall identify an organization (government or private) to maintain the Party's national registry on behalf of the Party and perform the necessary functions (the registry 'administrator').

3.   Registries must contain the relevant publicly accessible minimum data elements, described in Annex Y of this appendix.

4.   Registries shall be kept in the form of computer databases. The design of registries shall be compatible so that transactions can occur instantaneously, and so that each certified emission reduction (CER) is only held in one account and in one registry. The format of these computer databases shall conform to the guidelines contained in Annex W[2] of this appendix.

5.   When a decision is made to issue a CER, a system administrator working under the authority of the Executive Board/Secretariat shall assign it a unique serial number.

6.   Each CER will represent one metric tonne of CO_2-equivalent. Serial numbers shall identify: a) the commitment period for which the CER is issued, b) the country of origin, and c) the project identifier, and ensure that each CER is unique.

7.   Each CER shall be held in an account in a registry[3].

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[1] Parties should consider how to address registry issues related to Article 4.
[2] To be elaborated at a future date.
[3] Parties may wish to further consider in which registries CERs may be held.

8.   Where an Annex I Party, with an emission limitation or reduction commitment inscribed in Annex B, elects to authorize domestic legal entities to hold CERs in the Party's national registry, each such holder of CERs shall be required to have a separate account within its national registry.

Annex Y

PUBLICLY ACCESSIBLE INFORMATION FROM A PARTY'S NATIONAL REGISTRY

I. MINIMUM DATA ELEMENTS IN A PARTY'S REGISTRY

Except where noted, the following data elements must be stored in a Party's national registry.

A. Account Information

At a minimum for each Party's registry, this would include an account containing the Party's serialized assigned amount and a retirement account for each commitment period to hold assigned amount retired from use to demonstrate compliance with the Party's Article 3.1 commitment. In addition, where an Annex B Party authorizes legal entities to hold assigned amount in their national registry, the assigned amount must be reflected in an account established within the national registry for each assigned amount holder.

1. The name of each account in the registry.
   This corresponds to the following field of data in the relational database: Account Name.

2. The number of each account.
   A unique number would be assigned to identify each account and in which registry the account is held. Where appropriate, the Account Number would use the 2 letter codes (ISO 3166) defined and maintained by the International Organization for Standardization (ISO) for every country of the world. Account Numbers would begin with the code identifying in which registry the account is held and be followed by a number, unique when combined with the registry code (e.g. Account Number US-1009). This corresponds to the following field of data in the relational database: Account Number.

3. The type of each account.
   This would identify the type of account (e.g., retirement account). For retirement accounts, the compliance period, for which units held in the account are being used, would also be identified. This corresponds to the following fields of data in the relational database: Account Type, Compliance Period.

4. The representative for each account.
   This would identify the individual person representing the government, or where applicable, the legal entity holder of the account. The first and last representative name would be identified. This corresponds to the following field of data in the relational database: Representative Name.

5. An identification number for each account representative.

A unique number would be assigned to identify each account representative and in which registry the representative holds an account(s). This corresponds to the following field of data in the relational database: Representative Identification Number.

6. Contact information for the account representative.
   This would include the mailing address, phone number, fax number and/or email address of the account representative. This corresponds to the following fields of data in the relational database: Representative Mailing Address, Phone, Fax and Email.

B. <u>Assigned Amount Information</u>

This would include the entire assigned amount held in each account, represented as serialized units. Each serial number would be unique and identify the commitment period for which the unit was issued, the country of origin, and, for CERs, the project identifier (e.g., 1-BO-1643-14). Serial numbers could be stored in a block, represented by start and end numbers. For ease of data management in a database format, it would be useful to store these pieces making up the serialized unit in separate fields (i.e., associated commitment period, country of origin, starting serial number, ending serial number, and project identifier).

7. The commitment period associated with each block of assigned amount.
   This commitment period code should be a number which identifies the commitment period for which the unit or block of serial numbers is issued (e.g., the first commitment period, 2008-2012, would be identified by '1'). This corresponds to the following field of data in the relational database: Associated Commitment Period.

8. The country of origin.
   For CERs, the country of origin would be the host Party for the project. The country of origin code shall be 2 letters in length and use the 2 letter codes (ISO 3166) defined and maintained by the ISO for every country of the world. This corresponds to the following field of data in the relational database: Country of Origin.

9. The numerical starting serial number and ending serial number for the block of assigned amount.
   This corresponds to the following fields of data in the relational database: Starting Serial Number, Ending Serial Number.

10. A code identifying the project for which the units were issued.
    For each issuance of CERs pursuant to Article 12, a numerical project identifier will be assigned. Units issued at a later date, but from the same project, will have a different project identifier. This project identifier code will be a unique number when combined with the country of origin code. This corresponds to the following field of data in the relational database: Project Identifier.

C. **Transaction Information**
Transactions include the following activities: issuance of assigned amount in the form of CERs pursuant to Article 12 and movement of assigned amount from one account to another within a registry or between registries (including movement of units into the retirement account in order to demonstrate compliance with a Party's Article 3.1 commitment).

11. A unique transaction number.
    Each transaction in a registry would be assigned a unique transaction number. This corresponds to the following field of data in the relational database: Transaction Number.

12. A code identifying the type of transaction.
    Each transaction would be assigned a transaction type. For example, a code of 'IC' would indicate issuance of CERs pursuant to Article 12 and a code of 'RT' would indicate a transfer into the retirement account. This corresponds to the following field of data in the relational database: Transaction Type.

13. The date of the transaction.
    The date of each transaction would be stored. This corresponds to the following field of data in the relational database: Transaction Date.

14. The accounts involved in the transaction.
    For each transaction, the transferor and transferee account numbers would be stored. This corresponds to the following fields of data in the relational database: Transferor Account Number and Transferee Account Number.

15. The status of the transaction.
    For each transaction a code shall be stored indicating whether the transaction is pending or whether the receiving registry/account has accepted or rejected the transfer. This corresponds to the following field of data in the relational database: Transaction Status.

D. **CDM Project Information**
A registry will include the following information for any CDM projects that have generated CERs pursuant to Article 12.

16. The name of the project.
    This corresponds to the following field of data in the relational database: Project Name.

17. The location of the project.
    This corresponds to the following field of data in the relational database: Project Location.

18. The year of issuance of CERs.

This is the year that the CERs are issued. Note that each year of issuance of units from the project would receive a new project identifier. This corresponds to the following field of data in the relational database: Year of Issuance.

19. An internet address where the project report can be downloaded.
For each issuance of CERs pursuant to Article 12, a registry shall store the Uniform Resource Locator (URL) address where the project report can be downloaded. This corresponds to the following field of data in the relational database: Report Link.

20. The year of project registration.
This corresponds to the following field of data in the relational database: Year of Project Registration.

21. The operational entity involved in certification of CERs.
This corresponds to the following field of data in the relational database: Operational Entity.

II.   PUBLIC ACCESSIBILITY

Each registry should provide a publicly accessible user interface that allows interested persons to query and view non-confidential information contained within the registry. A registry containing the minimum elements outlined in this Annex should allow interested persons to retrieve a variety of reports, including, but not limited to, the following:

1.   The current account balance and holdings of account holders within the registry.

2.   The quantity of active (ie, non-retired) CERs within a registry.

3.   A list of CERs retired for compliance purposes for each commitment period.

4.   A list of any changes, and reasons for the changes, to holdings of CERs.