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## ANNEX VI

### Definitions of identification codes

#### Introduction

1. This Annex prescribes the elements of the following identification codes:
  - (a) unit identification code;
  - (b) account identification code;
  - (c) permit identification code;
  - (d) account holder identification code;
  - (e) installation identification code;
  - (f) correlation identification code;
  - (g) transaction identification code;
  - (h) reconciliation identification code;
  - (i) project identification code.

The version of the ISO3166 codes shall be as set out in the functional and technical specifications for data exchange standards for registry systems under the Kyoto Protocol, elaborated pursuant to Decision 24/CP.8 of the Conference of the Parties to the UNFCCC.

#### Display and reporting of identification codes

2. For the purpose of displaying and reporting the identification codes set out in this Annex, each element of an identification code shall be separated by a dash '-' and without spaces. Leading zeros in numeric values shall not be displayed. The separating dash '-' shall not be stored in the elements of the identification code.

#### Unit identification code

3. Table VI-1 details the elements of the unit identification code. Each Kyoto unit and allowance shall be assigned a unit identification code. Unit identification codes shall be generated by registries and shall be unique throughout the registries system.
4. A set of units shall be transmitted as a unit block defined by the starting block identifier and the ending block identifier. Every unit of a unit block shall be identical, except for their unique identifier element. Every unique identifier element of the units of a unit block shall be consecutive. When necessary to perform a transaction, keep track of, record or otherwise characterise a unit or unit block, registries or transaction logs shall create multiple unit blocks from a single unit block. When transmitting a single unit, the starting block identifier and ending block identifier shall be equal.
5. Multiple unit blocks shall not overlap with respect to their identifier element. Multiple unit blocks in the same message shall appear in the message in ascending order of their starting block identifier.

Table VI-1:

#### UNIT IDENTIFICATION CODE

| Element | Display Order | Identifier Required | Data Type | Length | Range or Codes |
|---------|---------------|---------------------|-----------|--------|----------------|
|---------|---------------|---------------------|-----------|--------|----------------|

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|                         |   | <b>for the<br/>Following<br/>Unit Types</b> |   |    |   |
|-------------------------|---|---|---|----|---|
| Originating Registry    | 1 | AAU, RMU, CER, ERU                          | A | 3  | ISO3166 (2 letter code), 'EU' for the Community registry  |
| Unit Type               | 2 | AAU, RMU, CER, ERU                          | N | 2  | 0 = not a Kyoto unit<br>1 = AAU<br>2 = RMU<br>3 = ERU<br>converted from AAU<br>4 = ERU<br>converted from RMU<br>5 = CER (not ICER or tCER)<br>6 = tCER<br>7 = ICER                      |
| Supplementary Unit Type | 3 | AAU, RMU, CER, ERU                          | N | 2  | Blank for Kyoto units<br>1 = Allowance issued for the 2008-2012 period and subsequent five-year periods<br>2 = Allowance issued for the 2005-2007 period<br>3 = Force-majeure allowance |
| Unit Serial Block Start | 4 | AAU, RMU, CER, ERU                          | N | 15 | Unique numeric values assigned by registry from 1 – 999 999 999 999 999   |
| Unit Serial Block End   | 5 | AAU, RMU, CER, ERU                          | N | 15 | Unique numeric  |

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|                              |    |                    |      |   |  |
|------------------------------|----|--------------------|------|---|--|
|                              |    |                    |      |   | values assigned by registry from 1 – 999 999 999 999 999   |
| Original Commitment Period   | 6  | AAU, RMU, CER, ERU | N    | 2 | 0 = 2005-2007<br>1 = 2008-2012<br>...<br>99  |
| Applicable Commitment Period | 7  | AAU, CER, ERU      | N    | 2 | 0 = 2005-2007<br>1 = 2008-2012<br>...<br>99  |
| LULUCF Activity              | 8  | RMU, CER, ERU      | N    | 3 | 1 = Afforestation and reforestation<br>2 = Deforestation<br>3 = Forest management<br>4 = Cropland management<br>5 = Grazing land management<br>6 = Re-vegetation |
| Project Identifier           | 9  | CER, ERU           | N    | 7 | Unique numeric value assigned for project  |
| Track                        | 10 | ERU                | N    | 2 | 1 or 2   |
| Expiry Date                  | 11 | ICER, tCER         | Date |   | Expiration date for ICERs or tCERs   |

6. Table VI-2 lists the valid initial unit type and supplementary unit type combinations. An allowance shall have a supplementary unit type regardless of the period for which it was issued and whether it has been converted from an AAU or other Kyoto unit. An AAU or other Kyoto unit that has not been converted into an allowance shall not have a supplementary unit type. On conversion of an AAU into an allowance in accordance with the provisions of this Regulation the supplementary unit type shall be set to 1.

