



Registry Part II : Session 2.3

Element 2: Institutional Infrastructure

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Supporting the Design and Implementation of Emissions Trading Systems in China - 中欧碳交易能力建设项目



**Current
status**

Capacities built over time

**Well-functioning
China National ETS**

Road maps

Cap setting

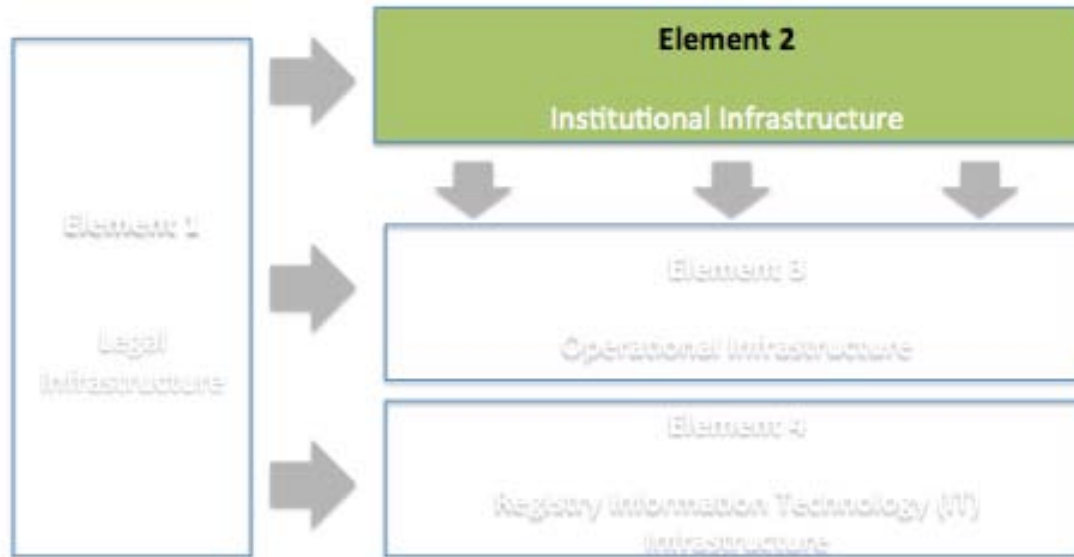
Allocation

MRVA

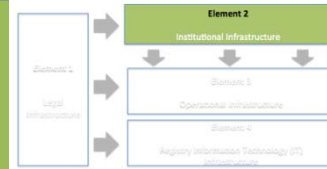
Registry

Market oversight

Registry Framework



ELEMENT 2: INSTITUTIONAL INFRASTRUCTURE



Element 2 INSTITUTIONAL INFRASTRUCTURE

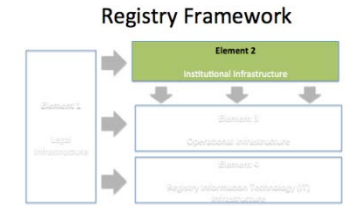
1. Implement the overarching Registry policy and regulation in a consistent and transparent manner
1. Establish appropriate Registry governance controls, to manage on-going feedback with all stakeholders
2. Provide a platform to analyze and implement Registry regulation (and changes); to establish working group / organisational structure

