

Introduction of registry system and examples to illustrate allowance registry processes for industrial enterprises in EU

登记体系及企业排放权配额登记流程介绍

Dr. Hans-Joachim Ziesing

**“Carbon Emission Trading Dialog
for Guangdong Industrial Enterprises”**

Guangdong Low-Carbon Development Promotion Association (GDLC)

Guangzhou, 01 March 2013

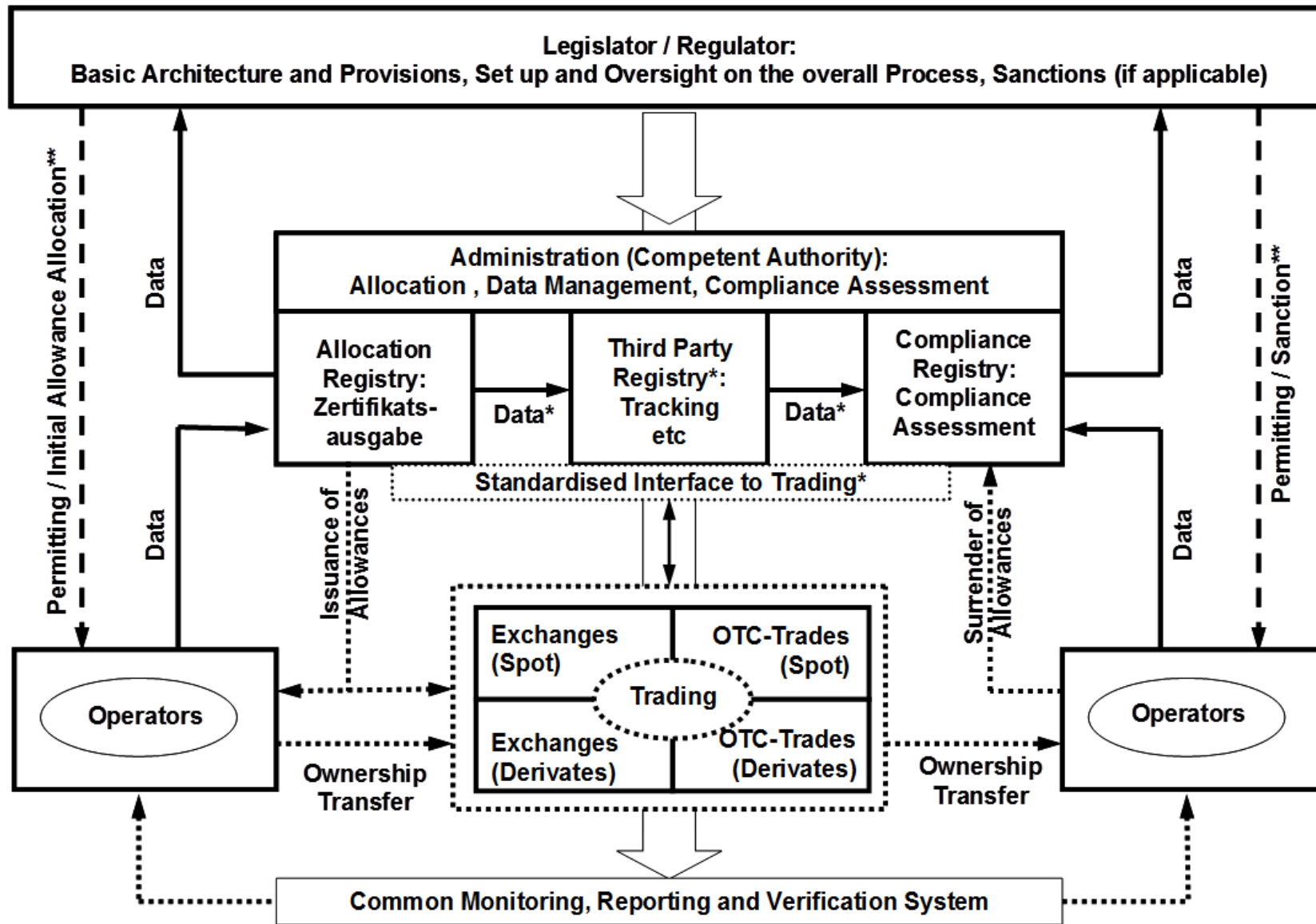
“广东省工业行业碳排放交易研讨会”

广东省低碳发展促进会（GDLC）

广州 2013年3月1日

Emission Trading Market Overview

排放权交易市场概述



* optional, in case of third party involvement or tracking of trades only
 ** could also be subject to the Competent Authority

What is the Role of Registries in Emissions Trading?

