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DIRECTORATE-GENERAL
CLIMATE ACTION

EU Registry

ITL Manual Interventions

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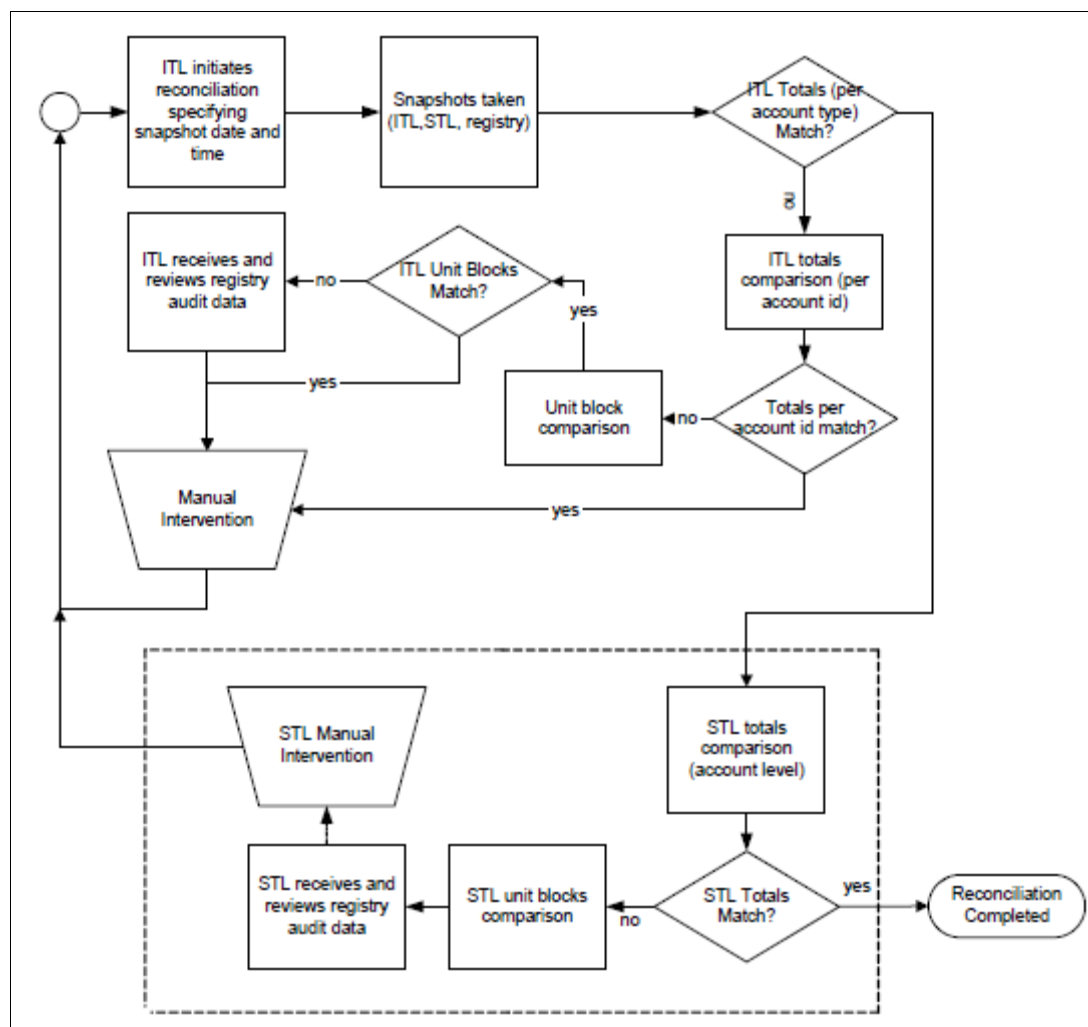
1. ROLES AND RESPONSABILITIES

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

2. ITL RECONCILIATION PROCEDURE

The ITL Reconciliation presented in [Reconciliation Procedure] is a semi-automated process which enables to detect inconsistencies between the databases of the various registries, the ITL, and the STL (EUTL) with regards to unit holdings. The transactions transferring ETS allowances are not forwarded to the ITL and as a consequence, the ITL is un-aware of allowances holdings. Therefore the ITL procedure only covers the holdings of Kyoto units. The reconciliation of ETS holdings is handled by another process called “ETS Reconciliation Procedure” which is out of this document’ scope.

