Annex F
List of Transaction Checks

1. Version and Authentication Checks

Check Name	Certificate Check
Check Description	Certificate must be recognized.
Process	Certificate is checked by IPSec VPN against a Certificate Authority.
Response Code	None
Response Description	SOAP error.

Check Name	SOAP Identifier
Check Description	Initiating Registry must be consistent with sender of SOAP message.
Process	Per VPN checks.
Response Code	None
Response Description	SOAP error.

Check Name	WSDL Check
Check Description	Message must conform to WSDL.
Process	Per WSDL/Web service functionality.
Response Code	None
Response Description	SOAP error.

Check Name	Major Version
Check Description	Major Version number in transaction message must match current Major Version number for DES.
Process	If input major version <> major version of DES, return response code.
Response Code	1031
Response Description	DES Major Version is no longer compatible with ITL. The message cannot be processed. Please see www.TransactionLogUpdates.Updates.htm for required upgrade elements.

Check Name	Minor Version
Check Description	Minor Version number in transaction message should match current Minor Version number for DES.
Process	If input minor version <> minor version of DES, return response code.
Response Code	1032
Response Description	DES Minor Version is not current. Please see www.TransactionLogUpdates.htm for recommended upgrade elements.

2. Message Validity Checks

Check Name	Message Age
Check Description	Message must be processed within 24 hours of submission.
Process	If transaction DateTime - current DateTime > 24, return response code.
Response Code	1301
Response Description	The message was held in the ITL message queue for more than 24 hours. The message cannot be processed.

3. Registry Checks

Check Name	Initiating Registry
Check Description	Initiating Registry must be listed in Registry table.
Process	For the Transferring Registry Code: Select Registry Code From Registry Where Registry Code = input registry code. If not found, return response code.
Response Code	1501
Response Description	Registry code is invalid. This message cannot be processed.

Check Name	Initiating Registry Transactions Status
Check Description	Initiating Registry status must allow transactions to be proposed.
Process	For the Transferring Registry Code: Select Registry Status Code from Registry Status History Where Registry Status Date = most recent registry status and Registry.Registry Code = Initiating Registry. If not found or Registry Status Code <> 0, return response code.
Response Code	1503
Response Description	Initiating Registry status does not allow transactions to be proposed. This message cannot be processed.

Check Name	Acquiring Registry Transactions Status
Check Description	Acquiring Registry status must allow transactions to be accepted.
Process	For the Registry Code for the Acquiring Registry element of the message: Select Registry Status Code from Registry Status History Where Registry Status Date = most recent registry status and Registry.Registry Code = Acquiring Registry Code. If not found or Registry Status Code <> 0, return response code.
Response Code	1504
Response Description	Acquiring Registry status does not allow transactions to be proposed. This message cannot be processed.

Check Name	Registry Reconciliation Status
Check Description	Registry status must allow reconciliation actions to be conducted.
Process	For the Transferring Registry Code: Select Registry Status Code from Registry Status History Where Registry Status Date = most recent registry status and Registry.Registry Code = input.Transferring Registry Code. If not found or Registry Status Code <> 0 or 1, return response code.
Response Code	1510
Response Description	Registry status does not allow reconciliation actions to be conducted. This message cannot be processed.

4. Data Integrity Checks

Check Name	Transaction Mask
Check Description	Transaction ID must be comprised of a registry code followed by numeric values.
Process	For each transaction: 1. Determine if first 2 or 3 characters are alpha. 2. Determine if remaining characters are numeric. If not, return response code.
Response Code	2001
Response Description	Transaction ID has invalid format. This message cannot be processed.

Check Name	Transaction Type Code
Check Description	Transaction type must be valid.
Process	For each transaction: If the input Transaction Type is not equal to (1, 2, 3, 4, 5, 6, 7, 8 or 10). return response code.
Response Code	2002
Response Description	Transaction Type Code is invalid. This message cannot be processed.

Check Name	Supplementary Transaction Type Code
Check Description	Supplementary Transaction Type Code must be valid.
Process	For each transaction: If the input Supplementary Transaction Type is not equal to (00, 01, 02, 03, 21, 41, 51, 52, 53, 54, 55). return response code.
Response Code	2003
Response Description	Supplementary Transaction Type Code is invalid. This message cannot be processed.

Check Name	Transaction Status Code
Check Description	Transaction status code must be valid.
Process	For each transaction: If input Transaction Status Code < 1 or > 10, return response code.
Response Code	2004
Response Description	Transaction Status Code is invalid. This message cannot be processed.

Check Name	Transaction Status DateTime
Check Description	Transaction Status DateTime must be before the current DateTime and no older than two weeks.
Process	For each transaction: If the input Transaction Status DateTime is not between the system DateTime and the system DateTime minus 14 days, return response code.
Response Code	2005
Response Description	Transaction Status Date is invalid. This message cannot be processed.

Check Name	Account Type Code
Check Description	Account Type Code must be valid.
Process	For all initiating or acquiring accounts: If input Account Type Code not (100, 110, 120, 121, 210, 220, 230, 240, 250, 300, 411, 421, 422, 423), return response code.
Response Code	2006
Response Description	Account Type Code for one or more initiating or acquiring accounts is invalid. This message cannot be processed.

Check Name	Initiating Account Identifier
Check Description	Initiating Account Identifier must be greater than zero.
Process	For all initiating accounts: If input Account Identifier is not greater than zero, return response code.
Response Code	2007
Response Description	Account Identifier for one or more transferring or initiating accounts is invalid. This message cannot be processed.

Check Name	Acquiring Account Identifier
Check Description	Acquiring Account Identifier must be greater than zero.
Process	For all acquiring accounts: If input Account Identifier for acquiring account is not greater than zero, return response code.
Response Code	2008
Response Description	Account Identifier for one or more acquiring accounts is invalid. This message cannot be processed.

Check Name	Notification Type Code
Check Description	Notification Type Code must be valid.
Process	For each transaction: Select Notification Type Code from Notification Type Code Where Notification Type Code = .input Notification Type Code. If not found, return response code.
Response Code	2009
Response Description	Notification Type Code is invalid. This message cannot be processed.

Check Name	Originating Party
Check Description	The Originating Party of all unit blocks must be valid.
Process	For all unit blocks: Select Country Code from Country Code Where Country Code = input Originating Party Code. If not found, return response code.
Response Code	2010
Response Description	The Party Code for one or more unit blocks is invalid. This message cannot be processed.

Check Name	Unit Type Code
Check Description	Unit Type Code must be valid.
Process	For all unit blocks: If input Unit Type Code < zero or > 7, return response code.
Response Code	2011
Response Description	Unit Type Code for one or more unit blocks is invalid. This message cannot be processed.

Check Name	Supplementary Unit Type Code
Check Description	Supplementary Unit Type Code must be valid.
Process	For all unit blocks: Select input Supplementary Unit Type Code From Supplementary Unit Type Where Supplementary Unit Type Code = input Supplementary Unit Type Code If not found, return response code.
Response Code	2012
Response Description	Supplementary Unit Type Code for one or more unit blocks is invalid. This message cannot be processed.

Check Name	Unit Serial Block
Check Description	Unit Serial block start and Unit Serial block end must be present.
Process	For all unit blocks: If input Start Block ≤ zero or Input End Block ≤ zero, return response code.
Response Code	2013
Response Description	Serial number for one or more unit blocks is invalid. This message cannot be processed.

Check Name	Unit Serial Range
Check Description	Unit Serial block end must be greater than or equal to the Unit Serial block start.
Process	For all unit blocks: If input Block End < input Block Start, return response code.
Response Code	2014
Response Description	Serial Block Range for one or more unit blocks is invalid. This message cannot be processed.

Check Name	LULUCF Activity Code
Check Description	RMUs, ERUs converted from RMUs, tCERs and lCERs must have a valid LULUCF Activity Code.
Process	For all unit blocks: If input Unit Type Code = 2, 4, 6, or 7 and If input LULUCF Code is not (1, 2, 3, 4, 5 or 6), return response code.
Response Code	2015
Response Description	LULUCF Activity Code for one or more unit blocks of RMUs, ERUs converted from RMUs, tCERs and lCERs is invalid. This message cannot be processed.

Check Name	No LULUCF Activity Code
Check Description	AAUs, ERUs converted from AAUs, and CERs must not have a LULUCF Activity Code.
Process	For all unit blocks: If input Unit Type Code = 1, 3, 5 and If input LULUCF code is not blank or null, return response code.
Response Code	2016
Response Description	LULUCF Activity Code for one or more unit blocks of AAUs, ERUs converted from AAUs, or CERs is invalid. This message cannot be processed.

Check Name	Project ID
Check Description	ERUs, CERs, tCERs, and lCERs must have a valid Project ID.
Process	For each unit block: If input Unit Type Code = 3, 4, 5, 6 or 7, and If Input Project ID is blank, return response code.
Response Code	2017
Response Description	Project ID for one or more unit blocks of ERUs, CERs, tCERs, or lCERs is blank. This message cannot be processed.

Check Name	No Project ID
Check Description	AAUs or RMUs must not have a Project ID.
Process	For each unit block: If input Unit Type Code = 1 or 2, and If input Project ID is not blank or null, return response code.
Response Code	2018
Response Description	Project ID for one or more unit blocks of AAUs or RMUs is present. This message cannot be processed.

Check Name	ERU Track Code
Check Description	ERUs must have a valid track code.
Process	For each unit block: If input Unit Type Code = 3 or 4, and If input Track is not equal to 1 or 2, return response code.
Response Code	2019
Response Description	Track code for one or more ERU unit blocks is missing or invalid. This message cannot be processed.

Check Name	No Track Code
Check Description	AAUs, CERs, tCERs, and lCERs must not have a track code.
Process	For each unit block: If input Unit Type Code = 1, 2, 5, 6, or 7, and If input Track is not blank or null, return response code.
Response Code	2020
Response Description	Track code for one or more non-ERU unit blocks is present. This message cannot be processed.

