TITLE
ADMINISTRATION OF REGISTRY IN CHINA
WORKSHOP “BUILDING REGISTRIES TO SUPPORT THE NEXT GENERATION OF CARBON MARKETS”
PARTNERSHIP FOR MARKET READINESS

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Outline

- System to be managed
- Organizational structure
- Responsibilities of market participants
- Profile of administrators
- Risk mitigation measures
Sub-systems of national registry system

**Allowance Registry Management**
- Allowance Creation
- Allowance Allocation
- Allowance Deletion

**CCER Registry Management**
- CCER Issuance
- CCER Information management
- Project information Management

**General registry Management**
- Administrator Management
- System Configuration Management
- Log Management
- Account Representative Management
- Account Management

**General registry Management**
- Transfer Management
- Cancelation Management
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- System to be managed
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Management entities

- NCSC authorized by NDRC
- DRCs of provinces
- Exchanges
- Project owners
- Compliance enterprises
- Voluntary participants
Organizational structure of Management entities

NCSC authorized by NDRC

Provincial DRC

Provincial DRC

Exchange

Exchange

Project owners

Compliance enterprises

Voluntary participants
Outline

- System to be managed
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Administrator management

- Create administrator
- Change administrator information
- Change administrator authority
- Close administrator

National level administrator
System configuration management

- Set system operation configuration
- Set data exchange interface configuration
Allowance management

National level administrators
- Create allowances
- Allocate allowances to provincial DRC
- Delete allowances
- Auction allowances

Provincial level administrators
- Allocate allowances to Enterprises
- Delete allowances
- Auction allowances

Account representatives
- Transfer allowances
- Surrender allowances
- Cancel allowances voluntarily
CCER management

National level administrators
- Create CCER
- Issue CCER
- Change project information

Project account representatives
- Receive issued CCER

Account representatives
- Transfer CCERs
- Surrender CCERs
- Cancel CCERs voluntarily

Pilot administrator
- Confirm CCER pilot compliance
Account management

- Create third party platform account
- Query account information
- Change account status

National level administrators

- Create holding accounts of the province
- Query holding account information of the province
- Change holding account status of the province

Provincial level administrators
Account representative management

**National level administrators**
- Create third party platform account representative
- Query account representative information
- Change account representative status

**Provincial level administrators**
- Create holding account representative of the province
- Query holding account representative information of the province
- Change holding account representative status of the province
Log management

- **National level administrators**
  - Query user activity audit logs
  - Query transaction logs

- **Provincial level administrators**
  - Query transaction logs of the province

- **Account representatives**
  - Query transaction logs of the account

- **Trading systems of Exchanges**
  - Query transaction logs by system links
Non-functional management

- Providing support services
- Handling system operational issues
- Managing system updates

National level administrators

Provincial level administrators
- Providing support services
Outline

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Profile of administrators

General requirements:
- High credibility
- Acknowledge relevant carbon market principles
- Good quality in maintaining confidentiality of information
- Ability to use IT systems
- Rigorousness in executing business management operations

National level
- Acknowledge relevant legislation
- Acknowledge information verification methods
- Capable of communicating with users
- Acknowledge business and functioning of registry

Provincial level
- Acknowledge relevant legislation
- Acknowledge information verification methods
- Capable of communicating with users

Holding account
- Acknowledge carbon market regulations
Outline

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Administration risks

- **Competent authorities**
  - Operational errors
  - Fake customer identities
  - Fraudulent activities

- **User**
  - Operational errors
  - Fraudulent activities

- **Trading systems of Exchanges**
  - Mismatch in accounting records
## Risk mitigation measures

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<td>• Rigorous offline process</td>
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<td>• Four eye principles</td>
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<td><strong>Fake customer identities</strong></td>
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<td>• Proper legislative regulations</td>
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<td><strong>Mismatch in accounting records</strong></td>
<td>• Reconciliation</td>
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<td>• Regulations for error handling procedures</td>
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Thank You for Your Attention

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