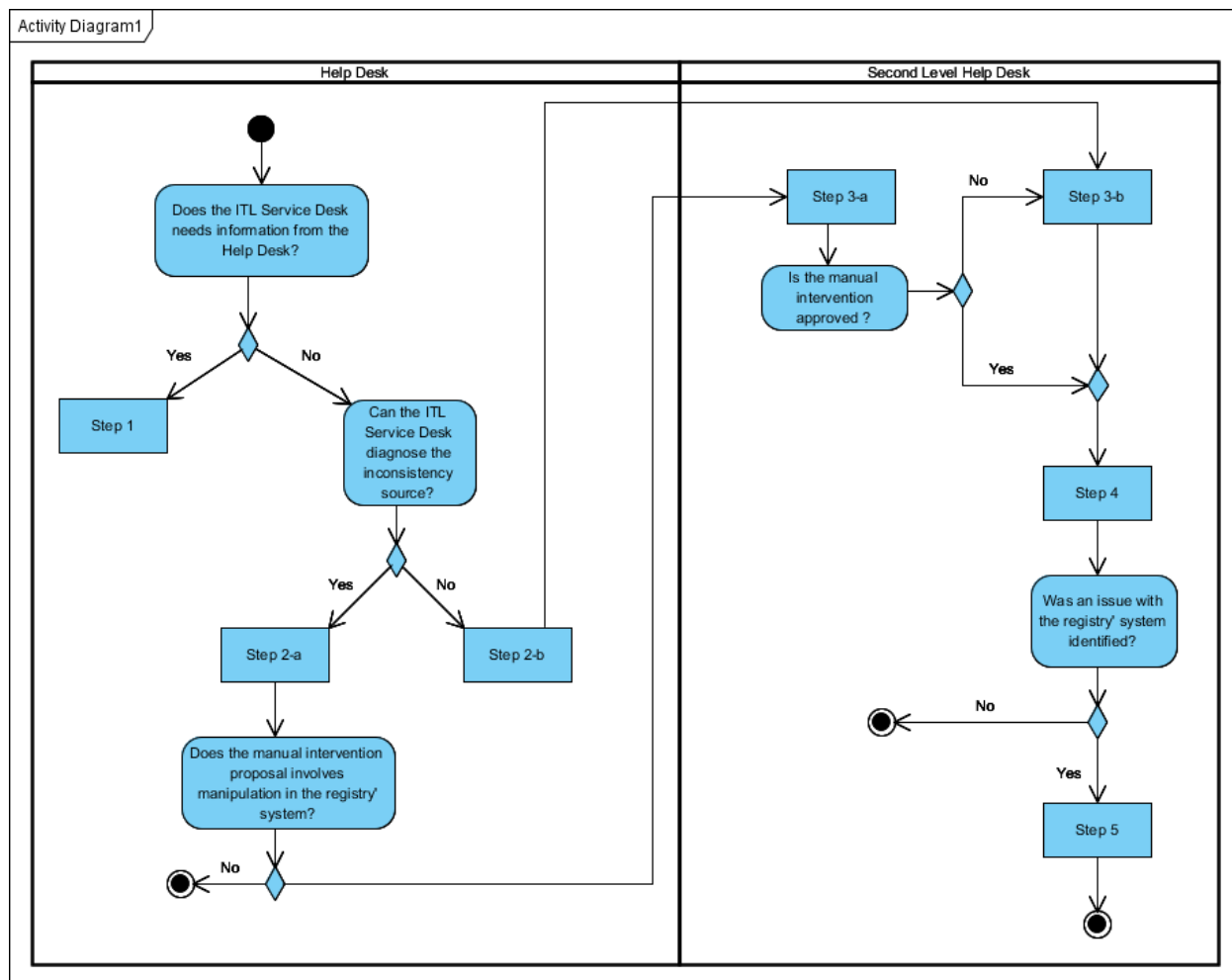
As presented in figure 2-1, the reconciliation procedure has 2 stages. Stage 1 is the comparison of the unit holdings between the registry and the ITL, stage 2 is the comparison of the unit holdings between the STL (EUTL) and the registry. An inconsistency in stage 1 is solved by an ITL Manual Intervention (Manual Intervention is the picture below), an inconsistency in stage is solved by a STL Manual Intervention.



