



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

UNFCCC ITL Administrator

Standard Independent Assessment Report Assessment Report Part 1 - Completeness

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1.1	11/05/2011	Incorporated feedback from party Consultation
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2.1	13/07/2011	Correction made to an error in P.1.2.13

Summary

Ref Nr	Description	Value	Comments
P1.0.1	Party name	Russian Federation	
P1.0.2	Reporting period	2010	
P1.0.3	Submission under review	Files submitted: - [SEF] SEF_RU_2011_1_15-17-35 13-1-2011.xls - [NIR] RUS-2011_vol1.pdf - [NIR 2] RUS-2011_vol2.pdf - [NIR3] Registry in 2010 for the Inventory report_1.doc (English translation) - [REPORTS] SIAR Reports 2011-RU v1.0.xls - [RESPONSE1] SIAR Consultation Form on SIAR Assessment Draft Part 1 RU.doc-	Information from the ITL Administrator: - [SEFCR] SEF_RU_2011_1_15-17- 35+13-1-2011-CR-1.xls -[RRITL] SIAR_Reports_2010_RU_v1.xls
		[RESPONSE2] Part2 response from the Party	
P1.0.4	Previous annual review report reference	FCCC/ARR/2010/RUS (18/04/2011)	

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1. Introduction

The SIAR Part 1 report assesses the completeness 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
P1.1.1	Submission complete?	
	Information has been provided pursuant to paragraphs 11 to 18 in section I.E of the annex to decision 15/CMP.1, paragraph 32 in section II.E of the annex to decision 15/CMP.1 and the further guidance by the SIAR guidelines?	[X]Yes []No
P1.1.2	Public Information Provided?	
	Information has been provided pursuant to paragraphs 44 to 48 in section I.E of the annex to decision 13/CMP.1?	[X]Yes []No
P1.1.3	Explanation of how the previous Annual Review recommendations have been addressed?	[X]Yes []No []NA

2. Accounting of Kyoto Protocol units

The purpose of this section is to indicate whether information has been reported by the Party in its annual submission pursuant to paragraphs 11 to 18 in section I.E of the annex to decision 15/CMP.1.

Ref Nr	Requirement	Assessment	Comments	
15/CMP.	1 annex I.E paragraph 11			
Standard	d electronic format (SEF)			
P1.2.1	14/CMP.1 annex I. paragraph 3	[VIVes [INe	The Party has transferred or acquired Kyoto Protocol units during or prior to the reported period as indicated in [SEF] and [SEFCR].	
	Has the Party transferred or acquired any Kyoto Protocol units in the reporting period or in any year prior to the reporting year?	[X]Yes[]No	prior to the reported period as indicated in [SEF] and [SEFCK].	
	(If yes, Party is required to submit the SEF report)			
P1.2.2	15/CMP.1 annex I.E paragraph 11		The Party's SEF report [SEF] was made available to assessors by	
	Has the Party provided a report in the SEF containing the information required by paragraph 11 of the annex to decision 15/CMP.1?	[X]Yes []No		15/04/2011.
	(Yes is also indicated when the Party has not submitted a SEF and was not required to do so)			
15/CMP.	1 annex I.E paragraph 12			
Discrepa	int transactions			
P1.2.3	Has the transaction log identified discrepancies in transactions proposed by the Party?	[]Yes [X]No	The ITL identified no discrepancies with transactions proposed by the Party during the reported period (see [RRITL], Report R-2).	
P1.2.4	Has Party reported all discrepancies as required by paragraph 12 of the annex to decision 15/CMP.1?	[X]Yes []No	The Party reported that no discrepancies occurred during the reported period. The information has been verified and matches the ITL records (see [RRITL], report R-2).	