Check Name	Expiry Date
Check Description	tCERs and lCERs must have an Expiry Date.
Process	For all unit blocks: If Unit Type Code = 6 or 7, and Expiry Date is null or blank, return response code.
Response Code	2021
Response Description	Expiry Date for one or more unit blocks of tCERs or lCERs is missing. This message cannot be processed.

Check Name	No Expiry Date
Check Description	AAUs, RMUs, ERUs and CERs must not have an Expiry Date.
Process	For all unit blocks: If Unit Type Code = 1, 2, 3, 4, or 5, and Expiry Date is not null or blank, return response code.
Response Code	2022
Response Description	Expiry Date for one or more unit blocks of AAUs, RMUs, ERUs and CERs is invalid. This message cannot be processed.

5. Message Sequence Checks for Transactions from Registries

Check Name	Transaction ID Not Unique
Check Description	Transaction ID for proposed transactions must not already exist in the ITL.
Process	For each transaction: If input Transaction Status Code = 1 (Proposed), Select Transaction ID From Transaction Log Where Transaction ID = input transaction ID If found, return response code.
Response Code	3001
Response Description	The transaction ID for this transaction proposal has been used by another transaction. This message cannot be processed.

Check Name	Prior Record of Transaction ID from Registry
Check Description	Transaction ID for ongoing transactions must already exist in the ITL.
Process	For each transaction: If input Transaction Status Code = 4, 5, 6 or 8, (Completed, Terminated, Rejected, or Accepted) Select Transaction ID From Transaction Log Where Transaction ID = input Transaction ID If not found, return response code.
Response Code	3002
Response Description	Transaction ID does not exist in the ITL. This message cannot be processed.

Check Name	Transaction Status Out of Sequence for Prior Completed Status
Check Description	Previously completed transactions cannot be completed again.
Process	For each transaction: If input Transaction Status Code = 4 (Completed), Select Transaction Status Code From Transaction Log History Where Transaction ID = input transaction ID and Transaction Status DateTime = most recent status for that transaction and Transaction Status Code = 4 (Completed) If found, return response code.
Response Code	3003
Response Description	Transaction has been previously completed. This message cannot be processed.

Check Name	Transaction Status Out of Sequence for Prior Rejected Status
Check Description	Previously rejected transactions cannot be completed.
Process	For each transaction: If input Transaction Status Code = 4 (Completed), Select Transaction Status Code From Transaction Log History Where Transaction ID = input transaction ID and Transaction Status DateTime = most recent status for that transaction and Transaction Status Code = 6 (Rejected) If found, return response code.
Response Code	3004
Response Description	Transaction has been previously rejected by the Acquiring Registry. This message cannot be processed.

Check Name	Transaction Status Out of Sequence for Prior ITL Discrepancy Status
Check Description	Transactions for which an ITL discrepancy has been previously identified cannot be completed.
Process	For each transaction: If input Transaction Status Code = 4 (Completed), Select Transaction Status Code From Transaction Log History Where Transaction ID = input Transaction ID and Transaction Status DateTime = most recent status for that transaction and Transaction Status Code = 3 (Checked (Discrepancy)) If found, return response code.
Response Code	3005
Response Description	A discrepancy has been previously identified by the ITL for this transaction. This message cannot be processed.

Check Name	Transaction Status Out of Sequence for Prior STL Discrepancy Status
Check Description	Transactions for which an STL discrepancy has been previously identified cannot be completed.
Process	For each transaction: If input Transaction Status Code = 4 (Completed), Select Transaction Status Code From Transaction Log History Where Transaction ID = input Transaction ID and Transaction Status Datetime = most recent status for that transaction and Transaction Status Code = 10 (STL Checked (Discrepancy)) If found, return response code.
Response Code	3006
Response Description	A discrepancy has been previously identified by an STL for this transaction. This message cannot be processed.

Check Name	Transaction Status Out of Sequence for Prior Terminated Status
Check Description	Previously terminated transactions cannot be completed.
Process	For each transaction: If input Transaction Status Code = 4 (Completed), Select Transaction Status Code From Transaction Log History Where Transaction ID = input Transaction ID and Transaction Status DateTime = most recent status for that transaction and Transaction Status Code = 5 (Terminated) If found, return response code.
Response Code	3007
Response Description	Transaction has been previously terminated. This message cannot be processed.

Check Name	Transaction Status Out of Sequence for Prior Cancelled Status
Check Description	Previously cancelled transactions cannot be completed.
Process	For each transaction: If input Transaction Status Code = 4 (Completed), Select Transaction Status Code From Transaction Log History Where Transaction ID = input Transaction ID and Transaction Status DateTime = most recent status for that transaction and Transaction Status Code = 7 (Cancelled) If found, return response code.
Response Code	3008
Response Description	Transaction has been previously cancelled. This message cannot be processed.

Check Name	Transaction Status Out of Sequence for Prior Accepted Status
Check Description	Previously accepted external transactions cannot be terminated.
Process	For each transaction: If input Transaction Status Code = 5 (Terminated), Select Transaction Status Code From Transaction Log History Where Transaction ID = input Transaction ID and Transaction Status DateTime = most recent status for that transaction and Transaction Status Code = 8 (Accepted) If found, return response code.
Response Code	3009
Response Description	Transaction has been previously accepted by the Acquiring Registry and cannot be terminated. This message cannot be processed.

Check Name	Transaction Status Out of Sequence for Accepted or Rejected Status
Check Description	Transaction status of Accepted or Rejected is not valid for non-external transactions.
Process	For each transaction: If input Transaction Type <> 3 (Not External) and input Transaction Status Code = 6 or 8 (Rejected or Accepted), return response code.
Response Code	3010
Response Description	Transaction status of Accepted or Rejected is invalid for non-external transactions. This message cannot be processed.

Check Name	Transaction Status Not Compatible with Initiating Registry
Check Description	Transaction status from Initiating Party must indicate status of Proposed, Completed, or Terminated.
Process	For each transaction: If From Party = Initiating Party and If input Transaction Status Code <> 1, 4, or 5 (not Proposed, Completed, or Terminated), return response code.
Response Code	3011
Response Description	Transaction status is invalid for a registry identified in transaction as the initiating registry. This message cannot be processed.

Check Name	Transaction Status Not Compatible with Acquiring Registry
Check Description	Transaction status from Acquiring Registry must indicate status of Rejected or Accepted.
Process	For each transaction: If From Party = Acquiring Registry and If input Transaction Status Code <> 6 or 8 (not Rejected or Accepted), return response code.
Response Code	3012
Response Description	Transaction status is invalid for a registry identified in transaction as an acquiring registry. This message cannot be processed.

6. Message Sequence Checks for Transactions from STL

Check Name	Transaction Status Not Compatible with an STL
Check Description	Transaction status from STL must indicate status of Discrepancy or No Discrepancy.
Process	For each transaction: If Transaction Status Code <> 9 or 10 (not STL Checked (Discrepancy) or STL Checked (No Discrepancy)), return response code.
Response Code	3501
Response Description	Transaction status from STL is invalid. This message cannot be processed.

Check Name	Prior record of Transaction ID from STL
Check Description	Transaction ID for ongoing transactions must exist in ITL.
Process	For each transaction: Select Transaction ID From Transaction Log Where Transaction ID = input Transaction ID If not found, return response code.
Response Code	3502
Response Description	Transaction ID does not exist in the ITL. This message cannot be processed.

7. General Checks for Transactions (Not Applied to Issuance Transactions)

Check Name	Applicable Commitment Period
Check Description	Applicable Commitment Period must correspond to the current or next commitment period (including their true-up periods).
Process	For all unit blocks: Determine all acceptable Commitment Periods relative to the current date by evaluating the date to determine if it is within the date range of any Commitment Period in the Commitment Period table, using the CP Begin Date and the CP True-up Period End Date. If the input Applicable Commitment Period is not one of these Commitment Periods, return response code.
Response Code	4001
Response Description	Transactions involve unit blocks for a Commitment Period which is not currently active. This message cannot be processed.

Check Name	Prior Record of Units
Check Description	Units identified in the transaction must already exist in the ITL.
Process	For each unit block in the RegistryUnitBlockObject array, If a corresponding unit is not in the ITLUnitBlockObject array, return response code.
Response Code	4002
Response Description	One or more unit blocks identified in the transaction units do not exist in the ITL. This message cannot be processed.

Check Name	Registry Holds Units
Check Description	Units identified in the transaction must be held by Initiating Registry.
Process	For each unit block in the ITLUnitBlockObject array: If Holding Registry Code <> input Initiating Registry Code, return response code.
Response Code	4003
Response Description	The ITL records do not indicate that the units in the transaction are held by the Initiating Registry. This message cannot be processed.

Check Name	Unit Block Attributes
Check Description	All attributes of all unit blocks must be consistent with ITL unit block attributes except where attributes are changed by the current transaction.
Process	For each unit block in the RegistryUnitBlockObject array: 1. Compare these attributes for all Transaction Types: If input Originating Party <> Originating Party or If input Originating Commitment Period <> Originating Commitment Period or If input LULUCF Activity Code <> LULUCF Activity Code or If input Project ID <> Project ID or If input Track Code <> Track Code Return .f. 2. Compare Applicable Commitment Period for all Transaction Types except carryover: If Transaction Type <> 7 (carry-over) and If input Applicable Commitment Period <> Applicable Commitment Period Return .f. 3. Compare Expiry Date for all Transaction Types except Expiry Date Change. If Transaction Type <> 8 (Expiry Date Change) and If input Expiry date <> Expiry date, Return .f. 4. Compare Unit Type for all Transaction Types except Conversion. If Transaction Type <> 2 (Conversion) and If input Unit Type <> Unit Type Return .f. If .f., return response code.
Response Code	4004
Response Description	The attributes of the one or more unit blocks identified in the transaction are inconsistent with the ITL unit block attributes. The message cannot be processed.