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On conversion of an allowance into an AAU in accordance with the provisions of this Regulation there shall be no supplementary unit type.

Table VI-2:

VALID INITIAL UNIT TYPE — SUPPLEMENTARY UNIT TYPE

| Initial Unit Type | Supplementary Unit Type | Description  |
|-------------------|-------------------------|--|
| 1                 | [not applicable]        | AAU  |
| 2                 | [not applicable]        | RMU  |
| 3                 | [not applicable]        | ERU converted from AAU   |
| 4                 | [not applicable]        | ERU converted from RMU   |
| 5                 | [not applicable]        | CER (not tCER or ICER)   |
| 6                 | [not applicable]        | tCER   |
| 7                 | [not applicable]        | ICER   |
| 1                 | 1                       | Allowance issued for the 2008-2012 period and subsequent 5-year periods and is converted from an AAU |
| 0                 | 2                       | Allowance issued for the 2005-2007 period and not converted from an AAU or other Kyoto unit          |
| 0                 | 3                       | Force-majeure allowance  |

Account identification code

7. Table VI-3 details the elements of the account identification code. Each account shall be assigned an account identification code. Account identification codes shall be generated by registries and shall be unique throughout the registries system. Account identification codes of accounts that were previously closed shall not be re-used.
8. An operator holding account identification code shall be linked to one installation. An installation shall be linked to one operator holding account identification code. Holding accounts referred to in Article 11(1) and (2) shall not have an applicable commitment period, regardless of the account type.

Table VI-3:

ACCOUNT IDENTIFICATION CODE

| Element              | Display Order | Data Type | Length | Range or Codes                                       |
|----------------------|---------------|-----------|--------|--|
| Originating Registry | 1             | A         | 3      | ISO3166 (2 letter code), 'CDM' for the CDM registry, |

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|                              |   |   |    |  |
|------------------------------|---|---|----|--|
|                              |   |   |    | 'EU' for the Community registry  |
| Account Type                 | 2 | N | 3  | 100 = Party holding account<br>120 = operator holding account<br>121 = person holding account<br>The remaining account types are as set out in the functional and technical specifications for data exchange standards for registry systems under the Kyoto Protocol, elaborated pursuant to Decision 24/CP.8 of the Conference of the Parties to the UNFCCC |
| Account Identifier           | 3 | N | 15 | Unique numeric values assigned by a registry from 1 to 999 999 999 999   |
| Applicable Commitment Period | 4 | N | 2  | 0 for holding accounts<br>0-99 for retirement and cancellation accounts  |

#### Permit identification code

9. Table VI-4 details the elements of the permit identification code. Each permit shall be assigned a permit identification code. Permit identification codes shall be generated by the competent authority and shall be unique throughout the registries system.
10. A permit identification code shall be assigned to one operator. An operator shall be assigned at least one permit identification code. A permit identification code shall be assigned to at least one installation. An installation shall have one permit identification code at any single point in time.

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Table VI-4:

## PERMIT IDENTIFICATION CODE

| Element              | Display Order | Data Type | Length | Range or Codes   |
|----------------------|---------------|-----------|--------|--|
| Originating Registry | 1             | A         | 3      | ISO3166 (2 letter code), 'EU' for the Community registry |
| Permit Identifier    | 2             | A         | 50     | ([0-9] [A-Z] ['-' ] +                                    |

## Account holder identification code

11. Table VI-5 details the elements of the account holder identification code. Each account holder shall be assigned an account holder identification code. Account holder identification codes shall be generated by registries and shall be unique throughout the registries system. Account holder identification codes shall not be re-used for another account holder and shall not change for an account holder throughout their existence.

