



**ETS LIMITED**

**EUROPEAN COMMISSION**

DIRECTORATE-GENERAL  
CLIMATE ACTION

# **EU REGISTRY**

## **Roles and Responsibilities**

Date:	27/07/2011
Version:	0.01
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Revised by:	
Approved by:	
Public:	
Reference Number:	

## Document History

Version	Date	Comment	Modified Pages
0.1	27/07/2011	First draft of the document	

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## 1. ROLES AND RESPONSABILITIES

The following roles and responsibilities have been defined for the development, maintenance, and operation of the EU REGISTRY with respects to **[EC 1]**

### 1.1. European Commission

The European Commission is the owner of the EU REGISTRY and is responsible for the day-to-day operation, the hosting, and the administration to the EU REGISTRY. The roles within the European Commission are depicted below.

#### 1.1.1. Central Administrator

The Central Administrator is responsible for the following:

- Ensure the compliance of the EU REGISTRY's operations with the EU legislation and the UNFCCC rules.
- Request and approve changes to the EU REGISTRY's IT system. The Central Administrator must verify that the modified system continues to comply with the EC legislations and the UNFCCC rules.
- Liaise with the service providers to ensure performance of contracts.
- Advice staff in the Commission and the member states on the applicable provisions in the EU legislation and UNFCCC rules.
- Answer any queries the member states (MS) or general public may have on policy in compliance with the public service obligation on the European Commission.
- Receive queries from the public and member states concerning legal and emission trade issues. The Central Administrator answers questions about procedures and regulations regarding emission transactions.
- Inform the member states and the service desks when the EU REGISTRY is unavailable or experiencing
- Liaise with the UN on any pertinent issues related to CR
- Ensure that the database content is consistent and is in line with the EU legislation and the KP rules.

Please note that the Central Administrator is actually a team of people. There is always a member available to assume the role at any time.

#### 1.1.2. DG Clima LSO

The Director General of DG Clima has appointed a Local Security Officer (LSO) who is responsible for the global security environment. The LSO monitors the correct implementation of the DG Clima internal security rules, as laid down in Commission provisions on security **[Internal Rules of Procedure]** and **[IRP Update]**. The LSO is a key element in the overall general security structure of the DG. The LSO promotes security awareness within DG Clima, acts as a first port of call on general security issues and reinforces the effectiveness of the DG Clima's general internal security controls.

#### 1.1.3. DG Clima LISO

The Director General of DG Clima has also appointed a Local Informatics Security Officer (LISO) within DG Clima who has special responsibility for information security and with

particular expertise in the IT aspects The DG Clima LISO is responsible for advising DG Clima on information security policy matters, reviews and recommends any necessary changes to this plan or to measures adopted under it. The DG Clima LISO is responsible for the dissemination of this plan within DG Clima, and of all measures & controls taken under it, to all staff to whom it applies and for raising and maintaining security awareness and good security practice throughout the organisation.

The DG Clima LISO has responsibility for liaison on information security matters with the Commission's Security Directorate, for advising on current and future Commission information security guidelines, the issue of specific DG ENV security plans, guidelines and procedures that complement this plan and the communication on information security trends and developments.

The DG Clima LISO also advises the EU REGISTRY Manager on issues arising from the implementation of this plan and has responsibility for auditing compliance. The DG ENV LISO is responsible for investigating information security incidents and for reporting security threats or risks.

#### *1.1.4. DIGIT Local Informatics Security Officers*

The Local Informatics Security Officer (LISO) is responsible for the global security environment and has special responsibility for information security and with particular expertise in the IT aspects.

#### *1.1.5. Database Administrator*

The Database Administrator is responsible for the support and maintenance of the, databases and transaction log files of the CR and coordinates change request (THM) concerning the hosting of the CR.

#### *1.1.6. Network Administrator*

The Network Administrator is responsible for the support and maintenance of the infrastructure on which the EU REGISTRY is operated. This includes networks, storage and back-up machines and their software as well as hardware components. The Network Administrator is also responsible for all issues concerning telecommunications.

#### *1.1.7. EC Central Helpdesk*

DG DIGIT Central Help Desk (operated by DIGIT/A1) receives questions and incidents notifications from DG ENV and the Maintenance team leader (MSP) concerning software, network and infrastructural issues and dispatch these calls and requests to the appropriate operational groups.

