

Common Operational Procedure: Independent Assessment Report (IAR) Procedure

| | | | |
|--------------------------|--|--------|------------|
| Reference | IAR Procedure | | |
| Security classification: | RSA Forum | | |
| Version number: | v4.5 | State: | Approved |
| Prepared by: | David Sturt, Jean-Francois Halleux, Chris Collins | Date: | 07/12/2010 |
| Reviewed by: | Mike Elhaddad | Date: | 07/12/2010 |
| Approved by: | Vitaly Matsarski | Date: | 07/12/2010 |

Circulation list

| Name/Role | Organization | Info/Action |
|-----------|--------------------------------|-------------|
| RSA Forum | Registry System Administrators | Information |

Document change record

| Version | Date | Description | Affected sections |
|---------|------------|---|--------------------------|
| v1.0 | 30/03/2007 | Final | All |
| v2.0c | 19/09/2008 | Incorporates feedback from internal reviews and first shared with the SIAR working group | All |
| v2.0d | 14/10/2008 | Incorporates feedback from the SIAR working group (second meeting) | All |
| v2.1 | 20/10/2008 | Version presented to the third SIAR working group meeting | All |
| v2.2 | 29/10/2008 | Feedback from third SIAR WG meeting and review comments included; fixed headers and footers and appendices | All |
| v2.3 | 04/11/2008 | Formatted version of v2.2 | All |
| v2.4 | 07/11/2008 | For approval | All |
| v2.5 | 13/11/2008 | Approved | All |
| v2.6 | 01/12/2008 | Final | All |
| v2.7 | 04/03/2009 | Final – layout and spelling changes | All |
| v4.0 | 24/09/2009 | Final – updates to correspond with changes to registry and assessor guidance documentation. Timeline updates. Version to correspond with other SIAR documentation | All |
| v4.1 | 12/11/2009 | Incorporating feedback from SIAR Working Group | Sections 1.6 and 3.4.14 |
| v4.2 | 02/12/2009 | Incorporating feedback from the 6 th meeting of the SIAR Working Group | Section 1.8 |
| v4.3 | 15/01/2010 | Incorporating feedback from the 7 th meeting of the SIAR Working Group | Section 1.8 |
| V4.4 | 30/09/2010 | Edit for consistency between Section 3.4.6 and Section 3.4.14 | Section 3.4.6 and 3.4.14 |
| V4.5 | 07/12/2010 | Incorporation of grammatical improvements as suggested by JP after 16 th CAB Meeting | Section 1.2 and 2.1.1.1 |

Table of Contents

| | |
|---|----|
| 1. Introduction..... | 4 |
| 1.1 Objectives..... | 4 |
| 1.2 Scope..... | 4 |
| 1.3 Principles..... | 4 |
| 1.4 Language..... | 5 |
| 1.5 Conflict of interest and confidentiality policy..... | 5 |
| 1.6 Publication..... | 5 |
| 1.7 IAR Types..... | 5 |
| 1.7.1 Initial IAR (first initialization)..... | 5 |
| 1.7.2 Standard IAR (ongoing operational performance)..... | 5 |
| 1.8 Assessors..... | 6 |
| 2. Initial IAR..... | 6 |
| 2.1. The Initial IAR Process Overview..... | 6 |
| 2.1.1 Input Information..... | 6 |
| 2.1.2 Initial IAR Lifecycle..... | 6 |
| 2.1.3 Initial Independent Assessment Report Process..... | 8 |
| 2.2 Roles..... | 9 |
| 2.2.1 ITL Administrator..... | 9 |
| 2.2.2 Registry Administrators..... | 9 |
| 2.2.3 External Assessor..... | 9 |
| 2.3 Process Steps..... | 9 |
| 2.3.1 Scheduling..... | 9 |
| 2.3.2 Preparation..... | 9 |
| 2.3.3 Consultation..... | 10 |
| 2.3.4 Finalization..... | 10 |
| 2.3.5 Issuance..... | 10 |
| 3. Standard IAR (SIAR)..... | 11 |
| 3.1 The SIAR within the Annual Review Process..... | 11 |
| 3.1.1 Annual Review Process Context..... | 12 |
| 3.1.2 Items Submitted to the Annual Review Process..... | 13 |
| 3.1.3 Completeness Check..... | 13 |
| 3.1.4 Substantive Check..... | 13 |
| 3.1.5 Annual Review..... | 14 |
| 3.1.6 Annual Report..... | 14 |
| 3.1.7 Annual Review Timelines..... | 14 |
| 3.2 The Standard IAR Process Overview..... | 14 |
| 3.3 Roles..... | 17 |
| 3.3.1 ITL Administrator..... | 17 |
| 3.3.2 External Assessor..... | 17 |
| 3.3.3 UNFCCC Review and Analysis Team..... | 17 |
| 3.3.4 Party..... | 17 |

| | |
|--|----|
| 3.4 Process Steps | 17 |
| 3.4.1 Annual Submission | 17 |
| 3.4.2. Generate ITL Reports | 17 |
| 3.4.3 Prepare SIAR Part 1 Draft | 17 |
| 3.4.4 Review SIAR Part 1 Draft | 17 |
| 3.4.5 Send SIAR Part 1 Draft to Party for Comment | 18 |
| 3.4.6 Comment on SIAR Part 1 Draft | 18 |
| 3.4.7 Finalise SIAR Part 1 Report..... | 18 |
| 3.4.8 Prepare SIAR Part 2 Draft | 18 |
| 3.4.9 Review SIAR Part 2 Draft | 18 |
| 3.4.10 Send SIAR Part 2 Draft to Party for Comment | 18 |
| 3.4.11 Comment on SIAR Part 2 Draft | 18 |
| 3.4.12 Finalise SIAR Part 2 Report..... | 18 |
| 3.4.13 Compile Material for ERT and Check if NR Review is Required..... | 19 |
| Appendix A – IAR Templates, Guidelines and Reporting Requirements..... | 21 |
| A.1 Summary Sheet Template | 21 |
| A.2 Initialization Template | 21 |
| A.3 Standard IAR Templates, Guidelines, and Reporting Requirements | 21 |
| Appendix B – RSA Consultation Template..... | 22 |
| B.1 RSA Consultation Template..... | 22 |
| Appendix C Glossary and Abbreviations Used | 23 |
| C.1 Glossary | 23 |
| C.2 Abbreviations..... | 24 |
| Appendix D – Process Diagram Notation..... | 25 |

1. Introduction

The independent assessment report procedure is a common operational procedure developed by the administrator of the International Transaction Log (ITL) in accordance with decision 16/CP.10. The following sections describe the procedure. Further material can be found in the form of templates and guidance in the documents referenced in the appendices to this document.