**Working Group/
Structure**

Steering Committee

**Stakeholder
Management**

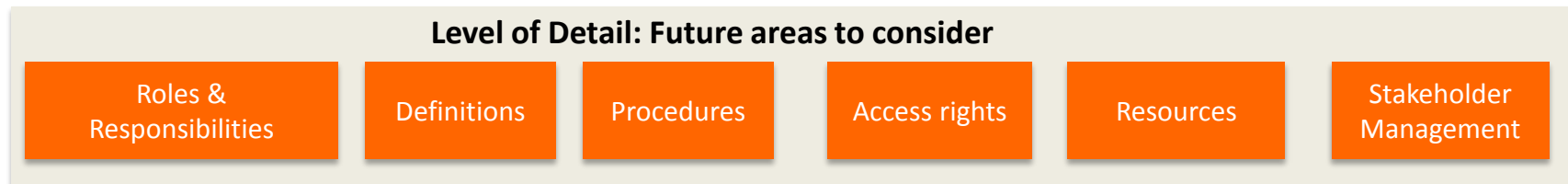
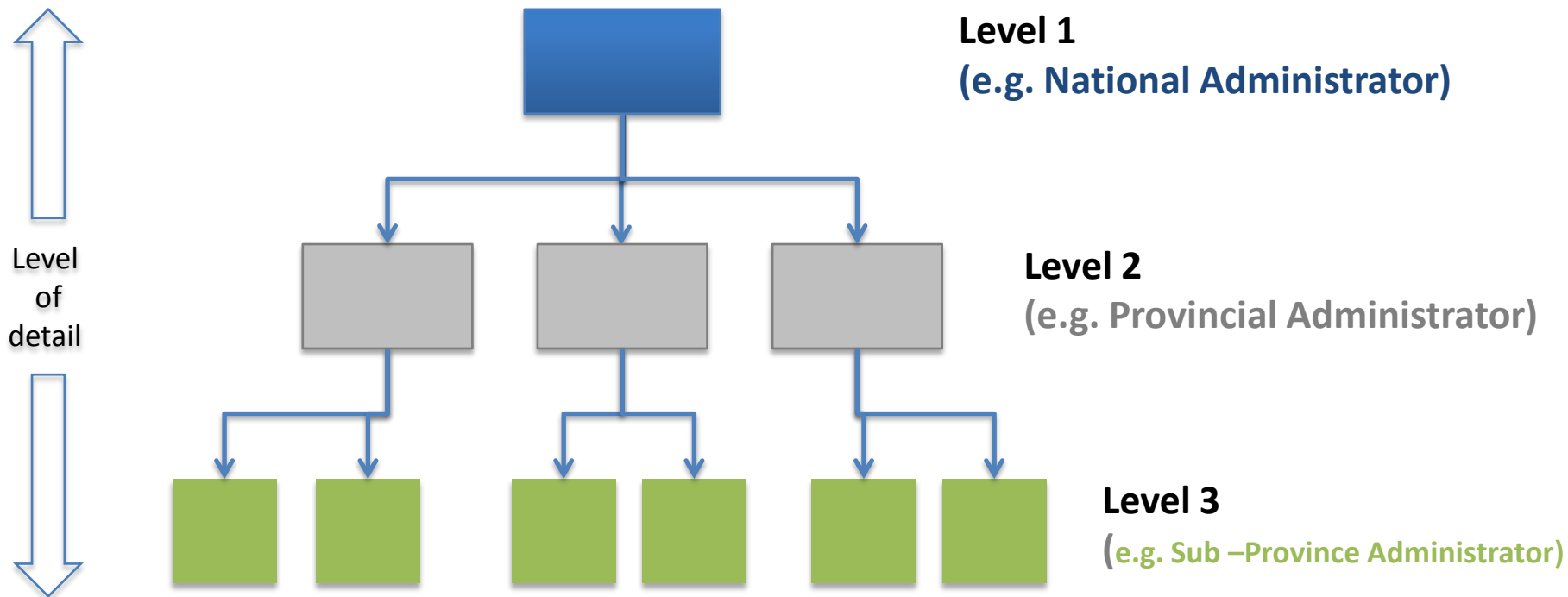
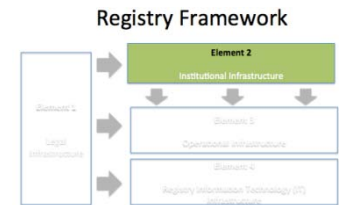
Working group



- Define working group for each core element of Registry
 - Legal
 - Institutional
 - Operational
 - Information Technology (IT)
- Nominate Roles & Responsibilities
- Define the rules for each working group

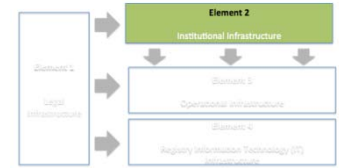
Structure (1)

