

Emissions Unit Programme Registry Attestation

(Version 3, January 2023)

PART A. Applicability and Instructions

1. Relevance and definitions:

1.1. These terms are relevant to emissions unit programmes and their designated registries:

1.1.1. *CORSIA Eligible Emissions Unit Programme:* emissions unit programme approved by the ICAO Council as eligible to supply emissions units under the CORSIA.

1.1.2. *CORSIA Eligible Emissions Unit Programme-designated registry:* registry designated by a CORSIA Eligible Emissions Unit Programme to provide its registry services and approved by the ICAO Council as reflected in the programme's listing contained in the ICAO Document titled "*CORSIA Eligible Emissions Units*".

1.1.3. *Material change:* any update to the procedures of an emissions unit programme or its designated registry that would alter the functions that are addressed in the Emissions Unit Criteria (EUC), related guidelines, or the contents of this attestation. This includes changes that would alter responses to questions in the application form that the programme has submitted to the ICAO Secretariat or contradict the confirmation of the registry's adherence to the requirements contained in this attestation.

1.1.4. *Cancel:* the permanent removal and single use of a CORSIA Eligible Emissions Unit within a CORSIA Eligible Emissions Unit Programme designated registry such that the same emissions unit may not be used more than once. This is sometimes also referred to as "retirement", "cancelled", "cancelling" or "cancellation".

1.1.5. *Business day:* defined by the CORSIA Eligible Emissions Unit Programme registry when responding to formal instruction from a duly authorized representative of the owner of an account capable of holding and cancelling CORSIA Eligible Emission Units.

1.2. References to "Annex 16, Volume IV" throughout this document refer to Annex 16 to the Convention on International Civil Aviation — *Environmental Protection*, Volume IV — *Carbon Offsetting and reduction Scheme for International Aviation (CORSIA)*, containing the Standards and Recommended Practices (SARPs) for CORSIA implementation. Reference to "ETM, Volume IV" throughout this document refer to Environmental Technical Manual (Doc 9501), Volume IV — *Procedures for demonstrating compliance with the Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)*, containing the guidance on the process to implement CORSIA SARPs.

2. Programme - registry relationship:

2.1. The ICAO Council's Technical Advisory Body (TAB) conducts its assessment of emissions unit programme eligibility including an assessment of the programme's provisions and procedures governing the programme registry, as represented by the programme. The ICAO Council determines CORSIA eligible emissions units upon recommendations by TAB and

consistent with the EUC. The programme registry is not separately or independently considered throughout this process. The TAB may periodically review and report to the ICAO Council regarding the continued consistency of programme's registry and its administration with terms contained in this document's Part B.

- 2.2.** The provision of registry services under the CORSIA by a CORSIA Eligible Emissions Unit Programme registry is fully subject to the terms, conditions and limitations to the programme's scope of eligibility. Such terms include, *inter alia*, the programme's commitment to administer any and all provisions and procedures governing the programme registry in the manner represented by the programme in the application form and additional information provided to TAB during the assessment process.
 - 2.3.** A CORSIA Eligible Emissions Unit Programme registry can provide registry services to aeroplane operators prior to the programme's and programme registry's demonstration of the registry's consistency with the registry requirements contained in this attestation. However, the programme registry can only claim to support and can only provide for aeroplane operators to fulfill the provisions in Annex 16, Volume IV and ETM, Volume IV involving emissions unit cancellation-, reporting-, and verification-related actions after its consistency with the registry requirements contained in this attestation is demonstrated by the programme in accordance with Part A, Paragraph 3 of this document, and the signed attestation is published on the CORSIA website in addition to the ICAO document "*CORSIA Eligible Emissions Units*".
- 3.** Submitting an "*Emissions Unit Programme Registry Attestation*":
- 3.1.** Both the administrator or authorized representative ("Programme Representative") of an emissions unit programme ("Programme"), and the administrator or authorized representative ("Registry Representative") of the registry designated by the Programme ("Programme Registry") will review and attest to their acceptance (as signed in Section 8 of this attestation) of all terms contained herein.
 - 3.2.** The Programme will electronically submit to the ICAO Secretariat a unique, dual-signed attestation for each and every Programme Registry that will provide its registry services to the Programme under the CORSIA:

 - 3.2.1.** If the Programme is determined to be eligible by a decision of the ICAO Council taken in 2020, the Programme will submit the signed attestation(s) to the ICAO Secretariat no later than one year after the Programme is determined to be eligible by the ICAO Council.
 - 3.2.2.** From 2021, the Programme should submit the signed attestation(s) to the ICAO Secretariat at the time of applying for assessment by the TAB. If the Programme is determined to be eligible by a decision of the ICAO Council after 31 December 2020, the Programme will submit the signed attestation(s) to the ICAO Secretariat no later than 180 days after the Programme is determined to be eligible by the ICAO Council.
 - 3.3.** As soon as possible upon receiving a signed attestation from the Programme, the ICAO Secretariat will:

3.3.1.Forward the signed attestation to the TAB; and

3.3.2.If the Programme is determined to be eligible by a decision of the ICAO Council, publicly post the signed attestation on the CORSIA website in addition to the ICAO document “*CORSIA Eligible Emissions Units*”.

PART B: Emissions Unit Programme Registry Attestation

4. Programme application materials. As the Registry Representative, I certify items 4.1 to 4.4:

4.1. I have read and fully comprehend the following information:

4.1.1.The instructions and terms of this attestation;

4.1.2.The contents of the ICAO document “*CORSIA Emissions Unit Eligibility Criteria*”;

4.1.3.The contents of the most recent version of the application form that the Programme has provided to the ICAO Secretariat; and

4.1.4.The terms, conditions and limitations to the Programme’s scope of eligibility and further action(s) requested to the Programme by the ICAO Council, as presented to the Programme upon relevant decision of the ICAO Council on the Programme’s eligibility¹.

