



Independent assessment report of the national registry of the Netherlands

| | | | |
|--------------------------|-------------------------|--------|---------|
| Reference | Reg_IAR_NL_2007_1 | | |
| Security classification: | Public | | |
| Version number: | v1.0 | State: | Final |
| Prepared by: | Anthony Mak/UNFCCC | Date: | 19/9/07 |
| Reviewed by: | Andrew Howard/UNFCCC | Date: | 19/9/07 |
| Approved by: | Vitaly Matsarski/UNFCCC | Date: | 19/9/07 |

Circulation list

| Name/Role | Organization | Info/Action |
|--|--------------------------------------|-------------|
| RSA | National registry of the Netherlands | Info |
| Expert Review Team for the Netherlands | UNFCCC | Action |

Document change record

| Version | Date | Description | Affected sections |
|---------|---------|-------------|-------------------|
| v1.0a | 18/9/07 | First draft | All |
| v1.0 | 19/9/07 | Final | Summary |

Decision

This Independent Assessment Report (IAR) has been prepared by the International Transaction Log (ITL) Administrator. This IAR includes the following Addenda:

- Addendum 1: Initialization 1
- Addendum 2: Glossary



FRAMEWORK CONVENTION ON CLIMATE CHANGE – Secretariat
CONVENTION - CADRE SUR LES CHANGEMENTS CLIMATIQUES – Secrétariat

| IAR SUMMARY | | | | | | | |
|------------------------------------|---|--|---|---|---|--|--|
| General information | Registry Name | National registry of the Netherlands | | | | | |
| | Date of report | 19/9/07 | Reporting period | N/A | | | |
| | IAR Type | Standard IAR <input type="checkbox"/> | Initial IAR <input checked="" type="checkbox"/> | | | | |
| | Components | Initialization Required <input checked="" type="checkbox"/> | Operational Performance Required <input type="checkbox"/> | Public Availability of Information Required <input type="checkbox"/> | | | |
| | Registry URL | http://www.emissieautoriteit.nl/english http://www.emissieautoriteit.nl/english/co2-emissions-trading-registry/login | | | | | |
| | Consolidated system with other Parties? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Parties involved | | | |
| Overall Registry Assessment | Conclusion | Pass <input checked="" type="checkbox"/> | Fail <input type="checkbox"/> | | | | |
| | Comments / recommendations | The registry has fulfilled all of its obligations regarding conformity with the Data Exchange Standards. These obligations include having adequate transaction procedures; adequate security measures to prevent and resolve unauthorized manipulations; and adequate measures for data storage and registry recovery. The registry is therefore deemed fully compliant with the registry requirements defined in decisions 13/CMP.1 and 5/CMP.1, noting that registries do not have obligations regarding Operational Performance or Public Availability of Information prior to the operational phase. | | | | | |
| Initialization | Conclusion | Pass <input checked="" type="checkbox"/> | Fail <input type="checkbox"/> | N/A <input type="checkbox"/> | | | |
| | Initializations during reporting period | 1 | 2 | 3 | | | |
| | Initialization status | Pass <input checked="" type="checkbox"/> Fail <input type="checkbox"/> N/A <input type="checkbox"/> | Pass <input checked="" type="checkbox"/> Fail <input type="checkbox"/> N/A <input type="checkbox"/> | Pass <input checked="" type="checkbox"/> Fail <input type="checkbox"/> N/A <input type="checkbox"/> | | | |
| | Start Date | 27/3/07 | | | | | |
| | End Date | 9/8/07 | | | | | |
| | Comments / recommendations | | | | | | |
| Operational Performance | Conclusion | Pass <input checked="" type="checkbox"/> | Fail <input type="checkbox"/> | N/A <input type="checkbox"/> | | | |
| | Comments / recommendations | | | | | | |
| Public Availability of Information | Conclusion | Complete <input checked="" type="checkbox"/> | Incomplete <input type="checkbox"/> | No data <input type="checkbox"/> | N/A <input checked="" type="checkbox"/> | | |
| | Main Web Address | | | | Date last accessed | | |
| | Comments / recommendations | | | | | | |






FRAMEWORK CONVENTION ON CLIMATE CHANGE – Secretariat
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|----------------------------------|-------------------|--------------|----------|------------------------------------|
| RSA Consultation on Draft IAR | Date of Review | 19/09/07 | | |
| | Author | Marc Alessie | Position | Director Dutch Emissions Authority |
| | Final Comments | None | | |

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Addendum 1

Initialization 1

| | | |
|----------------------------|--------------------------------------|---|
| Registry Name | National registry of the Netherlands | Pass  Fail  N/A  |
| Date of report | 19/9/07 | |
| Reporting Period | N/A | |
| Start Date | 27/3/07 | |
| End Date | 9/8/07 | |
| Comments / recommendations | | |

1 Documentation Evaluation

This evaluation was carried out by the ITL Operator under the initialization process and aggregated results have been transcribed here in full.

| | |
|-------------------------------|--|
| Status | Green  Amber  Red  N/A  |
| Total Score (max. 100) | 87% |
| Comments / recommendations | |

The scoring approach used to evaluate the registry documentation is to assess the confidence level associated with each document, based on quality (completeness / accuracy / consistency of information supplied) and evidence (actual results supporting information supplied, if appropriate). The approach is set out below (see the ITL Initialization Process documentation for further information).