Check Name	Single Applicable Commitment Period
Check Description	All unit blocks in a transaction must be for a single Applicable Commitment Period.
Process	If Transaction Type Code <> 10 (not Internal), Select Applicable Commitment Period from RegistryUnitBlockObject array. If more than one is found, return response code.
Response Code	4005
Response Description	Transaction units are for more than one Applicable Commitment Period. This message cannot be processed.

Check Name	Acquiring and Transferring Registry Consistency
Check Description	For all transactions except for external transfers, the Initiating and Acquiring Registries must be the same.
Process	If Transaction Type Code <> 3 (not External), If the Transferring Registry Code <> Acquiring Registry Code, return response code.
Response Code	4006
Response Description	The Initiating and Acquiring Registry must be the same for all transaction types other than external transfers. This message cannot be processed.

Check Name	Acquiring and Transferring Registries for External Transactions
Check Description	For external transfers, the Initiating and Acquiring registries must be different.
Process	If Transaction Type Code = 3 (External), If the Transferring Registry Code = Acquiring Registry Code, return response code.
Response Code	4007
Response Description	For external transfers the Initiating and Acquiring registries must be different. This message cannot be processed.

Check Name	Units Have ITL Inconsistencies
Check Description	Units identified in the transaction must not have inconsistencies identified through reconciliation with the ITL.

Process	For each unit block in the ITLUnitBlockObject array:
	if Unit Status Code = 2 or 3,
	return response code.

Response Code	4008
Response Description	Reconciliation with the ITL has identified an inconsistency for one or more transaction units in the transaction. This message cannot be processed.

Check Name	Units Have STL Inconsistencies
Check Description	Units identified in the transaction must not have inconsistencies identified through reconciliation with an STL.
Process	For each unit block in the ITLUnitBlockObject array: If Unit Status Code = 4 or 5, return response code.
Response Code	4009
Response Description	Reconciliation with a STL has identified an inconsistency for one or more transaction units in the transaction. This message cannot be processed.

Check Name	Units are Unavailable
Check Description	Units identified in the transaction must not be involved in another transaction.
Process	For each unit block in the ITLUnitBlockObject array: If Unit Status Code = 1, 3, or 5, return response code.
Response Code	4010
Response Description	One or more transaction units are part of an ongoing transaction. This message cannot be processed.

Check Name	Units are Cancelled
Check Description	Cancelled units must not be subject to further transactions.
Process	For each unit block in the ITLUnitBlockObject array: If the Account Type Code = 210, 220, 230, 240, or 250, return response code.
Response Code	4011
Response Description	One or more transaction units have been previously cancelled. This message cannot be processed.

Check Name	Units are Retired
Check Description	Retired units must not be subject to further transactions.
Process	For each unit block in the ITLUnitBlockObject array: If the Account Type Code = 300, return response code.
Response Code	4012
Response Description	One or more transaction units have been previously retired. This message cannot be processed.

Check Name	Units are Expired
Check Description	Expired tCERs and lCERs must not be subject to further transactions, except internal transfers to a Type 5 cancellation account.
Process	For each unit block in the ITLUnitBlockObject array: If Unit Type Code = 6 or 7 and the Expiry Date is less than the current date and (If the (Transaction Type Code <> 4 or if (the Transaction Type Code = 4 and the Account Type Code <> 250)) return response code.
Response Code	4013
Response Description	One or more of the transaction units is an expired tCER or lCER. Such units may only be transferred to a mandatory cancellation account. This message cannot be processed.

Check Name	Units Previously Used in Replacement
Check Description	Units previously used to replace tCERs or lCERs must not be subject to further transactions.
Process	For each unit block in the ITLUnitBlockObject array: If the Account Type Code = 411, 421, 422, or 423, return response code.
Response Code	4014
Response Description	One or more transaction units have been previously used as replacement units. This message cannot be processed.

Check Name	lCER Transaction Ineligibility
Check Description	lCERs must not be transferred to a holding or retirement account where the CDM Executive Board has notified a replacement requirement for the associated Project.
Process	For each unit block in ITLUnitBlockObject array: If Unit Type Code = 7 and Project Freeze Flag = 1 and (if Transaction Type = 3, 5, or 8 or if Transaction Type = 4 and acquiring Account Type Code <> 250) return response code.
Response Code	4015
Response Description	One or more transaction units is an lCER which is ineligible for transactions except for lCER replacement and mandatory cancellation. This message cannot be processed.

8. Transaction-specific Checks

Check Name	National Registry Issuance
Transaction Type(s)	Issuance
Check Description	AAUs and RMUs must be issued by a national registry.
Process	For the transaction: If Initiating Registry = CDM and any Unit Type Code = 1 or 2, return response code.
Response Code	5001
Response Description	The CDM Registry cannot issue AAUs or RMUs. This message cannot be processed.

Check Name	No ERU Issuance
Transaction Type(s)	Issuance
Check Description	ERUs must cannot be issued.
Process	For each transaction: If Transaction Type Code = 1 and any Unit Type Code for any block = 3 or 4, return response code.
Response Code	5002
Response Description	ERUs cannot be issued through an issuance transaction. This message cannot be processed.

Check Name	CDM Registry Issuance
Transaction Type(s)	Issuance
Check Description	CERs, tCERs and lCERs must be issued by the CDM Registry.
Process	For each transaction: If any Unit Type Code for any block = 5, 6 or 7, If Initiating Registry <> CDM, return response code.
Response Code	5003
Response Description	A national registry cannot issue CERs, tCERs or lCERs. This message cannot be processed.

Check Name	Single Issuance Unit Type
Transaction Type(s)	Issuance
Check Description	A transaction must not issue more than one Unit Type.
Process	For each transaction: Select Unit Type Code from RegistryUnitBlockObject array. If more than one value is returned, return response code.
Response Code	5004
Response Description	More than one type of unit is contained in the issuance transaction. This message cannot be processed.

Check Name	Single Issuance Commitment Period
Transaction Type(s)	Issuance
Check Description	The Original Commitment Period must be the same for all units issued by the transaction.
Process	Select Originating Commitment Period from RegistryUnitBlockObject array. If more than one value is returned, return response code.
Response Code	5005
Response Description	The issuance transaction involves units for more than one Commitment Period. This message cannot be processed.

Check Name	Consistent Applicable Commitment Period
Transaction Type(s)	Issuance
Check Description	The Applicable Commitment Period must be the same as the Original Commitment Period for all units issued by the transaction.
Process	For each unit block to be issued: If Applicable Commitment Period <> Original Commitment Period, return response code.
Response Code	5006
Response Description	The Applicable Commitment Period must be the same as the Original Commitement Period for all units in the proposed issuance. This message cannot be processed.

Check Name	Issued Serial Numbers
Transaction Type(s)	Issuance
Check Description	Serial numbers for proposed issuance must not already exist in the ITL.
Process	For each unit block to be issued: Select Block ID From Unit Block Where Originating Party Code = input Originating Party Code and ((Start Block > input Start Block and Start Block < input End Block) or (End Block > input Start Block and End Block < input End Block) or (Start Block > input Start Block and End Block < input End Block) If found, return response code.
Response Code	5007
Response Description	Proposed serial numbers have been issued for other units. This message cannot be processed.

Check Name	AAU Issuance Quantity
Transaction Type(s)	Issuance
Check Description	The quantity of AAUs issued must not exceed allowed quantity for the Commitment Period.
Process	For each transaction: 1. Determine the AAU quantity to be issued and the Commitment Period. 2. Determine running total of previously issued AAUs (as adjusted for ERU conversions) and Commitment Period as follows: Select sum (Total Units) as Previously Issued from Registry Unit Sum Where Registry Code = input Registry Code and Unit Type Code = AAU and Time Period = CMP and Time Period Value = current Commitment Period and Computation Type Code = 1 (Unit Type Issuance Level) 3. Determine Allowable Quantity (AQ) for the Commitment Period as follows: Select sum (Total Units) as Allowable Quantity From Registry Unit Sum Where Registry Code = input Registry Code and Unit Type Code = AAU and Time Period = CMP and Time Period Value = current Commitment Period and Computation Type Code = 4 (Unit Type Issuance Limit) 4. If Units to be Issued + PreviouslyIssued > Allowable Quantity, return response code.
Response Code	5008
Response Description	AAU quantity proposed for issuance exceeds the allowed issuance quantity. This message cannot be processed.

Check Name	RMU Issuance Quantity
Check Description	The quantity of RMUs issued must not exceed allowed quantity for each LULUCF Activity Type and Commitment Period.
Process	For each transaction: 1. Determine the RMU quantity to be issued for each LULUCF Activity Type and the time period. For each LULUCF Activity Type: 2. Determine running total of all previously issued RMUs by Activity Type and for the Commitment Period. Select sum (Total Units) as Previously Issued from Registry Unit Sum Where Registry Code = input Registry Code and Unit Type = 2 (RMU) and Time Period = CMP and Time Period Value = current Commitment Period and LULUCF Code = input LULUCF Code and Computation Type Code = 1 (Unit Type Issuance Level) 3. Determine Allowable Quantity (AQ) for Activity Type and the Commitment Period. Select sum (Total Units) as Allowable Quantity from Registry Unit Sum Where Registry Code = input Registry Code and Unit Type = 2 (RMU) and Time Period = CMP and Time Period Value = current Commitment Period and LULUCF Code = input LULUCF code and Computation Type Code = 4 (Unit Type Issuance Limit) 4. If Units to be Issued + PreviouslyIssued > Allowable Quantity, return response code.
Response Code	5009
Response Description	RMU quantity proposed for issuance exceeds the allowed issuance quantity for this LULUCF Activity Type and Commitment Period. This message cannot be processed.