1.1 Objectives

The objective of this Independent Assessment Procedure is to undertake an independent assessment of the extent to which a registry fulfils the requirements established by the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (COP/MOP). Each assessment is to be summarized in an Independent Assessment Report (IAR), which is forwarded to the expert review teams for consideration as part of the review of national registries under Article 8 of the Kyoto Protocol

This procedure is primarily designed to provide an independent assessment of each national registry to the review process under Article 8 of the Kyoto Protocol in order to demonstrate its conformity with registry requirements set by the COP/MOP. In addition, the independent assessments generated under this procedure should provide confidence to registry users, as well as administrators of other registries, in the implementation and operation of national registries.

1.2 Scope

The independent assessment is of registry systems, which are defined by the registry requirements contained in decision 13/CMP.1 in the case of national registries¹, decisions 3/CMP.1 and 5/CMP.1 in the case of the CDM registry². These requirements relate to the following:

Conformity of the registry with the applicable³ version of the technical standards for data exchange between registry systems⁴, including the functional and technical specifications, as developed in accordance with decision 24/CP.8 and as noted⁵ in 16/CP.10. The conformity is assessed by the International Transaction Log (ITL) Administrator, through the **initialization process**, prior to being approved for live operations with the ITL. Subsequent changes to a registry may require a separate re-certification process.

Continuing conformity with the current version of the technical standards for data exchange between registry systems, as assessed through the **operational performance** of the registry.

Conformity of the registry with the requirements for the **public availability of information**. Information to be made available includes information on registry accounts, projects under Articles 6 and 12 of the Kyoto Protocol, and transactions. Transaction information is to be consistent with requirements for the reporting of Kyoto Protocol units by each Annex B Party under Article 7 of the Kyoto Protocol, as defined in the Standard Electronic Format stipulated in decision 14/CMP.1.

1.3 Principles

The application of the procedure shall:

- Provide comprehensive, transparent and reliable information of a technical nature on the operational status of registries.
- Provide information in a language and content easily understood by a non-technical audience.

¹ See section II of the annex to decision 13/CMP.1

² See appendix D of the annex to decision 3/CMP.1 and appendix D of the annex to decision 5/CMP.1

³ The applicable version is the version supported by the live registry and the live ITL

⁴ The technical standards for data exchange between registry systems are described in three documents, the general design requirements expressed in 24/CP.8, the detailed functional specification and the detailed technical specification, more commonly known as the DES. Paragraph 3 of the annex to 24/CP.8 details this.

⁵ Paragraph 2 of 16/CP.10

- Be independent of the interests of the Registry System Administrator (RSA) whose registry is being assessed.
- Apply a uniform approach to the assessment of registries.
- Provide sufficient information to support the Expert Review Teams under Article 8 of the Kyoto Protocol in their reviews of national registries.
- Be fully consistent with rules established under the Kyoto Protocol.

1.4 Language

All documentation submitted by the Party as part of the independent assessment process shall be in English, except where explicitly noted otherwise in the procedure and associated documents.

If a Party finds it impractical to submit unit tests or detailed test results in English, then a summary of the unit tests and detailed test results shall be provided in English and the unit tests or detailed test results provided in native language.

1.5 Conflict of interest and confidentiality policy

All independent assessors are requested to sign a declaration related to conflict of interest and confidentiality within the IAR process. In this declaration it is stated that they shall avoid all conflicts of interest during the assessment process, that information and documents received from the Party shall be kept confidential and that information received from the UNFCCC secretariat staff shall also be kept confidential, when indicated.

1.6 Publication

This procedure and all relevant accompanying documentation and templates will be published on the UNFCCC website.

Final versions of each Party's IAR and annual SIAR reports will be published on the UNFCCC website when they are available. A Party may declare certain sections of the Part 1 or Part 2 assessment as confidential. In this case, the sections declared confidential will be omitted from the published document(s).

1.7 IAR Types

There are two types of independent assessment report that are used at different times in a registry's life. The initial IAR is used prior to live operation of a registry, before any transactions can take place with the ITL and hence the registry holds no units. A standard IAR (SIAR) is used during registries live operation, when transactions can be proposed to the ITL and the registry can hold units.

- Initial IAR (prior to live operation)
- Standard IAR (during live operation)

1.7.1 Initial IAR (initialization)

The initial IAR is prepared once for each registry on the basis of results from the original initialization process undergone by a registry (typically during 2007). This IAR is to demonstrate that the registry concerned meets the necessary initialization requirements at that point in time and sets a foundation for subsequent standard IARs (which will cover results relating to a reporting period).

A registry's operational performance and public availability of information will not be considered in the initial IAR.

1.7.2 Standard IAR (ongoing operational performance)

The standard IAR is prepared on an annual basis and covers a regular reporting period of a calendar year. The standard IAR therefore considers results of any initialisation or release certification activities and other standardized tests undertaken by registry during the reporting period as well as results relating to the operational performance of the registry including changes; results of testing required to support successful implementation of registry changes; accounting of kyoto protocol units, security and data integrity and problems encountered during the live operation of the registry.

The Standard IAR also considers the public availability of information during the reporting period.

1.8 Assessors

Beginning with assessments performed in 2010 for the 2009 reporting year, the UNFCCC Secretariat expects that all SIAR assessments will be performed by Registry System Administrators (RSAs) to increase RSA capacity and knowledge, and to reduce the cost of the assessment process. If the number of RSAs available to serve as assessors for a given year is insufficient to provide assessments for all registries, the UNFCCC Secretariat may complement the RSA assessor pool with external consultants and/or contractors or, as the last option, cancel the SIAR process for all registries for the assessment year.

2. Initial IAR

2.1. The Initial IAR Process Overview

2.1.1 Input Information

2.1.1.1 Registry initialization

Initialization is a series of tests carried out by the ITL Administrator on the registry, when the registry first requests to start operations with the ITL.. The goal of initialization is to confirm that the registry is in conformity with the DES.

