



UNFCCC ITL Administrator

**Standard Independent Assessment Report  
Assessment Report  
Part 2 - Substance**

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<b>Version</b>	<b>Date</b>	<b>Description</b>
0.1	26/07/2011	Initial draft
0.2	01/08/2011	Review of initial draft
1.0	05/08/2011	Approved draft 1.0 for review by the Party
2.0	15/08/2011	Finalized with consideration of Party comments

## Summary

Ref Nr	Description	Value	Comments
P2.0.1	Party name	Canada	
P2.0.2	Reporting period	2010	
P2.0.3	Submission under review	Files provided by the Party: - [SEF] SEF_CA_2011_1_16-28-22-12-1-2011.xls - [NIR] 2011NIR-PT1-2011-04-15-FINAL.pdf - [NIR] 2011NIR-PT2-2011-04-15-FINAL.pdf - [NIR] 2011NIR-PT3-2011-04-15-FINAL.pdf - [RESPONSE2] Consultation_Form on CA SIAR Assessment Report Part 2.doc	Files provided by the ITL Administrator: - [SEFCR] SEF_CA_2011_1_16-28-22+12-1-2011-CR.xls  -[RRITL] SIAR_Reports_2010_CA_v1.xls
P2.0.4	Previous annual review report reference	FCCC/ARR/2010/CAN (01/04/2011)	

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## 1. Introduction

The SIAR Part 2 report assesses the substance of a Party's annual submission with regard to its national registry. Each section contains questions related to the specific items to be assessed.

### 1.1. Overall assessment

Ref Nr	Requirement	Assessment
P2.1.1	Is the information submitted by Party, in relation to its national registry, complete?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
P2.1.2	Problem found with Party's national registry?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
P2.1.3	Any unresolved problem with Party's national registry?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
P2.1.4	Problems identified with the significant changes to the Party's national registry?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
P2.1.5	National registry related recommendations from previous annual review were fully addressed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
P2.1.6	Is there any recommendation that needs to be addressed by the Party?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

## 1.2. Summary of findings

Ref Nr	Summary of findings
P2.2.1	<ol style="list-style-type: none"> <li data-bbox="360 323 2051 451">1. The information on Kyoto Protocol units has been reported in accordance with section I.E. of the annex decision 15/CMP.1 and is accurate. The national registry continues to fulfill the requirements related to its reporting and accounting of information on Kyoto Protocol units, transaction procedures, conformance to the technical standards, public availability of information, security, data integrity and recovery measures.</li> <li data-bbox="360 491 2051 587">2. Party has reported information on its accounting of Kyoto Protocol units in the required SEF tables, as required by decisions 15/CMP.1 and 14/CMP.1. The SIAR assessor reviewed the findings included in the SIAR on the SEF and the SEF comparison report.1 The SIAR was forwarded to the ERT prior to the review, pursuant to decision 16/CP.10.</li> <li data-bbox="360 627 2051 691">3. Information on the accounting of Kyoto units has been prepared and reported in accordance with section I E of the annex to decision 15/CMP.1 and reported in accordance with decision 14/CMP.1 using the SEF tables.</li> <li data-bbox="360 730 2051 794">4. The Party provided access to information from its national registry that substantiated or clarified the information reported in its annual submission.</li> <li data-bbox="360 834 2051 994">5. The SIAR assessor finds that the national registry continues to perform the functions set out in the annex to decision 13/CMP.1 and the annex to decision 5/CMP.1, and continues to adhere to the technical standards for data exchange between registry systems in accordance with relevant Conference of the Parties serving as the meeting of the Parties (CMP) to the Kyoto Protocol decisions. However, the SIAR identified the following problems related to the changes: the Party provides no readiness documentation or security plan. The SIAR assessor recommends that Canada address these problems and to report the results in its next annual submission.</li> <li data-bbox="360 1034 1406 1066">6. The Party has reported its commitment period reserve in its 2010 annual submission.</li> <li data-bbox="360 1106 2051 1169">7. The national registry has fulfilled all requirements regarding the public availability of information in accordance with section II.E. of the annex to decision 13/CMP.1.</li> </ol> <p data-bbox="315 1201 533 1233"><u>Recommendations</u></p> <ol style="list-style-type: none"> <li data-bbox="360 1273 2051 1337">8. The SIAR assessor recommends that the Party provides appropriate documentation with regard to significant changes and include this information in its annual submission.</li> </ol>

## 2. Identification of Problems

The purpose of this section is to 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 pursuant to paragraph 88 of the annex to decision 22/CMP.1.

Ref Nr	Requirement	Assessment	Comment
	22/CMP.1 paragraph 88.(a) The information is complete and submitted in accordance with section I.E of the annex to decision 15/CMP.1 and relevant decisions of the COP/MOP;	Assessed in SIAR Part 1. Kept here for completeness	
P2.2.2	22/CMP.1 paragraph 88.(b) The information relating to issuance, cancellations, retirement, transfers, acquisitions, replacement and carry-over is consistent with information contained in the national registry of the Party concerned and with the records of the transactions log;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Party submitted a SEF which is consistent with the ITL records.
P2.2.3	22/CMP.1 paragraph 88.(c) The information relating to transfers and acquisitions between national registries is consistent with the information contained in the national registry of the Party concerned and with the records of the transaction log, and with information reported by the other Parties involved in the transactions;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Party submitted a SEF which is consistent with the ITL records.
P2.2.4	22/CMP.1 paragraph 88.(d) The information relating to acquisitions of CERs, tCERs, and ICERs from the CDM registry is consistent with the information contained in the national registry of the Party concerned and with the records of the transaction log, and with the clean development mechanism (CDM) registry;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Party submitted a SEF which is consistent with the ITL records.

Ref Nr	Requirement	Assessment	Comment
P2.2.5	22/CMP.1 paragraph 88.(e) ERUs, CERs, AAUs and RMUs have been issued, acquired, transferred, cancelled, retired, or carried over to the subsequent or from the previous commitment period in accordance with the annex to decision 13/CMP.1;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	No discrepancies occurred for the Party and no problem has been identified with regard to its transaction procedures related to ERUs, CERs, AAUs and RMUs.
P2.2.6	22/CMP.1 paragraph 88.(f) tCERs and ICERs have been issued, acquired, transferred, cancelled, retired and replaced, in accordance with the annex to decision 13/CMP.1 and the annex to decision 5/CMP.1;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	No discrepancies occurred for the Party and no problem has been identified with regard to its transaction procedures related to tCERs and ICERS.
P2.2.7	22/CMP.1 paragraph 88.(g) The information reported under paragraph 11 (a) of section I.E. in the annex to decision 15/CMP.1 on the quantities of units in accounts at the beginning of the year is consistent with information submitted the previous year, taking into account any corrections made to such information, on the quantities of units in accounts at the end of the previous year;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	The Party was not required to submit information for the previous year.
P2.2.8	22/CMP.1 paragraph 88.(h) The required level of the commitment period reserve, as reported, is calculated in accordance with paragraph 6 of the annex to decision 18/CP.7;	Only assessed by the Expert Review Team. Kept here for completeness	
P2.2.9	22/CMP.1 paragraph 88.(i) The assigned amount is calculated to avoid double accounting in accordance with paragraph 9 of the annex to decision 16/CMP.1;	Only assessed by the Expert Review Team. Kept here for completeness	

Ref Nr	Requirement	Assessment	Comment	
P2.2.10	22/CMP.1 paragraph 88.(j) A discrepancy has been identified by the transaction log relating to transactions initiated by the Party, and if so the expert review team shall:	Has the discrepancy been identified by the transaction log? <b>[ ] Yes [x] No</b>	No discrepancies occurred for the Party	
Repeat for each discrepancy type (include Type Number)	P2.2.10.1	22/CMP.1 paragraph 88.(j)(i) Verify that the discrepancy has occurred and been correctly identified by the transaction log;	Has the discrepancy been identified by the transaction log? <b>[ ] Yes [ ] No [x]N/A</b>	No discrepancies occurred for the Party
	P2.2.10.2	22/CMP.1 paragraph 88.(j)(ii) Assess whether the same type of discrepancy has occurred previously for that Party;	Has the same type of discrepancy occurred previously for that Party? <b>[ ] Yes [ ] No [x]N/A</b>	No discrepancies occurred for the Party
	P2.2.10.3	22/CMP.1 paragraph 88.(j)(iii) Assess whether the transaction was completed or terminated;	Was the transaction completed or terminated? <b>[ ] Yes [ ] No [x]N/A</b>	No discrepancies occurred for the Party
	P2.2.10.4	22/CMP.1 paragraph 88.(j)(iv) Has the Party corrected the problem that caused the discrepancy?	Problem that caused the discrepancy corrected? <b>[ ] Yes [ ] No [x]N/A</b>	No discrepancies occurred for the Party
	P2.2.10.5	22/CMP.1 paragraph 88.(j)(v) Assess whether the problem that caused the discrepancy relates to the capacity of the national registry to ensure the accurate accounting of Kyoto Protocol units, issuance, holding, transfer, acquisition, cancellation and retirement of ERUs, CERs, tCERS, ICERs, AAs and RMs, the replacement of tCERS and ICERs, and the carry-over of ERUs, CERs and AAs	Discrepancy relates to the capacity of the national registry to ensure the accurate accounting? <b>[ ] Yes [ ] No [x]N/A</b>	No discrepancies occurred for the Party



Ref Nr	Requirement	Assessment	Comment	
P2.2.11	22/CMP.1 paragraph 88.(k) Any record of non-replacement has been sent to the Party by the transaction log in relation to tCERs or ICERs held by the Party, and if so the expert review team shall:	Any tCERs or ICERs subject to non-replacement held by Party? <b>[ ] Yes [x] No</b>	No non-replacements occurred for the Party.	
Repeat for each non-replacement type (incl Type number	P2.2.11.1	22/CMP.1 paragraph 88.(k)(i) Verify that the non-replacement has occurred and been correctly identified by the transaction log;	Has the transaction log identified the non-replacement? <b>[ ] Yes [ ] No [x]N/A</b>	No non-replacements occurred for the Party.
	P2.2.11.2	22/CMP.1 paragraph 88.(k)(ii) Assess whether non-replacement has occurred previously for that Party;	Has this type of non-replacement previously occurred for that Party? <b>[ ] Yes [ ] No [x]N/A</b>	No non-replacements occurred for the Party.
	P2.2.11.3	22/CMP.1 paragraph 88.(k)(iii) Assess whether the replacement was subsequently undertaken;	Was the replacement subsequently undertaken? <b>[ ] Yes [ ] No [x]N/A</b>	No non-replacements occurred for the Party.
	P2.2.11.4	22/CMP.1 paragraph 88.(k)(iv) Examine the cause of the non-replacement and whether the Party has corrected the problem that caused the non-replacement;	Has the Party corrected the problem that caused the non-replacement? <b>[ ] Yes [ ] No [x]N/A</b>	No non-replacements occurred for the Party.
	P2.2.11.5	22/CMP.1 paragraph 88.(k)(v) Assess whether the problem that caused the non-replacement relates to the capacity of the national registry to ensure the accurate accounting of Kyoto Protocol units, holding, transfer, acquisition, cancellation, and retirement of ERUs, CERs, tCERs, ICERs, AAUs and RMUs, and the replacement of tCERs and ICERs, and if so, initiate a thorough review of the registry system in accordance with part V of these guidelines.	Non-replacement relates to the capacity of the national registry to ensure the accurate accounting? <b>[ ] Yes [ ] No [x]N/A</b>	No non-replacements occurred for the Party.

### 3. Identification of Significant Changes

The purpose of this section is to identify any **significant changes** in the national registry reported by the Party that may affect the performance of the functions 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.

If a change to a Party's national registry has been identified under paragraph 22 of the annex to decision 15/CMP.1 then information relating to this change should be submitted by the Party in accordance with paragraph 32 of the annex to decision 15/CMP.1. This section assesses the submitted changes reported by Party in accordance with paragraph 32 of decision 15/CMP.1, and the further guidance elaborated in the Independent Assessment Report common operational procedure.

Ref Nr	Requirement	Has the Party reported a change?	Problem Identified with the Change?	Comment
P2.3.1	15/CMP.1 paragraph 32.(a) The name and contact information of the registry administrator designated by the Party to maintain the national registry	Not a significant change, left here for completeness		
P2.3.2	15/CMP.1 paragraph 32.(b) The names of the other Parties with which the Party cooperates by maintaining their national registries in a consolidated system	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	No changes occurred for the Party for this item.
P2.3.3	15/CMP.1 paragraph 32.(c) A description of the database structure and capacity of the national registry.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	No changes occurred for the Party for this item.

Ref Nr	Requirement	Has the Party reported a change?	Problem Identified with the Change?	Comment
P2.3.4	<p>15/CMP.1 paragraph 32.(d)</p> <p>A description of how the national registry conforms to the technical standards for data exchange between registry systems for the purpose of ensuring the accurate, transparent and efficient exchange of data between national registries, the clean development mechanism registry and the transaction log (decision 19/CP.7, paragraph 1)</p>	<p><input checked="" type="checkbox"/> Yes [ ] No</p>	<p><input checked="" type="checkbox"/> Yes [ ] No</p>	<p>The Party states that its national Registry successfully connected with ITL.</p> <p>The Party provides no readiness documentation.</p> <p>In its [RESPONSE2] Party confirms that the readiness documentation was presented during the IAR process and is available and will be presented to the ERT during the review</p>
P2.3.5	<p>15/CMP.1 paragraph 32.(e)</p> <p>A description of the procedures employed in the national registry to minimize discrepancies in the issuance, transfer, acquisition, cancellation and retirement of ERUs, CERs, tCERs, ICERs, AAUs and/or RMUs, and replacement of tCERs and ICERs, and of the steps taken to terminate transactions where a discrepancy is notified and to correct problems in the event of a failure to terminate the transactions</p>	<p>[ ] Yes <input checked="" type="checkbox"/> No</p>	<p>[ ] Yes [ ] No</p>	<p>No changes occurred for the Party for this item.</p>
P2.3.6	<p>15/CMP.1 paragraph 32.(f)</p> <p>An overview of security measures employed in the national registry to prevent unauthorized manipulations and to prevent operator error and of how these measures are kept up to date</p>	<p><input checked="" type="checkbox"/> Yes [ ] No</p>	<p><input checked="" type="checkbox"/> Yes [ ] No</p>	<p>In [NIR 2] Annex 11 paragraph A11.3, the Party states that its national registry was not open to entity accounts and that there was no need to make any changes to the security of the registry.</p> <p>A threat and risk assessment and a risk mitigation plan were prepared and the Party will implement additional authentication measures before the registry is open to entity accounts.</p> <p>The Party provides no security plan. In its [RESPONSE2] Party confirms that the security plans are available and will be presented to the ERT during the review</p>

<b>Ref Nr</b>	<b>Requirement</b>	<b>Has the Party reported a change?</b>	<b>Problem Identified with the Change?</b>	<b>Comment</b>
P2.3.7	15/CMP.1 paragraph 32.(g) A list of the information publicly accessible by means of the user interface to the national registry	Not a significant change, left here for completeness		
P2.3.8	15/CMP.1 paragraph 32.(h) The Internet address of the interface to its national registry	Not a significant change, left here for completeness		
P2.3.9	15/CMP.1 paragraph 32.(i) A description of measures taken to safeguard, maintain and recover data in order to ensure the integrity of data storage and the recovery of registry services in the event of a disaster	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	No changes occurred for the Party for this item.
P2.3.10	15/CMP.1 paragraph 32.(j) The results of any test procedures that might be available or developed with the aim of testing the performance, procedures and security measures of the national registry undertaken pursuant to the provisions of decision 19/CP.7 relating to the technical standards for data exchange between registry systems.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party provides no test plan and no test reports. In its [RESPONSE2] Party confirms that the test plan and test reports are available and will be presented to the ERT during the review

## 4. Recommendations

### 4.1. Previous Expert Review Team recommendations

This section assesses Party's response to the previous annual review recommendations.

Ref Nr	Recommendation from previous Annual Review report (with ref)	Has Party acted on recommendation?	Comment
P2.4.1.1	Annual Expert Review team recommends in its report FCCC/ARR/2099/CAN (01/04/2010) under VII. A point 95  The Party has not reported information on its accounting of Kyoto units as required by decision 15CMP.1 and 14.CMP.1	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party reports this information in its NIR.
P2.4.1.2	Annual Expert Review team recommends in its report FCCC/ARR/2099/CAN (01/04/2010) under VII. A point 97  The ERT reiterates the recommendation in the SIAR that Canada provide through its registry the public information referred to in paragraphs 45 to 48 of the annex to decision 13/CMP.1, and report, in its next annual submission, on any changes to that public information.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party reports on public information at on Environment Canada's website at the URL <a href="http://www.ec.gc.ca/mcpk-ckpnr/default.asp?lang=En&amp;n=1F96522D-1">http://www.ec.gc.ca/mcpk-ckpnr/default.asp?lang=En&amp;n=1F96522D-1</a> .
P2.4.1.3		<input type="checkbox"/> Yes <input type="checkbox"/> No	
P2.4.1.x		<input type="checkbox"/> Yes <input type="checkbox"/> No	

## 4.2. Recommendations to address identified problems

If a problem has been identified earlier in section 2 and 3 or a previous recommendation listed in section 4.1 has not been taken into account, then this section of the report lists a recommendation for each problem to be brought to the attention to the Expert Review Team.

<b>Ref Nr</b>	<b>Recommendation Ref</b>	<b>Recommendation description</b>	<b>Comment</b>
P2.4.2.1	P2.3.4.	The SIAR assessor recommends that the Party provides readiness documentation.	In its [RESPONSE2] Party confirms that the readiness documentation is available and will be presented to the ERT during the annual review
P2.4.2.2	P2.3.6.	The SIAR assessor recommends that the Party provides security plans.	In its [RESPONSE2] Party confirms that the security plans are available and will be presented to the ERT during the annual review
P2.4.2.3	P2.3.10.	The SIAR assessor recommends that the Party provides a test plan and test reports.	In its [RESPONSE2] Party confirms that the test plan and test reports are available and will be presented to the ERT during the review
P2.4.2.x			