Check Name	CDM Issuance Unit Type
Transaction Type(s)	Issuance
Check Description	The type of units to be issued for each CDM Project must be consistent with the Project activity.
Process	If the Initiating Party Code = CDM, For each unit block in the RegistryUnitBlock array: If LULUCF Code = 1 or 2 and Unit Type Code <> 6 (tCER) or 7 (lCER), return response code.
Response Code	5010
Response Description	The type of unit proposed for issuance is not consistent with the activity implemented through the CDM project. This message cannot be processed.

Check Name	Consistency of Unit Type Issued for a LULUCF CDM Project
Transaction Type(s)	Issuance
Check Description	Choice of unit type must be consistent with previous issuance of tCERs or lCERs for the Project.
Process	For each transaction: If Unit Type Code to be issued = (6 or 7), Select Unit Type Code from Project Where Project ID = input Project ID If Unit Type Code from Project <> input Unit Type Code, return response code.
Response Code	5011
Response Description	Unit Type proposed to be issued is inconsistent with the Unit Type previously issued for this Project. This message cannot be processed.

Check Name	CDM Issuance Quantity
Transaction Type(s)	Issuance
Check Description	CER, tCER, or lCER issuance for each CDM Project must not exceed quantity specified by the CDM Executive Board.
Process	For each transaction: If Unit Type Code = 5, 6 or 7, 1. Determine the number of units to be issued in this transaction. 2. Determine number of units allowed to be issued for this Project. Select Total Units, Project Log ID From Project Action Log Where Project ID = input Project ID and Project Action Code = 4 (Issuance) Store Sum(Total Units) as Allowed Units Store concatenated Project Log IDs as Project Log String 3. Determine the total number of units already issued for this Project: Select sum (Total Units) as Previously Issued From Registry Unit Sum Where Project Log ID = in (Project Log String) and Computation Type Code = 9 (Project Issuance Level) 4. If Units to be Issued + PreviouslyIssued > AllowedUnits, return response code.
Response Code	5012
Response Description	Quantity proposed for issuance for the CDM Project exceeds quantity specified by the CDM Executive Board. This message cannot be processed.

Check Name	CDM LULUCF Activity Code
Transaction Type(s)	Issuance
Check Description	The LULUCF Activity Code of CERs, tCERs, or lCERs proposed for Issuance must be consistent with the project activity.
Process	Select Project ID, LULUCF Code from Project Where Project ID = input unit block Project ID and LULUCF Code = input unit block LULUCF Code If not found, return response code.
Response Code	5013
Response Description	The LULUCF Activity Code of the units proposed for Issuance is not consistent with the project activity. This message cannot be processed.

Check Name	CDM Project ID
Transaction Type(s)	Issuance
Check Description	A valid CDM Project ID must be present for the issuance of all CERs, tCERs and lCERs.
Process	For the transaction: If the Unit Type Code = 5, 6 or 7, Select Project ID from Project table for Project ID = input Project ID. If not found, return response code.
Response Code	5014
Response Description	The CERs, tCERs or lCERs to be issued are not associated with a known CDM Project. This message cannot be processed.

Check Name	tCER Expiry Date
Transaction Type(s)	Issuance
Check Description	Expiry Date for tCERs must be consistent with the end date of the Commitment Period subsequent to the Original Commitment Period of the tCER.
Process	For each unit block: If Unit Type Code = 6 and Expiry Date is not equal to the End Date of second Commitment Period in the Commitment Period table. return response code.
Response Code	5015
Response Description	The tCER Expiry Date is invalid. This message cannot be processed.

Check Name	lCER Expiry Date
Transaction Type(s)	Issuance
Check Description	Expiry Date for lCERs must be consistent with the End Date of the Crediting Period for the Project specified by the CDM Executive Board.
Process	For each unit block: If Unit Type Code = 7, Select Crediting Period End Date From Project Where Project ID = Unit Block Project ID If Expiry Date <> Crediting Period End Date, return response code.
Response Code	5016
Response Description	The lCER Expiry Date is inconsistent with the end of the Crediting Period for the CDM Project specified by the CDM Executive Board. This message cannot be processed.

Check Name	National Registry Conversion
Transaction Type(s)	Conversion
Check Description	The Initiating Registry converting AAUs or RMUs must be a national registry.
Process	If the Transferring Registry Code = CDM, return response code.
Response Code	5051
Response Description	Only national registries can conduct conversion transactions. This message cannot be processed.

Check Name	Holding Account Conversion
Transaction Type(s)	Conversion
Check Description	The Initiating Account for a conversion transaction must be a holding account.
Process	For each transaction or unit block: If the initiating Account Type Code <> 100, 121, or 124, return response code.
Response Code	5052
Response Description	One or more transaction units is proposed for conversion in an account other than a holding account. This message cannot be processed.

Check Name	Conversion Eligibility (Track 1)
Transaction Type(s)	Conversion
Check Description	If the unit is a Track 1 ERU, the Party of the Initiating Registry must be determined to meet eligibility criteria 1 through 6.
Process	For all unit blocks in the RegistryUnitBlockObject array: If the Track Code = 1, Select count (Registry Code) as Number of Criteria Met From Registry Eligibility Where Registry Code = Initiating Registry code and Criteria End Date is null and Criteria Type Code = 1, 2, 3, 4, 5, or 6 and Eligibility Status Code = 1 or 2 (Approved or Approved by default) If Number of Criteria Met < 6, return response code.
Response Code	5053
Response Description	The Party of the Initiating Registry is not eligible for Track 1 conversion. This message cannot be processed.

Check Name	Conversion Eligibility (Track 2)
Transaction Type(s)	Conversion
Check Description	If the unit is a Track 2 ERU, the Party of the Initiating Registry must be determined to meet eligibility criteria 1, 2 and 4.
Process	For all unit blocks in the RegistryUnitBlockObject array: If the Track Code = 2, Select count(Registry Code) as Number of Criteria Met From Registry Eligibility Where Registry Code = Initiating Registry Code and Criteria End Date is null and Criteria Type Code = 1, 2, or 4 and Eligibility Status Code = 1 or 2 (Approved or Approved by default) If Number of Criteria Met < 3, return response code.
Response Code	5054
Response Description	The Party of the Initiating Registry is not eligible for Track 2 conversion. This message cannot be processed.

Check Name	Conversion Unit Type
Transaction Type(s)	Conversion
Check Description	Units for conversion must be AAUs or RMUs.
Process	For each unit block in the ITLUnitBlockObject array, If Unit Type Code <> (1 or 2), return response code.
Response Code	5056
Response Description	Units for conversion are not AAUs or RMUs. This message cannot be processed.

Check Name	Single Conversion Unit Type
Transaction Type(s)	Conversion
Check Description	A transaction must not convert more than one unit type.
Process	For each transaction: Select distinct Unit Type Code from ITLUnitBlockObject array If more than one value is returned, return response code.
Response Code	5057
Response Description	The conversion transaction proposes the conversion of more than one unit type. This message cannot be processed.

Check Name	Conversion by Issuing Registry
Transaction Type(s)	Conversion
Check Description	Units for conversion must have been issued by Initiating Registry.
Process	For each unit block in the ITLUnitBlockObject array, If Originating Party Code <> Transferring Registry Code, return response code.
Response Code	5058
Response Description	Units for conversion were not issued by Initiating Registry. This message cannot be processed.

Check Name	Project ID
Transaction Type(s)	Conversion
Check Description	A valid JI Project ID must be present for the conversion of all ERUs.
Process	For each unit block in the ITLUnitBlockObject array, Select Project ID From Project Table Where Project ID = input unit block Project ID If not found, return response code.
Response Code	5059
Response Description	The proposed ERUs are not associated with a known JI Project. This message cannot be processed.

Check Name	JI Conversion Unit Type
Transaction Type(s)	Conversion
Check Description	The type of units to be converted to ERUs for each JI Project must be consistent with the project activity.
Process	For each unit block in the RegistryUnitBlock array: If LULUCF Code is not null, If Unit Type Code <> 4 (ERU converted from RMU), return response code.
Response Code	5060
Response Description	The type of unit proposed for conversion is not consistent with the JI Project activity type. This message cannot be processed.

Check Name	Track 2 ERU Conversion Quantity
Transaction Type(s)	Conversion
Check Description	Track 2 ERU Conversion for each Track 2 JI Project must not exceed the quantity specified by the Article 6 Supervisory Committee.
Process	For each transaction: If Unit Type Code = 3 or 4 and Track = 2, 1. Determine the number of units to be converted in this transaction. 2. Determine the number of units allowed to be converted for this Project Select Total Units, Project Log ID From Project Action Log Where Project ID = input Project ID and Project Action Code = 5 (Conversion) Store sum(Total Units) as Allowed Units Store concatenated Project Log IDs as Project Log String 3. Determine number of units already converted for this Project Select sum(Total Units)as Previously Converted From Registry Unit Sum table Where Project Log ID in (Project Log String) and Computation Type Code = 7 (Converted Level) 4. If Units to be Converted + Previously Converted > Allowed Units, return response code.
Response Code	5061
Response Description	Track 2 ERUs conversion quantity for the JI Project exceeds quantity specified by the Article 6 Supervisory Committee. This message cannot be processed.

Check Name	General Transferring Registry Eligibility for External Transfers
Transaction Type(s)	External
Check Description	The Party of an initiating national registry must be determined to meet eligibility criteria 1 through 6, except for the first external transfer of a track 2 ERU which the Registry has converted.
Process	If the Transferring Registry Code <> CDM, 1. Determine if the transfer involves the first external transfer of track 2 ERUs converted by the registry. If the Unit Type Code equals 3 or 4 and the Originating Party Code = the Transferring Registry Code, and Transfer Flag = F, exit check. 2. Check for Eligibility criteria. Select count (Registry Code) as Number of Criteria Met From Registry Eligibility Where Registry Code = Transferring Registry code and Criteria End Date is null and Criteria Type Code = 1, 2, 3, 4, 5, or 6 and Eligibility Status Code = 1 or 2 (Approved or Approved by Default) If Number of Criteria Met < 6, return response code.
Response Code	5101
Response Description	The Party of the Initiating Registry is not eligible to transfer units to other registries. This message cannot be processed.