排放权交易中登记处的作用是什么？

- The registries for the EU Emissions Trading System (EU ETS) record the holding of emission allowances and the transactions concerning those allowances, like any banking system does for money.
欧盟排放交易体系（EU ETS）登记处记录排放配额量及与配额相关的交易。如同银行体系记录货币往来同理。
- The main types of transactions are: creation of allowances, free allocation, auctioning, trading, surrendering of allowances for compliance and their deletion.
交易的主要类型有：创造配额、免费配额、拍卖配额、交易配额、按照规定上交配额及清算。
- The registries also record installations and aircraft operators surrendering allowances to cover their verified emissions.
登记处还记录排放设施和航空运营商的上交配额以冲抵其经核证的排放量。

What about the EU's registry?

欧盟登记处

- Accurate accounting for all allowances issued under the EU emissions trading system (EU ETS) is ensured by the Union registry. The registry keeps track of the ownership of allowances held in electronic accounts in the same way as a bank has a record of all its customers and their money.

欧盟登记处精确计算欧盟排放交易体系（EU ETS）下发放的所有配额，并在电子账户中记录排放配额的所有权。这与银行记录所有客户及其账户信息同理。

- Following a revision of the ETS Directive in 2009, EU ETS operations were centralised in a single EU registry operated by the European Commission. The Union registry has replaced Member States' national registries. The single registry covers all 31 countries participating in the EU ETS.

根据ETS指令2009年修订版，欧盟排放交易体系（EU ETS）的运作集中于一个由欧洲委员会操作的欧盟登记处。欧盟登记处已取代了会员国的国家登记处。该登记处业务范围涵盖了所有参与欧盟排放交易体系（EU ETS）的31个国家。

- The Union registry is an online database that holds accounts for stationary installations which have been transferred from national registries, as well as accounts for aircraft operators, which have been included in the EU ETS since January 2012.

欧盟登记处是一个在线数据库，持有从国家登记处转移的固定排放设施账户，以及自2012年1月被纳入EU ETS的航空运营商账户。

The EU registry recording and opening accounts in the registry

在欧盟登记处记录与开立账户

The EU registry records

欧盟登记处记录

- National implementation measures (a list of installations covered by the ETS Directive in the territory of each Member State and any free allocation to each of those installations in the period 2013-2020);
国家执行方案（2013~2020年间各会员国在其领土的ETS指令所涵盖的排放设施及对这些设施的自由分配）；
- Accounts of companies or physical persons holding those allowances;
公司或自然人账户持有配额；
- Transfers of allowances ("transactions") performed by the account holders;
账户持有人转让配额（“交易”）；
- Annual verified CO₂ emissions from installations;
排放设施二氧化碳排放量年度核查；
- Annual reconciliation of allowances and verified emissions, where each company must have surrendered enough allowances to cover all its verified emissions.
排放配额与核证排放量的年度调整，公司须上交足够配额以冲抵所有经核证的排放。

Opening accounts

开立账户

- To participate in the EU ETS a company or a physical person has to open an account in the Union registry.
公司或自然人须在欧盟登记处开立账户，以加入欧盟排放交易体系（EU ETS）。
- To open an account, a request must be sent to the relevant national administrator, who is in charge of collecting and verifying all supporting documentation.
开户请求须送至负责收集核查所有证明文件的相关国家管理者。

Functions of a Registry

登记处职能

- Accounts: 帐户:**
- One account for each installation in the ETS; 每一个ETS排放设施有一个账户;
 - Accounts for traders, private persons, NGOs, etc. possible; 交易商、私人、非政府组织等账户;
 - National accounts (issuance, allocation, voluntary cancellation, retirement, etc.). 国家帐户（发放、分配、自愿取消、回收等）。

- Transfer of units:**
- Transfers between accounts within the registry (domestic); 登记处内部账户转让（国内）；
- 额度转让:**
- Transfers to accounts in other registries or ETS (international). 其他登记处或ETS（国际）账户转让。

Reporting 报告

- Administrative 管理**
- Accurate determination of installation compliance status 精确测定排放设施合规状态

- Functions: 职能:**
- Performing allocation once per year 每年执行分配一次
 - Opening and closing of accounts 开立和关闭账户
 - Administration of roles and responsibilities 任务与责任管理
 - National administration of retirement (UNFCCC) or connection with other ETS 国家回收管理（“联合国气候变化框架公约”）或与其他ETS联系
 - Auctioning 拍卖
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