

Commission Regulation (EC) No 2216/2004 of 21 December 2004 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council (Text with EEA relevance) (repealed)

CHAPTER IV

CHECKS AND PROCESSES

SECTION 1

Blocking of accounts

Article 27

Blocking of operator holding accounts

1 If, on 1 April of each year starting in 2006, an installation's annual verified emissions for the preceding year have not been entered into the verified emissions table in accordance with the verified emissions entry process set out in Annex VIII, the registry administrator shall block the transfer of any allowances out of the operator holding account for that installation.

2 When the installation's annual verified emissions for the year referred to in paragraph 1 have been entered into the verified emissions table, the registry administrator shall unblock the account.

3 The registry administrator shall immediately notify the relevant account holder and the competent authority of the blocking and unblocking of each operator holding account.

4 Paragraph 1 shall not apply to the surrender of allowances pursuant to Article 52 or the cancellation and replacement of allowances pursuant to Articles 60 and 61.

SECTION 2

Automated checks and the data reconciliation process

[^{F1}Article 28

Detection of discrepancies by the Community independent transaction log

1 The Central Administrator shall ensure that the Community independent transaction log conducts the automated checks set out in Annexes VIII, IX, XI and XIa for all processes concerning allowances, verified emissions, accounts, automatic national allocation plan table changes and Kyoto units to ensure that there are no discrepancies.

2 If the automated checks referred to in paragraph 1 identify a discrepancy in a process under Annexes VIII, IX, XI and XIa, the Central Administrator shall immediately inform the registry administrator or administrators concerned by returning an automated response detailing

Status: Point in time view as at 30/11/2011.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EC) No 2216/2004 (repealed), CHAPTER IV. (See end of Document for details)

the exact nature of the discrepancy using the response codes set out in Annexes VIII, IX, XI and XIa.

Upon receiving such a response code for a process under Annex VIII, Annex IX or Annex XIa, the registry administrator of the initiating registry shall terminate that process and inform the Community independent transaction log.

The Central Administrator shall not update the information contained in the Community independent transaction log.

The registry administrator or administrators concerned shall immediately inform the relevant account holders that the process has been terminated.]

Textual Amendments

- F1** Substituted by [Commission Regulation \(EC\) No 916/2007 of 31 July 2007 amending Regulation \(EC\) No 2216/2004 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council \(Text with EEA relevance\).](#)

Article 29

Detection of inconsistencies by the Community independent transaction log

1 ^[F1] The Central Administrator shall ensure that the Community independent transaction log periodically initiates the data reconciliation process set out in Annex X. For that purpose the Community independent transaction log shall record all processes concerning allowances, accounts, automatic national allocation plan table changes and Kyoto units.]

Through that process, the Community independent transaction log shall check that the holdings of Kyoto units and allowances in each account in a registry are identical to the records held in the Community independent transaction log.

2 If an inconsistency is detected during the data reconciliation process, the Central Administrator shall immediately inform the registry administrator or administrators concerned. If the inconsistency is not resolved, the Central Administrator shall ensure that the Community independent transaction log does not allow any further process under Annex VIII and Annex IX concerning any of the allowances, accounts or Kyoto units which are the subject of the earlier inconsistency to proceed.

^[F23] Upon the request of the Central Administrator, the registry administrator shall provide a copy of the verified emissions table in its registry to the Central Administrator. The Central Administrator shall check that the verified emissions table of the registry is identical to the records held in the Community independent transaction log. If a difference is detected the Central Administrator shall immediately inform the registry administrator, and request it to eliminate the difference through the verified emissions update process set out in Annex VIII.

The Community independent transaction log shall record all changes to the verified emissions table.]

Textual Amendments

- F1** Substituted by [Commission Regulation \(EC\) No 916/2007 of 31 July 2007 amending Regulation \(EC\) No 2216/2004 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of](#)

Status: Point in time view as at 30/11/2011.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EC) No 2216/2004 (repealed), CHAPTER IV. (See end of Document for details)

the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council (Text with EEA relevance).

