



UNFCCC ITL Administrator

**Standard Independent Assessment Report
Assessment Report
Part 1 - Completeness**

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Document change record

Version	Date	Description
0.1	30/06/2010	Initial draft assessment report
1.0	06/07/2010	Review
1.1	10/08/2010	Draft report including comments and additional documents submitted by Party
2.0	10/08/2010	Reviewed final version 2.0 to be sent to Party

Summary

Ref Nr	Description	Value	Comments
P1.0.1	Party name	Luxembourg	
P1.0.2	Reporting period	2009	
P1.0.3	Submission under review	Files submitted: - [SEF] SEF_LU_2010_2_15-3-14+7-1-2010.xls - [NIR] NIR_LUx_2010_100527.doc -[RESPONSE1] LUx_CONSULTATION FORM ON DRAFT PART1.doc -[TEST RESULTS] 002 - Luxembourg_23092009_COM.pdf 20090929_Successful_ETS_Testing.pdf	Information from the ITL Administrator: - [SEFCR] SEF_LU_2010_2_15-3-14+7-1-2010-CR.xls -[RRITL] SIAR_Reports_2009_LU_v1.1.xls
P1.0.4	Previous annual review report reference	FCCC/ARR/2009/LUX (17 February 2010)	

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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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
P1.1.3	Explanation of how the previous Annual Review recommendations have been addressed?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> 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 electronic format (SEF)			
P1.2.1	14/CMP.1 annex I. paragraph 3 Has the Party transferred or acquired any Kyoto Protocol units in the reporting period or in any year prior to the reporting year? (If yes, Party is required to submit the SEF report)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party has transferred or acquired Kyoto Protocol units during or prior to the reported period as indicated in [SEF] and [SEFCR].
P1.2.2	15/CMP.1 annex I.E paragraph 11 Has the Party provided a report in the SEF containing the information required by paragraph 11 of the annex to decision 15/CMP.1? (Yes is also indicated when the Party has not submitted a SEF and was not required to do so)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party's SEF report [SEF] was made available to assessors by 16/04/2010.
15/CMP.1 annex I.E paragraph 12 Discrepant transactions			
P1.2.3	Has the transaction log identified discrepancies in transactions proposed by the Party?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party commented in [RESPONSE1] that no discrepancies occurred for this item. The Party should specifically report on discrepancies according to 15/CMP.1 Annex I.E. Paragraph 12 in its annual submission. This information is consistent with [RRITL] R-2.

Ref Nr	Requirement	Assessment	Comments
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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party commented in [RESPONSE1] that no notifications were received by the registry. The Party should specifically report if any notifications were received in accordance with 15/CMP.1 annex I.E.Paragraph 13 in its annual submission This information is consistent with [RRITL], report R-3.
15/CMP.1 annex I.E paragraph 14 Non-certification notifications			
P1.2.7	Has the transaction log issued non-certification notifications to the Party's national registry?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party commented in [RESPONSE1] that no notifications were received by the registry. The Party should specifically report if any notifications were received in accordance with 15/CMP.1 annex I.E.Paragraph 14 in its annual submission This information is consistent with [RRITL], report R-3.

Ref Nr	Requirement	Assessment	Comments
15/CMP.1 annex I.E paragraph 15			
Non-replacement			
P1.2.9	Has the transaction log a record of non-replacement for this Party?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>The Party commented in [RESPONSE1] that no non replacement notifications were received by the registry. The Party should specifically report if any non replacement notifications were received in accordance with 15/CMP.1 annex I.E. Paragraph 15 in its annual submission</p> <p>This information is consistent with [RRITL] , report R-3.</p>

Ref Nr	Requirement	Assessment	Comments
15/CMP.1 annex I.E paragraph 16 Inconsistencies from discrepant transactions			
P1.2.11	Has the transaction log identified discrepant transactions proposed by the Party that were not terminated or cancelled?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Party commented in [RESPONSE1] that no invalid units exist in the registry as of December 31, 2009. The party should specifically report if any invalid units exist in the registry in accordance with 15/CMP.1 annex I.E. Paragraph 16 in its annual submission.
15/CMP.1 annex I.E paragraph 17 Actions 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	In its [RESPONSE1] the party reported that no actions were taken or changes made to correct discrepancies. The party should specifically report on changes made to correct discrepancies or to prevent them from reoccurring or specifically state that no changes were made according to 15/CMP.1 annex I.E. paragraph 17 in its annual submission.
15/CMP.1 annex I.E paragraph 18 CPR Calculation			
P1.2.14	Has Party reported the calculation of its commitment period reserve?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	In [RESPONSE1] the Party reported the calculation of its CPR. The party should report the calculation of its CPR according to 15/CMP.1 annex I.E. paragraph 18 in its annual submission.