4.2. The Programme’s representation of its provisions and procedures governing the Programme Registry, and of Programme Registry functionality, as contained in the most recent version of the application form that the Programme has provided to the ICAO Secretariat, is true, accurate, and complete, to the best of my knowledge;

4.3. The Programme Registry will notify the Programme of any material changes to the Programme Registry, to enable the Programme to maintain consistency with relevant criteria and guidelines throughout its assessment by TAB and up to an eligibility decision by the ICAO Council; and, if applicable, continuing on from the effective date of an affirmative eligibility decision by the ICAO Council, the Programme Registry will notify the Programme of any material changes to the Programme Registry, such that the Programme can maintain consistency with relevant criteria and guidelines;

4.4. The Programme Registry and Registry Representative will not publicly disseminate, communicate, or otherwise disclose the nature, content, or status of communications between the Programme, the Programme Registry, and/or the ICAO Secretariat, related to the status of the Programme’s provision of programme and registry services under the CORSIA, unless the Programme has received prior notice from the ICAO Secretariat that such information has been and/or can be publicly disclosed.

5. Scope of Programme responsibilities under the CORSIA. As the Registry Representative, I acknowledge items 5.1 to 5.2:

5.1. The scope of the Programme assessment by the TAB, through which the TAB will develop recommendations on the list of eligible emissions unit programmes (and potentially project types) for use under the CORSIA, which will then be considered by the ICAO Council for an eligibility decision, including the Programme’s responsibilities throughout this process; and

¹ Only applicable when the Programme submits the signed “*Emissions Unit Programme Registry Attestation*” to the ICAO Secretariat after the Programme is determined to be eligible by a decision of the ICAO Council.

- 5.2. The scope and limitations of the ICAO Secretariat's responsibilities related to the assessment process.
6. **Programme - Registry relationship.** As the Registry Representative, I understand and accept items 6.1 to 6.2:
- 6.1. The Programme Registry's provision of registry services under the CORSIA is subject to the terms, conditions and limitations to the Programme's scope of eligibility, as presented to the Programme upon relevant decision of the ICAO Council on the Programme's eligibility; and
- 6.2. Only after the Programme and the ICAO Secretariat have completed all steps in Part A, Section 3 of this attestation, can the Programme Registry facilitate and identify emissions unit cancellations specifically for CORSIA use, and support any related reporting and verification activities. The Programme Registry will not promote itself as being capable of providing registry services for the described purpose until such time.
7. **Scope of Programme Registry responsibilities under the CORSIA.** As the Registry Representative, I certify items 7.1 to 7.12:
- 7.1. The Programme Registry is capable of fully meeting the objectives of any and all Programme provisions and procedures related to the Programme Registry that the Programme is required to have in place:
- 7.1.1. In the manner represented by the Programme in the application form that the Programme has provided to the ICAO Secretariat; and
- 7.1.2. As acknowledged by the Programme in the signed "Programme acceptance to terms of eligibility for inclusion in the ICAO document "*CORSIA Eligible Emissions Units*"².
- 7.2. The Programme Registry will not deny a CORSIA participant's request for a registry account solely on the basis of the country in which the requestor is headquartered or based;
- 7.3. The Programme Registry will identify (in the case of applicants to be assessed to determine their eligibility) / identifies (when the Programme is determined to be eligible by a decision of the ICAO Council) CORSIA Eligible Emissions Units as defined in the ICAO document "*CORSIA Eligible Emissions Units*"³. This will be/is done consistent with the capabilities described by the Programme in its communications with ICAO, and any further requirements decided by the ICAO Council for CORSIA Eligible Emissions Unit Programme-designated Registry.
- 7.4. The Programme Registry will, upon request of the CORSIA participant account holder or participant's designee, designate the participant's cancellation of emissions units for the purpose of reconciling offsetting requirements under the CORSIA, including by compliance cycle;

² Only applicable when the Programme submits the signed "*Emissions Unit Programme Registry Attestation*" to the ICAO Secretariat after the Programme is determined to be eligible by a decision of the ICAO Council.

³ As prescribed in the ICAO Document "*CORSIA Eligible Emissions Units*", the programme must provide for and implement its registry system to identify its CORSIA eligible emissions units as defined in the document.