Check Name	ERU Track 2 Transferring Registry Eligibility for External Transfers
Transaction Type(s)	External
Check Description	If the transaction is the first external transfer of a track 2 ERU which the Registry has converted, the Party of the initiating national registry must be determined to meet eligibility criteria 1, 2 and 4.
Process	For each unit block: 1. Determine if the transfer involves the first external transfer of a Track 2 ERU converted by the registry. If Unit Type Code = 3 or 4 and Track = 2 and Transfer Flag = F, 2. Check for Eligibility criteria. Select Count (Registry Code) as Number of Criteria Met From Registry Eligibility Where Registry Code = Transferring Registry code and Criteria End Date is null and Criteria Type Code = 1, 2, or 4 and Eligibility Status Code = 1 or 2 (Approved or Approved by default) If Number of Criteria Met < 6, return response code.
Response Code	5102
Response Description	The Party of the Initiating Registry is not eligible to transfer track 2 ERUs to other registries. This message cannot be processed.

Check Name	Acquiring Registry Eligibility for External Transfers
Transaction Type(s)	External
Check Description	The Party of an acquiring national registry must be determined to meet eligibility criteria 1 through 6.
Process	If the Acquiring Registry Code <> CDM, Select count (Registry Code) as Number of Criteria Met From Registry Eligibility Where Registry Code = Acquiring Registry code and Criteria End Date is null and Criteria Type Code in (1, 2, 3, 4, 5, 6) and Eligibility Status Code = 1 or 2 (Approved or Approved by default) If Number of Criteria Met < 6, return response code.
Response Code	5103
Response Description	The Party of the Acquiring Registry is not eligible to transfer units to other registries. This message cannot be processed.

Check Name	Commitment Period Reserve
Transaction Type(s)	External
Check Description	The total quantity of all units held in a national registry, which may be used for compliance for the applicable Commitment Period of a transaction, must not fall below the CPR level for the Party for that Commitment Period. This total quantity is the total of all units in holding and retirement accounts, plus first external transfers of track 2 ERUs converted by the registry (associated with previous or the current transaction), less expired units remaining in holding and retirement accounts, and less required cancellations and replacements which have not been carried out 30 days after the relevant notification was sent by the ITL.
Process	1. Determine number of each unit type involved in the transaction for the relevant Commitment Period. 2. Determine the number of first time external transfers of Track 2 ERUs involved in this transaction. Sum units in ITLUnitBlockObject array where Track = 2 and Transfer Flag = F 3. Determine number of units held by the registry that may be used for compliance in the Commitment Period. Select sum(Total Units) as Registry Holdings From Registry Unit Sum Where Registry Code = input Registry Code and Time Period = "CMP" and Time Period Value = current Commitment Period and Computation Type Code = 2 (Commitment Period Holdings) 4. Determine number of Track 2 ERUs previously transferred out of registry. Select Sum(Total Units) as Track 2 ERUs From Registry Unit Sum Where Registry Code = input Registry Code and Time Period = "CMP" and Time Period Value = current Commitment Period and Computation Type Code = 11 (Track 2 ERU First-time Transfer Level) 5. Determine number of units Overdue to be Cancelled or Replaced (a) Create List of Open Notifications requiring action by registry Select Project Log ID, Total Units From Project Action, Notification, Registry Notification Where Registry Code = initiating registry code and Registry Notification Status <> 3 (Complete) and Notification Type = 3 (Unit Expiry), 4 (Reversal of Storage) or 5 (Non Submission of

	Certification Report) and Action Due Date < current date Concatenate IDs to create string of Project Log IDs Sum Total Units for all Project Log IDs to Required Cancelled/Replaced (b) Determine the number of units already cancelled or replaced in response to Notifications Select Sum(Total Units) as Already Cancelled/Replaced From Registry Unit Sum Where Registry Code = input Registry Code and Time Period = "CMP" and Time Period Value = current Commitment Period and Computation Type Code = 12 (Notification Requirement Attainment Level) and Project Log ID in (String of Project Log IDs) Overdue Cancellations or Replacements = Required Cancelled/Replaced – Already Cancelled/Replaced 6. Determine Commitment Period Reserve. Select sum(Total Units) as Reserve Limit From Registry Unit Sum Where Registry Code = input Registry Code And Computation Type Code = 3 (Reserve Limit) And Time Period = "CMP" And Time Period Value = current Commitment Period 7. If Registry Holdings + First External Transfers of Track 2 ERUs + First Time Track 2 ERUs involved in this transaction – Expired Units – Overdue Cancellations and Replacements – Units involved in transaction < Reserve Limit, return response code.
Response Code	5104
Response Description	The proposed transaction will cause a violation of the commitment period reserve for the Initiating Registry. This message cannot be processed.

Check Name	External Transfers to CDM Registry
Transaction Type(s)	External
Check Description	CDM Registry can only receive external transfers to Cancellation accounts for compensating excess issuance of CERs, tCERs and lCERs.
Process	If the Acquiring Registry = CDM and the acquiring Account Type Code does not equal 240, return response code.
Response Code	5105
Response Description	CDM Registry can only receive transfers to type 4cancellation accounts. This message cannot be processed.

Check Name	Suspension from Making External Transfers
Transaction Type(s)	External
Check Description	The Party of an initiating national registry must have met its emissions target for the previous Commitment Period.
Process	If the Transferring Registry Code <> CDM, If Unit Type Code= 3 or 4 and Originating Party Code = Transferring Registry Code and Transfer Flag = F, exit check. Select Registry Code From Registry Eligibility Where Registry Code = Transferring Registry Code and Criteria End Date is nulland Criteria Type Code = 7 (Non-compliance with Emission Target for Prior Commitment Period)and Eligibility Status Code = 4 (Suspended) If found, return response code.
Response Code	5106
Response Description	The Initiating is not eligible to transfer because it failed to meet its emissions target in the previous Commitment Period. This message cannot be processed.

Check Name	National Registry Cancellation
Transaction Type(s)	Cancellation
Check Description	Cancellation to Net Source, Non-Compliance and Voluntary Cancellation Accounts must take place in a national registry.
Process	If the Transferring Registry Code = CDM and the Account Type Code = 210, 220 or 230, return response code.
Response Code	5151
Response Description	Only national registries may transfer units to Net Source, Non-Compliance and Voluntary Cancellation Accounts. This message cannot be processed.

Check Name	No Excess Issuance Cancellation
Transaction Type(s)	Cancellation
Check Description	Cancellation to Excess Issuance Cancellation Account must not take place in a national registry.
Process	For each transaction: If the Transferring Registry Code <> CDM and the Account Type Code = 240, return response code.
Response Code	5152
Response Description	Only the CDM registry may transfer units to Excess Issuance Cancellation Accounts. This message cannot be processed.

Check Name	Cancellation Accounts
Transaction Type(s)	Cancellation
Check Description	The Acquiring Account for a cancellation transaction must be a cancellation account.
Process	For each unit block in the RegistryUnit BlockObject array: If the acquiring Account Type Code <> 210, 220, 230, 240, or 250 return response code.
Response Code	5153
Response Description	One or more transaction units is proposed for transfer to an account other than a cancellation account. This message cannot be processed.

Check Name	Cancellation Account Identifier
Transaction Type(s)	Cancellation
Check Description	Account identifiers must be provided for acquiring accounts in cancellation transactions.
Process	If the Transaction Type Code = 4, and The acquiring Account ID is blank or invalid, Return response code.
Response Code	5154
Response Description	An account identifier was not provided for one or more unit blocks. This message cannot be processed.

Check Name	Cancellation Account Commitment Period
Transaction Type(s)	Cancellation
Check Description	The unit blocks cancelled must have the same Applicable Commitment as the Cancellation Account.
Process	For the transaction: Select Commitment Period From Government Account Where Account Identifier = input Account Identifier If Commitment Period <> Applicable Commitment Period for the RegistryUnitBlock array, return response code.
Response Code	5155
Response Description	The Applicable Commitment Period for the unit blocks is inconsistent with the Commitment Period for the cancellation account. This message cannot be processed.

Check Name	tCER and lCER Cancellation to Net Source and Non-Compliance Cancellation Accounts
Transaction Type(s)	Cancellation
Check Description	tCERs and lCERs cannot be transferred to Net Source Cancellation Accounts or Non-Compliance Cancellation Accounts
Process	For each unit block in the RegistryUnit BlockObject array: if the Unit Type Code = 6 or 7 and the acquiring Account Type Code = 210 or 220, return response code.
Response Code	5156
Response Description	One or more transaction units are tCERs or lCERs. These units cannot be transferred to Net Source Cancellation Accounts or Non-Compliance Cancellation Accounts. This message cannot be processed.

Check Name	Notification ID for tCER and lCER Cancellations to Excess Issuance Cancellation Accounts
Transaction Type(s)	Cancellation
Check Description	tCERs and lCERs may only be transferred to Excess Issuance Cancellation Account in the CDM registry in the case that excess tCER and lCER issuance is being compensated pursuant to a Excess Issuance Notification
Process	For each unit block in the RegistryUnit BlockObject array: If the acquiring Account Type Code = 240 and the Unit Type Code = 6 or 7 If the Notification ID = null or Select Notification ID and Notification Type Code From Registry Notification table Where Registry Code = input Registry Code and Notification ID = input Notification ID. If not found or if Notification Type Code <> 6 return response code.
Response Code	5157
Response Description	A valid Notification ID was not provided for a Cancellation of lCERs or tCERS to an Excess Issuance Cancellation account. This message cannot be processed.

Check Name	National Registry Replacement
Transaction Type(s)	Replacement
Check Description	The Initiating Registry replacing units must be a national registry.
Process	If the Transferring Registry Code = CDM, return response code.
Response Code	5201
Response Description	Only national registries may conduct replacement transactions. This message cannot be processed.

