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**Data sheet N° 7:**  
**ANNUAL COMPLIANCE – SURRENDER TRANSACTION FOR THE YEAR**  
**(by 30<sup>th</sup> of April at the latest)**

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**1. What are the principles of surrender under the annual compliance obligation?**

In accordance with the French environmental code, article R.229-21:

Pursuant to article L.229-7, operator of an installation subject to an authorisation as mentioned in the article L.229-6 and not eligible to an exemption as mentioned in the article L.229-14, must surrender, by 30<sup>th</sup> of April at the latest, a quantity of allowances corresponding to its rejected emissions (equivalent CO<sub>2</sub> tones) during the previous year, in the conditions provide by article R.229-20.

This surrendering transaction is a transfer of units (chapter IV of article L.229-7) from the installation account to the European Registry deletion account, provided in the delegated act, pursuant to paragraph 3 of the article 19 (directive 2003/87/CE dated 13<sup>th</sup> October 2003).

Accordance with the French environmental code article R.229-7 II:

At the end of each year, the operator shall surrender to the administrative authority, under the penalty provided by article L.229-10, a quantity of allowances equal to the total amount of greenhouse gas emitted by the installations. This quantity shall be declared, verified and validated pursuant to chapter III of the present article.

**2. Interesting points about surrendering transaction for stationary installations operators.**

- Operators are allowed to use “General allowances” and CERs for their compliance. CERs must be exchanged for General allowances before the surrendering transaction (see chapter 4 of this document for more details). The use of CER for compliance won’t be available for phase 4.
- Surrender and exchange transactions can be performed only from an Operator Holding Account in the EU registry.
- Please see chapter 4 of this document for more details about the exchange transaction
- It is not necessary to add the surrender account to your trusted account list.
- According to EC Regulation 389/2013 (article 36), on 1<sup>st</sup> April of each year, operators’ accounts without verified emissions recorded in the system are automatically blocked. No transaction can be performed from a blocked account, except for surrendering transactions.
- For more information, please visit the website of the French Ministry of Environment/General Directorate for Energy and Climate (GDEC):

<http://www.developpement-durable.gouv.fr/-Effet-de-serre-et-changement-.html>

### 3. How to perform the surrendering transaction?

Surrendering allowances must be completed on **30th April** at the latest (before 1<sup>st</sup> May)

#### PROCEDURE

**Stage 1** : initiate a surrender transaction of “General Allowances”.

1. Login as an Account Representative (AR) in the Union Registry.  
<https://unionregistry.ec.europa.eu/euregistry/FR/index.xhtml>
2. On the homepage choose “English” language on the top right side of the screen, click on "Accounts" menu item (on the left side of the screen)
3. Click on the search button to see all the accounts you manage, then click on account number (first column) for which you would like to surrender general allowances:

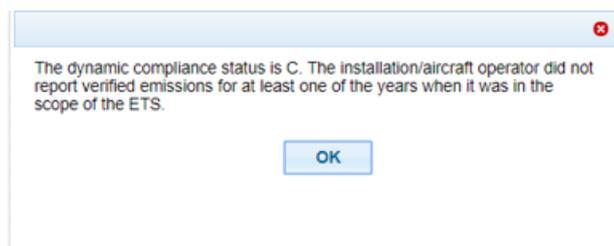
The screenshot shows the 'Accounts' management interface. On the left is a navigation menu with 'Accounts' highlighted. The main area contains search filters for Identifier, Name, Status, Period, Type, Account Holder Name, Installation / Aircraft Operator Identifier, Group, Over-Allocation, and Marking Year. Below the filters is a table of search results. The first row is highlighted, showing account number EU-100-16204-9-5, name 'Operator holding account', type 'Operator holding account', period '0', group 'FR', balance '16.736', dynamic compliance status 'C', status 'Blocked', account holder name '4M', and installation/aircraft operator identifier '13962'.

4. In April, if your installation is not compliant and the verified emissions are recorded in the Union Registry, you will see the following message:



Choose “Propose surrender” and go to step 8

5. In April, if the verified emissions are not recorded in the Union Registry, you will see the following message:



Click on « Ok » button. To avoid this situation for the next years, please do not forget to enter your emission before March in GEREP.

Data sheets are available on our website communication:  
<https://www.seringas.caissedesdepots.fr/>

6. If you connect before April to surrender, the messages in steps 4 and 5 won't be triggered. Therefore, on the details page, select the "Holdings" tab and click on "Propose a transaction" button.