The IAR takes the following three evaluations produced during initialization by the External Assessor, and translates them into a language and content easily understood by a non-technical audience:

- Document Submission Evaluation
- Connectivity Evaluation
- Interoperability Evaluation

In addition, the IAR records the recommendation by the External Assessor to the ITL Administrator, based on the above evaluations, that the connection between the registry concerned and the ITL should be activated. It also records the authorization of the connection by the ITL Administrator.

2.1.2 Initial IAR Lifecycle

This section describes the phases followed for the preparation of an initial IAR:

Scheduling – The ITL Administrator prepares a schedule of when the initial IAR for each registry is to take place and notifies the registry administrators.

Preparation – The ITL Administrator prepares a draft of the initial IAR by completing the appropriate sections of the template and formulates any recommendations to be made.

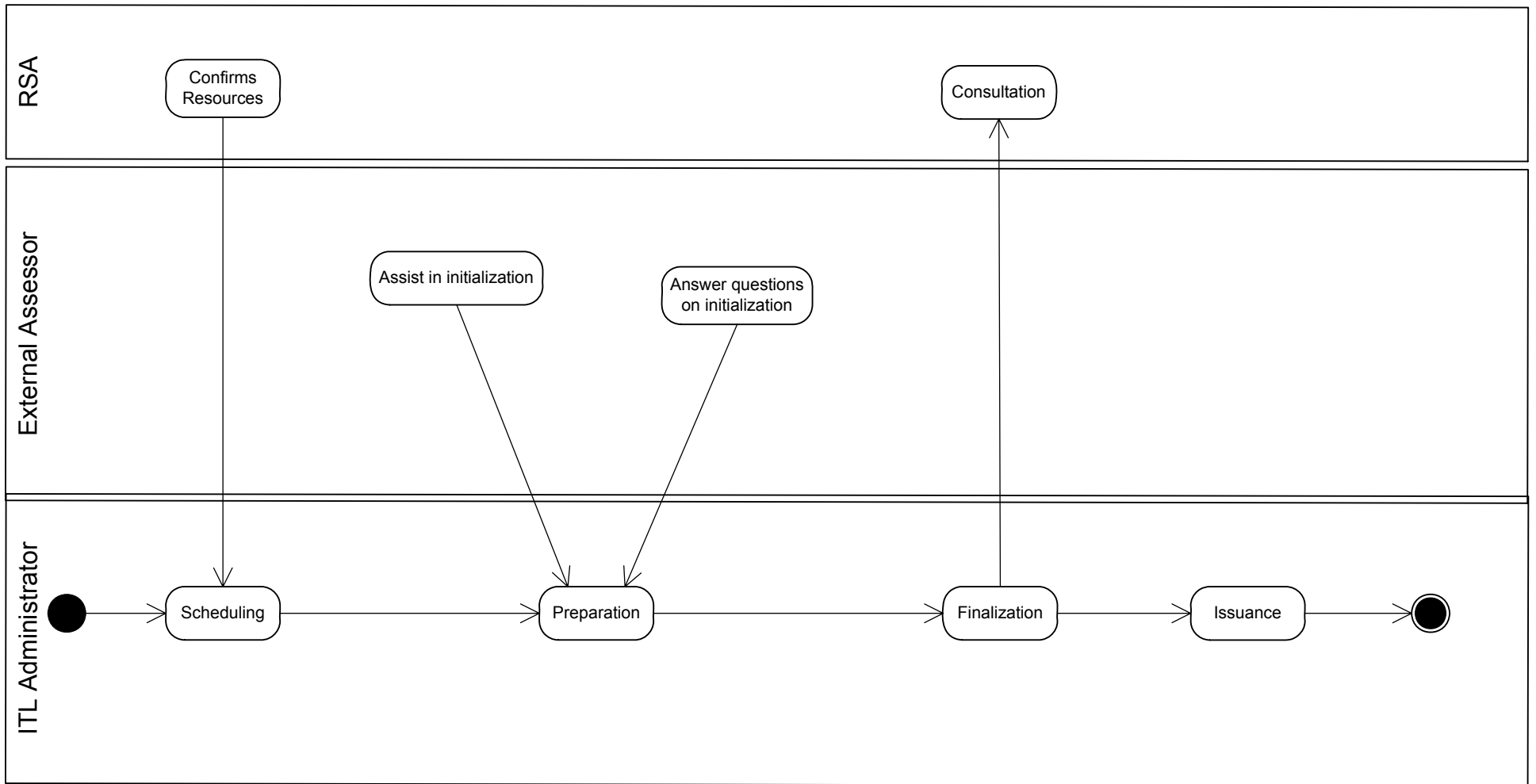
Any recommendations relating to initialization information are consistent with those arising through the initialization process. In addition, during a registry's live operations, the initial IAR process may formulate recommendations relating to operational performance and public information, as necessary.

Consultation – The RSA concerned reviews the draft initial IAR and provides feedback to the ITL Administrator.

Finalization – The ITL Administrator finalises the initial IAR by incorporating final comments made by the RSA, as deemed appropriate.

Issuance – The ITL Administrator issues the initial IAR by making it available to the RSA concerned. The ITL Administrator also makes the IAR available on the UNFCCC website and to Expert Review Teams under Article 8 of the Kyoto Protocol.

2.1.3 Initial Independent Assessment Report Process



2.2 Roles

2.2.1 ITL Administrator

The ITL Administrator is responsible for coordinating the independent assessment process and undertaking the preparation, finalisation and issuance of the IAR, including provision of IARs to the Expert Review Teams under the Kyoto Protocol review process.

2.2.2 Registry Administrators

RSAs of registries being assessed review the IAR after it has been drafted and before it is issued. They also provide information to the ITL Administrator in order to clarify publicly available information.

2.2.3 External Assessor

The term "External Assessor" refers to a team put in place by the secretariat for the purpose of making the assessments as outlined in this procedure.

The External Assessor prepares the initialization reports that feed into the IAR process. This work is undertaken in the context of the External Assessor's services to the ITL Administrator and is outside the scope of this procedure. However, the External Assessor may be required to clarify information in relation to the reports.

2.3 Process Steps

This section describes the detailed procedure to be followed. This procedure is summarized in the process diagram in figure 1.

2.3.1 Scheduling

The ITL Administrator coordinates the schedule for preparing **Initial IARs** such that they are completed as soon as possible after the completion of the registry's initialization with the ITL. The ITL Administrator proposes dates to each RSA concerned for its consultation on the draft IAR and keeps the RSA informed of any changes arising from the time taken to complete initialization.