Ref Nr	Requirement	Assessment	Comments			
15/CMP.1	15/CMP.1 annex I.E paragraph 13					
Reversal	of storage notifications					
P1.2.5	Has the transaction log issued reversal of storage notifications to the Party's national registry?	[]Yes [X]No	The ITL identified no reversal of storage notifications to the Party's national registry during the reported period (see [RRITL], Report R-3).			
P1.2.6	Has Party reported all notifications directing it to replace ICERs in accordance with paragraph 49 of the annex to decision 5/CMP.1?	[X]Yes []No	The Party reported that no reversal of storage notifications was addressed to its national registry during the reported period. The information has been verified and matches the ITL records (see [RRITL], report R-3).			
15/CMP.1	I annex I.E paragraph 14					
Non-cert	ification notifications					
P1.2.7	Has the transaction log issued non-certification notifications to the Party's national registry?	[]Yes [X]No	The ITL identified no non-certification notifications to the Party's national registry during the reported period (see [RRITL], Report R-3).			
P1.2.8	Has the Party reported all notifications to replace ICERs in accordance with paragraph 50 of the annex to decision 5/CMP.1?	[X]Yes []No	The Party reported that no non-certification notifications were addressed to its national registry during the reported period. The information has been verified and matches the ITL records (see [RRITL], report R-3).			
15/CMP.1	I 1 annex I.E paragraph 15					
Non-repl	acement					
P1.2.9	Has the transaction log a record of non-replacement for this Party?	[]Yes [X]No	The ITL identified no non-replacement notifications to the Party's national registry during the reported period (see [RRITL], Report R-3).			
P1.2.10	Has Party reported all non-replacements in accordance with paragraph 56 of the annex to decision 5/CMP.1?	[X]Yes []No	The Party reported that no non-replacement notifications were addressed to its national registry during the reported period. The information has been verified and matches the ITL records (see [RRITL], report R-3).			

Ref Nr	Requirement	Assessment	Comments			
15/CMP.1	15/CMP.1 annex I.E paragraph 16					
Inconsist	tencies from discrepant transactions					
P1.2.11	Has the transaction log identified discrepant transactions proposed by the Party that were not terminated or cancelled?	[]Yes [X]No	The ITL did not identify discrepant transactions proposed by the Party that were not terminated or cancelled.			
P1.2.12	Has Party reported on units that are not valid for use towards compliance with commitments under Article 3, paragraph 1, pursuant to paragraph 43 (b) of the annex to decision 13/CMP.1?	[X]Yes []No	The Party reported that its national registry does not hold units that are not valid for use towards compliance with commitments under Article 3, paragraph 1.			
	1 annex I.E paragraph 17 and changes to address discrepancies					
P1.2.13	Has Party reported actions taken to correct any problem that caused a discrepancy to occur, any changes to the national registry to prevent a discrepancy from reoccurring, or the resolution of any previously identified questions of implementation pertaining to transactions?	[x]Yes[]No	The Party reported that there were no actions necessary to undertake to correct problems that caused discrepancies from occurring, or to prevent discrepancies from reoccurring. There were no actions necessary to address questions of implementation pertaining to transactions.			
15/CMP.1	l annex I.E paragraph 18					
CPR Cald	culation					
P1.2.14	Has Party reported the calculation of its commitment period reserve?	[X]Yes []No	The Party reported the calculation of its commitment period reserve (CPR) in <rus-2011_vol1.pdf 10.2.1.9="" 356="" page="" par="">.</rus-2011_vol1.pdf>			

3. National Registry Change

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.

The baseline for reporting changes of national registry is the information provided by the Party in its last submission.

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.1	15/CMP.1 annex II.E paragraph 32.(a) Change of name or contact Has the Party reported changes to the name or contact information of the registry administrator?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to the name and contact information of the registry administrator.</rus-2011_vol1.pdf>
P1.3.2	15/CMP.1 annex II.E paragraph 32.(b) Change of cooperation arrangement Has the Party reported changes to the names of the other Parties with which they cooperate in maintaining their national registry consolidated?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to its cooperation arrangements.</rus-2011_vol1.pdf>
P1.3.3	15/CMP.1 annex II.E paragraph 32.(c) Change to the database or the capacity of National Registry Has the Party reported a change to the database structure or capacity of the national registry?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to the database and capacity of its national registry.</rus-2011_vol1.pdf>

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.4	15/CMP.1 annex II.E paragraph 32.(d) Change of conformance to technical standards Has the Party reported a change to how the national registry conforms to the technical standards for data exchange between registry systems?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to the conformance to technical standards by its national registry.</rus-2011_vol1.pdf>
P1.3.5	15/CMP.1 annex II.E paragraph 32.(e) Change of discrepancies procedures Has the Party reported a change to the procedures employed in the national registry to minimize discrepancies?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to the procedures employed in its national registry to minimize discrepancies.</rus-2011_vol1.pdf>
P1.3.6	15/CMP.1 annex II.E paragraph 32.(f) Change of Security Has the Party reported a change to the security measures employed in the national registry to prevent unauthorized manipulations and to prevent operator error?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf 10.2.3="" 365="" page="" par="">, the Party states that no changes have been made to the security measures employed in its national registry.</rus-2011_vol1.pdf>

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.7	15/CMP.1 annex II.E paragraph 32.(g) Change of list of publicly available information Has the Party reported a change to the list of publicly accessible information?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to the list of publicly available information accessible by means of the user interface of its national registry.</rus-2011_vol1.pdf>
P1.3.8	15/CMP.1 annex II.E paragraph 32.(h) Change of Internet address Has the Party reported a change to the Internet address of the national registry?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to the Internet address of its national registry.</rus-2011_vol1.pdf>
P1.3.9	15/CMP.1 annex II.E paragraph 32.(i) Change of data integrity measure Has the Party reported a change to the measures ensuring the integrity of data storage and the recovery of registry services in the event of a disaster?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to the data integrity measures.</rus-2011_vol1.pdf>
P1.3.10	15/CMP.1 annex II.E paragraph 32.(j) Change of test results Has the Party reported a change to the results of any test procedures?	[X]Yes []No	[]Yes [X]No	In <rus-2011_vol1.pdf par<br="">10.2.3/ page 365>, the Party states that no changes have been made to the results of its test procedures.</rus-2011_vol1.pdf>

4. Public information

This section provides information on the completeness of public information provided pursuant to part E of the annex to 13/CMP.1, paragraphs 44 to 48 inclusive.

Paragraph 44 of the annex to decision 13/CMP.1 requires the national registry to make non-confidential information publicly available.

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.1	13/CMP.1 Annex paragraph 45 Account information provided?	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.1.1	13/CMP.1 Annex paragraph 45 (a) Account name: the holder of the account	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.1.2	13/CMP.1 Annex paragraph 45 (b) Account type: the type of account (holding, cancellation or retirement)	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.1.3	13/CMP.1 Annex paragraph 45 (c) Commitment period: the commitment period with which a cancellation or retirement account is associated	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.1.4	13/CMP.1 Annex paragraph 45 (d) Representative identifier: the representative of the account holder, using the Party identifier (the two-letter country code defined by ISO 3166) and a number unique to that representative within the Party's registry	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1- 1.pdf="" 10.2.2.7="" 360="" page="" par=""> Representative identifier is reported on http://www.carbonunitsregistry.ru/reports-accounts.htm and http://www.carbonunitsregistry.ru/eng-reports-accounts.htm for Accounts of legal entities. The pdf document "List of Accounts in the Russian Registry of Carbon Units" contains information only on Governmental accounts. That is why representative contact details is not presented in the document. Information on accounts of legal entities could be downloaded from a list of accounts opened in the Russian registry in 2010.</rus-2011_vol1->
P1.4.1.5	13/CMP.1 Annex paragraph 45 (e) Representative name and contact information; the full name, mailing address, telephone number, facsimile number and email address of the representative of the account holder	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""> Representative contact details are published on http://www.carbonunitsregistry.ru/reports-accounts.htm and http://www.carbonunitsregistry.ru/eng-reports-accounts.htm for Accounts of legal entities. The pdf document "List of Accounts in the Russian Registry of Carbon Units" contains information only on Governmental accounts. That is why representative contact details is not presented in the document.</rus-2011_vol1-1.pdf>
P1.4.2	13/CMP.1 Annex paragraph 46 Article 6 project information provided?	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.2.1	13/CMP.1 Annex paragraph 46 (a) Project name: a unique name for the project	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.2.2	13/CMP.1 Annex paragraph 46 (b) Project location; the Party and town or region in which the project is located	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.2.3	13/CMP.1 Annex paragraph 46 (c) Years of ERU issuance; the years in which ERU's have been issued as a result of the Article 6 project	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.2.4	13/CMP.1 Annex paragraph 46 (d) Reports; downloadable electronic version of all publicly available documentation relating to the project, including proposals, monitoring, verification and issuance of ERU's, where relevant, subject to the confidentiality provisions in decision 9/CMP.1.	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.3	13/CMP.1 Annex paragraph 47 Holding and transaction information provided?	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.3.1	13/CMP.1 Annex paragraph 47 (a) The total quantity of ERUs, CERs, AAUs and RMUs in each account at the beginning of the year	[X]Yes []No	[]Yes [X]No[]Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.3.2	13/CMP.1 Annex paragraph 47 (b)	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this
	The total quantity of AAUs issued on the basis of the assigned amount pursuant to Article 3, paragraphs 7 and 8			publicly available information in <rus-2011_vol1- 1.pdf/ par 10.2.2.7/ page 360></rus-2011_vol1-
P1.4.3.3	13/CMP.1 Annex paragraph 47 (c)	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this
	The total quantity of ERUs issued on the basis of Article 6 projects			publicly available information in <rus-2011_vol1- 1.pdf/ par 10.2.2.7/ page 360></rus-2011_vol1-
P1.4.3.4	13/CMP.1 Annex paragraph 47 (d)	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this
	The total quantity of ERUs, CERs, AAUs and RMUs acquired from other registries and the identity of the transferring accounts and registries			publicly available information in <rus-2011_vol1- 1.pdf/ par 10.2.2.7/ page 360></rus-2011_vol1-
P1.4.3.5	13/CMP.1 Annex paragraph 47 (e)	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this
	The total quantity of RMUs issued on the basis of each activity under Article 3, paragraphs 3 and 4			publicly available information in <rus-2011_vol1- 1.pdf/ par 10.2.2.7/ page 360></rus-2011_vol1-
P1.4.3.6	13/CMP.1 Annex paragraph 47 (f)	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this
	The total quantity of ERUs, CERs, AAUs and RMUs transferred to other registries and the identity of the acquiring accounts and registries			publicly available information in <rus-2011_vol1- 1.pdf/ par 10.2.2.7/ page 360></rus-2011_vol1-
P1.4.3.7	13/CMP.1 Annex paragraph 47 (g)	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this
	The total quantity of ERUs, CERs, AAUs and RMUs cancelled on the basis of activities under Article 3, paragraphs 3 and 4			publicly available information in <rus-2011_vol1- 1.pdf/ par 10.2.2.7/ page 360></rus-2011_vol1-