- F2** Inserted by Commission Regulation (EC) No 916/2007 of 31 July 2007 amending Regulation (EC) No 2216/2004 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council (Text with EEA relevance).

Article 30

Detection of discrepancies and inconsistencies by the UNFCCC independent transaction log

1 If the UNFCCC independent transaction log, following an automated check, informs the registry administrator or administrators concerned of a discrepancy in a process, the registry administrator of the initiating registry shall terminate the process and inform the UNFCCC independent transaction log thereof. The registry administrator or administrators concerned shall immediately inform the relevant account holders that the process has been terminated.

2 If the UNFCCC independent transaction log has detected an inconsistency, the Central Administrator shall ensure that the Community independent transaction log does not allow any further process under Annex VIII and Annex IX concerning any of the Kyoto units which are the subject of the earlier inconsistency, and which is not subject to the UNFCCC independent transaction log's automated checks, to proceed.

Article 31

Registry automated checks

Prior to and during the execution of all processes the registry administrator shall ensure that appropriate automated checks are conducted within the registry, in order to detect discrepancies and thereby terminate processes in advance of automated checks being conducted by the Community independent transaction log or UNFCCC independent transaction log.

SECTION 3

Execution and finalisation of processes

[^{F1}Article 32

Processes

Each process shall follow the complete sequence for message exchanges for that type of process as set out in Annexes VIII, IX, X, XI, and Annex XIa. Each message shall conform to the format and informational requirements described using web services description language as elaborated pursuant to the UNFCCC or the Kyoto Protocol.]

Status: Point in time view as at 30/11/2011.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EC) No 2216/2004 (repealed), CHAPTER IV. (See end of Document for details)

Textual Amendments

- F1** Substituted by [Commission Regulation \(EC\) No 916/2007 of 31 July 2007 amending Regulation \(EC\) No 2216/2004 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council \(Text with EEA relevance\).](#)

[^{F1}Article 33

Identification codes

The registry administrator shall assign to each process referred to in Annexes VIII and XIa a unique correlation identification code and to each process referred to in Annex IX a unique transaction identification code.

Each such identification code shall comprise the elements set out in Annex VI.]

Textual Amendments

- F1** Substituted by [Commission Regulation \(EC\) No 916/2007 of 31 July 2007 amending Regulation \(EC\) No 2216/2004 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council \(Text with EEA relevance\).](#)

[^{F1}Article 34

Finalisation of processes concerning accounts, automatic national allocation plan table changes and verified emissions

When there is a communication link established between the two independent transaction logs and if all processes concerning accounts, automatic national allocation plan table changes and verified emissions are completed through the exchange of data via the UNFCCC independent transaction log, these shall be final when both independent transaction logs successfully inform the initiating registry that they have not detected any discrepancies in the proposal sent by the initiating registry.

In all other cases than those referred to in the first paragraph, all processes concerning accounts, automatic national allocation plan table changes and verified emissions shall be final when the Community independent transaction log successfully informs the initiating registry that it has not detected any discrepancies in the proposal sent by the initiating registry.]

Textual Amendments

- F1** Substituted by [Commission Regulation \(EC\) No 916/2007 of 31 July 2007 amending Regulation \(EC\) No 2216/2004 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council \(Text with EEA relevance\).](#)

Status: Point in time view as at 30/11/2011.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EC) No 2216/2004 (repealed), CHAPTER IV. (See end of Document for details)

^{F2}Article 34a

Manual reversal of finalised transactions initiated in error

1 If an account holder or a registry administrator acting on behalf of the account holder unintentionally or erroneously initiated a transaction under Articles 52, 53, 58 or 62(2), it may propose to its registry administrator to carry out a manual reversal of the transaction in a written request duly signed by the authorised representative or representatives of the account holder that are able to initiate a transaction and posted within five working days of the finalisation of the transaction or the entry into force of this Regulation whichever is the later. The request shall contain a statement indicating that the transaction was initiated erroneously or unintentionally.