The Initial IAR for a national registry must be completed, and provided to the Article 8 review process, no later than five months after the visit of the Expert Review Team to the Party concerned in the context of reviewing the Initial Report of that Party.

The ITL Administrator coordinates the schedule for preparing **Standard IARs** such that they are completed by 31 May of each year. The ITL consults with each RSA concerned to set dates for its consultation on the draft standard IAR.

2.3.2 Preparation

The ITL Administrator prepares the draft initial IAR by completing the templates contained in the Appendices relevant to the IAR type.

The initial IAR consists of a summary template, containing the overall results of the assessment (see Appendix A.1) and the Initialization information template (see Appendix A.2)

2.3.2.1 Initialization

This part of the initial IAR (see Appendix A.2) is based directly on the results of the initialization process undertaken by the registry. The results are compiled by the External Assessor and provided to the ITL Administrator. They relate to:

Document Evaluation, which assesses registry documentation submitted during the initialization process to demonstrate that the registry will be operated in a manner consistent with appropriate operating practices and has adequate plans for addressing operational and security requirements. The External Assessor provides results to the ITL Administrator in the form of scores for individual documents (with red-amber-green colour coding).

Connectivity Evaluation, which assesses the network connectivity of the registry established during the initialization process. A registry can only pass or fail the connectivity evaluation.

Interoperability Evaluation, which comprises the functional testing undertaken during the initialization process, based on section 9 of the DES and elaborated in its Annex H. A registry can only pass or fail each test. This functional testing differs depending on the type of registry (e.g. CDM registry tests do not apply to national registries).

The initialization information is sourced from the reports prepared by the External Assessor during the initialization process.

This part of the initial IAR also records the recommendation by the External Assessor to the ITL Administrator that the connection of the registry concerned to the ITL should be activated and the authorization of the connection by the ITL Administrator. These items consist of a Yes/No entry.

Technical comments provided to the ITL Administrator as part of these initialization results may need to be amended within the IAR in order to make them understandable to a non-technical audience.

Any questions arising during the preparation of this part of the IAR are referred by the ITL Administrator to the External Assessor.

2.3.2.2 Summary Sheet

Upon completion of the relevant detailed templates, the ITL Administrator prepares the Summary Sheet. Sections that are not required are marked not applicable (N/A).

2.3.3 Consultation

The ITL Administrator consults with the RSA concerned by providing the draft IAR and requesting its review and comments. The aim of the consultation is to identify any inaccuracies and clarify any ambiguities in the draft IAR. The RSA submits its comments via email to ITL-Administrator@unfccc.int⁶ using the Consultation template contained in Appendix B.1. Unless otherwise agreed with the ITL Administrator, comments are to be provided within a maximum of 5 working days of receipt of the draft IAR from the ITL Administrator.

The ITL Administrator replies to the comments by adding responses to the submitted template, indicating action points or further justifications as appropriate, and returning the amended template to the RSA by email. Responses are to be normally provided within a maximum of 5 working days of receipt of the comments from the RSA.

The RSA returns the template to the ITL Administrator by email to indicate that it has received the response from the ITL Administrator. If the RSA wishes to comment further, it may complete the final comments field in the Consultation template and return it to the ITL Administrator. The RSA may wish to further specify that its final comments be included in the final comments section of the Summary Sheet for the information of the ERT. Unless otherwise agreed with the ITL Administrator, final comments are to be normally provided within a maximum of 5 working days of receipt of the responses from the ITL Administrator.

2.3.4 Finalization

The ITL Administrator finalises the IAR by making amendments arising from the consultation with the RSA or ensuring that final comments made by the RSA are included in the Summary Sheet, as appropriate.

2.3.5 Issuance

⁶ This email account should only be used for the initial IAR.

The ITL Administrator issues the IAR by making it available to the RSA concerned. The ITL Administrator also makes the IAR available on the UNFCCC website and to Expert Review Teams under Article 8 of the Kyoto Protocol.

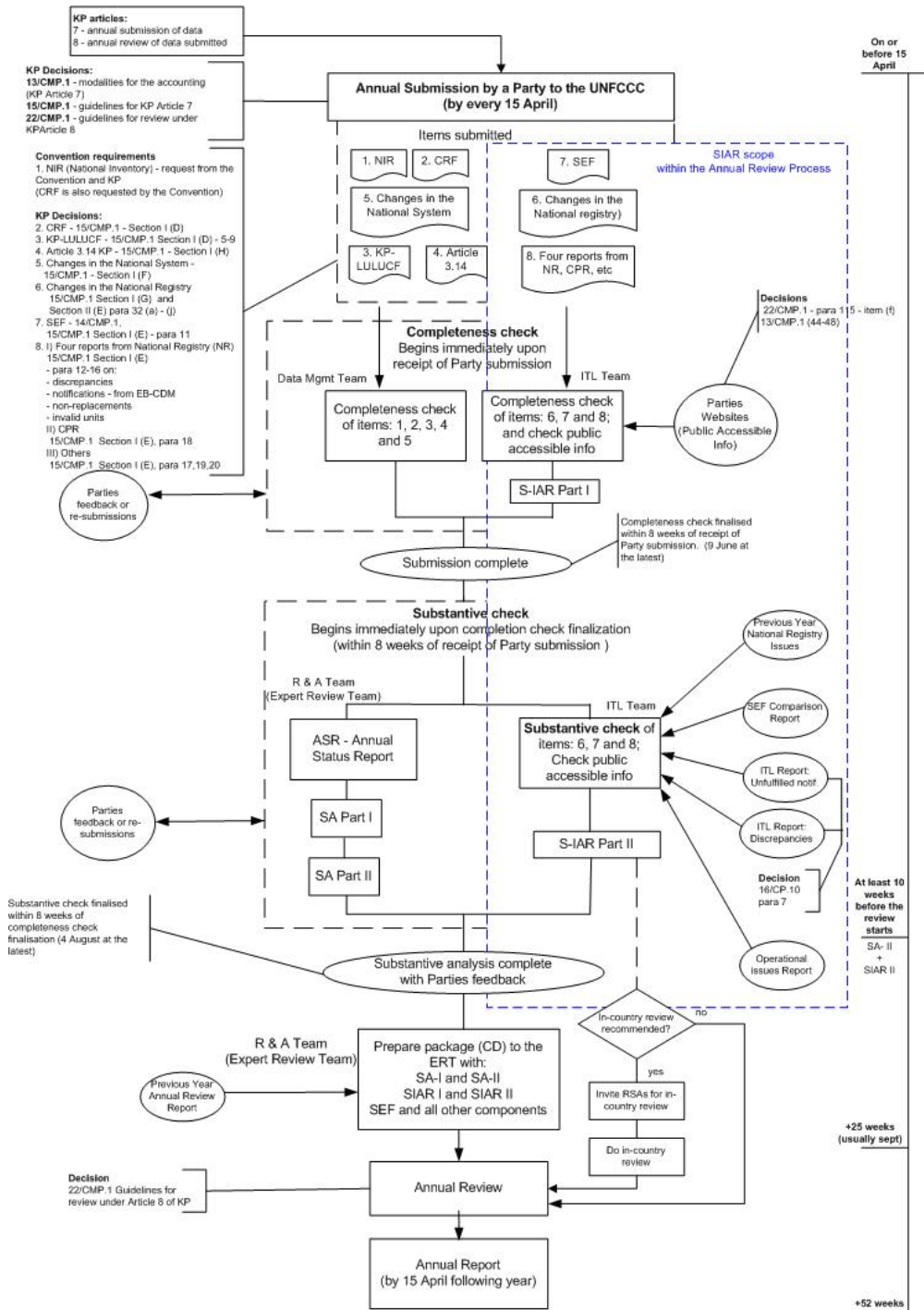
3. Standard IAR (SIAR)