Consideration of Registry Administrator
(example for illustration only):

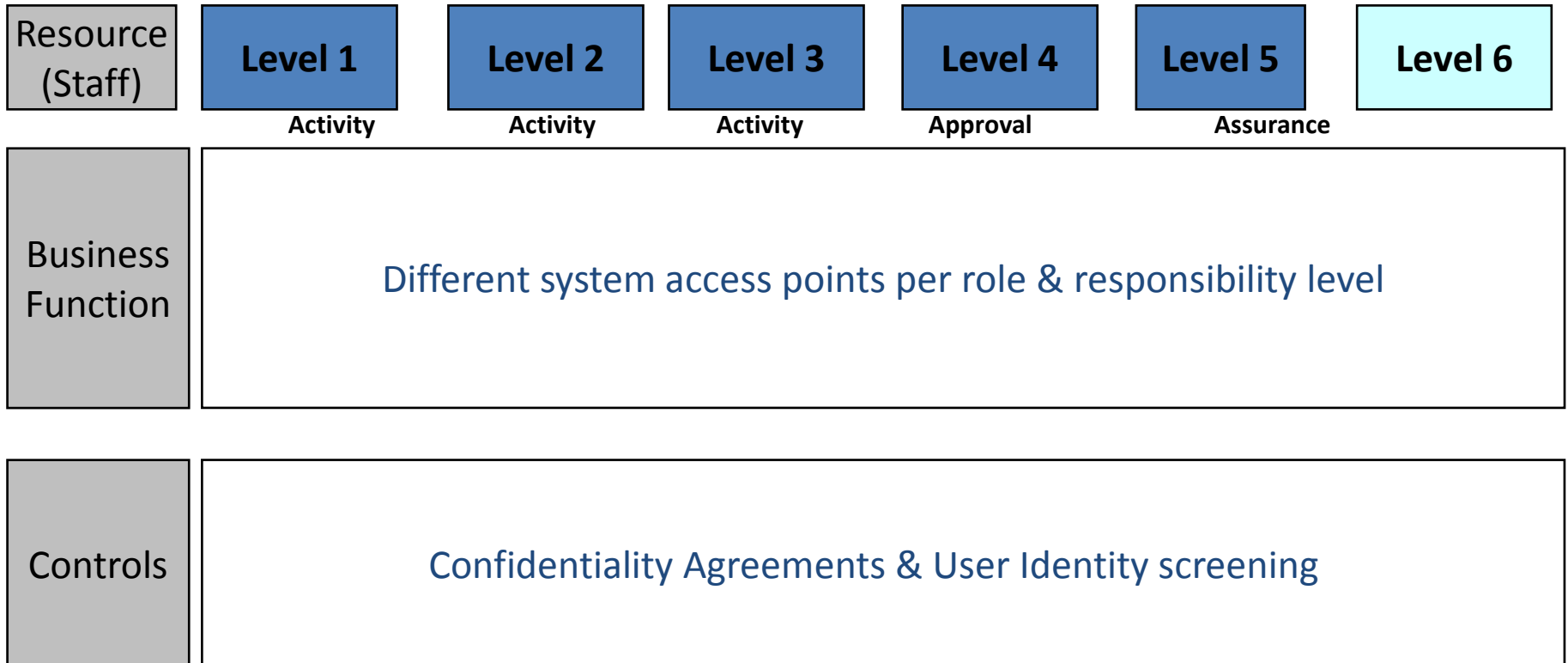


Structure (2)