[Return To Search](#)

Account Main	<b>Holdings</b>	Authorised Representatives	Additional Authorised Representatives	Installation	Contact Person Information	Administration	Compliance	Verifier
Trusted Accounts	Account Statements							

Total:

Unit Type	Commitment Period	Project Number	Limit / Remaining	Balance	Reserved for transaction
General allowance	1				0
CER	1				0

**Propose a transaction**

7. On the next screen, select the "Surrender of allowances" transaction:

**Transaction selection**

Choose the type of transaction:

Regular Transfers:  
[Transfer of allowances](#)  
[Transfer of AAU, RMU, ERU, CER, ICER and ICER](#)

**Compliance:**  
[Surrender of allowances](#)

**Cancel**

8. On the surrender of allowances screen, you must enter the quantity to surrender, and then click "Submit."

European Commission  
**Climate Action**  
 Energy for a Changing World

Open another registry

Home page  
 Task list  
 Accounts

Accounts  
 Account Request  
 Claim account  
 Release account  
 List of account requests  
 Transactions  
 Export Government Accounts

EU ETS  
 Kyoto Protocol

**Surrender of allowances**

Phase 3 (2013-2017); Phase 2 (2008-2012)

**Compliance**

The table below is a summary of the compliance information for the current commitment period. You should surrender a quantity equivalent to that indicated by Compliance. *Surrendered Pending* is the quantity being surrendered for which the transactions are not completed yet.

Cumulative Verified Emissions : 403003    Dynamic Compliance Status : B  
 Cumulative Surrendered Units : 338,325    Compliance Status published at previous 15 May :  
 Carry over from previous period : 0  
 Compliance Figure : -64,678  
 Pending Surrendered : 0

Units	Available quantity	Quantity to surrender
General Allowance	96,412	<input type="text"/>

**Submit**    **Cancel**

9. **Confirm** The surrender transaction.

10. Once confirmed, the system will display the transfer approval request. Please enter the required information on the following screen. (Password and mobile phone), then click on " Sign " .

**To sign the transaction, please enter your ECAS password**

Reason **Signez la transaction avec votre mot de**

Password \*

Mobile phone \*

International format including country code, e.g. for Belgium: +32 123 45 67 89

**Sign**

\* Required fields

When you receive the SMS code on your GSM, enter the code into the appropriate field and click on " Sign " button.

**Note:** surrender transactions need the validation/approval of another Representative:

- an Additional Authorized Representative (AAR), if there is one assigned to the Operator Holding Account (OHA), or
- Another Authorized Representative (AR), if there is no AAR assigned to the OHA.

## Stage 2 : Validation/approval of a surrendering transaction

On the European Registry home page

1. Login as an Additional Authorized Representative (AAR), if there is an AAR assigned to the account, or login as another Authorized Representative (AR), if there is no AAR assigned to the account.
2. Click on " Task List " menu item on the left side of the screen.
3. Tick the checkbox and click on " **Claim task** " to assign the task to you, solely.

Filter results									
Page 1 of 1 (1 rows found)									
<input type="checkbox"/>	Request ID	Task Type	Initiator	Claimant	Account identifier	Account Holder ID	Account type	Initiation Time	Transaction ID
<input checked="" type="checkbox"/>	43914	Approve Transaction Request			16205	14965	Operator holding account	25/10/2018 17:55:03	EU26465

**Claim task**   Unclaim task   Assign

Your name should appear in the column "Claimant".

4. Then click on "Request ID" to enter into the detail page of the task.

Filter results									
Page 1 of 1 (1 rows found)									
<input type="checkbox"/>	Request ID	Task Type	Initiator	Claimant	Account identifier	Account Holder ID	Account type	Initiation Time	Transaction ID
<input checked="" type="checkbox"/>	43914	Approve Transaction Request			16205	14965	Operator holding account	25/10/2018 17:55:03	EU26465

Claim task   Unclaim task   Assign

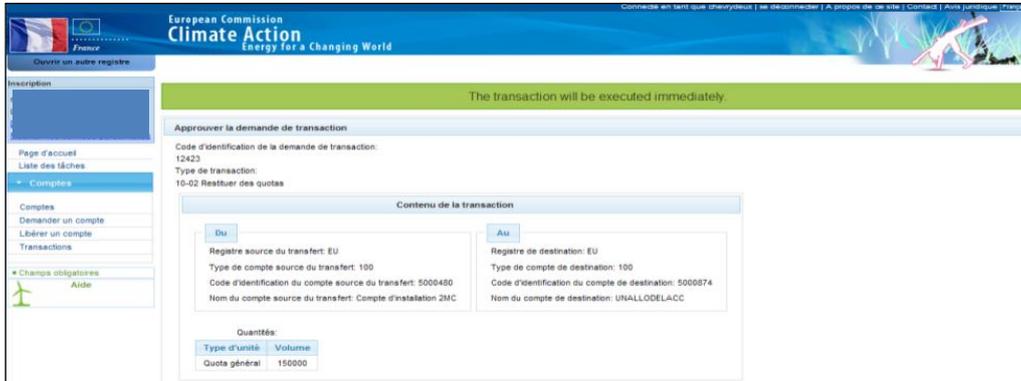
5. The system displays the details of the transaction, take your time to check carefully the information. At the bottom of the page, you can either " **Approve** " or " **Reject** " the task.