The Standard IAR procedure is a common operational procedure that is aligned to the Annual Review process. It gives further guidance to Parties on the information required for the annual submission and outlines the procedure for assessing the submission completeness, significant changes and problems with the Party's national registry for the consideration of the Annual Expert Review Team.

3.1 The SIAR within the Annual Review Process

3.1.1 Annual Review Process Context

The following diagram gives an overview of the annual review process with a particular focus of the SIAR operational procedure within the annual review.



3.1.2 Items Submitted to the Annual Review Process

Annex I Parties are required under the Convention to submit a national inventory each year. Under the Protocol, supplementary information is submitted with the national inventory⁷. This information is the primary input from Parties to the annual review process. The items that form part of this annual submission are:

1. National inventory report (NIR), part of the annual inventory.
2. Common reporting format (CRF), part of the annual inventory.
3. LULUCF related "Greenhouse gas inventory information" as per paragraphs 5 to 9 of section I of the annex to 15/CMP.1).
4. Information regarding the minimization of adverse impacts in accordance with Article 3, paragraph 14, as per section I.H of the annex to decision 15/CMP.1
5. Changes in national systems in accordance with Article 5, paragraph 1, as per section I.F of the annex to decision 15/CMP.1
6. Changes in national registries in accordance, as per section I.G of the annex to decision 15/CMP.1.
7. SEF, the Standard electronic format for reporting Kyoto Protocol units, as per decision 14/CMP.1 and decision 15/CMP.1 section I.E.
8. Reports on discrepancies, notifications, replacements, commitment period reserve calculation, as detailed in paragraphs 12 to 20 of the Section I.E of the annex to decision 15/CMP.1

Only three of the items above, items 6, 7 & 8, are inputs in to the SIAR process.

3.1.3 Completeness Check

The first step is to check the completeness of the annual submission. The purpose of the completeness check is to ensure the Party's annual submission has reported the required information for its national registry pursuant to 15/CMP.1.

In accordance with the Article 8 review guidelines, the responsibility to review the completeness of an annual submission vests with the expert review team (ERT). For this undertaking, the ERT will have at its disposal information (a completed SIAR Part 1 template) prepared by the External Assessor and subsequently reviewed by the ITL Administrator and by the UNFCCC review and analysis (R&A) team. The UNFCCC R&A team will provide this information including the completed substantive check (SIAR Part 2 template) to the ERT, along with other materials, and subject to Article 8 expert review.

This first step also checks the availability of public information, required by paragraphs 44 to 48 of decision 13/CMP.1.

The results of this step is the SIAR Part 1 report which has a check list and marking for all the required elements of submission for a national registry plus required public information.

The SIAR Part 1 is submitted to Parties for comments.

3.1.4 Substantive Check

The second step is to perform assessment of the annual submission elements 6, 7 and 8. The purpose of the assessment is to:

1. Identify any problems with the national registry based on the Party's annual submission and transaction log records that may affect the performance of the functions of the national registry contained in the annex to decision 22/CMP.1.

⁷ See paragraph 2 of decision 15/CMP.1.

2. Identify any significant changes in the national registry reported by the Party that may affect the performance of the functions of the national registry contained in the annex to decision 13/CMP.1, the annex to decision 15/CMP.1 and the adherence to the technical standards for data exchange between registry systems in accordance with relevant COP/MOP decisions.
3. Identify any recommendation from the ERT or compliance committee decisions that were not fully addressed from the previous annual review.

In accordance with the Article 8 review guidelines, the responsibility to review the substance of an annual submission vests with the ERT. For this undertaking, the ERT will have at its disposal information (a completed SIAR Part 2 template) prepared by the External Assessor and subsequently reviewed by the ITL Administrator and by the UNFCCC R&A team. The External Assessor assesses information provided as part of the annual submission, and also draw on information reported by the ITL and recommendations from the previous annual reviews. The UNFCCC R&A team will provide this information including the completed completeness check (SIAR Part 1 template) to the ERT, along with other materials, and subject to Article 8 expert review.

The SIAR Part 2 is submitted to Parties for comments.

3.1.5 Annual Review

The results of the completeness check (SIAR Part 1) and the substantive check (SIAR Part 2) form part of the package of information that is submitted to the ERTs. The SIAR Part 1 and 2 must be completed no later than 4 August of the year in which the review is taking place. See Section 3.4.14 below for an overview of the SIAR process timeline.

The package submitted to the ERT contains Party's submission, national registry documentation including SIAR Parts 1 and 2 and supporting documents, in addition to inventory documentation including Synthesis and Assessment (SA) Parts 1 and 2 and supporting documents. This package must be delivered at least ten weeks before the annual review commences. The guidelines for the review process are in decision 22/CMP.1.

3.1.6 Annual Report

The ERTs, supported by the secretariat, conduct the annual review.

The product of the annual review, after a review and comment cycle, is the annual report. The annual report may contain recommendations for the national registry in order to address issues found during the review.