### **1.2. Contractor**

#### *1.2.1. Organisation of Maintenance team leader*

The Maintenance team leader maintains the CR application. These activities will be performed by the following key staff:

##### *1.2.1.1. Maintenance Team Leader*

The Maintenance Team Leader has the overall responsibility to manage the infrastructure and the maintenance team.

#### *1.2.1.2. Maintenance Team Member*

These programmers will be responsible for production of the updated code that meets the release specifications. The programmers will also execute regression tests on their adaptations.

#### *1.2.1.3. Application Manager*

The incumbent for this role within the maintenance team leader has the following responsibilities:

- Deals with queries from MS and the Commission. They act as the primary contact person for the MS concerning technical problems that occur within the System. They therefore often function as a coordinator for solving problems between parties
- Sets up a reconciliation run between each MS Registry and CITL; each MS Registry's reconciliation is done at a specific time each evening for that MS
- Checks the reconciliation processes of all the connected MS to the CR have run properly and corrects where necessary. The ITL will also perform reconciliations, but this is outside the scope of this document
- Approves changes to the IT system, subject to the authorization of the Transaction Log Manager. They should ensure that the change meets DES requirements e.g. backward compatibility
- If there are any problems, the Application Manager contacts MS (copying Kyoto first level Help Desk on that message) and works with the Transaction Log Manager to solve any issues, acting as a coordinator between the MS and the Kyoto first level Help Desk
- Can implement changes authorised by the Transaction Log Manager to data on system by performing a manual intervention
- Gives support to MS
- Can delete a registry or launch a registry from the application, with the authorisation of the Central Administrator
- Monitors the quality of the service through involvement in test activities and day-to-day service monitoring
- Is informed by Maintenance team leader of any impending upgrade or version and can give input as to the timing of the implementation, prior to any new version being put into production
- If a MS registry is unavailable, the Application Manager publishes this information on the CR public website and sends information to support the TL Manager. The TL Manager then sends a CIRCA message to all Registry Managers informing them.

#### *1.2.2. Organisation of CR Help Desk Services*

The Help Desk Service Provider will provide the first-level Help Desk for the CR applications. This party deals with queries on the CR application from MS and the Commission.

These activities will be performed by the organisation described below:

#### *1.2.2.1. Help Desk Team Leader*

The Help Desk Team Leader will be a senior person who has the overall responsibility to manage the Help Desk team and to organize the service in the most effective and professional way.

#### *1.2.2.2. Help Desk Team Member*

The Help Desk Team member will be responsible for the calls and the follow up from creation until closure; listen to the users and to translate their problems towards a technical team. The team member will have an understanding of the CR systems. They will have the expertise to write procedures and documentation for the problems and solutions discovered.

#### *1.2.2.3. Second Level Help Desk Manager*

This role will be responsible for the management of the second level help desk. They will ensure that all queries received are logged and properly dealt with. This role will have a dedicated functional email address and direct dial number.

### **1.3. Member states**

The EU REGISTRY consolidates the registries of all the EU-ETS member states.

#### *1.3.1. Registry administrator*

The Registry administrator is in charge of the users and processes which concern only its registry. They have the following responsibilities:

- Ensure that the data entered by the users of their registry is correct,
- Handle failed reconciliation between their registry data and the EUTL or ITL,
- Encode data necessary for the operation of their registry such as NAP information, AAU issuance limits, etc.

#### *1.3.2. Users*

The end users of the EU REGISTRY are account representatives; that is persons which are related to a specific account. Their responsibilities are:

- Provide their personal information upon registration,
- Inform of any update of their personal information,
- Provide information for the account details,
- Encode transactions for their account,
- Respect the EU legislation and the KP rules.

A user must have submitted its personal data and been approved by a Registry Administrator in order to obtain access to a registry hosted by the EU REGISTRY. A user who wants to have access to several registries must obtain the approval of each Registry Administrator.

#### *1.3.3. Anonymous Users*

The EU REGISTRY has public Web pages which can be accessed by anyone without any authentication or access approval being necessary. Those users have no responsibilities.