- 7.5.** The Programme Registry will, within 1 – 3 business days of receipt of formal instruction from a duly authorized representative of the owner of an account capable of holding and cancelling CORSIA Eligible Emission Units within the registry, and barring system downtime that is scheduled in advance or beyond the control of the registry administrator, make visible on the Programme Registry’s public website the account owners cancellations of CORSIA Eligible Emission Units as instructed. Such cancellation information will include all fields that are specified for this purpose in Annex 16, Volume IV, and ETM, Volume IV;
- 7.6.** The Programme Registry will, upon request of the CORSIA participant account holder or participant’s designee, generate report(s) containing the information specified for this purpose in Annex 16, Volume IV, and ETM, Volume IV;
- 7.7.** The Programme Registry will maintain robust security practices that ensure the integrity of, and authenticated and secure access to, the registry data of CORSIA participant account holders or participants’ designees, and transaction events carried out by a user; and disclose documentation of such practices upon request. The Programme Registry will utilize appropriate method(s) to authenticate the identity of each user accessing an account; grant each user access only to the information and functions that a user is entitled to; and utilize appropriate method(s) to ensure that each event initiated by a user (i.e. transfer of units between accounts; cancellation/retirement of a unit, update of data, etc.) is an intentional transaction event confirmed by the user. Such security features will meet and be periodically updated in accordance with industry best practice;
- 7.8.** The Programme Registry will, upon identifying any breach of Programme Registry data security or integrity that affects a CORSIA participant account holder or participant’s designee, notify the CORSIA participant account holder or their designee, and notify the Programme, which will inform and engage with the ICAO Secretariat on the matter in the same manner as required for material deviations from the Programme’s application form;
- 7.9.** The Programme Registry will ensure the irreversibility of emissions unit cancellations and the designation of the purpose of emissions units cancellations, as per the requirements contained in Annex 16, Volume IV, and ETM, Volume IV. Without prejudice to the aforementioned, such requirement would not prevent a Programme Registry from utilizing secure, time-bound and auditable methods for correcting unintentional user-entry errors;
- 7.10.** The Programme Registry will ensure that all cancellation information on its website is presented in a user-friendly format; is available at no cost and with no credentials required; is capable of being searched based on data fields; and can be downloaded in a machine-readable format, e.g., .xlsx;
- 7.11.** The Programme Registry will retain documents and data relevant to CORSIA Eligible Emissions Units and cancellations on an ongoing basis and for at least three years beyond the end date of the latest compliance period in which the emissions unit programme is determined to be eligible; and consistent with the Programme’s long-term planning, including plans for possible dissolution;
- 7.12.** The Programme Registry will append a document to the end of the signed attestation describing how it will ensure its ability to implement the requirements of this document. This will include references to existing registry functionalities that already meet the

requirements of this document and/or description of business practices and procedures that ensure the Programme Registry's ability to implement the requirements in this document prior to identifying any emissions unit cancellations specifically for CORSIA use and supporting any related reporting and verification activities.

- 8. Accuracy and completeness of information.** The signatures below certify that the information provided is true and correct in all material respects on the date as of which such information is dated or certified and does not omit any material fact necessary in order to make such information not misleading. Representatives are duly authorized for official correspondence on behalf of their organization.

Erwin de Nys
Programme Representative Signature

Erwin De Nys
Programme Representative Name

Forest Carbon Partnership Facility (FCPF)
Programme Name

Date: 03/28/2023

Bong Thi Le
Registry Representative Signature

Bong Thi Le
Registry Representative Name

Carbon Assets Tracking System (CATS)
Registry Name

Date: 03/28/2023

Instructions for Registry Representative: Please append a document on the next page of this attestation describing your Registry's ability to implement the requirements of this document, including references to existing registry functionalities that meet the requirements of this document and/or description of business practices and procedures that ensure the Programme Registry's ability to implement the requirements of this document prior to identifying any emissions unit cancellations specifically for CORSIA use and supporting any related reporting and verification activities.

ATTACHMENT A: PROGRAMME REGISTRY ATTESTATION DISCLOSURE FORM

PART 1: INSTRUCTIONS FOR REGISTRY REPRESENTATIVE

The following information request corresponds to the registry representative's certification of its adherence to items 7.1 to 7.11 of the *Emissions Unit Programme Registry Attestation* "Scope of Programme Registry responsibilities under the CORSIA".

In accordance with item 7.12 of the *Emissions Unit Programme Registry Attestation*, registry administrators are to complete and append this form to the signed *Attestation* describing how the Registry will ensure its ability to implement the requirements of the *Attestation*. This includes references to existing registry functionalities that already meet the requirements of the *Attestation* and/or descriptions of business practices and procedures that ensure the Programme Registry's ability to implement the requirements in the *Attestation*.

For further guidance regarding the format and approaches for providing summary information and evidence of system functionalities and/or procedures in this form, refer to instructions for "**Form Completion**" in the *Application Form for Emissions Unit Programmes*⁴.

PART 2: PROGRAMME AND REGISTRY REPRESENTATIVE INFORMATION

1. Programme Representative Information

A. Programme Information

Programme name: [Forest Carbon Partnership Facility \(FCPF\)](#)

Administering Organization⁵: [The World Bank](#)

Official mailing address: [The World Bank, 1818 H Street NW, Washington DC, 20433 USA](#)

Telephone #: [+1-202-473-6179](#)

Official web address: <https://www.forestcarbonpartnership.org/>

B. Programme Administrator Information (i.e., individual contact person)

Full name and title: [Andres Espejo \(Fund manager FCPF, SCCFM, The World Bank\)](#)

Employer / Company (*if not programme*): [The World Bank](#)

E-mail address: aespejo@worldbank.org

Telephone #: [+1- 2407-1389-10](#)

C. Programme Representative Information (if different from Programme Administrator)

⁴ <https://www.icao.int/environmental-protection/CORSIA/Pages/TAB.aspx>

⁵ **Please complete**, even if the name of the business, government agency, organization, or other entity that administers the Emissions Unit Programme is the same as "*Programme Name*".

Full name and title: Erwin De Nys (Practice Manager, SCCFM, The World Bank)

Employer / Company (*if not Programme*): The World Bank

E-mail address: edenys@worldbank.org

Telephone #: +1-202-2477-510

2. Registry Representative Information⁶

A. Registry Information

Registry / system name: Carbon Assets Tracking System (CATS)

Administering Organization: The World Bank

Official mailing address: The World Bank, 1818 H Street NW, Washington DC, 20433 USA

Telephone #: +1 202 473 6966

Official web address: <https://cats.worldbank.org/>

B. Registry Administrator Information (i.e., individual contact person)

Full name and title: Bong Thi Le (CATS Administrator, SCCFM, The World Bank)

Employer / Company (*if not Registry Administering Organization*): The World Bank

E-mail address: ble@worldbank.org

Telephone #: +1 202 473 6966

C. Programme Representative Information (if different from Registry Administrator)

Full name and title: Erwin De Nys (Practice Manager, SCCFM, The World Bank)

Employer / Company (*if not Registry Administering Organization*): The World Bank

E-mail address: edenys@worldbank.org

Telephone #: +1-202-2477-510

⁶ **Please complete this section**, even if the business, government agency, organization, or other entity that administers the Emissions Unit Programme Registry is the same as the organization described in **Part 2. “1. Programme Representative Information”**.