3.1.7 Annual Review Timelines

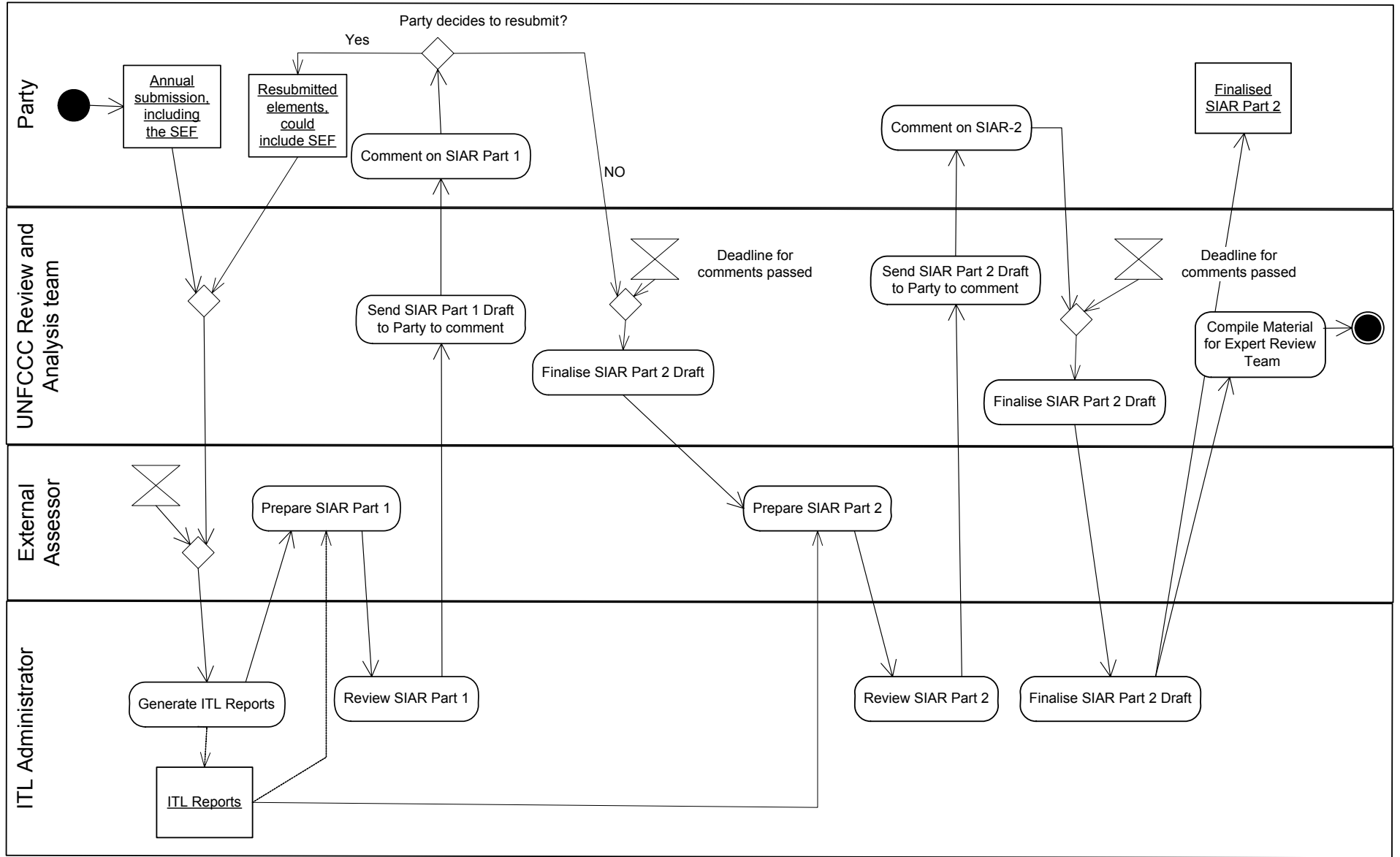
Key milestones in the annual review process that are shown in the context diagram appear below. A complete picture of the SIAR timeline can be found in Section 3.4.14 below.

- The annual submission by Parties of national inventory and supplementary information must be received no later than 15 April of the year following the reported year
- The SIAR Part 1 report must be completed within 8 weeks of receipt of the Party's submission. (If the submission is received on 15 April, the SIAR Part 1 report must be completed by 9 June)
- The SIAR Part 2 report must be completed within 8 weeks of completion of the Party's SIAR Part 1. (If the SIAR Part 1 is completed on 9 June, the SIAR Part 2 report must be completed by 4 August)
- The annual review needs to conclude within one year of the due date for submission, i.e. by 15 April of the following year

The annual reviews are normally planned to take place starting from September each year

3.2 The Standard IAR Process Overview

The following diagram gives an overview of this process. The abbreviations used in the diagram are explained in the following sub-sections.



3.3 Roles

3.3.1 ITL Administrator

The ITL Administrator is responsible for coordinating the independent assessment process and undertaking the preparation, finalisation and issuance of the IAR.

3.3.2 External Assessor

The term “External Assessor” refers to a team put in place by the secretariat for the purpose of making the assessments of the SIAR as outlined in this procedure.

This work is undertaken in the context of the External Assessor’s services to the ITL Administrator and is outside the scope of this procedure. However, the External Assessor may be required to clarify information in relation to the reports.

3.3.3 UNFCCC Review and Analysis Team

The Review and Analysis (R&A) team manages the implementation of the Kyoto Article 8 review guidelines. This role includes analysis of submissions received from Parties under Article 7 of the Kyoto Protocol; preparation of materials and analysis reports for carriage of the expert review; and coordinate the expert review process and its procedures and required deliverables.

3.3.4 Party

Parties being assessed submit the annual submission and any supplementary information by 15 April each year.

Parties may submit their National Registry SEF report earlier in the year to the ITL Administrator in order to allow the Party for early view of the SEF comparison data with the ITL.

Parties have the opportunity to review and comment on the SIAR parts 1 and 2 reports after they have been drafted but before they have been issued to the ERT.

3.4 Process Steps

3.4.1 Annual Submission

The annual submission by a Party is made on or before 15 April of the year following the reported year. The submission is made to UNFCCC secretariat. The information relevant to the independent assessment is routed to the ITL team.