If you "reject" the task, the surrender transaction will be rejected and the allowances will remain in the account, available for other transactions.

6. The system will display a confirmation of your choice.

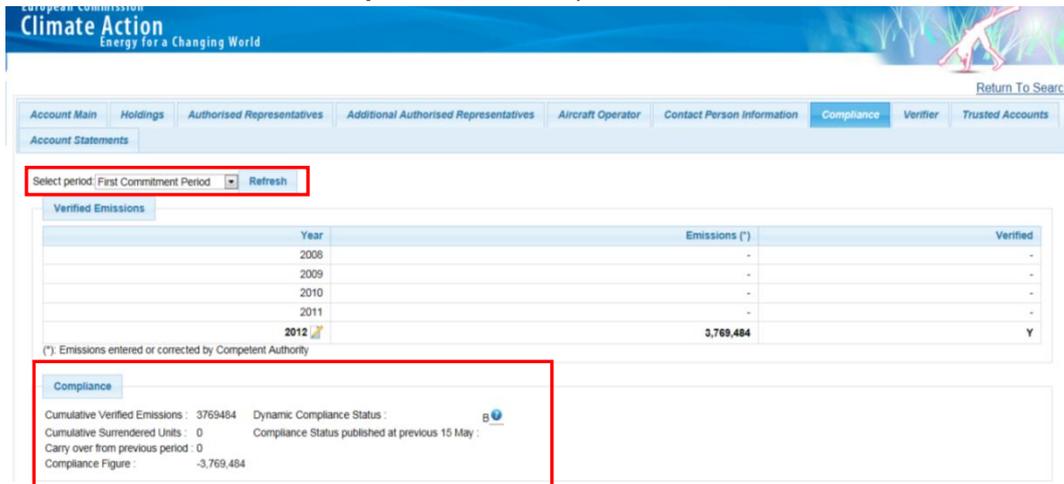
Confirm the information and click on " **Confirm** " or " **Cancel** "

7. Once the task approved and confirmed, the system will display the transaction approval request. Please fill in the requested fields. (Password and mobile phone), similar to step 8 of stage ①
8. A screen will then be displayed confirming the transaction.



At this stage your surrender transaction is completed, nevertheless you need to verify your dynamic compliance status.

- Either in the "COMPLIANCE" tab  
Select **"second commitment period"** in the dropdown menu, then click "refresh"



- Or in the list of accounts page (Stage ①, step 3).

**Your company is compliant, if the "dynamic compliance" status of your account is "A"**

#### **4. How to use international credits for your compliance?**

Operators willing to use international credit (period 2 CERs) for their compliance have to exchange beforehand those CERs against “General allowances”, within the limits defined in the regulation EC 1123/2013 published on 8<sup>th</sup> October 2013. **The CERs can be exchanged until 30/04/2021.**

The quantity of eligible period 2 CERs that can be used for the phase 2013-2020 is limited. The following rules have been applied in the Union Registry:

Case 1: The operator has received an allocation and is authorized to use international credits for the phase 2008-2012.

For operators located in France, the authorized quantity is equal to 13,5% of the allocation for this phase.

Case 2: The operator did not receive any allocation and therefore was not authorized to use international credits for the phase 2008-2012.

The operator can use up to 4,5 % of the total of its emission during the phase 2013-2020.

Case 3: operator with a significant capacity extension, pursuant to article 20 of Decision 2011/278/EU.

The operator can use up to 13.5% of the total of its allocation for the phase 2008-2012 or up to 4.5 % of the total of its emission for 2013-2020, the highest amount of the two options.

**Stage ①** : Initiate an exchange transaction of international credit against general allowances.

1. Login as an Account Representative (AR) in the Union Registry.
2. On the homepage choose “English” language on the top right side of the screen, click on "Accounts" menu item (on the left side of the screen)
3. Click on the search button to see all the accounts you manage, then click on "View Details" of the operator holding account for which you would like to exchange international credits.
4. On the details page, select the “Holdings” tab and click on “Propose a transaction” button.

