



UNFCCC ITL Administrator

Standard Independent Assessment Report
Assessment Report
Part 2 - Substance

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2.0	14/07/2010	Final --includes response from party

Summary

Ref Nr	Description	Value	Comments
P2.0.1	Party name	Australia	
P2.0.2	Reporting period	2009	
P2.0.3	Submission under review	- [NIR]: national-inventory-report-vol-1-complete.pdf, national-inventory-report-vol-2-complete.pdf, national-inventory-report-vol-3-complete.pdf - [RESPONSE] AUS_SIAR_Consultation Form on Draft Part 2 AUS.doc	Information from the ITL Administrator: -[RRITL] SIAR_Reports_2009_AU_v1.1.xls
P2.0.4	Previous annual review report reference	FCCC/ARR/2009/AUS (5 March 2010)	

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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 type="checkbox"/> Yes <input checked="" 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"> 1) The information on Kyoto Protocol units has been reported in accordance with section I.E of the annex to 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. 2) Although not required to submit a SEF, Australia has reported information on its accounting of Kyoto Protocol units in the SEF. Australia 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 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. 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. 4) Information reported by Party on records of any discrepancies and on any records of non-replacement were found to be consistent with information provided to the assessors by the International Transaction Log (ITL). 5) The Party provided access to information from its national registry that substantiated or clarified the information in its annual submission. 6) 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. 7) The Party reported its commitment period reserve in its 2009 annual submission. 8) The national registry has not fulfilled the requirements regarding the public availability of information with accordance with section II.E of the annex to decisions 13/CMP.1. The assessors recommend that the Party clearly identify the publicly available list of legal entities and clearly state in the website whether current unit holdings are confidential and that representative identifiers are confidential. <p><u>Recommendations</u></p>

¹ The SEF comparison report is prepared by the ITL administrator and provides information on the outcome of the comparison of data contained in the Party's SEF tables with corresponding records contained in the ITL.

Ref Nr	Summary of findings
	<p>9) The SIAR assessor recommends that the Party enhance, as detailed in section 4.2 of this SIAR, the availability of public information referred to in paragraphs 45, 47, and 48 of the annex to decision 13/CMP.1, and report in its next annual submission on any changes to that public information.</p>

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
	<p>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;</p>	<p>Assessed in SIAR Part 1. Kept here for completeness</p>	
P2.2.2	<p>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;</p>	<p>Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>Although the Party was not required to submit a SEF, it submitted a SEF which is consistent with the ITL records.</p>

Ref Nr	Requirement	Assessment	Comment
P2.2.3	<p>22/CMP.1 paragraph 88.(c)</p> <p>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;</p>	<p>Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>Although the Party was not required to submit a SEF, it submitted a SEF which is consistent with the ITL records.</p>
P2.2.4	<p>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;</p>	<p>Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>Although the Party was not required to submit a SEF, it submitted a SEF which is consistent with the ITL records.</p>
P2.2.5	<p>22/CMP.1 paragraph 88.(e)</p> <p>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;</p>	<p>Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>No discrepancies occurred for the Party and no problem has been identified.</p>
P2.2.6	<p>22/CMP.1 paragraph 88.(f)</p> <p>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;</p>	<p>Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>No discrepancies occurred for the Party and no problem has been identified.</p>

Ref Nr	Requirement	Assessment	Comment	
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	Although the Party was not required to submit a SEF, it submitted a SEF which is consistent with the ITL records and with information submitted in the year prior to the reported 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		
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	No discrepancies occurred for the Party.	
Repeat for each discrepancy type	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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	No discrepancies occurred for the Party.

Ref Nr	Requirement	Assessment	Comment
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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	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, AAUs and RMUs, the replacement of tCERs and ICERs, and the carry-over of ERUs, CERs and AAUs	Discrepancy relates to the capacity of the national registry to ensure the accurate accounting? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	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? [] Yes [x] No	No non-replacement 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? [] Yes [] No [x] N/A	No non-replacement 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? [] Yes [] No [x] N/A	No non-replacement 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? [] Yes [] No [x] N/A	No non-replacement 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? [] Yes [] No [x] N/A	No non-replacement 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, AAs and RMs, 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? [] Yes [] No [x] N/A	No non-replacement 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 checked="" 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 checked="" 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>No changes occurred for the Party for this item.</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><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>No changes occurred for the Party for this item.</p>

Ref Nr	Requirement	Has the Party reported a change?	Problem Identified with the Change?	Comment
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 checked="" 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	No changes occurred for the Party for this item.

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? [x] Yes [] No	Comment
P2.4.1.1	Australia did not report information on its accounting of Kyoto Protocol units and SEF tables. Parties are required to start reporting SEF tables, in accordance with decisions 14/CMP.1 and 15/CMP.1, for the first calendar year in which they transferred or acquired ERUs, CERs, AAUs or RMUs. Australia was not eligible to trade these units until 11 July 2009 therefore it was not required to report SEF tables for the reporting period. (122.)	[x] Yes [] No	Although the Party is not required to submit a SEF as they have not yet transferred or acquired any units, the SEF was made available by 28/05/2010. The Party also provides the accounting of Kyoto Protocol units.
P2.4.1.2	However, the ERT recommends that Australia further enhance the user interface of its registry by providing the public information referred to in paragraphs 45–48 of the annex to decision 13/CMP.1 and report on any changes made in its next annual submission. (124.)	[x] Yes [] No	The Party provides reference to this publicly available information, stating that it is available since July 2009.

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.

Ref Nr	Recommendation Ref	Recommendation description	Comment
P2.4.2.1	P1.4.1.4, P1.4.3.12, P1.4.4	The SIAR assessor identified that the following information was not made publicly available. It is recommended that the Party make this	The Party declares the representative identifier information required by 13/CMP.1 Annex paragraph 45(d) as confidential in its submission. The public website should

		<p>information publicly available.</p> <ul style="list-style-type: none"> • The representative identifier of the account holder, using the Party identifier (the two-letter country code defined by ISO 3166) and a unique number to that representative within the Party's registry per decision 13/CMP.1 Annex paragraph 45 (d) • The current holdings of ERUs, CERs, AAUs and RMUs in each account per 13/CMP.1 Annex paragraph 47(l) • List of legal entities authorized by the Party per 13/CMP.1 Annex paragraph 48. 	<p>state this.</p> <p>The Party includes information in its submission indicating that the current holdings required by 13/CMP.1 Annex paragraph 47 (l) are confidential. If this is the case, a statement should be made on the public website indicating this.</p> <p>There is a list of entities on the public website. If this is the list of legal entities required by 13/CMP.1 Annex paragraph 48, a statement should be included.</p> <p>In its [RESPONSE], the Party noted that they shall clarify the items identified in accordance with the Reviewed Part 2 Assessment and decision 13/CMP.1, and expects that the necessary registry changes will be made at the next available system upgrade, which is scheduled to occur prior to the next SIAR assessment period.</p>
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