3.4.2. Generate ITL Reports

The ITL Administrator generates the ITL reports that are used in preparing the SIAR Part 2 report. These reports are generated by 1 February of the year following the report year. Parties who wish to view the ITL reports before the final submission due date may send a SEF submission on or after 1 February each year.

3.4.3 Prepare SIAR Part 1 Draft

The External Assessor prepares the SIAR Part 1 report using the SIAR Part 1 template following SIAR Part 1 guidelines, see appendices for cross-references to these documents. The completed SIAR Part 1 is sent to the ITL Administrator for review.

3.4.4 Review SIAR Part 1 Draft

The ITL Administrator reviews the completed SIAR Part 1 template prepared by the External Assessor. If satisfactory, it is delivered to the R&A team, otherwise it is returned to the External Assessor for further clarification of contents of the SIAR Part 1.

3.4.5 Send SIAR Part 1 Draft to Party for Comment

The R&A team sends the SIAR Part 1 report draft with the annual status report under the Kyoto Protocol (ASR-KP) to the Party for comment, and possibly resubmission of some or all elements.

The draft SIAR Part 1 should be sent to the Party for comment within 4 weeks after the submission date.

3.4.6 Comment on SIAR Part 1 Draft

Party may choose to resubmit all or part of its annual submission (through the submission portal) and also to make comments on the documents it has received. The Party sends its comments by email.

The Party must provide comments or resubmissions within 2 weeks of receiving the SIAR Part 1 draft.

3.4.7 Finalise SIAR Part 1 Report

The UNFCCC R&A team assesses comments submitted by the Party on the draft SIAR Part 1, engaging the appropriate experts where necessary, and identifies actions or next steps that are to be undertaken in this process. The draft SIAR Part 1 pertains to the 'completeness' of the submission by the Party, and it must be acknowledged that the Party's response to this draft could be forwarded to the ERT (i.e., form part of the package sent to the ERT).

The UNFCCC R&A team must finalise the SIAR Part 1 report within 2 weeks of receiving comments or resubmissions from the Party.

3.4.8 Prepare SIAR Part 2 Draft

The preparation of the SIAR Part 2 report takes place after the SIAR Part 1 report is finalised. The External Assessor prepares the SIAR Part 2 using the SIAR Part 2 template and follows SIAR Part 2 guidelines. The completed SIAR Part 2 report is sent to the ITL Administrator for review.

3.4.9 Review SIAR Part 2 Draft

The ITL Administrator reviews the completed SIAR Part 2 report prepared by the External Assessor. If satisfactory it is sent on to the R&A team, otherwise it is returned to the External Assessor for further clarification.

3.4.10 Send SIAR Part 2 Draft to Party for Comment

The UNFCCC R&A team sends the SIAR Part 2 draft to the Party for the Party's comment.

The draft SIAR Part 2 should be sent to the Party for comment within 4 weeks of the completion of the SIAR Part 1 report.

3.4.11 Comment on SIAR Part 2 Draft

The Party may elect to submit comment on the findings and conclusions and recommendations of the SIAR Part 2. The Party must submit any comments or resubmissions within 2 weeks of receiving the SIAR Part 2 draft. If the comments arrive after the material has been compiled for the expert review team (see 3.4.13 below) they will be forwarded to the ERT.

3.4.12 Finalise SIAR Part 2 Report

The ITL Administrator is to review comments submitted by the Party on the draft SIAR Part 2, and if required, apply amendment(s) in response to the review of these comments. The ITL Administrator is to then forward the final SIAR Part 2 to the R&A team for final check and review.

The R&A team assesses comments submitted by the Party on the draft SIAR Part 2, engaging the appropriate experts where necessary, and identifies actions or next steps that are to be undertaken in this process, namely whether a resource from the RSA Forum is required for the expert review of a given Party's submission. The draft SIAR Part 2 pertains to the 'substantive review' of issues identified by the Party or the ITL Administrator, with clear advice on whether a resource from RSA Forum is required to review the issue in the context of Article 8, or an alternative option is required. The R&A team will also send the SIAR Part 2 to the ERT.

The UNFCCC R&A team must finalise the SIAR Part 2 report within 2 weeks of receiving comments or resubmissions from the Party.

3.4.13 Compile Material for ERT and Check if NR Review is Required

The R&A team packages SIAR Parts 1 and 2, Party's submission, Party's comments and the ITL reports and sends to the ERT prior to the annual review.

The compiled material is sent to the ERT at least 7 weeks before the annual review takes place and a copy of the SIAR Parts 1 and 2 is forwarded to the Party.

3.4.14 SIAR Timeline

The following table summarizes the timelines described in the process.

| Deliverable | Responsible | Planned Due Date⁸ | Latest Possible Due Date⁹ |
|---|--------------------|---|---|
| Party submission, ITL report generation, and SEF comparison | | | |
| ITL Reports | UNFCCC (internal) | 1-Feb | 1-Feb |
| Annual submission by Party [via UNFCCC submission portal] | Party | 15-Apr | 15-Apr |
| SEF submission | Party | From 1-Feb to 15-Apr | 15-Apr |
| Annual submission and SEF available to assessor | ITL Administrator | As soon as available | 15-Apr |
| SEF comparison report and ITL reports to Party (and assessor) | ITL Administrator | Within 2 weeks of receiving SEF submission | 28-Apr |
| SIAR Part 1 assessment | | | |
| SIAR Part 1 draft [submitted to ITL Administrator via JIRA] | Assessor | Within 2 weeks of receiving Party submission | 28-Apr |
| SIAR Part 1 draft (reviewed) [submitted to Party via email] | UNFCCC R&A Team | Within 2 weeks of Part 1 draft completion | 12-May |
| Party comments on Part 1 draft [submitted to UNFCCC via email] | Party | Within 2 weeks of Party receipt of Part 1 draft | 26-May |
| SIAR Part 1 final version (including comments) [submitted to ITL Administrator via JIRA] | Assessor | Within 2 weeks of receipt of Party comments | 9-Jun |
| SIAR Part 2 assessment | | | |
| SIAR Part 2 draft [submitted to ITL Administrator via JIRA] | Assessor | Within 2 weeks of SIAR Part 1 completion | 23-Jun |
| SIAR Part 2 draft (reviewed) [submitted to Party via email] | UNFCCC R&A Team | Within 2 weeks of Part 2 draft completion | 7-Jul |
| Party comments on Part 2 draft [submitted to UNFCCC via email] | Party | Within 2 weeks of Party receipt of Part 2 draft | 21-Jul |
| SIAR Part 2 final version (including comments) [submitted to ITL Administrator via JIRA] | Assessor | Within 2 weeks of receipt of Party comments | 4-Aug |
| Final assessment reports | | | |
| SIAR Parts 1 and 2 final reports | ITL Administrator | As soon as SIAR Part 1 and Part 2 are complete | 4-Aug |

⁸ The 'Planned Due Date' is the actual date, or date relative to a prior deliverable date, by which each SIAR process deliverable is expected to be completed and delivered.