Table VI-5:

## ACCOUNT HOLDER IDENTIFICATION CODE

| Element              | Display Order | Data Type | Length | Range or Codes   |
|----------------------|---------------|-----------|--------|--|
| Originating Registry | 1             | A         | 3      | ISO3166 (2 letter code), 'EU' for the Community registry |
| Permit Identifier    | 2             | A         | 50     | ([0-9] [A-Z] ) +   |

## Installation identification code

12. Table VI-6 details the elements of the installation identification code. Each installation shall be assigned an installation identification code. Installation identification codes shall be generated by registries and shall be unique throughout the registries system. The installation identifier shall be an integer assigned as an increasing monotone sequence, starting from 1. Installation identifiers shall not contain gaps. Therefore when generating installation identifier n, a registry shall have generated every identifier in the range 1 to n-1. An installation identification code shall not be re-used for another installation and shall not change for an installation throughout its existence.
13. An installation identification code shall be assigned to one installation. An installation shall be assigned one installation identification code.

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Table VI-6:

## INSTALLATION IDENTIFICATION CODE

| Element                 | Display Order | Data Type | Length | Range or Codes   |
|-------------------------|---------------|-----------|--------|--|
| Originating Registry    | 1             | A         | 3      | ISO3166 (2 letter code), 'EU' for the Community registry               |
| Installation Identifier | 2             | N         | 15     | Unique numeric values assigned by a registry from 1 to 999 999 999 999 |

## Correlation identification code

14. Table VI-7 details the elements of the correlation identification codes. Each process under Annex VIII shall be assigned a correlation identification code. Correlation identification codes shall be generated by registries and shall be unique throughout the registries system. Correlation identification codes shall not be re-used. The re-submission of a process concerning an account or verified emissions that was previously terminated or cancelled shall be assigned a new, unique correlation identification code.

Table VI-7:

## CORRELATION IDENTIFICATION CODE

| Element                | Display Order | Data Type | Length | Range or Codes   |
|------------------------|---------------|-----------|--------|--|
| Originating Registry   | 1             | A         | 3      | ISO3166 (2 letter code), 'EU' for the Community registry               |
| Correlation Identifier | 2             | N         | 15     | Unique numeric values assigned by a registry from 1 to 999 999 999 999 |

## Transaction identification code

15. Each process under Annex IX shall be assigned a transaction identification code. Transaction identification codes shall be generated by registries and shall be unique throughout the registries system. Transaction identification codes shall not be re-used. The re-submission of a process concerning a transaction that was previously terminated or cancelled shall be assigned a new, unique transaction identification code.

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16. The elements of the transaction identification codes are set out in the functional and technical specifications for data exchange standards for registry systems under the Kyoto Protocol, elaborated pursuant to Decision 24/CP.8 of the Conference of the Parties to the UNFCCC.

Reconciliation identification code

17. Each process under Annex X shall be assigned a reconciliation identification code. Prior to the communication link between the Community independent transaction log and UNFCCC independent transaction log being established, the Community independent transaction log shall generate the reconciliation identification code when requesting reconciliation information from registries for a specified time and date. Thereafter, registries shall receive the reconciliation identification code from the UNFCCC independent transaction log. The reconciliation identification code shall be unique throughout the registries system, and all messages exchanged through all stages of a reconciliation process for a specified time and date shall use the same reconciliation identification code.

18. The elements of the reconciliation identification codes are set out in the functional and technical specifications for data exchange standards for registry systems under the Kyoto Protocol, elaborated pursuant to Decision 24/CP.8 of the Conference of the Parties to the UNFCCC.

Project identification code

19. Each project shall be assigned a project identification code. Project identification codes shall be generated by the executive board of the CDM for CERs and by the relevant body of the Party or the Article 6 supervisory committee in accordance with Decision 16/CP.7 of the Conference of the Parties to the UNFCCC for ERUs and shall be unique throughout the registries system.
20. The elements of the project identification codes are set out in the functional and technical specifications for data exchange standards for registry systems under the Kyoto Protocol, elaborated pursuant to Decision 24/CP.8 of the Conference of the Parties to the UNFCCC.



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