

ETS LIMITED



EUROPEAN COMMISSION

DIRECTORATE-GENERAL
CLIMATE ACTION

EU Registry

Operational Plan

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1. ROLES AND RESPONSABILITIES

Please refer to **[Roles and Responsibilities]**.

2. OPERATIONAL LOGS AND RECORD KEEPING

The EU Registry logs the following data in its database:

- Transaction along with their change history
- Reconciliations (ITL and ETS) along with their change history,
- ITL Notifications along with their change history,
- WS Message sent and received,
- Account-related processes (creation, update, closure, etc.) history,
- User-related processes (sign-up, approval, revocation, etc.) history,
- NAP-related processes history,
- JI projects history,
- ITL Notifications history.

The EU Registry stores the following data:

- User information,
- Account details and holdings,
- NAP and compliance of each member states,
- JI Projects

Please note that registry administrator do not have a direct access to the database and can only access those data through the Web interface of the EU Registry. This Web interface has been designed and tested in order to prevent a registry administrator to access data which is not related to his own registry. Possibly, the registry administrator could be given in the future an access to the database through an Oracle Virtual Private Database access which will prevent them from accessing data related to another registry.

The EU Registry also keeps log files for each registry, those log files are kept in folders dedicated to each registry. Those log files contain the following:

- Copy of the Web Service messages received and sent;
- Activity of the users.

3. ONGOING PERFORMANCE EVALUATIONS AND ASSESSMENTS

The continued availability of the EU Registry is verified by using the MORE tool (see **[MORE]**). This tool is used to check at regular intervals that a few key pages of the EU Registry's Web interface are displayed within an acceptable interval.

A continuous security assessment is performed by an automated parsing of the user activity which detects suspicious patterns.

4. DATA MANAGEMENT

4.1. Data capture

Most of the data of the EU Registry is encoded through the Web interface of the EU Registry. This interface has several built-in business checks which ensure that the data is consistent. Furthermore the data encoded by users must always be reviewed by a second person before being recorded; for user details and account details, the review is performed by a registry administrator; for transaction details, the review is performed by a second user.

Another source of data are messages received from the EUTL and the ITL, those messages are also submitted to a series of business checks in order to ensure that they are consistent before they are recorded and processed.

Finally the operational data, the basic data necessary for the operation of the EU Registry (unit type codes, transaction type codes, etc.), is recorded by the execution of SQL scripts by the Database Administrator. Those scripts have been provided by the Maintenance Team and reviewed by the Central Administrator before being applied.

4.2. Data retrieval and usage

The availability of data depends on the person trying to access it:

- Anonymous users: they have access to the data presented in the public Web pages of the EU Registry;
- Users: they have access to their personal data and to the details of the accounts they are related to;
- Registry Administrator: they have access to all data which is relevant to their own registry;
- Central Administrator: they have access to all the EU Registry data.

4.3. Data storage

All the business-relevant data (transaction history, account holding, user details, etc.) is stored in the EU Registry's database. Besides that, the user activity trail and copies of the messages sent and received are stored in log files.

4.4. Data ownership

It is considered that each Registry Administrator is the owner of his registry data. Consequently the Registry Administrators are also responsible of the correctness and consistency of their registry's data.

4.5. Data migration

The EU Registry is replacing the individual registry system of each member of the EU-ETS. Therefore the European Commission has produced the following document: **[Migration Plan]** for defining a format for the export of the registries data and their import into the EU Registry.

5. MODERNISATION AND TECHNOLOGY ASSESSMENT STRATEGY

The EU Registry is mainly based on the Weblogic application server and the Oracle database. The European Commission has teams dedicated to reviewing patches and upgrades of those technologies. Those teams advise whether it is recommended or necessary to upgrade those

technologies by the mean of a change request. The European Commission has also asset management procedures for replacing and updating the hardware and software used for the hosting and monitoring of the EU Registry as those technologies become obsolete and are replaced by new ones.

A part of the Maintenance Team mission is to evaluate on a regular basis whether it is necessary to update or replace the libraries used for the implementation of the EU Registry. When they identify such a need, this team prepares a change request and submit it.

6. TECHNICAL SUPPORT PLAN

The European Commission has procedures for hiring personel with IT skills and training them in order to maintain a pool of IT talents for supporting the applications used by the European Commission. Some of the IT skills which are maintained are:

- Database technologies (Oracle, SQL Server, MySQL, etc.),
- Middleware technologies (Weblogic, JBoss, WebSphere, etc.),
- Network technologies (WAN, LAN),
- Internet technologies (SSL, TLS, http, etc.),
- Desktop technologies,
- Data storage technologies,
- Server technologies (Unix servers, Wintel server).

7. INCIDENT MANAGEMENT

Please refer to [**Incident Management Procedure**].

8. CHANGE MANAGEMENT

Please refer to [**Change Management Procedure**] for the handling of change requests and [**Version Change Management**] for the change of software version

9. LICENCES & PATCHES

Each software product used by the European Commission is assigned to a product manager. The role of the product manager is to ensure that the product licencing is ongoing and valid. Furthermore a product manager must oversee the delivery of patches and oversee their application in the various systems which use the software product.

Patches with a low criticality are applied during the scheduled downtime of the applications. Patches with a high criticality are applied ASAP by scheduling urgently a downtime of the application.

10. NAME AND VERSION OF THE APPLICATION

The name of the software product used by the EU Registry is the CSEUR: Consolidated System of European Registries. The fist version to be used in production will be the version 3.1

11. SERVICE PROVIDERS

Trasys is in charge of:

- Maintenance of the CSEUR,
- 2nd level service desk available from 7 to 19h (CET) during working days, 24h/7 during periods identified as critical.

Iris is in charge of 1st level service desk available aslo from 7 to 19h (CET) during working days, 24h/7 during periods identified as critical.

12. OPERATING HOURS

The EU Registry should be available anytime but as presented in page 11 of **[Service Level Agreement]**, the normal working hours range from 08:00 to 19:00 on working days.

Normal system maintenance should not last more than 4 hours and be scheduled outside the working hours.

Major system maintnenace should not last more than 12 hours and be scheduled outside of working hours

Maintenance of the computer room should take maximum 6 days per year and also be scheduled outside of working hours.

13. ENVIRONMENTS USED

The production EU Registry will work on the Production Environment.

2 test environments also exist:

- Acceptance (linked to the Registry environment of the ITL)
- Test (linked to the Developer environment of the ITL)

14. THE HOSTED REGISTRIES

The following registries are hosted within the EU Registry:

1. Austria
2. Belgium
3. Bulgaria
4. Cyprus (not a KP Registry)
5. Czech Republic
6. Denmark
7. Estonia
8. European Commission
9. Finland
10. France
11. Germany
12. Greece

13. Hungary
14. Iceland
15. Ireland
16. Italy
17. Latvia
18. Lietchenstein
19. Lithuania
20. Luxembourg
21. Malta (not a KP registry)
22. Netherlands
23. Norway
24. Poland
25. Portugal
26. Romania
27. Slovenia
28. Slovakia
29. Spain
30. Sweden
31. United Kingdom

15. HELPDESK SUPPORT

The registry administrator will receive helpdesk support through IRIS (1st level) and Trasys (2nd level). The registry administrators are in charge of providing helpdesk support to their end users.