2-1: Extract from Reconciliation Procedure: the process of an ITL Reconciliation

3. ITL MANUAL INTERVENTION

Please note that most inconsistencies found in stage 1 ITL Reconciliations are expected to be due to transactions which are stuck in a non-final state and are therefore finalized in the ITL but not in the registry (or reversely). Most of the ITL Manual Interventions should consist in the ITL Service Desk re-emitting a lost transaction message or manually advancing the state of a transaction.



3-1: The flow process of a manual intervention

3.1. Step 1 Research Transactions (optional)

This step is optional as the ITL Service Desk may be able to directly determine the origin of an inconsistency only with the data available in the ITL.

The ITL Service Desk contacts the Help Desk in order to obtain the current status of a list of transactions. The Help Desk must retrieve the current status of those transactions and provide the information to the ITL Service Desk

3.2. Step 2-a Manual Intervention Approval

The ITL Service Desk has successfully diagnosed the cause of the inconsistency and provides to the Help Desk a manual intervention proposal as presented in section 3 of **[Reconciliation Procedure]**. The Help Desk reviews the manual intervention proposal and notifies the ITL Service Desk of its approval if it doesn't involve manipulation in the registry' system. Otherwise it forwards the manual intervention proposal to the Second Level Helpdesk.

If the manual intervention is approved then the ITL Service Desk performs the manual intervention, closes the reconciliation, and schedules a new one.

3.3. Step 2-b Escalate the Issue

If the ITL Service Desk fails to diagnose the problem then the Help Desk escalates the issue to the Second Level Help Desk.

3.4. Step 3-a Manual Intervention Approval

The Second Level Help Desk reviews the manual intervention proposal provided by the ITL Service Desk in collaboration with the Registry Administrator. If the proposal is approved then the Second Level Help Desk implements it (step 4), if not then it starts its own investigation (step 3-b)

3.5. Step 3-b Investigation

The Second Level Help Desk in conjunction with ITL Service Desk, EC Central Help Desk, and Registry Administrator investigates the source of the inconsistency and submits a manual intervention proposal to all involved parties. This step ends once the proposal has been accepted by all parties. If the manual intervention proposal requires a manipulation in the registry's database then the Second Level Help Desk implements it (Step 4)

3.6. Step 4 Implement Manual Intervention

The Second Level Help Desk implements the manual intervention proposal which has either been agreed on by all the concerned parties in the previous steps. Once it is done, it informs the ITL Service Desk which will close the reconciliation and schedule a new one.

3.7. Step 5 Preventing Further Occurrences

If the investigation concluded that the origin of the inconsistency was an issue in the registry's system then the Second Level Help Desk must issue a change request as presented in [**Change Management Procedure**] for addressing the problem and submits it to the registry administrator for approval. Upon approval the Registry Administrator provides the change request to the maintenance team for an emergency release.

While the change request is being processed, the Second Level Help Desk must attempt to propose a workaround for preventing further occurrence of the inconsistency. If no workaround can be proposed then the registry must suspend its activities until a new version addressing the change request is released.

4. STL MANUAL INTERVENTION

Please note that the transaction message flow has been designed in such a way that transactions are not completed in the related registry-(ies) as long it has not been completed in the STL. Consequently, it is not possible that an inconsistency found in stage 2 to be due to a pending transaction. Consequently, the STL Manual Intervention follows the same process flow than the ITL Manual Intervention (see figure 3-1) but it starts directly in step 3-b.