⁹ The 'Latest Possible Due Date' is the latest date by which each SIAR process deliverable is expected. This date assumes that the full time allowable is taken for each deliverable relative to its preceding deliverable. The latest possible due date is achievable only if parties adhere to their respective due dates in the timeline.

Appendix A – IAR Templates, Guidelines and Reporting Requirements

A.1 Summary Sheet Template

Summary Sheet Template
(see separate file, IAR App A1 - Summary v1.0.pdf)

A.2 Initialization Template

Initialization Template
(see separate file, IAR App A2 - Initialization v1.0.pdf)

A.3 Standard IAR Templates, Guidelines, and Reporting Requirements

1. SIAR Assessment Guidance
(see separate file, SIAR Assessment Guidance v4.0.pdf)
2. SIAR Part 1 Assessment Report Template
(see separate file, SIAR Part 1 Assessment Report Template v4.0.pdf)
3. SIAR Consultation Form on Draft Part 1
(see separate file, SIAR Consultation Form on Draft Part 1.doc)
4. SIAR Part 2 Assessment Report Template
(see separate file, SIAR Part 2 Assessment Report Template v4.0.pdf)
5. SIAR Consultation Form on Draft Part 2
(see separate file, SIAR Consultation Form on Draft Part 2.doc)
6. SIAR Publicly Available Information Guidance
(see separate file, SIAR Publicly Available Information Guidance v4.0.pdf)
7. SIAR Reporting Requirements and Guidance for Registries
(see separate file, SIAR Reporting Requirements and Guidance for Registries v4.0.pdf)
8. SIAR Reporting Requirements for ITL
(see separate file, SIAR Reporting Requirements for ITL v4.0.pdf)
9. SIAR Conflict of interest and confidentiality policy
(see separate file, SIAR COI - Confidentiality v4.0.doc)

Appendix B – RSA Consultation Template

B.1 RSA Consultation Template

RSA Consultation (see separate file, IAR App B1 - RSA consultation v1.0.pdf)

Appendix C Glossary and Abbreviations Used

C.1 Glossary

| Term | Definition |
|---------------------------------------|--|
| Annex H of the DES | The annex of the DES defining the initialization tests that a registry must pass as part of the initialization process. |
| CDM Registry | The registry established by the Executive Board of the Clean Development Mechanism and implemented by the UNFCCC secretariat. |
| Community Independent Transaction Log | The supplementary transaction log (STL) operated by the European Commission for the European Union Emissions Trading Scheme. |
| Connectivity Evaluation | Part of the initialization process that tests whether a registry can connect successfully with the ITL. |
| Consolidated Systems | Registry systems which share system infrastructure. |
| Data Exchange Standards | This is shorthand for the “Data Exchange Standards For Registry Systems Under The Kyoto Protocol Technical Specifications”, commonly known as the DES. The technical specification is part of the technical standards for data exchange between registry systems, see paragraph 3(c) of the annex to 24/CP.8 for its context as part of the whole. |
| Document Evaluation | Part of the initialization process that assesses the documentation submitted to the ITL Administrator. |
| Expert Review Team | A team of experts coordinated by the secretariat and selected from those nominated by Parties to the Convention and, as appropriate, by intergovernmental organizations for the purpose of reviews under Article 8 of the Kyoto Protocol. |
| Final Comments | The final comments made by a RSA on the draft IAR after having received responses from the ITL Administrator on earlier comments. |
| IAR | Independent Assessment Report. |
| Initial IAR | The first IAR carried out on a registry when it is initialized with the ITL. Subsequent registry re-certifications are reported in Standard IARs. |
| Initialization | The process by which a registry is formally tested by the ITL Administrator for conformity to the DES. |
| International Transaction Log | The system established under the Kyoto Protocol to monitor the validity of transactions between Parties. It is implemented by the UNFCCC secretariat. |
| ITL Administrator | The Administrator of the ITL. It is a role assigned to the UNFCCC secretariat. |
| External Assessor | The service provider that operates the ITL on behalf of the ITL Administrator. |
| N/A | Not Applicable. |
| National Registry | A registry established by an Annex B Party to the Kyoto Protocol. |
| Operational Performance | The performance of a registry in live operation with the international transaction log. |
| Reporting Period | The period of time covered by an IAR. |
| Registry System Administrator | A person representing the organization designated by a Party as its registry administrator, see paragraph 18 of the annex to decision 13/CMP.1. |
| Standard Electronic Format | An electronic format defined for Annex B Parties to the Kyoto Protocol to report their assigned amount holdings and transactions. |
| SSL | Secure Socket Layer. A standard used to establish encrypted communications. |

| Term | Definition |
|--|---|
| Standard IAR | All IARs subsequent to a successful Initial IAR. |
| Supplementary Transaction Log | A registry system established in order to facilitate regional greenhouse gas emissions trading schemes, which is additional to those referred to in decision 19/CP.7 and consistent with the modalities for the accounting of assigned amounts under Article 7, paragraph 4, of the Kyoto Protocol. |
| Technical standards for data exchange between registry systems | The standards comprise three documents whose relationship is described in paragraph 3 of the annex to 24/CP.8 "Technical standards for data exchange between registry systems under the Kyoto Protocol." |

C.2 Abbreviations

| Abbreviation | Term |
|---------------------|---------------------------------------|
| CDM | Clean Development Mechanism |
| CITL | Community Independent Transaction Log |
| DES | Date Exchange Standards |
| ERT | Expert Review Team |
| IAR | Independent Assessment Report |
| ITL | International Transaction Log |
| N/A | Not Applicable |
| NR | National Registry |
| RSA | Registry System Administrator |
| SEF | Standard Electronic Format |
| SSL | Secure Sockets Layer |
| STL | Supplementary Transaction Log |

Appendix D – Process Diagram Notation

The following notation is used in process flow diagrams in this procedure:

