



UNFCCC ITL Administrator

**Common Operational Procedure:
Independent Assessment Report (IAR) Procedure**

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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 three types of independent assessment report that are used at different times in a registry's life-cycle. 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. The expedited initial IAR is identical to the initial IAR but limited to eligible parties. 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 or Expedited Initial IAR (prior to live operation)
- Standard IAR (during live operation)

1.7.1 Expedited Initial IAR

An expedited initial IAR is established for Parties whose eligibility has not yet been established⁶, prior to such Parties demonstrating the fulfilment of all of the requirements set out in paragraph 2 of the annex to decision 11/CMP.1. This expedited initial IAR is for these referenced Parties who submit a report on the establishment of their national registry by 30 June 2015. The Expedited Initial IAR is identical to the Initial IAR previously established in purpose, requirements and process.

1.7.1 Initial IAR (initialization)

⁶ See paragraph 3 CMP.9 Modalities for expediting the establishment of eligibility for parties..

The initial IAR is prepared once for each registry on the basis of results from the original initialization process undergone by a registry). 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.

1.7.3 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

The UNFCCC Secretariat expects that all SIAR assessments and reassessments 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.

2. Initial IAR & Expedited Initial IAR

2.1 Process Overview

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

2.1.1 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. References to the initialization process and associated documentation can be found in 2.3.2.1 Initialization and Appendix A2.

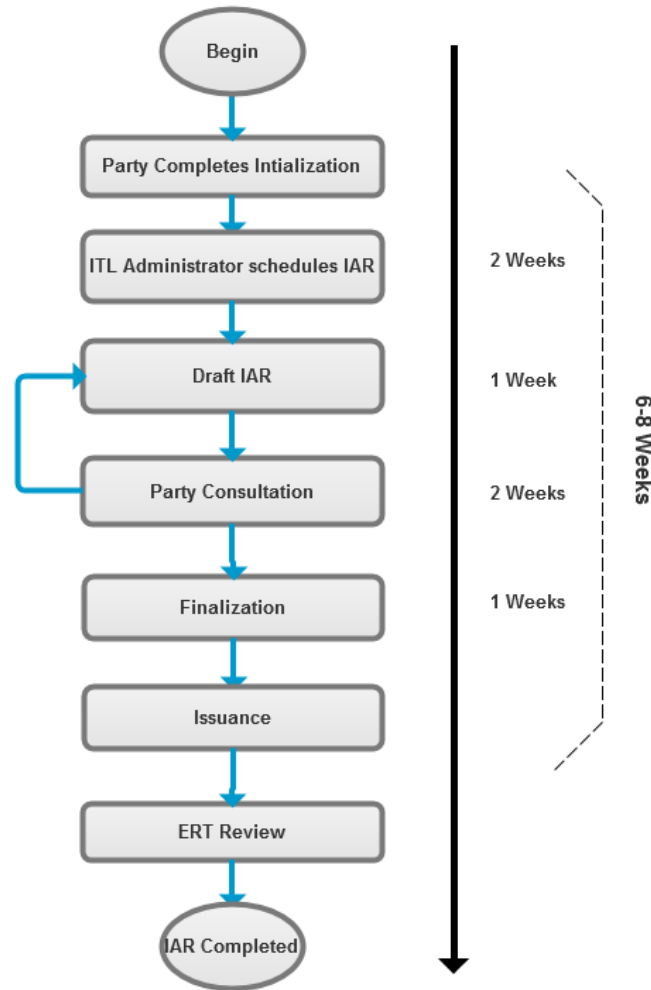
2.1.1.2 Initialization Outputs

- Document Submission Evaluation
- Connectivity Evaluation
- Interoperability Evaluation
- Overall Recommendations

2.1.2 Initial & Expedited IAR Lifecycle

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

The following diagram gives a simplified overview of the initial IAR process described above.



Request for Initialization – The Registry requests to start operations with the ITL and completes initialization.

Initialization – The ITL Administrator coordinates initialization with an External Assessor and determines appropriate schedules with the ITL for Connectivity and Interoperability Evaluation. The output will be used for the IAR.

Scheduling – The ITL Administrator prepares a schedule of when the initial IAR for a 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 IAR Review Timelines

Key milestones in the annual review process appear below.

- Following a request for initialization, the IAR review process should be completed within (6 to 8) weeks.
- Drafting of the IAR is expected to be completed within 1 week once it is scheduled
- Consultation regarding the draft IAR will be completed in 5-day cycles with the Party with a total duration estimated at 2 weeks.
- 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.

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.

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.

For the expedited initial IAR, the process begins upon submission of a report on the establishment of its national registry by the Party. This report should be received by the ITL Administrator prior to 30 June 2015.⁷

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 and the Initialization information template (see Appendix A.1)

2.3.2.1 Initialization

This part of the initial IAR 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 within the summary sheet 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.int⁸ 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.

⁷ Paragraph 2 CMP.9

⁸ This email account should only be used for the initial IAR or expedited initial IAR.

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

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 SIAR Key Elements

3.1.1 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 inventory⁹. 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.**

⁹ See paragraph 2 of decision 15/CMP.1.

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 3 of the items above, items 6, 7, & 8 are inputs in to the SIAR process. Items 6 and 8 are commonly reported as sub sections within the NIR.

3.1.2 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. 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.

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 report) prepared by the External Assessor and subsequently reviewed by the ITL Administrator and by the UNFCCC Mitigation and Data Analysis (MDA) team. The UNFCCC MDA team will provide this information including the completed substantive check (SIAR Part 2 report) to the ERT, along with other materials, and subject to Article 8 expert review.

3.1.3 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.
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.

After the internal review process is completed, the SIAR Part 1 and art 2 versions 1.0 draft reports are submitted to Parties for review and consultation. .

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 report) prepared by the External Assessor and subsequently reviewed by the ITL Administrator and by the UNFCCC MDA 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 MDA team will provide this information including the completed completeness check (SIAR Part 1 report) to the ERT, along with other materials, and subject to Article 8 expert review.

3.1.4 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 3.3 below for an overview of the SIAR process timeline.

The package submitted to the ERT contains Party's submission, national registry documentation including SIAR Part 1 and Part 2, inventory documentation, and other supporting documents. The guidelines for the review process are in decision 22/CMP.1.

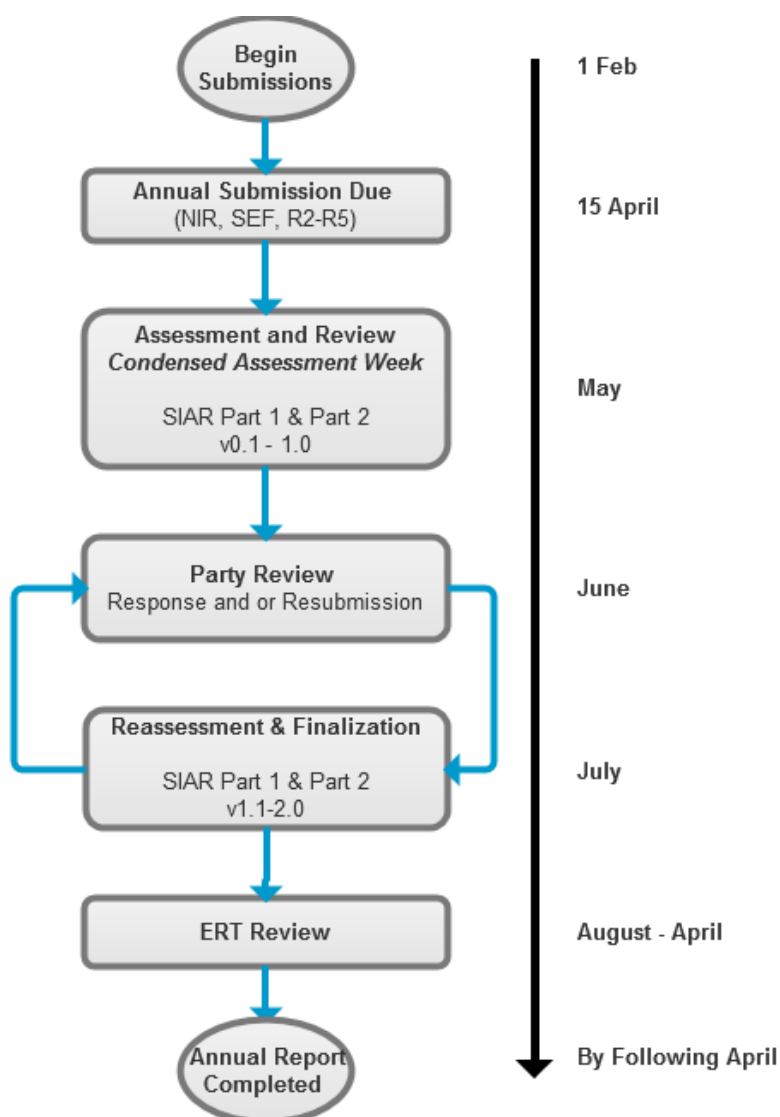
3.1.5 Annual Report

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.

3.2 The SIAR Cycle Overview

The following diagram gives an simplified overview of the SIAR process. Beginning with the 2014 review cycle, SIAR Part 1 and Part 2 will be drafted, reviewed, and published together for all Parties.



3.3 Timelines

3.3.1 Annual Review Timelines

Key milestones in the annual review process appear 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 and Part 2 draft reports must be completed and returned to the Party within 8 weeks of receipt of the Party's submission. The drafting and review process must be completed by 9 June. This process will be completed for all parties during a condensed assessment week (CAW) to be held in May of each year.
- Party consultation responses to SIAR Part 1 and Part 2 reports must be completed within 4 weeks of receipt of the initial draft SIAR Part 1 and Part 2 reports from the ITL administrator.
- The Final SIAR Part 1 and Part 2 reports must be completed by early August
- Promptly after completion the final reports (version 2.0) are sent to the Parties for their records and are made available to the Mitigation and Data Analysis Programme for use during the review process under Article 8.
- The annual review needs to conclude within one year of the due date for submission, i.e. by 15 April of the following year with annual reports published at that time. The annual reviews are normally planned to take place starting from September each year.

3.3.2 SIAR Timeline

The following table summarizes the timelines describes in the process based upon an initial annual submission received no later than 15 April.

Deliverable	Responsible	Planned Due Date¹⁰	Latest Possible Due Date¹¹
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 & 2 assessments			
SIAR Part 1 draft v.1.0 [submitted to ITL Administrator via JIRA]	Assessor	Within 8 weeks of receiving Party submission (May)	10-Jun
SIAR Part 2 draft v.1.0[submitted to ITL Administrator via JIRA]	Assessor	Within 8 weeks of receiving Party submission (May)	10-Jun
SIAR Part 1 draft (reviewed) [submitted to Party via email]	ITL Administrator	Within 8 weeks of receiving Party submission (May)	10-Jun
SIAR Part 2 draft (reviewed) [submitted to Party via email]	ITL Administrator	Within 8 weeks of receiving Party submission (May)	10-Jun
Party comments on Part 1 and Part 2 drafts [submitted to UNFCCC SIAR Assessment via email]	Party	Within 4 weeks of Party receipt of Part 1 draft	8-Jul
SIAR Part 1 final version v2.0 (including comments) [submitted to ITL Administrator via JIRA]	Assessor & Reviewer	Within 4 weeks of receipt of Party comments	5-Aug
SIAR Part 2 final version v.2.0 (including comments) [submitted to ITL Administrator via JIRA]	Assessor & Reviewer	Within 4 weeks of receipt of Party comments	5-Aug
Final assessment reports			
SIAR Parts 1 and 2 final reports distributed to Parties and MDA and published on UNFCCC.int	ITL Administrator	As soon as SIAR Part 1 and Part 2 are complete	5-Aug

¹⁰ 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.

¹¹ 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.

3.4 Roles

3.4.1 ITL Administrator

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

3.4.2 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. The external assessors are intended to be RSAs selected to perform the assessment of another party. Within the current framework there are lead assessors and peer assessors.

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.

3.4.2.1 Lead Assessor

The lead assessor is the primary assessor for the SIAR Part 1 and Part 2 Reports of a Party that they are assigned to assess. Each assessor has been asked to decline the review of any party with which they have a conflict of interest. The assessor’s name will appear on the report and he or she is responsible for the completion of the assessment reports and for reassessments. This assignment is proposed by the ITL administrator and accepted by the lead assessor. The lead assessor should be independent of the interests of the Registry System Administrator (RSA) whose registry is being assessed.

3.4.2.1 Peer Assessor (Collaborator)

The peer assessor is an assessor who collaborates on the assessment. This collaboration is intended to occur during the condensed assessment week but the role is not confined to the CAW. While this assessor may provide content for the assessment report the collaborators name does not appear on the assessment report. Therefore, it is the responsibility of the lead assessor to review and confirm all findings within the report. The peer assessor should be independent of the interests of the Registry System Administrator (RSA) whose registry is being assessed.

3.4.3 UNFCCC Mitigation and Data Analysis Team (MDA)

The Mitigation and Data Analysis 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 management of the expert review; and coordinate the expert review process and its procedures and required deliverables.

3.4.4 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 Part 2 reports after they have been drafted but before they have been issued to the ERT.

3.5 SIAR Process

Process steps have been amended following the successful 2013 Condensed Assessment Week (CAW) and apply to all parties beginning with the assessment cycle conducted in 2014.

The objective of this adaptation to the SIAR process is to streamline the review process in light of increased commonalities among 29 of the 38 registries requiring review as a result of the CSEUR implementation. Starting with the 2014, this process was available to all registries, not just limited to the CSEUR registries. The primary change in this process is that the vast majority of Part 1 and Part 2 assessment reports are drafted and reviewed in a week long collaborative review process that involves RSAs, Reviewers and UNFCCC staff. Additionally the party consultation period has been reorded to allow for a grouping of Part 1 and Part 2 assessments to be sent out together for Party response. This reordering and grouping will also facilitate consolidated review followed by distributed reassessments. This process also amends current reporting requirements to permit a common submission of required readiness documentation by CSEUR parties. It is foreseen that relevant documentation of annual registry changes will be compiled by the European Registry Administrator and distributed to member states for inclusion in their annual submissions.

3.5.1 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 via the Submission Portal. The information relevant to the independent assessment is extracted by the ITL team for use during the SIAR Assessment process.

3.5.1.1 Consolidated System of European Union Registries (CSEUR) Party Documentation Exceptions

The reporting and documentation requirements for each submission shall remain the same except for the following exceptions.

National Registry Change

- All Parties should continue to specifically address each element with respect to 15/CMP.1 annex II.E paragraph 32.(a)-(j).
- When providing required readiness documentation, CSEUR parties may link to a common document set made available to external assessors. This permission recognizes the common registry and seeks to prevent duplicative submittal of supporting documentation. Readiness documentation is described further in SIAR Assessment Guidance and includes:
 - Database and Application Backup,
 - Disaster Recovery Plan,
 - Security Plan,
 - Application Logging Documentation,
 - Time Validation Plan,
 - Version Change Management,
 - Test Plan, and
 - Test Report.
- CSEUR Parties are encouraged to develop and use common language when addressing reporting requirements 15/CMP.1 annex II.E paragraph 32.(a)-(j).

3.5.2 Generate ITL Reports

The ITL Administrator generates the ITL reports that are used in preparing the SIAR Part 1 and Part 2 reports. These reports are generated by 1 February of the year following the report year. The SIAR Reports also known as ITL R2-R5. 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. In all cases, the ITL SIAR Reports R2-R5 are sent to the parties with their SEF comparison reports.

3.5.3 Condensed Assessment Week

The ITL administrator will coordinate a condensed assessment week during which external assessors, reviewers and the ITL administrator meet to compete drafts of SIAR Part 1 and Part 2 reports for all parties. The CAW will be utilized as a forum in order to achieve the following goals.

- Foster direct & interactive communication between assessors, reviewers and UNFCCC staff
- Improve learning from colleague assessors and reviewers

- Increase efficiency of report drafting task
- Improve consistency in assessment methodology and across reports and accuracy of assessment content
- Enable RSAs to improve assessment reviewing and NIR drafting skills

3.5.4 Prepare SIAR Part 1 & Part 2 Drafts

The lead assessor in collaboration with peer assessors, prepares the draft SIAR Part 1 and Part 2 reports by using the provided templates and by following reviewer guidelines. See appendices for cross-references to these documents. Each of these documents is updated annually to incorporate process improvements and lessons learned during the previous review cycle. The draft SIAR Part 1 and Part 2 is peer reviewed by additional independent assessors and independent reviewers and sent to the ITL Administrator for final review before distribution to the party.

3.5.5 Review SIAR Part 1 & Part 2 Draft

The ITL Administrator reviews the completed SIAR Part 1 and Part 2 draft reports prepared by the External Assessor. If satisfactory, they are drafted to version 1.0 and sent to the party for review otherwise it is returned to the External Assessor for further clarification of contents.

3.5.6 Comment on SIAR Part 1 & Part 2 Drafts

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 shall formalise its comment using the SIAR Consultation Form on Draft Part 1 and Part 2. The Party completes the form and attaches it in .pdf format to an e mail and sends it to the SIAR Administrator's e mailbox. If no comments are received by the due date and after several follow up attempts, the respective reports will be finalized as drafted.

3.5.7 Reassess SIAR Part 1 & Part 2 Drafts

The lead External Assessor shall incorporate party comments into the SIAR Part 1 & Part 2 draft reports using the draft version of the reports for mark up. according to SIAR assessment guidelines, see appendices for cross-references to these documents. The updated SIAR Part 1 & SIAR Part 2 reports are reviewed by an independent reviewer and revised to version 2.0. Final versions are sent to the Parties and to the UNFCCC MDA programme for use during the reviews under Article 8.

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

The MDA team packages the final versions of the SIAR Parts 1 and 2 and sends to the ERT prior to the annual review.

Appendix A – IAR Templates, Guidelines and Reporting Requirements

A.1 IAR Templates, Guidelines, and Reporting Requirements

1. Summary Sheet Template
(see separate file, Summary v1.0.pdf)
2. Initialization Template
(see separate file, Initialization v1.0.pdf)
3. RSA Consultation Template
(see separate file, RSA consultation v1.0.pdf)

A.2 Initialization Template, Guidelines, and Reporting Requirements

1. Initialization Process
(see separate file, Initialization Process v2.0)
2. Registry Initial Questionnaire
(see separate file, Registry Initial Questionnaire v2.0)
3. Interoperability Check List
(see separate file, Interoperability Check List v2.0)
4. Interoperability Testing Record
(see separate file, Interoperability Testing Record v2.0)
5. Readiness Clarifications
(see separate file, Readiness Clarifications v2.0)
6. Readiness Questionnaire
(see separate file, Readiness Questionnaire v2.0)
7. Readiness Scoring Sheet
(see separate file, Readiness Scoring Sheet v2.0)

A.3 SIAR Templates, Guidelines, and Reporting Requirements

1. SIAR Assessment Guidance
(see separate file, SIAR Assessment Guidance v5.3.pdf)
2. SIAR Part 1 Assessment Report Template
(see separate file, SIAR Part 1 Assessment Report Template v5.3.pdf)
3. SIAR Consultation Form on Draft Part 1 and Part 2
(see separate file, SIAR Consultation Form on Draft Part 1 and Part 2.doc)
4. SIAR Part 2 Assessment Report Template
(see separate file, SIAR Part 2 Assessment Report Template v5.3.pdf)
5. SIAR Publicly Available Information Guidance
(see separate file, SIAR Publicly Available Information Guidance v5.3.pdf)
6. SIAR Reporting Requirements and Guidance for Registries
(see separate file, SIAR Reporting Requirements and Guidance for Registries v5.3.pdf)
7. SIAR Reporting Requirements for ITL
(see separate file, SIAR Reporting Requirements for ITL v5.3.pdf)
8. SIAR Conflict of interest and confidentiality policy
(see separate file, SIAR COI - Confidentiality v5.3.doc)

Appendix B Glossary and Abbreviations Used

B.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.
Condensed Assessment Week	Week during which independent assessors, UNFCCC Review and Analysis Team and ITL administrator gather to collaboratively review and draft SIAR Part 1 and part 2 reports for all registries.
CDM Registry	The registry established by the Executive Board of the Clean Development Mechanism and implemented by the UNFCCC secretariat.
Community Independent Transaction Log	See EUTL.
Consolidated System of European Registries (CSEUR)	The consolidated registry platform operated by the European Commission for the European Emissions Trading Scheme (EU ETS) and for each affiliated Party's Kyoto national registry.
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.
European Union Transaction Log	The supplementary transaction log (STL) operated by the European Commission for the European Union Emissions Trading Scheme.
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.

Term	Definition
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.
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."

B.2 Abbreviations

Abbreviation	Term
CAW	Condensed Assessment Week
CDM	Clean Development Mechanism
CITL	Community Independent Transaction Log (deprecated name: See EUTL)
CSEUR	Consolidated System of European Union Registries
DES	Date Exchange Standards
ERT	Expert Review Team
EUTL	European Union Transaction Log
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