PART 3: EVIDENCE OF ADHERENCE TO SCOPE OF REGISTRY RESPONSIBILITIES

	<p>Does the Programme Registry fully meet the objectives of any and all Programme provisions and procedures related to the Programme Registry that the Programme is required to have in place in the manner represented by the Programme in the application form that the Programme has provided to the ICAO Secretariat and, if applicable⁷, as acknowledged by the Programme in the signed “Programme acceptance to terms of eligibility for inclusion in the ICAO document “<i>CORSIA Eligible Emissions Units</i>”?”</p>	<p><input checked="" type="checkbox"/> YES</p>
<p>7.1</p>	<p>Describe how the Registry ensures its ability to implement these provisions:</p> <p>Yes, it does. CATS (Carbon Assets Tracking System) is the designated CORSIA Eligible Emissions Unit Programme registry. CATS is an online centralized platform that supports the issuance and transaction of ER units generated under World Bank programs. Specifically, it has been designed to support the operations under the ER Programs of the FCPF.</p> <p>All the programme registry provisions and procedures are described in the three documents of the Transaction Registry; the Operational Guidelines - key policy document to facilitate the implementation of the registry procedures; the User Manual - describes step-by-step procedures and tools for system access and use; and the Terms and Conditions - legal agreement between the service provider (The WB) and the users that sets the rules and guidelines that users must agree and follow to use the registry services.</p> <p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p> <p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The three documents of the Transaction Registry - the Operational Guidelines, the User Manual and the Terms and Conditions - are accessible under the “Knowledge Center” block in the CATS webpage.</p>	
<p>7.2</p>	<p>Will the Programme Registry ensure that a CORSIA participant’s request for a registry account will not be denied solely on the basis of the country in which the requestor is headquartered or based?</p> <p>Describe how the Registry does or will implement this provision:</p> <p>During the on-boarding process, as described in the Operational Guidelines, all external users (included CORSIA participants) will be requested to submit information and specific documentation about the entity and the staff that will operate the system, prior to sharing the invitation through the platform to open an account in the system.</p>	<p><input checked="" type="checkbox"/> YES</p>

⁷ Only applicable when the Programme submits the signed “*Emissions Unit Programme Registry Attestation*” to the ICAO Secretariat after the Programme is determined to be eligible by a decision of the ICAO Council.

	<p>CATS follows the Bank Procedures that set out the steps for Anti-Money Laundering and Combating Financing of Terrorism (AML/CFT) screening and sanction screening of transactions⁸. Integrity Due Diligence checks features of external users and organizations on-boarded in CATS using WBG sanctions screening system, to gain a deeper understanding of the potential external users of the registry, primarily from a risk management perspective and to proactively mitigate integrity risks.</p> <p>All external registry users and their institutions (Fund participants, Host Countries, and Third-party buyers) are screened daily against WB internal sanction lists (WBG Debarred and Temporarily Suspended firms and individuals, WBG Corporate Procurement Non-Responsible Vendors, and World Bank Corporate Risk Profile Database - CRPD - watchlist) and major external sanction screening lists (Consolidated United Nations Security Council (UN) sanctions list, United States Office of Foreign Assets Control (US OFAC) – SDN and Non-SDN Consolidated lists, European Union Consolidated (EU) list of sanctions, and United Kingdom HM Treasury’s Consolidated (UK) list of financial sanctions targets) using Lexis Nexis (LN) Bridger Insight.</p> <p>The information checked against the internal and external sanction screening lists is the complete name and address. The location of an user in country is not a flag to prevent any third-party user to open a registry account in CATS.</p>
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>
	<p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The Operational Guidelines as the key policy registry document to facilitate the implementation of the registry procedures, describes the On-boarding and Integrity Due Diligence (Sanction Screening) processes. The document is accessible under the “Knowledge Center” block in the CATS webpage.</p>

	<p>Will the Programme Registry (in the case of applicants to be assessed to determine their eligibility)/Does the Programme Registry (when the Programme is determined to be eligible by a decision of the ICAO Council) identify / label its CORSIA eligible emissions units as defined in the ICAO Document “<i>CORSIA Eligible Emissions Units</i>”?</p>	<p><input checked="" type="checkbox"/> YES</p>
<p>7.3</p>	<p>Describe how the Registry does or will implements this provision:</p> <p>CATS has the capabilities to designate the ICAO eligible units in all account’s types, identify, track and transfer unit holding from issuance to retirement/cancellation, and uniquely serialize units including information on unit status (active, buffered, cancelled or retired), unit’s country and sector of origin and vintage of credits among other information as part of the Global Carbon Ticket Code (GCTC).</p> <p>The registry procedures ensure traceability, transparency, efficiency, environmental Integrity and FCPF compliance requirements.</p> <p>The identification of the ICAO-eligible units will be explicitly added as a label to the unique serial</p>	

⁸ Bank Procedure: Anti-Money Laundering and Countering Financing of Terrorism (AML/CFT) and Sanctions Screening Procedure. Catalogue Number IVP1.04-PROC.110. Effective: April 1st, 2020. This Procedure sets out steps that are consistent with Article VI of the 1947 Relationship Agreement between the United Nations and the International Bank for Reconstruction and Development (IBRD) and the decisions of the WBG Sanctions Board.