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.3.8	13/CMP.1 Annex paragraph 47 (h) The total quantity of ERUs, CERs, AAUs and RMUs cancelled following determination by the Compliance Committee that the Party is not in compliance with its commitment under Article 3, paragraph 1	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.3.9	13/CMP.1 Annex paragraph 47 (i) The total quantity of other ERUs, CERs, AAUs and RMUs cancelled	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.3.10	13/CMP.1 Annex paragraph 47 (j) The total quantity of ERUs, CERs, AAUs and RMUs retired	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.3.11	13/CMP.1 Annex paragraph 47 (k) The total quantity of ERUs, CERs and AAUs carried over from the previous commitment period	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.3.12	13/CMP.1 Annex paragraph 47 (I) Current holdings of ERUs, CERs, AAUs and RMUs in each account	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>
P1.4.4	13/CMP.1 Annex paragraph 48 List of legal entities authorized by Party provided? ¹	[X]Yes []No	[] Yes [X] No [] Partial	The Party provides reference to the URL regarding this publicly available information in <rus-2011_vol1-1.pdf 10.2.2.7="" 360="" page="" par=""></rus-2011_vol1-1.pdf>

For the purpose of the annual review, the list of accounts assigned to legal entities within the national registry is sufficient

5. Previous Expert Review Team recommendations

This section provides information on the completeness of Party's annual submission in addressing the previous annual review recommendations. If the Expert review team has made recommendations in the previous review, this section should list them and party's annual submission is checked if it covers each recommendation.

Ref Nr	Recommendation from previous Annual Review report (with ref)	Has Party covered the recommendation in its submission?	Comment
P1.5.1	FCCC/ARR/2010/RUS/ par 149, page 141 In the previous annual Review it was recommended to submit information on the Registry in NIR also in English.	[X]Yes []No	The translation of information on the Russian Registry of Carbon Units in 2010 into English is presented.
P1.5.2		[]Yes []No	
P1.5.3		[]Yes []No	
P1.5.x		[]Yes []No	