2 The registry administrator may notify the Central Administrator of the request and its intention to carry out a specific manual intervention in its database in order to reverse the transaction, within 30 calendar days of its decision on reversing the transaction, but not later than 60 calendar days of the finalisation of the transaction or the entry into force of this Regulation, whichever is the later.

The Central Administrator shall, within 30 calendar days of its receipt of the registry administrator's notification under the first subparagraph of paragraph 2 carry out a manual intervention in the Community independent transaction log database that is corresponding to the one specified in the notification of the registry administrator if:

- a the notification was posted within the deadline indicated in the first subparagraph of paragraph 2;
- b the proposed manual intervention only reverses the effects of the transaction considered to have been initiated unintentionally or erroneously and does not involve reversing the effects of later transactions involving the same allowances or Kyoto units.

[If a registry administrator unintentionally or erroneously initiated an allocation under Article 46 that resulted in allocating allowances to an installation that was not operating anymore at the time of the allocation transaction, the competent authority may notify its request to the Central Administrator to carry out a manual intervention in order to reverse the transaction within the deadlines set out in paragraph 2.]

3 The registry administrator may not reverse transactions pursuant to Article 52 and 53 if as a result, an operator would become non-compliant for a previous year.]

Textual Amendments

- F2** Inserted by [Commission Regulation \(EC\) No 916/2007 of 31 July 2007 amending Regulation \(EC\) No 2216/2004 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council \(Text with EEA relevance\).](#)
- F3** Inserted by [Commission Regulation \(EU\) No 920/2010 of 7 October 2010 for a standardised and secured system of registries pursuant to Directive 2003/87/EC of the European Parliament and of the Council and Decision No 280/2004/EC of the European Parliament and of the Council \(Text with EEA relevance\).](#)

Status: Point in time view as at 30/11/2011.

Changes to legislation: There are currently no known outstanding effects for the Commission Regulation (EC) No 2216/2004 (repealed), CHAPTER IV. (See end of Document for details)

Article 35

Finalisation of processes concerning transactions within registries

All processes referred to in Annex IX, except the external transfer process, shall be final when both independent transaction logs inform the initiating registry that they have not detected any discrepancies in the proposal sent by the initiating registry and the initiating registry has successfully sent confirmation to both independent transaction logs that it has updated its records in accordance with its proposal.

However, prior to the communication link between the Community independent transaction log and the UNFCCC independent transaction log being established, all processes referred to in Annex IX, except the external transfer process, shall be final when the Community independent transaction log informs the initiating registry that it has not detected any discrepancies in the proposal sent by the initiating registry and the initiating registry has successfully sent confirmation to the Community independent transaction log that it has updated its records in accordance with its proposal.

Article 36

Finalisation of the external transfer process

The external transfer process shall be final when both independent transaction logs inform the acquiring registry that they have not detected any discrepancies in the proposal sent by the initiating registry and the acquiring registry has successfully sent confirmation to both independent transaction logs that it has updated its records in accordance with the initiating registry's proposal.

However, prior to the communication link between the Community independent transaction log and the UNFCCC independent transaction log being established, the external transfer process shall be final when the Community independent transaction log informs the acquiring registry that it has not detected any discrepancies in the proposal sent by the initiating registry and the acquiring registry has successfully sent confirmation to the Community independent transaction log that it has updated its records in accordance with the initiating registry's proposal.

Article 37

Finalisation of the reconciliation process

The reconciliation process referred to in Annex X shall be final when all inconsistencies between the information contained in a registry and the information contained in the Community independent transaction log for a specific time and date have been resolved, and the reconciliation process has been successfully re-initiated and completed for that registry.

Status:

Point in time view as at 30/11/2011.

Changes to legislation:

There are currently no known outstanding effects for the Commission Regulation (EC) No 2216/2004 (repealed), CHAPTER IV.