- On the next screen, select the "Exchange CER, ERU units for Phase 3 allowances" transaction:

**Transaction selection**

Choose the type of transaction:

Regular Transfers:  
[Transfer of allowances](#)  
[Transfer of AAU, RMU, ERU, CER, ICER and tCER](#)

Compliance:  
[Surrender of allowances](#)

Destruction of Units:  
[Deletion of allowances](#)  
[Voluntary cancellation of AAU, RMU, CER, ERU, ICER and tCER](#)

Clearing:  
[Cancellation of Kyoto units against deletions of general allowances](#)

Exchange:  
[Exchange CER, ERU units for Phase 3 allowances](#)

- On the exchange transaction screen, enter the quantity you want to exchange and select the project Id, then click on "Next" button

You cannot:

- use ineligible units (highlighted in red below),
- enter more than the available quantity
- enter more than the remaining entitlement

Name	Value
Entitlement:	15,882
Surrendered International Credits in Phase 2:	0
Exchanged International Credits in Phase 3:	10,887
Pending exchanges:	0
Remaining Entitlement:	4,995

Unit Type	Original CP	Applicable CP	Available quantity	Quantity to transfer	Eligibility	Project
CER	1	1	10,887	<input type="text"/>	Ineligible	-- Any --
CER	2	2	4,995	<input type="text"/>	Eligible	-- Any --

GREEN: eligible to be held and used on an EU ETS account
RED: ineligible to be held and used on an EU ETS account.

and "Confirm" button on the confirmation pop-up

**Exchange Confirmation**

Unit Type	Quantity to transfer	Eligibility	Original Commitment Period	Applicable Commitment Period
CER		Ineligible	1	1
CER	1	Eligible	2	2

7. Once confirmed, the system will display the transfer approval request. Please enter the required information on the screen which follows. (Password and mobile phone), then click on " **Sign** ".

**To sign the transaction, please enter your ECAS password**

Reason **Signez la transaction avec votre mot de**

Password \*

Mobile phone \*

International format including country code, e.g. for Belgium: +32 123 45 67 89

**Sign**

\* Required fields

When you receive the SMS code on your GSM, enter the code into the correct field and click on " **Sign** " button.

- Note:** Exchange transactions need to be approved/validated by another Representative:
- an Additional Authorized Representative (AAR), if there is one assigned to the Operator Holding Account (OHA), or
  - another Authorized Representative (AR), if there is no AAR assigned to the OHA.

## **Stage 2** : Validation/approval of an exchange transaction

The validation of an exchange transaction is the same operation as the validation of a surrendering transaction. Please, refer to the chapter 3 (How to perform the surrendering transaction?), Stage **2** of this document

**You can contact the National administrator team on + 33 1 58 50 87 00 between the hours of 9:30 am to noon and 2 pm to 5:30 pm, Paris time, or send an email to [registrefrancais-ges@caissedesdepots.fr](mailto:registrefrancais-ges@caissedesdepots.fr)**

## ANNEX 1: ADDITIONAL INFORMATION ABOUT THE EUROPEAN UNION EMISSION TRADING SCHEME

The **European Union Emission Trading Scheme** (EU-ETS) for greenhouse gas emissions requires companies emitting greenhouse gas (GHG) to return each year the quantity of GHG emitted during the previous calendar year.

The EU ETS, as a cornerstone of the European policy against climate change, began on 1 January 2005 by an initial phase of three years (2005-2007), followed by a second phase of five years (2008-2012) and a third phase of eight years (2013-2020). The fourth phase which will last for ten years will begin on 01 January 2021 and will run to 31 December 2030.

For the third trading phase (2013-2020), a new device has been developed by a directive of 23 April 2009 to extend the scope of the EU-ETS system and change the allocation procedure. The order proposed allows the compliance between French laws and this directive.

In particular for the phase 2013-2020:

- Extending the scope of the EU-ETS to new sectors (including chemical and aluminium) and new greenhouse gases (nitrous oxide and perfluorocarbons);
- Moving to a dominant mode of allocation of allowances: the auction rather than free allocation, a large proportion of operators will have to buy allowances to cover their GHG emissions;
- Conservation of funding principle of the free allocation for certain industrial sectors exposed to a significant risk of international competition, the allowance being made at EU level in a harmonized way corresponding the 10% of installations emitting less in this area.

European Directive 2008/101/EC including aviation activities in the system of trading emission of greenhouse gases came into force on 2 February 2009. It was transposed into the French Environmental Code (Articles L. 229-5 to L. 229-24-2).

### How to comply with the EU ETS?

- **Reduce CO2 emissions.** The purpose of the EU ETS is to encourage the operators of stationary installations and the aircraft operators to reduce their GHG emissions and improve their energy efficiency throughout more efficient methods.
- **Buy allowances.** When the volume of emissions of some operators or some aircraft operators may exceed the quantity of free allowances allocated, the operator may, at any time, acquire in the carbon market places or with other operators the allowances and others compatible carbon credits (Kyoto credits CERs and ERUs)
- **The long-term management** of allowances leads to integrate the GHG emissions limit as an objective in the policy of the company, as many operators have already done. Management of allowances surplus allows the company to finance its investments to reduce GHG emissions.