Check Name	tCER Replacement Accounts
Transaction Type(s)	Replacement
Check Description	The Acquiring Account for a replacement transaction involving tCERs must be a tCER replacement account.
Process	For each unit block: If the Unit Type Code = 6 and the acquiring Account Type Code <> 411 return response code.
Response Code	5202
Response Description	One or more transaction units is proposed for transfer to an account other than a tCER replacement account. This message cannot be processed.

Check Name	lCER Replacement Accounts
Transaction Type(s)	Replacement
Check Description	The Acquiring Account for a replacement transaction involving lCERs must be an lCER replacement account.
Process	For each unit block: If the Unit Type Code = 7 and the acquiring Account Type Code <> 421, 422 or 423, return response code.
Response Code	5203
Response Description	One or more transaction units is proposed for transfer to an account other than a lCER replacement account. This message cannot be processed.

Check Name	Replacement Account Identifier
Transaction Type(s)	Replacement
Check Description	Account identifiers must be provided for acquiring accounts in replacement transactions.
Process	If the Transaction Type Code = 6, and the acquiring Account ID is blank or invalid, return response code.
Response Code	5204
Response Description	An account identifier was not provided for one or more unit blocks for this replacement transaction. This message cannot be processed.

Check Name	Replacement Account Commitment Period
Transaction Type(s)	Replacement
Check Description	The unit blocks replaced must have the same Applicable Commitment as the Replacement Account.
Process	For the transaction: Select Commitment Period From Government Account Where Account Identifier = input Account Identifier If Commitment Period <> Applicable Commitment Period for the RegistryUnitBlock array, return response code.
Response Code	5205
Response Description	The Applicable Commitment Period for the Unit Blocks is inconsistent with the Commitment Period for the replacement account. This message cannot be processed.

Check Name	Unit Type to be Replaced
Transaction Type(s)	Replacement
Check Description	Units to be replaced must be tCERs or lCERs.
Process	For each unit block in the RegistryUnitBlockObject array to be replaced: If the Unit Type Code <> 6 or 7 return response code.
Response Code	5206
Response Description	One or more units to be replaced are not tCERs or lCERs. This message cannot be processed.

Check Name	Multiple Replacement
Transaction Type(s)	Replacement
Check Description	A unit may be replaced only once.
Process	For each unit block in the the ITLUnitBlockObject: search Replacement Unit Block table for prior replacements. Select all From Replacement Unit Block Where Block ID = Block ID of units to be replaced If found, return response code.
Response Code	5207
Response Description	One or more of the units to be replaced have been previously replaced by other units. This message cannot be processed.

Check Name	Single Replacement Registry
Transaction Type(s)	Replacement
Check Description	The registry holding the units to be replaced and the replacing units must be the same.
Process	If Holding Registry Code for the Unit Blocks to be replaced <> Holding Registry Code for the Replacing Units, return response code.
Response Code	5208
Response Description	The registry for the unit to be replaced is not the same as the registry for the replacing units. This message cannot be processed.

Check Name	Quantity of Replacement Units
Transaction Type(s)	Replacement
Check Description	The quantity of units replaced must equal the quantity of replacing units.
Process	1. Count the number of units in the Registry Unit Block Object with Block Roll = "REP". This is Value A. 2. Count the number of units in the Registry Unit Block Object with Block Roll = NULL. This is Value B. 3. If Value A <> Value B, return response code.
Response Code	5209
Response Description	The quantity of units replaced does not equal the quantity of replacing units. This message cannot be processed.

Check Name	One-To-Many Replacement Blocks
Transaction Type(s)	Replacement
Check Description	A transaction cannot contain many-to-many relationships between replaced and replacing blocks.
Process	1. Determine number of blocks to be replaced. 2 Determine number of replacing blocks. 3. If both > 1, return response code.
Response Code	5210
Response Description	The transaction includes multiple replaced blocks and multiple replacement blocks. This message cannot be processed.

Check Name	Location of Replaced tCERs
Transaction Type(s)	Replacement
Check Description	tCERs to be replaced must be held in a Retirement account or a tCER Replacement account.
Process	Evaluate current holding account type for the replaced units in the ITLUnitBlockObject. If Unit Type Code = 6 and Account Type Code <> (300, 411), return response code.
Response Code	5211
Response Description	One or more tCERs to be replaced are not held in a retirement account or a tCER replacement account. This message cannot be processed.

Check Name	Location of Replaced lCERs
Transaction Type(s)	Replacement
Check Description	lCERs to be replaced must not be held in Cancellation accounts.
Process	For each unit block in the ITLUnitBlock array: If Unit Type Code = 7 and Account Type Code = 210, 220, 230, 240 or 250, return response code.
Response Code	5212
Response Description	One or more lCERs to be replaced are held in cancellation accounts. This message cannot be processed.

Check Name	lCER Replacement Units (upon Expiry)
Transaction Type(s)	Replacement
Check Description	lCER Replacement accounts (for unit expiry) cannot acquire tCERs or lCERs.
Process	If acquiring Account Type Code = 421, and If replacing Unit Type Code = 6 or 7 return response code.
Response Code	5213
Response Description	One or more units to be transferred to a lCER replacement account are tCERs or lCERs. This message cannot be processed.

Check Name	tCER Replacement Units (upon Expiry)
Transaction Type(s)	Replacement
Check Description	tCER replacement accounts (for unit expiry) cannot acquire lCERs.
Process	If acquiring Account Type Code = 411, and If replacing Unit Type Code = 7 return response code.
Response Code	5214
Response Description	One or more units to be transferred to a tCER replacement account are lCERs. This message cannot be processed.

Check Name	lCER Replacement Units (upon Reversal of Storage or Lack of Certification Report)
Transaction Type(s)	Replacement
Check Description	lCER Replacement accounts (for reversal in storage or lack of certification report) cannot acquire tCERs and cannot acquire lCERs with a Project Identifier other than that specified in the replacement notification.
Process	For each unit block in the ITLUnitBlockObject array: If acquiring Account Type Code = 422 or 423, If NOT (replacing Unit Type = (1, 2, 3, 4 or 5), or (replacing Unit Type Code = 7 and replacing Project ID = Project ID of replaced units)) return response code.
Response Code	5215
Response Description	One or more units to be transferred to a lCER replacement account (for reversal in storage or lack of certification report) are tCERs or are lCERs generated from a Project other than that specified in the replacement notification. This message cannot be processed.

Check Name	Replacement Notification upon tCER Expiry
Transaction Type(s)	Replacement
Check Description	If provided, the Replacement Notification ID must be valid and must be for replacement upon tCER expiry.
Process	If the Account Type Code = 411 If Notification ID <> null, Select Notification ID and Notification Type Code From Registry Notification table Where input Registry Code = Registry Code and input Notification ID = Notification ID. If not found or if Notification Type <> 3 (Impending tCER or lCER Expiry) return response code.
Response Code	5216
Response Description	The Replacement Notification ID does not exist in the ITL or the notification and the replacement account do not relate to the same type of replacement. This message cannot be processed.

Check Name	Replacement Notification upon lCER Expiry
Transaction Type(s)	Replacement
Check Description	If provided, the Replacement Notification ID must be valid and must be for replacement upon lCER expiry.
Process	If the Account Type Code = 421 If Notification ID <> null, Select Notification ID and Notification Type Code From Registry Notification table Where input Registry Code = Registry Code and input Notification ID = Notification ID. If not found or if Notification Type <> 3 (Impending tCER or lCER Expiry) return response code.
Response Code	5217
Response Description	The Replacement Notification ID does not exist in the ITL or the notification and the replacement account do not relate to the same type of replacement. This message cannot be processed.

Check Name	Replacement Notification for Reversal in Storage
Transaction Type(s)	Replacement
Check Description	A valid Replacement Notification ID must be provided for replacement upon reversal in storage.
Process	If the Account Type Code = 422, Select Notification ID and Notification Type Code From Registry Notification table Where input Registry Code = Registry Code and input Notification ID = Notification ID. If not found or if Notification Type <> 4 (Reversal in Storage for CDM Project) return response code.
Response Code	5218
Response Description	The Replacement Notification ID does not exist in the ITL or the notification and the replacement account do not relate to the same type of replacement. This message cannot be processed.

Check Name	Replacement Notification for Lack of Certification Report
Transaction Type(s)	Replacement
Check Description	A valid Replacement Notification ID must be provided for replacement upon a lack of Certification Report.
Process	If the Account Type Code = 423 Select Notification ID and Notification Type Code From Registry Notification table Where input Registry Code = Registry Code and input Notification ID = Notification ID. If not found or if Notification Type <> 5 (Non-submission of Certification Report for CDM Project) return response code.
Response Code	5219
Response Description	The Replacement Notification ID does not exist in the ITL or the notification and the replacement account do not relate to the same type of replacement. This message cannot be processed.

Check Name	Project ID for lCERs Replacement (upon Reversal of Storage or lack of Certification Report)
Transaction Type(s)	Replacement
Check Description	For lCER replacement transactions upon Reversal of Storage or lack of a Certification Report, the Project ID for the lCERs to be replaced must be consistent with the Project ID contained in the replacement notification.
Process	For each unit block in the RegistryUnitBlock array: If the Account Type Code = 422 or 423, Select Project ID From Notification table Where input Notification ID = Notification ID. If not found or if Project ID <> Project ID from unit blocks. return response code.
Response Code	5220
Response Description	The Project ID for the lCERs to be replaced is not consistent with the Project identified in the Replacement Notification. This message cannot be processed.

Check Name	National Registry Retirement
Transaction Type(s)	Retirement
Check Description	The Initiating Registry retiring units must be a national registry.
Process	If the Transferring Registry Code = CDM, return response code.
Response Code	5251
Response Description	Only national registries can retire units. This message cannot be processed.