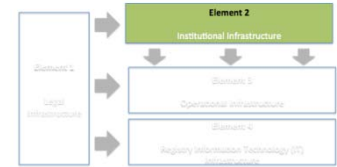
Registry Framework



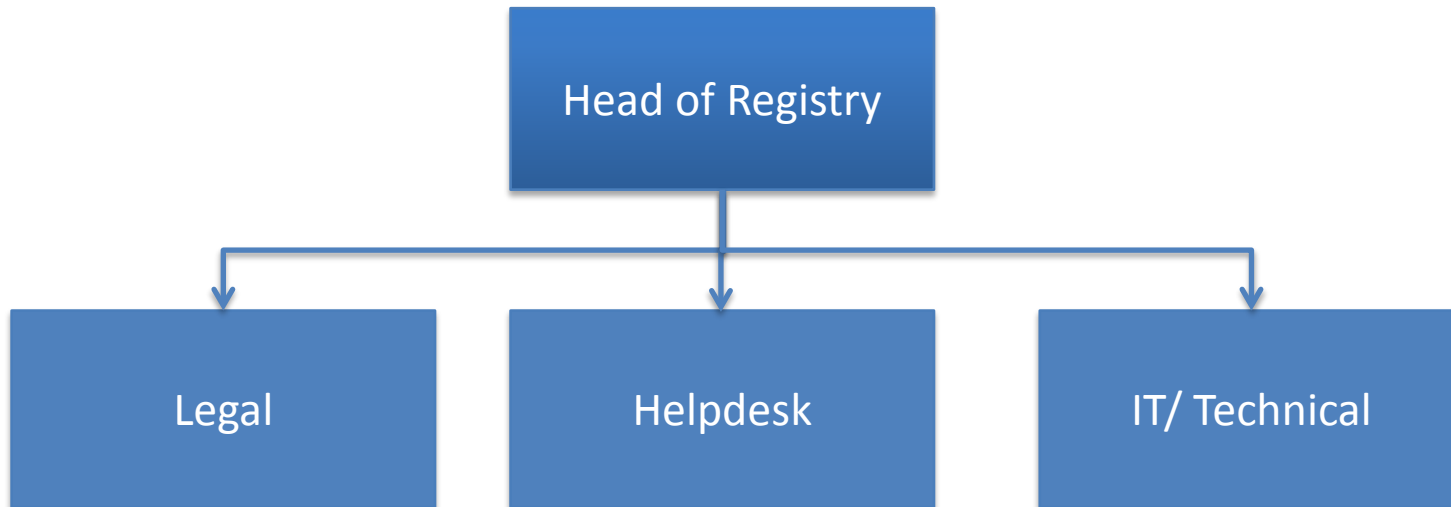
Consideration of Registry Administrator Access Assurance Model (example Illustration only):



Structure (3)



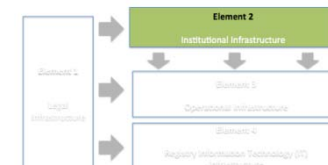
Consideration of Registry Department Team (example):



Note:

Resources are normally dependent on

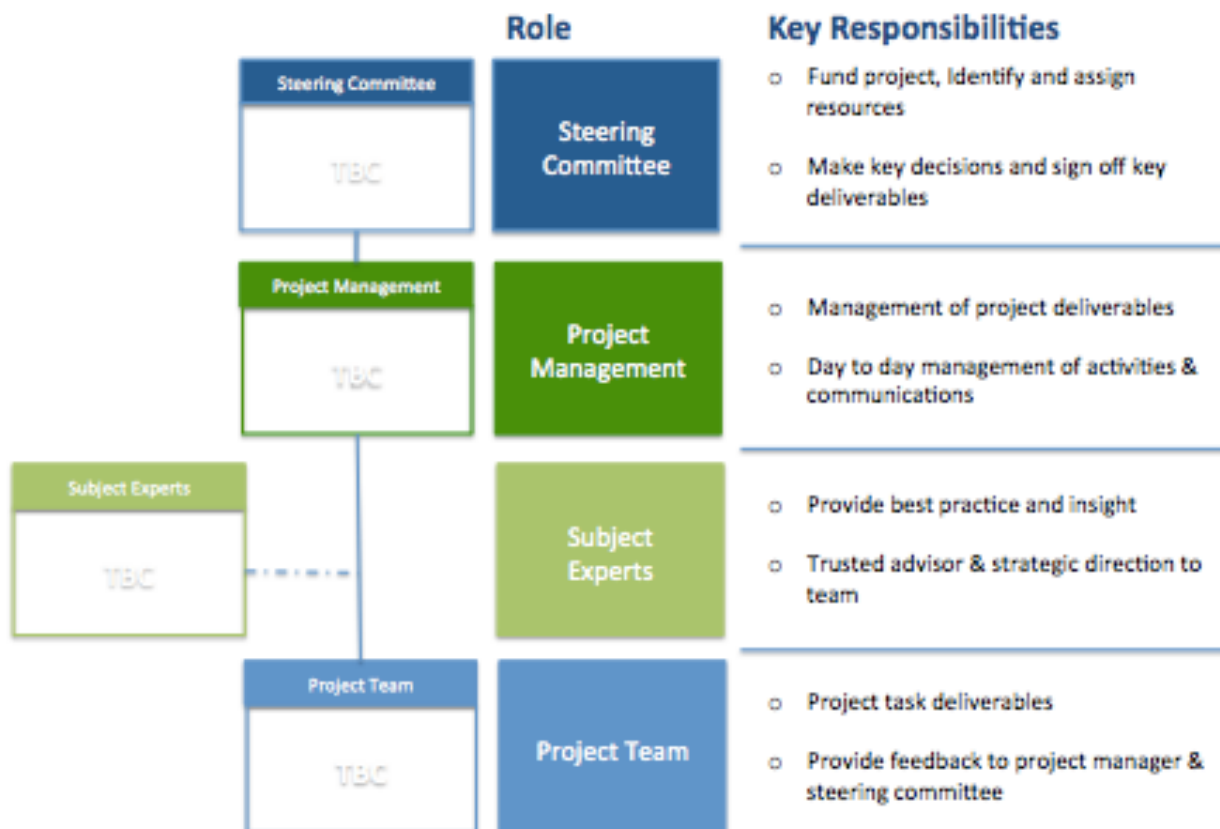
- a) Number of users
- b) Compliance cycle (e.g. surrendering allowances)

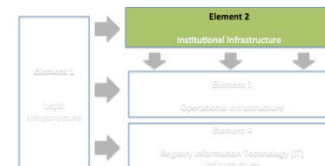


Steering Committee

- Establishment of “Registry” steering committee responsible for governance and oversight

Example of Governance Structure (for demonstration purpose only):





Stakeholder Management

- A forum through which “Registry” stakeholders are engaged and feedback incorporated

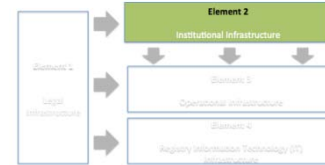


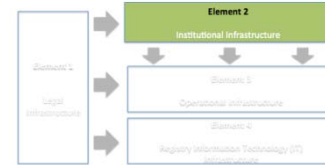
The authorities: what needs to be done

Establish “Registry” Function within authority (or regulator)

1. **Domestic Legislation** (legal status/rules/mandate)
2. **Institutional framework** (governance, roles & responsibilities)
3. **Resources** (management/ technical/ helpdesk etc.)
4. **Know- how** (legal, registry, IT, operations)
5. **IT Infrastructure** (strategy, funding, future proof)
6. **Quality Assurance /Control** (standard procedures, audits, continuous improvement)
7. **Implementation plan** (project planning, IT Implementation, resources, training)
8. **Operational plan** (planning, schedule, resources)
9. **Capacity building for operators**
(training, website with training materials)
10. **Reporting** (government and others)

Registry Framework





The operator – what needs to be done

Establish “Registry” Function within Reporting Entities

1. **Institutional framework** (governance, roles & responsibilities for registry account & compliance)
 2. **Resources** (people, budget)
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1. **Know- how** (understand legal obligations, registry, guidance, ETS regulations)
 2. **Reporting** (according to registry guidance / legal requirements)
 3. **Manage compliance cycle** (get allowances, reporting, verification, cancel allowances)