| Status | Description | Score |
|---------------|---|--------------|
| Green | No significant concerns about the state of registry readiness are identified. | > 80 |
| Amber | Minor limitations in the state of registry readiness are identified. | 50 - 80 |
| Red | Significant concerns about the state of registry readiness are identified. | < 50 |

| Ref. | Test Description | Quality | Evidence | Confidence¹ |
|-------------|---|----------------|-----------------|-------------------------------|
| 1.1 | Database and Application Backup Detailed plan describing backup procedures for the production database and software. | 95% | 100% | 97% |
| 1.2 | Disaster Recovery Plan Plan designed to enable Registry to survive in the event of catastrophic failure or disruption of the host environment and to re-establish normal business operations as quickly as possible. | 95% | 78% | 90% |
| 1.3 | Security Plan Plan defined in order to protect the application and data from unrestricted and unsolicited use. | 100% | 78% | 93% |
| 1.4 | Application Logging Documentation Documentation describing registry capability to maintain database logs and activity logs, provided to demonstrate conformance with Section 7 of the Data Exchange Standards. | 89% | 76% | 80% |
| 1.5 | Time Validation Plan Specific procedures for validating server time on a periodic basis to allow successful data exchange. | 95% | 100% | 97% |
| 1.6 | Version Change Management Procedure providing a clear migration path to upgrade from version to version of registry software and database schemas. | 90% | 89% | 90% |
| 1.7 | Test Plan Plan ensuring a registry has performed basic testing and is capable of participating in the tests outlined in Annex H of the DES, which are required of a registry prior to being authorized to submit production transactions to the ITL. | 86% | 78% | 83% |
| 1.8 | Test Report Report providing evidence that a registry has performed basic testing and is capable of participating in the tests outlined in Annex H of the DES, which are required of a registry prior to being authorized to submit production transactions to the ITL. | 78% | 71% | 73% |
| 1.9 | Operational Plan Plan ensuring that the Registry has appropriately planned and staffed their operational requirements, so that the initial standards and requirements will be addressed on an ongoing basis. | 82% | 90% | 85% |

¹ Figures in this column were calculated using weighted averages for quality and evidence.

2 Connectivity Evaluation

This evaluation was carried out by the ITL Operator under the initialization process and the results have been transcribed here in full.

| | |
|----------------------------|---|
| Status | Pass <input checked="" type="checkbox"/> Fail <input type="checkbox"/> N/A <input type="checkbox"/> |
| Comments / recommendations | |

| <i>Ref.</i> | <i>Test Description</i> | <i>Pass</i> | <i>Fail</i> | <i>N/A</i> |
|-------------|---|-------------------------------------|--------------------------|--------------------------|
| 2.1 | Establish VPN connectivity between registry and ITL | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.2 | Establish SSL connection | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.3 | Establish basic Web service communication | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

3 Interoperability Evaluation

This evaluation was carried out by the ITL Operator under the initialization process and aggregated results have been transcribed here in full. In the below table, Reference 5 applies only to EU ETS member registries, and Reference 6 applies only to the CDM registry.

| | |
|----------------------------|---|
| Status | Pass <input checked="" type="checkbox"/> Fail <input type="checkbox"/> N/A <input type="checkbox"/> |
| Comments / recommendations | |

| <i>Ref.</i> | <i>Test Description</i> | <i>Pass</i> | <i>Fail</i> | <i>N/A</i> |
|-------------|--------------------------------------|-------------------------------------|--------------------------|--------------------------|
| 3. | Discrete Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.1 | Issuance | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.2 | Conversion | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.3 | External Transfer | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.4 | Cancellation | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.5 | Retirement | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.6 | Replacement | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.7 | Carry-over | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.8 | Expiry Date Change | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. | Test Cases (National Registry) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.1 | Issuance Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.2 | Conversion Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.3 | External Transfer Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.4 | Cancellation Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.5 | Expiry Date Change Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.6 | Retirement Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.7 | Replacement Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.8 | Carry-Over Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. | EU ETS Member Registry Test Cases | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.1 | Account Management Web Services | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.2 | Internal Transfer Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. | Test Cases (CDM Registry) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.1 | Issuance Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.2 | Internal Transfer Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.3 | External Transfer Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.4 | Cancellation Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.5 | Expiry Date Change Transaction Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.6 | Additional Tests | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

4 Initialization Recommendation (by ITL Operator)

| | |
|----------------|---|
| Recommendation | Yes <input type="radio"/> No <input type="radio"/> |
| Comments | |

5 Initialization Authorisation (by ITL Administrator)

| | |
|---------------|---|
| Authorization | Yes <input type="radio"/> No <input type="radio"/> |
| Comments | |

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Addendum 2

Glossary

| 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 |
| CITL | Community Independent Transaction Log. The 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 |
| DES | Data Exchange Standards |
| Document Evaluation | Part of the initialization process that assesses the documentation submitted to the ITL Administrator |
| ERT | Expert Review Team 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 for a registry when it initialises for the first time. Subsequent initializations are reported in Standard IARs. |
| Initialization | The process by which a registry is formally tested by the ITL Administrator for conformity with the DES |
| International Transaction Log (ITL) | 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 |
| ITL Operator | 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 I Party |
| Operational Performance | The performance of a registry during its operation |
| Reporting Period | The period of time covered by an IAR |
| RSA | Registry System Administrator |
| SEF | Standard Electronic Format, defined for the reporting by Annex B Parties to the Kyoto Protocol of their assigned amount holdings and transactions |
| SSL | Secure Socket Layer. A standard used to establish encrypted communications |
| Standard IAR | All IARs subsequent to a successful Initial IAR |
| Supplementary Transaction Log (STL) | An electronic database established for a Supplementary Trading Programme to monitor the validity of transactions between registries under that programme |