	<p>number (GCTC). The GCTC consists in 13 elements, reflected as 71 alpha-numeric characters that can be described as: (i) Static Elements that never change throughout the block lifecycle and define the details and characteristics of the block origin; and (ii) Dynamic Elements that are subject to continuous changes through the block life-cycle and define current state and characteristics of the block in relation to the transactions which have been performed.</p> <p>The last 3 elements of the serial number characterize ICAO eligible units (status-active, class-certified, type-tradable) and the compliance with the standard will be explicitly label to the GCTC.</p>
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>
	<p>For further details check section</p> <p>2.3.2.1. <i>Global Carbon Ticker Code (GCTC). ER Units Serialization</i> of the CATS Operational Guidelines https://cats.worldbank.org/shared/docs/CATS_Knowledge_Operational.pdf</p>

7.4	<p>Will the Programme Registry, upon request of the CORSIA participant account holder or participant’s designee, designate the participant’s cancellation of emissions units for the purpose of reconciling offsetting requirements under the CORSIA, including by compliance cycle?</p>	<input checked="" type="checkbox"/> YES
	<p>Describe how the Registry does or will implement these provisions:</p>	
	<p>Yes, it will. The cancellation process of tradable units from any third-party’s tradable account to their cancellation account is a permanent transfer (ER units status changes from active to cancelled). Cancellation of units is a two-levels of approval transfer that starts with a request from the ER units owning entity (third-party under this assumption) that submits the transaction to its authorized approver (third-party approver according to this case), followed by the final clearance from the Fund Manager/ CATS Admin – Global.</p>	
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>	
	<p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the process of Cancellation of ER units in detail. The document is accessible under the “Knowledge Center” block in the CATS webpage.</p>	

7.5	<p>a. Will the Programme Registry, within 1 – 3 business days of receipt of formal instruction from a duly authorized representative of the owner of an account capable of holding and cancelling CORSIA Eligible Emission Units within the registry, and barring system downtime that is scheduled in advance or beyond the control of the registry</p>	<input checked="" type="checkbox"/> YES
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	administrator, make visible on the Programme Registry’s public website the account owner’s cancellations of CORSIA Eligible Emission Units as instructed.	
	b. Will such cancellation information (row a) include all fields that are specified for this purpose in Annex 16, Volume IV, and ETM, Volume IV?	<input checked="" type="checkbox"/> YES
	Describe how the Registry does or will implement these provisions:	
	<p>Yes, it will. According to the cancellation process described in 7.4, once the transaction request is approved by the authorized account holder of the ER units (third-party approver), the final clearance from the CATS Admin will be processed the same day it is received (‘approve’), unless is inadmissible (reject) or some observed errors must be corrected (‘send back for revision’). Information on cancelled ER units will be visible on the CATS Registry public website.</p> <p>The specific cancellation information available on the CATS Registry public website includes (but not limited to) the quantity of ER units cancelled, the certification period, the start and end of the serial numbers, the date of cancellation, the programme code, unit type, host country, methodology and the party cancelling the ERs from their accounts. This information is available for each specific transaction and includes the complete information of the global carbon ticket code assigned to the cancelled ER units (in reference to the SARPs provisions on the consolidated information for cancelled emissions units).</p>	
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>	
	<p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the process of Cancellation of ER units and the information available under the third-party and CATS admin dashboards referring to that transaction. It also includes the description of the global carbon ticket code assigned to each ER unit. The document is accessible under the “Knowledge Center” block in the CATS webpage.</p> <p>The Terms and Conditions is the legal agreement between the service provider (The WB) and the users, establishes in its Article XX. Confidentiality; Disclosure and Sharing of Confidential Information, the rules and guidelines that users must agree to and comply in relation to the information made public. The document is accessible under the “Knowledge Center” block in the CATS webpage.</p>	

7.6	Will the Programme Registry, upon request of the CORSIA participant account holder or participant’s designee, generate report(s) containing the information specified for this purpose in Annex 16, Volume IV, and ETM, Volume IV?	<input checked="" type="checkbox"/> YES
	Describe how the Registry does or will implement this provision:	
	<p>An aggregated report provides a snapshot of any asset type, status, class of any third-party account between two dates. Any user who has access under the third-party entity will be able to generate and view the report.</p>	

	<p>Users can generate transaction report (in the form of pdf or excel) on Monthly, Quarterly, Yearly & with customized time period. Users can generate unit holding report on a specific date by clicking on the calendar icon.</p> <p>The information in the transactions report includes among others the quantity of ER units transferred, the certification period, the start and end of the serial numbers, the date of the transfer, the programme code, unit type, host country, methodology and the third-party transferring the ERs (in reference to the SARPs provisions containing specific information / fields to reflect in registry).</p>
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry's implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p> <p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the process of how the registry users can generate transactions reports and unit holding reports. The document is accessible under the "Knowledge Center" block in the CATS webpage.</p> <p>The Terms and Conditions is the legal agreement between the service provider (The WB) and the users, establishes in its Article XX. Confidentiality; Disclosure and Sharing of Confidential Information, the rules and guidelines that users must agree to and comply in relation to the information made public. The document is accessible under the "Knowledge Center" at the CATS webpage.</p>

7.7	a. Does the Programme Registry maintain robust security practices that ensure the integrity of, and authenticated and secure access to, the registry data of CORSIA participant account holders or participants' designees, and transaction events carried out by a user?	<input checked="" type="checkbox"/> YES
	b. Does the Programme Registry disclose documentation of such practices (row a) upon request?	<input checked="" type="checkbox"/> YES
	c. Does the Programme Registry utilize appropriate method(s) to authenticate the identity of each user accessing an account?	<input checked="" type="checkbox"/> YES
	d. Does the Programme Registry grant each user access only to the information and functions that a user is entitled to?	<input checked="" type="checkbox"/> YES
	e. Does the Programme Registry utilize appropriate method(s) to ensure that each event initiated by a user (i.e. transfer of units between accounts; cancellation/retirement of a unit, update of data, etc.) is an intentional transaction event confirmed by the user?	<input checked="" type="checkbox"/> YES
	f. Do such security features (rows a – e) meet and undergo periodic updates in accordance with industry best practice?	<input checked="" type="checkbox"/> YES
	Describe how the Registry implements each provision in rows a – f:	

CATS (Carbon Assets Tracking System) has implemented a robust security system that ensures the integrity, authenticated and secure access of authorized external users **(a)**. All the on-boarding procedures, the authentication and the Integrity Due Diligence (Sanction Screening) processes are described in detail in the **Operational Guidelines (b)**.

CATS has implemented an off-line on-boarding process where the entities and their staff, proposed as users of the system under different roles (transaction processor, approver and viewer), have to submit detailed information and documentation to the CATS Administrator. Once the official onboarding request with supporting documents has been received and checked, the WB will send an invitation email (through the platform) to the external user with a link to create an account on the WB cloud-based user authentication system.

WB cloud-based user authentication service (Microsoft Azure AD) permits external users to utilize a government/corporate or commercial domain email addresses as user ID to access CATS **(c)**. The user may create a password, confirm location, verify email using a code, overcome an anti-spam check, confirm email address, and review and accept permissions to grant the WB to use external user's name and email address.

The request is submitted to the CATS Administrator who manages user access and assigns roles and authorizations. The external user will receive an email notification with the group membership granting access through a specific role under the program. CATS authorizes each user access only to the information and functions (role) that a user is entitled to **(d)**.

Each transaction initiated by an authenticated user with designated user role has to be confirmed before submitting and explained in the comments section (compulsory) and supported with documentary evidence to assure it is an intentional transaction event confirmed by the user **(e)**. In addition, any transaction has several levels of approval with a final clearance according to the registry governance system.

Furthermore, as explained in 7.2, Integrity Due Diligence checks features of external users and organizations on-boarded to CATS using WBG sanctions screening system proactively mitigates and manages integrity risks. All external registry users and their institutions (Participants, Programs - Countries, and Third-party buyers) are screened before creation and daily through end of day batch process against WB internal sanction lists and major external sanction screening lists.

These security features (a – e) are meet and undergo periodic updates in accordance with industry best practice, checked regularly by a dedicated IT and business team in The WB. The results of the security checks are evaluated by different teams in The WB depending on their severity according to a detailed Decision-Making (ADM) framework and are subject to an annual external audit.

In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry's implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this *Emissions Unit Programme Registry Attestation*.

CATS (Carbon Assets Tracking System) Web: <https://cats.worldbank.org/>

The **Operational Guidelines** is the key policy registry document to facilitate the implementation of the registry procedures. It describes the on-boarding, the authentication and the Integrity Due

	<p>Diligence (Sanction Screening) procedures. The document is accessible under the “Knowledge Center” at the CATS webpage.</p> <p>The Terms and Conditions is the legal agreement between the service provider (The WB) and the users, establishes in its <i>Article V. Account Authorization, Authorized Representatives, User Acting as Agent</i>, the rules and guidelines that users must agree to and comply to use the registry services, to ensure the integrity and the authenticated and secure access to the registry data. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>
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7.8	<p>a. Will the Programme Registry, upon identifying any breach of Programme Registry data security or integrity that affects a CORSIA participant account holder or participant’s designee, notify the CORSIA participant account holder or their designee?</p>	<input checked="" type="checkbox"/> YES
	<p>b. Will the Programme Registry, upon identifying any breach of Programme Registry data security or integrity that affects a CORSIA participant account holder or participant’s designee, notify the Programme, which will inform and engage with the ICAO Secretariat on the matter in the same manner as required for material deviations from the Programme’s application form?</p>	<input checked="" type="checkbox"/> YES
	<p>Describe how the Registry does or will implement each provision in rows a and b:</p>	
	<p>CATS Admin, upon identifying any breach of CATS data security or integrity that affects any external user account holder, will notify the external user (a). In case of breach of security or integrity affects a CORSIA participant account holder, CATS will notify the FCPF (Fund Manager) which will inform the ICAO Secretariat on the matter in the same manner as required for material deviations from the Programme’s application form (b).</p> <p>In case of any breach of CATS data security, the dedicated CATS maintenance IT team will immediately inform through the CATS Admin all external users and entities potentially affected to and will implement necessary measures to restore the service per the conditions agreed with parties.</p> <p>If as a result of the Integrity Due Diligence process, the Sanctions Screening Plus API call to Lexis Nexis (LN) service, right after CATS Admin approval (creation or editing the external user’s account) or as a result of the sanction screening end of day batch process, is returned with a hit:</p> <p>(i) a pop-up notification message will be displayed; (ii) the external user/entity on-boarding request will be listed as pending for approval and (iii) a case under IDD Management is created (Open Case Tab). The external user/entity is sanctioned and/or associated with negative news/substantial risk, and CATS will flag the external user/entity creation request with a red banner “Due Diligence Block”.</p> <p>Until the case is resolved, users/entities will be frozen, and all their accounts will be blocked, so no one will be able to initiate transactions from or to the frozen account.</p> <p>Depending on the specific sanction list and the percentage of match, various instances in the WB will evaluate and clear or bear out the case, contacting the external users and entities involved.</p>	
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme</p>	

	<p>Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>
	<p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the implemented security protocols and the Integrity Due Diligence (Sanction Screening) procedures. The document is accessible under the “Knowledge Center” at the CATS webpage.</p> <p>The Terms and Conditions is the legal agreement between the service provider (The WB) and the users, establishes in its <i>Article XIX. Limited Warranty/Disclaimer of Warranties</i>, that the Registry is provided on an "As Is" basis at the User's sole risk, setting the warranty and liability limits for the registry services. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>

<p>7.9</p>	<p>Does the Programme Registry ensure the irreversibility of emissions unit cancellations and the designation of the purpose of emissions units cancellations, as per the requirements contained in Annex 16, Volume IV, and ETM, Volume IV⁹?</p>	<p><input checked="" type="checkbox"/> YES</p>
	<p>Describe how the Registry implements these provisions:</p>	
	<p>As it was explained in 7.4, cancellation is a permanent transaction; cancelled ER units are not allowed to be released out of the cancellation account (ER status changes from active to cancelled).</p> <p>As it was explained in 7.5, the specific cancellation information will be available under the third-party and CATS admin dashboards includes among others the quantity of ER units cancelled, the certification period, the start and end of the serial numbers, the date of cancellation, the programme code, unit type, host country, methodology, and the third-party cancelling the ERs from their accounts, under the specific transaction information that includes the global carbon ticket code assigned to the cancelled ER units (in reference to the SARPs provisions on the consolidated information for cancelled emissions units).</p> <p>According to section 4.2.2. (b) in Annex 16 to the Convention on International Civil Aviation, the designated Programme Registry must make visible on the registry’s public website the information on each of the aeroplane operator’s cancelled CORSIA eligible Emissions Units for a given compliance period. This information is available under the third-party and CATS admin dashboards and will be included in the reports as was explained in 7.6. CATS Registry public website will include the information on the volume of cancelled units by third-party published on a monthly basis.</p>	
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>	

⁹ Without prejudice to the aforementioned, such requirement would not prevent a Programme Registry from utilizing secure, time-bound and auditable methods for correcting unintentional user-entry errors.

	<p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the Cancellation of ER units process in detail and the specific information that will be available under the third-party and CATS admin dashboards referring to that transaction. It also includes the description of the global carbon ticket code assigned to each ER unit and discloses information on CATS Registry public webpage. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>
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7.10	a. Does the Programme Registry ensure that all cancellation information on its website is presented in a user-friendly format?	<input checked="" type="checkbox"/> YES
	b. Does the Programme Registry ensure that all cancellation information on its website is available at no cost and with no credentials required?	<input checked="" type="checkbox"/> YES
	c. Does the Programme Registry ensure that all cancellation information on its website is capable of being searched based on data fields?	<input checked="" type="checkbox"/> YES
	d. Does the Programme Registry ensure that all cancellation information on its website can be downloaded in a machine-readable format, e.g., .xlsx?	<input checked="" type="checkbox"/> YES
	Describe how the Registry implements each provision in rows a – d:	
	As explained in 7.5, 7.6, and 7.9, all cancellation information will be immediately available under the third-party and CATS admin dashboards (quantity of ER units cancelled, the start and end of the serial numbers, the date of cancellation, eligible emissions unit programme, unit type, host country, methodology, demonstration of unit date eligibility, and the third-party cancelling the ERs from their accounts). CATS Registry public website will in addition include the information on the volume of cancelled units by third-party and will be updated on a monthly basis. This information will be displayed in a user-friendly format (as all the platform was designed) (a) and will not require additional cost or credentials (b) . The platform has implemented search tools by fields (c) to easily locate and select the required information and, as was explained in 7.6, users can generate transaction reports in the form of pdf or excel (d) , on Monthly, Quarterly, Yearly & over customized period. Furthermore, users can also generate unit holding report on a specific date by clicking on the calendar icon.	
	In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i> .	
<p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures. It describes the Cancellation of ER units process in detail and the specific information that will be available under the third-party and CATS admin dashboards referring to that transaction. It also includes the description of the global carbon ticket code assigned to each ER unit. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>		

	<p>The User Manual is the document describing step-by-step functions and tools for user’s system access and use, describes in detail all the platform search tools and the process to generate and download the user’s reports. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>
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<p>7.11</p>	<p>a. Will the Programme Registry retain documents and data relevant to CORSIA Eligible Emissions Units and cancellations on an ongoing basis and for at least three years beyond the end date of the latest compliance period in which the emissions unit programme is determined to be eligible?</p>	<p><input checked="" type="checkbox"/> YES</p>
	<p>b. Will the Programme Registry retain documents and data relevant to CORSIA Eligible Emissions Units and cancellations consistent with the Programme’s long-term planning, including plans for possible dissolution?</p>	<p><input checked="" type="checkbox"/> YES</p>
	<p>Describe how the Registry does or will implement each provision in rows a and b:</p>	
	<p>Yes, CATS Registry will retain documents and data relevant to CORSIA Eligible Emissions Units and cancellations for the period specified for monitoring of buffer (FCPF Buffer Guidelines Version 3.1, April 2022). Under sections 12 and 13: If an ER Program wishes to supply “CORSIA Eligible Emissions Units” (as defined under CORSIA), the ER Program shall have in place a robust Reversal Management Mechanism that: addresses the risk of Reversals beyond the Term of the FCPF CF ERPA; is equivalent to the ER Program FCPF Buffer as defined under paragraph 12.1; and shall be continually managed and operated by a “CORSIA Eligible Emissions Unit Programme” (or “Programme”, as defined under CORSIA) which administers comparable multi-decadal Programme elements that are included in the Programme's scope of eligibility from the end of the Term of the FCPF CF ERPA through 31 December 2037 (a,b).</p>	
	<p>In the field below, provide link(s) to any web-based evidence of existing registry functionalities and/or of documents demonstrating business practices and procedures for the Programme Registry’s implementation of these provisions. Alternatively, or in addition, confirm that such evidence is included as an attachment to this <i>Emissions Unit Programme Registry Attestation</i>.</p>	
	<p>CATS (Carbon Assets Tracking System) Web: https://cats.worldbank.org/</p> <p>The Operational Guidelines is the key policy registry document to facilitate the implementation of the registry procedures, describes the generalities of the registry service provided. The document is accessible under the “Knowledge Center” at the CATS webpage.</p>	

Certificate Of Completion

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Source Envelope:	
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Certificate Pages: 5	Initials: 0
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edenys@worldbank.org	<i>Erwin de Nys</i>	Viewed: 3/29/2023 4:43:59 PM
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<p>Andres Espejo aespejo@worldbank.org Security Level: Email, Account Authentication (Optional)</p> <p>Electronic Record and Signature Disclosure: Accepted: 1/20/2023 5:11:27 AM ID: fe5fdbd2-f534-4414-92f8-6e2546d3ba65 Company Name: World Bank Group</p>	COPIED	<p>Sent: 3/29/2023 4:44:53 PM Viewed: 3/29/2023 6:28:21 PM</p>
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<p>Asyl Undeland aundeland@worldbank.org Security Level: Email, Account Authentication (Optional)</p> <p>Electronic Record and Signature Disclosure: Accepted: 11/24/2022 10:21:04 AM ID: bd8f9079-a307-4482-a8a7-b0b6caea92f4 Company Name: World Bank Group</p>	COPIED	<p>Sent: 3/29/2023 4:44:57 PM</p>

Witness Events	Signature	Timestamp
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Envelope Summary Events	Status	Timestamps
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Envelope Sent	Hashed/Encrypted	3/29/2023 4:24:23 PM
Certified Delivered	Security Checked	3/29/2023 4:43:59 PM
Signing Complete	Security Checked	3/29/2023 4:44:50 PM
Completed	Security Checked	3/29/2023 4:44:57 PM

Payment Events	Status	Timestamps
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Electronic Record and Signature Disclosure
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Electronic Disclosure Statement And Consent for E-Signature with a Relevant World Bank Group Organization [1]

1.0 Acknowledgement of Independent Vendor:

A relevant “World Bank Group Organization” means any of the following international organizations established by treaty among its member countries: International Bank for Reconstruction and Development (“IBRD”), International Development Association (“IDA”), International Finance Corporation (“IFC”), Multilateral Investment Guarantee Agency (“MIGA”), and International Centre for Settlement of Investment Disputes (“ICSID”).

By checking the ‘I agree’ box below in this Electronic Disclosure Statement and Consent for E-Signature (“Disclosure Statement and Consent”), you agree and understand that: (1) the e-signature service (the “Service”) is not owned or operated by any of the relevant World Bank Group Organizations in any way. Instead, the Service is owned, operated and maintained by an independent vendor; and (2) no relevant World Bank Group Organization is responsible or liable for the services provided by the independent vendor.

2.0 Agreement to Terms of Service and Privacy Policy:

When using the Service, you agree and understand that the Service’s [Terms of Service](#), including the [Service Privacy Policy](#), will govern your use of e-signature.

3.0 Limitation of Liability:

You agree and understand that your use of the Service with a relevant World Bank Group Organization is at your own risk.

You agree and understand that the relevant World Bank Group Organization expressly disclaims all warranties of any kind related to the site, the services and the materials, whether express or implied, including, but not limited to: (1) the implied warranties of merchantability; (2) fitness for a particular purpose; and (3) non-infringement. You agree to be solely responsible for any damage to your computer system or loss of data that results from use of the Service.

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whether the claim is based on contract, tort (including negligence, strict liability and willful and/or intentional conduct), warranty, indemnity or other theory of liability.

4.0 Remedies and No Warranty:

The relevant World Bank Group Organization makes no warranty that: (1) the Service will meet your requirements; (2) the Service will be uninterrupted, timely, secure or error-free; (3) any results or outcomes from the use of the service will be accurate or reliable; (4) the quality of the Service will meet your expectations; or (5) the Service, or its servers, or communications sent from the any of the relevant World Bank Group Organizations, will be free of viruses or other harmful elements.

You agree and understand that your sole course of action and exclusive remedy for any losses or damages incurred or suffered by you as a result of your use of the Service shall be to terminate your Service account and cease using the Service. Under no circumstances will you have any claim against any of the relevant World Bank Group Organizations for any losses or damages whatsoever arising out of or related to your use of the Service.

5.0 Preservation of Immunities.

Nothing in this Disclosure Statement and Consent shall constitute, be construed, or considered to be, a limitation upon or a waiver, renunciation or modification of any immunities, privileges or exemptions of any of the World Bank Group Organizations accorded under its respective Articles of Agreement, international Convention or any applicable law. Such immunities, privileges or exemptions are specifically reserved.

6.0 Additional Terms:

By checking the 'I agree' box below, you agree and confirm that:

- You understand that this Disclosure Statement and Consent governs only e-signature transactions or arrangements with a relevant World Bank Group Organization which may be subject to additional Service terms;
- You can access and read this Disclosure Statement and Consent; and
- You can print on paper the Disclosure Statement and Consent or save or send the same to a place where you can print it for future reference and access.
- With respect to IBRD and IDA, you (a) will always keep your e-mail address updated with the Service and follow instructions provided by the relevant World Bank Group Organization to keep your e-mail address updated with the Service as needed; and (b) understand that the minimum system requirements for using the Service may change

over time. The current system requirements are found here: <https://support.docusign.com/guides/signer-guide-signing-system-requirements>

[1] This Electronic Disclosure Statement and Consent for E-Signature with a relevant World Bank Group Organization is to be used on a specific **transactional basis** and does not in any way or form purport to create an ongoing contractual relationship between the user of the Service, the independent vendor and any of the relevant World Bank Group Organizations.