Check Name	Retirement Account
Transaction Type(s)	Retirement
Check Description	The Acquiring Account for a retirement transaction must be a retirement account.
Process	For each unit block: If the Acquiring Account Type Code <> 300 return response code.
Response Code	5252
Response Description	One or more transaction units is proposed for transfer to an account other than a retirement account. This message cannot be processed.

Check Name	Retirement Account Identifier
Transaction Type(s)	Retirement
Check Description	Account identifiers must be provided for acquiring accounts in retirement transactions.
Process	If the Transaction Type Code = 5 and The Acquiring Account ID is blank or invalid, return response code.
Response Code	5253
Response Description	An account identifier was not provided for one or more unit block in the retirement transaction. This message cannot be processed.

Check Name	Retirement Account Commitment Period
Transaction Type(s)	Retirement
Check Description	The Unit Blocks retired must have the same Applicable Commitment as the Retirement Account.
Process	For the transaction: Select Commitment Period From Government Account Where Account Identifier = input Acquiring Account Identifier If Commitment Period <> Applicable Commitment Period for the RegistryUnitBlock array return response code.
Response Code	5254
Response Description	The Applicable Commitment Period for the Unit Blocks is inconsistent with the Commitment Period for the retirement account. This message cannot be processed.

Check Name	CER, tCER and lCER Retirement Eligibility
Transaction Type(s)	Retirement
Check Description	The Party of the Initiating Registry must be determined to meet eligibility criteria 1 through 6.
Process	Select count (Registry Code) as Number of Criteria Met From Registry Eligibility Where Registry Code = Initiating Registry Code and Criteria End Date is null and Criteria Type Code in (1, 2, 3, 4, 5, 6) and Eligibility Status Code = 1 or 2 (Approved or Approved by default) If Number of Criteria Met < 6, return response code.
Response Code	5255
Response Description	The Party of the Initiating Registry is not eligible to retire CERs, tCERs or lCERs. This message cannot be processed.

Check Name	tCER and lCER Retirement Limit
Transaction Type(s)	Retirement
Check Description	tCER and lCER retirement must not exceed allowed quantity.
Process	If Unit Type Code = 6 or 7 1. Determine quantity of tCERs or lCERs for retirement Select sum (Total Units) as Retirement Limit from Registry Unit Sum Where Registry Code = input Registry Code and Unit Type Code = input Unit Type Code (6 or 7 respectively) and Computation Type Code = 6 (Retirement Limit) 2. Determine number of tCERs or lCERs in transaction (Current Units) 3. Determine number of tCERs or lCERs already retired (Previous Units) Select sum (Total Units) as Previous Units from Registry Unit Sum Where Registry Code = input Registry code and Unit Type Code = input Unit Type Code (6 or 7 respectively) and Computation Type Code = 10 (Retirement Level) 4. If the Current Units + Previous Units > Retirement Limit, return response code.
Response Code	5256
Response Description	Proposed retirement of tCERs or lCERs exceeds the allowed quantity. This message cannot be processed.

Check Name	National Registry Carry-over
Transaction Type(s)	Carry-over
Check Description	The Initiating Registry carrying over units must be a national registry.
Process	If the Transferring Registry Code = CDM, return response code.
Response Code	5301
Response Description	Only national registries can carry-over units. This message cannot be processed.

Check Name	Holding Account Carry-over
Transaction Type(s)	Carry-over
Check Description	The Initiating Account for a carry-over transaction must be a holding account.
Process	For each unit block in the RegistryUnitBlockObject array: If the Initiating Account Type Code <> 100, 120, or 121 return response code.
Response Code	5302
Response Description	One or more transaction units is proposed for carry-over in an account other than a holding account. This message cannot be processed.

Check Name	Subsequent Commitment Period
Transaction Type(s)	Carry-over
Check Description	Units may be carried-over only to the next subsequent commitment period.
Process	For each unit block: If the ITLUnitBlockObject Array Applicable Commitment Period is not equal to the RegistryUnitBlockObject Array Applicable Commitment Period - 1, return response code.
Response Code	5303
Response Description	Units may be carried over only to the next subsequent Commitment Period. This message cannot be processed.

Check Name	Units Available for Carry-over
Transaction Type(s)	Carry-over
Check Description	The quantity of units carried-over must not exceed the limit for carry-over established by the Compliance Committee for the Party.
Process	For each transaction: 1. Determine the number of units allowed to be carried over per the C&A database (Allowable units) Select sum (Total Units) as Carry-over Limit From Registry Unit Sum Where Registry Code = input Registry Code and Computation Type Code = 5 (Carry-over Limit) and Time Period = CMP and Time Period Value = current Commitment Period 2. Determine the number of units allowed to be carried over in this transaction (Current Units). 3. Determine the number of units already carried over (Previous Units). Select sum (Total Units) as Previous Units from Registry Unit Sum Where Registry Code = input Registry Code and Computation Type Code = 8 (Carry-over Level) and Time Period = CMP and Time Period Value = current Commitment Period 4. If the Current Units + Previous Units > Carry-over Limit, return response code.
Response Code	5304
Response Description	The quantity of units proposed for carry-over exceeds the limit established in the Final Compilation and Accounting Report for the Party. This message cannot be processed.

Check Name	RMU Carry-over
Transaction Type(s)	Carry-over
Check Description	RMUs may not be carried over.
Process	For each unit block in the ITLUnitBlockObject array, If Unit Type Code = 2, return response code .
Response Code	5305
Response Description	One or more of the transaction units is an RMU. These units cannot be carried-over. This message cannot be processed.

Check Name	ERU (from RMUs) Carry-over
Transaction Type(s)	Carry-over
Check Description	ERUs converted from RMUs may not be carried over.
Process	For each unit block in the ITLUnitBlockObject array, If Unit Type Code = 4, return response code.
Response Code	5306
Response Description	One or more of the transaction units is an ERU that was previously converted from an RMU. These units cannot be carried over. This message cannot be processed.

Check Name	tCER or lCER Carry-over
Transaction Type(s)	Carry-over
Check Description	tCERs or lCERs may not be carried over.
Process	For each unit block in the ITLUnitBlockObject array, If Unit Type Code = 6 or 7, return response code.
Response Code	5307
Response Description	One or more of the transaction units is a tCER or lCER. These units cannot be carried over. This message cannot be processed.

Check Name	ERU Carry-over Limit
Transaction Type(s)	Carry-over
Check Description	Carry-over of ERUs converted from AAUs must not exceed allowed quantity.
Process	For each transaction, For all units in the transaction with a Unit Type Code = 3 1. Determine Allowed Quantity of ERU for carry-over (Carry-over Limit) Select sum (Total Units) as Carry-over Limit From Registry Unit Sum Where Registry Code = input Registry Code and Unit Type Code = 3 and Computation Type Code = 5 (Carry-over Limit) Time Period = CMP and Time Period Value = current Commitment Period 2. Determine number of ERUs (unit type 3) in transaction (Current Units). 3. Determine number of ERUs (unit type 3) already carried-over (Previous Units). Select sum (Total Units) as Previous Units From Registry Unit Sum Where Registry Code = input Registry Code and Unit Type Code = 3 and Computation Type Code = 8 (Carry-over Level) and Time Period = CMP and Time Period Value = current Commitment Period 4. If the Current Units + Previous Units > Carry-over Limit, return response code.
Response Code	5308
Response Description	Proposed carry-over of ERUs converted from AAUs over exceeds allowed quantity. This message cannot be processed.

Check Name	CER Carry-over Limit
Transaction Type(s)	Carry-over
Check Description	CER Carry-over must not exceed allowed quantity.
Process	For each transaction: For all units in the transaction with a Unit Type Code = 5 1. Determine Allowed Quantity of CERs for carry-over (Allowable units) Select sum (Total Units) as Carry-over Limit From Registry Unit Sum Where Registry Code = input Registry Code and Unit Type Code = 5 and Computation Type Code = 5 (Carry-over Limit) Time Period = CMP and Time Period Value = current Commitment Period 2. Determine number of CERs in transaction (Current Units). 3. Determine number of CERs already carried-over (Previous Units) Select sum (Total Units) as Previous Units, From Registry Unit Sum Where Registry Code = input Registry Code and Unit Type Code = 5 and Computation Type Code = 8 (Carry-over Level) and Time Period = CMP and Time Period Value = current Commitment Period 4. If the Current Units + Previous Units > Allowable Units, return response code.
Response Code	5309
Response Description	Proposed carry-over of CERs exceeds allowed quantity. This message cannot be processed.

Check Name	Units for Expiry Date Change
Transaction Type(s)	Expiry Date Change
Check Description	The units for Expiry Date Change must be tCERs or lCERs.
Process	For each unit block in the RegistryUnitBlock array: If Unit Type Code <> 6 or 7, return response code.
Response Code	5450
Response Description	One or more of the units for Expiry Date Change are not tCERs or lCERs. This message cannot be processed.

Check Name	New tCER Expiry Date
Transaction Type(s)	Expiry Date Change
Check Description	The new tCER Expiry Date must be consistent with the End Date of the Commitment Period subsequent to the Original Commitment Period of the tCER.
Process	For each unit block in the RegistryUnitBlock array: If Unit Type Code = 6, Select Commitment Period End Date from Commitment Period Where Commitment Period = Unit Block Original Commitment Period + 1 If Commitment Period End Date <> unit block Expiry Date, return response code.
Response Code	5451
Response Description	The new tCER expiry date is not consistent with the end date of the Commitment Period subsequent to the Original Commitment Period of the tCER. This message cannot be processed.

Check Name	New lCER Expiry Date
Transaction Type(s)	Expiry Date Change
Check Description	The new lCER Expiry Date must be consistent with the End Date of the renewed Crediting Period for the Project specified by the CDM Executive Board.
Process	For each unit block in the RegistryUnitBlock array: If Unit Type Code = 7, Select Crediting Period End Date From Project Where Project ID = unit Project ID and Crediting Period End Date = unit Expiry Date If not found, return response code.
Response Code	5452
Response Description	The new lCER Expiry Date is not consistent with the End Date of the renewed Crediting Period for the Project specified by the CDM Executive Board.

9. Data Integrity Checks for Reconciliation

Check Name	Reconciliation Identifier
Check Description	Reconciliation Identifier must be greater than zero.
Process	If input Reconciliation Identifier is less than or equal to zero, return response code.
Response Code	6201
Response Description	Reconciliation Identifier must be greater than zero. This message cannot be processed.

Check Name	Reconciliation Mask
Check Description	Reconciliation ID must be comprised of a valid registry code followed by numeric values.
Process	Determine if first 2 or 3 characters are alpha. Determine if remaining characters are numeric. return response code.
Response Code	6202
Response Description	Reconciliation ID has invalid format. This message cannot be processed.

Check Name	Reconciliation Status Validity
Check Description	Reconciliation status must be a value between 1 and 11.
Process	If input Reconciliation Status Code < 1 or >11, return response code.
Response Code	6203
Response Description	Reconciliation status code invalid. This message cannot be processed.

Check Name	Reconciliation Snapshot DateTime
Check Description	Reconciliation snapshot must be a date between 01-OCT-2004 and the current date plus 30 days.
Process	If input Reconciliation Snapshot Datetime < 01-OCT-2004 or input Reconciliation Snapshot Datetime > current date + 30 days, return response code.
Response Code	6204
Response Description	Reconciliation snapshot date is invalid. This message cannot be processed.

Check Name	Account Type Validity
Check Description	Account type must be valid.
Process	If input Account Type Code not in Account Type Code table, return response code.
Response Code	6205
Response Description	Account Type Code is invalid. This message cannot be processed.

Check Name	Unit Type Validity
Check Description	Unit Type Code must be valid.
Process	If input Unit Type Code not in Unit Type Code table, return response code.
Response Code	6206
Response Description	Unit Type Code is invalid. This message cannot be processed.

Check Name	Supplementary Unit Type Validity
Check Description	Supplementary Unit Type Code must be valid.
Process	If input Supplementary Unit Type Code not in Supp Unit Type code table, return response code.
Response Code	6207
Response Description	The Supplementary Unit Type Code is invalid. This message cannot be processed.

Check Name	Reconciliation Phase
Check Description	Reconciliation Phase Code must be valid.
Process	If input Reconciliation Phase Code not in Reconciliation Phase Code table, return response code.
Response Code	6208
Response Description	The Reconciliation Phase Code is invalid. This message cannot be processed.

10. Reconciliation Message Sequence for Registry Messages

Check Name	Reconciliation ID Does Not Exist
Check Description	Reconciliation ID must exist in the Reconciliation Log table.
Process	Select Reconciliation ID From Reconciliation Log Where Reconciliation ID = input Reconciliation Identifier If not found, return response code.
Response Code	6301
Response Description	Invalid Reconciliation ID sent by registry.

Check Name	Reconciliation Status Not Valid
Check Description	Out of Sequence reconciliation status sent by registry is invalid.
Process	If input Reconciliation Status Code = (2, 5, 6, 7, 10, 11), return response code.
Response Code	6302
Response Description	The Reconciliation Status Code sent by the registry is invalid.

Check Name	Reconciliation Status Out of Sequence
Check Description	Incoming reconciliation status should be the same as the reconciliation status recorded by the ITL.
Process	Select Recon Status Code From Reconciliation Status History Where Recon Log DateTime = most recent date for this recon ID and Recon ID = input Recon ID and Recon Status Code = input Recon Status Code. If not found, return response code.
Response Code	6303
Response Description	Invalid Reconciliation ID sent by registry.

Check Name	Reconciliation Snapshot DateTime
Check Description	The registry reconciliation snapshot DateTime must be consistent with the ITL Reconciliation Snaphot DateTime.
Process	Select Reconciliation Snapshot DateTime Where Reconciliation ID = incoming Reconciliation ID. If the date found does not equal the incoming Reconciliation Snapshot DateTime, return response code.
Response Code	6304
Response Description	The snapshot date and time provided does not match with requested snapshot date and time. This message cannot be processed.

11. Reconciliation Sequence Checks from STL

Check Name	Reconciliation ID Sent by STL Does Not Exist
Check Description	Reconciliation ID sent by the STL must already exist in the ITL unless the STL is requesting the ITL to initiate a new reconciliation action.
Process	If input Reconciliation Status Code <> 1 (Initiated), Select Recon ID From Reconciliation Log Where Recon ID = input Reconciliation ID If not found, or If input reconciliation status = 1 and the input Recon ID <> null, return response code.
Response Code	6311
Response Description	Invalid Reconciliation ID sent by STL.

Check Name	Reconciliation Status Not Valid
Check Description	Reconciliation status sent by the STL must be one of certain enumerated statuses.
Process	If input Reconciliation Status Code is: 2 (Validated) 3 (Totals Inconsistent) 4 (Unit Blocks Inconsistent) 5 (Completed) 6 (Completed with Manual Intervention) 7 (Start Request Denied) return response code.
Response Code	6312
Response Description	Out of sequence reconciliation status sent by STL.

Check Name	Reconciliation Status of "STL Totals Inconsistent" is Out of Sequence
Check Description	If the incoming reconciliation status is "STL Totals Inconsistent," the previously recorded status at the ITL must be "Validated."
Process	If input reconciliation status code is (8), Select Recon Log ID From Reconciliation Status History Where Recon ID = input Reconciliation ID and Recon Log DateTime = most recent Reconciliation Status and Recon Status Code = 2 If not found, return response code.
Response Code	6313
Response Description	Reconciliation status of "STL Totals Inconsistent" is out of sequence with the reconciliation status recorded in the ITL.

Check Name	Reconciliation Status of "STL Unit Blocks Inconsistent" Out of Sequence
Check Description	If the incoming reconciliation status is "STL Unit Blocks Inconsistent", the previously recorded status at the ITL must be "STL Totals Inconsistent."
Process	If input reconciliation status code is 9, Select Recon Log ID From Reconciliation Status History Where Recon ID = input Reconciliation ID and Recon Log DateTime = most recent reconciliation status and Recon Status Code = 8 If not found, return response code.
Response Code	6314
Response Description	Reconciliation status of "STL Unit Blocks Inconsistent" is out of sequence with the reconciliation status recorded in the ITL.

Check Name	Reconciliation status of "STL Validated" is out of sequence.
Check Description	If the incoming reconciliation status is "STL Validated," the previously recorded status at the ITL must be "Validated," "STL Totals Inconsistent," or "STL Unit Blocks Inconsistent."
Process	If input reconciliation status code is 10, Select Recon Log ID From Reconciliation Status History Where Recon ID = input Reconciliation ID and Recon Log DateTime = most recent Reconciliation Status and Recon Status Code = (2, 8 or 9) If not found, return response code.
Response Code	6315
Response Description	Reconciliation status of "STL Validated" is out of sequence with the reconciliation status recorded in the ITL.

Check Name	Reconciliation Status of "STL Complete with Manual Intervention" is Out of Sequence
Check Description	If the incoming reconciliation status is "STL Complete with Manual Intervention," the previously recorded status at the ITL must be "STL Totals Inconsistent," or "STL Unit Blocks Inconsistent."
Process	If input Reconciliation Status Code is (11), Select Recon Log ID From Reconciliation Status History Where Recon ID = input Reconciliation ID and Recon Log DateTime = most recent Reconciliation Status and Recon Status Code = (8, 9) If not found, return response code.
Response Code	6316
Response Description	Reconciliation status of "STL Complete with Manual Intervention" is out of sequence with the reconciliation status recorded in the ITL.

12. Reconciliation Results

Check Name	Account Type/Unit Type Totals
Check Description	The totals for account types, Commitment Periods, and unit types must be consistent.
Process	For each item in the TotalsObject array, calculate the number of units held by that Account Type and Unit Type. Select Sum (End Block - Start Block + 1) as ITL Totals From Reconciliation Snapshot table Where Reconciliation ID = current Reconciliation ID and Account Type Code = Account Type Code in Totals Object and Unit Type Code = Unit Type Code in Totals Object If TotalsObject Totals <> ITL Totals, return response code.
Response Code	6410
Response Description	There is an inconsistency in the totals by account type, Commitment Period and unit type.

Check Name	Account Type/Unit Type Unit Blocks
Check Description	The registry and ITL unit blocks for a specified account type, Commitment Period and unit type must be consistent.
Process	If registry Account Type Code, Unit Type Code, and Unit Block Start <> ITL Account Type Code, Unit Type Code, and Unit Block Start, return response code.
Response Code	6420
Response Description	The unit blocks for the specified account type, Commitment Period and unit type are inconsistent.

Check Name	Account Type/Unit Type Unit Blocks Unexpected Consistency
Check Description	If the totals have failed in the previous stage, the unit block compare by account type, commitment period, and unit type must also fail.
Process	If registry Account Type Code, Unit Type Code, and Unit Block Start <> ITL Account Type Code, Unit Type Code, and Unit Block Start, return response code.
Response Code	6430
Response Description	The unit blocks for the specified account type, commitment period and unit type are inconsistent.

Check Name	Snapshot DateTime Validity
Check Description	The DateTime for reconciliation action proposed by STL must be in the future.
Process	If Snapshot DateTime <= Current DateTime, return response code.
Response Code	6440
Response Description	The date and time for the proposed reconciliation action occurs in the past. Snapshot DateTime must be in the future.

Check Name	Ongoing Reconciliation
Check Description	A reconciliation action cannot be initiated at the registry because there is already an ongoing action.
Process	Query the Reconciliation_Log table to identify any reconciliation action without an end date: Select Recon Id From Reconciliation Log Where Recon Action End DateTime is null If found, return response code.
Response Code	6450
Response Description	A reconciliation action cannot be initiated at the registry because there is already an ongoing action.