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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	In [RESPONSE1] the party reported a change in the contact information for the registry administrator: Martine Kemmer Tel: + 352 40 56 56 525 martine.kemmer@aev.etat.lu The party should report changes to this information, or specifically state that there were no changes to this information in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (a)

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.2	<p>15/CMP.1 annex II.E paragraph 32.(b) Change of cooperation arrangement</p> <p>Has the Party reported changes to the names of the other Parties with which they cooperate in maintaining their national registry consolidated?</p>	[x] Yes [] No	[] Yes [x] No	<p>In [RESPONSE1] the party reported there was no change to the cooperation agreement.</p> <p>The Party should report changes to this information, or specifically state that there were no changes to this information, in its annual submission, in accordance with 15/CMP.1 annex II.E. paragraph 32 (b)</p>
P1.3.3	<p>15/CMP.1 annex II.E paragraph 32.(c) Change to the database or the capacity of National Registry</p> <p>Has the Party reported a change to the database structure or capacity of the national registry?</p>	[x] Yes [] No	[] Yes [x] No	<p>In [RESPONSE1] the party reported there was no change to the database structure or registry capacity.</p> <p>The Party should report changes to this information, or specifically state that there were no changes to this information in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (c)</p>

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.4	<p>15/CMP.1 annex II.E paragraph 32.(d) Change of conformance to technical standards</p> <p>Has the Party reported a change to how the national registry conforms to the technical standards for data exchange between registry systems?</p>	[x] Yes [] No	[x] Yes [] No	<p>In [RESPONSE1] the party reported on registry software version change management.</p> <p>[TESTRESULTS] consisting of the test plan and test results of EU sponsored test sessions were submitted.</p> <p>The party should report changes to this information and supply test documents, or specifically state that there were no changes to this information, in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (d)</p>
P1.3.5	<p>15/CMP.1 annex II.E paragraph 32.(e) Change of discrepancies procedures</p> <p>Has the Party reported a change to the procedures employed in the national registry to minimize discrepancies?</p>	[x] Yes [] No	[] Yes [x] No	<p>In [RESPONSE1] the party reported there were no changes in the procedures to minimize discrepancies.</p> <p>The party should report changes to this information, or specifically state that there were no changes to this information in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (e)</p>

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.6	<p>15/CMP.1 annex II.E paragraph 32.(f) Change of Security</p> <p>Has the Party reported a change to the security measures employed in the national registry to prevent unauthorized manipulations and to prevent operator error?</p>	[x] Yes [] No	[] Yes [x] No	<p>In [RESPONSE1] the party reported there were no changes in Security measures.</p> <p>The party should report changes to this information, or specifically state that there were no changes to this information in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (f)</p>
P1.3.7	<p>15/CMP.1 annex II.E paragraph 32.(g) Change of list of publicly available information</p> <p>Has the Party reported a change to the list of publicly accessible information?</p>	[x] Yes [] No	[] Yes [x] No	<p>In [RESPONSE1] the party reported there were no changes to the list of publicly available information.</p> <p>The party should report changes to this information, or specifically state that there were no changes to this information in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (g)</p>

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.8	<p>15/CMP.1 annex II.E paragraph 32.(h) Change of Internet address</p> <p>Has the Party reported a change to the Internet address of the national registry?</p>	[x] Yes [] No	[] Yes [x] No	<p>In [RESPONSE1] the party reported there were no changes to the internet address of the national registry.</p> <p>The party should report changes to this information, or specifically state that there were no changes to this information in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (h)</p>
P1.3.9	<p>15/CMP.1 annex II.E paragraph 32.(i) Change of data integrity measure</p> <p>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?</p>	[x] Yes [] No	[] Yes [x] No	<p>In [RESPONSE1] the party reported there were no changes in data integrity measures.</p> <p>The party should report changes to this information, or specifically state that there were no changes to this information in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (i)</p>

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.10	<p>15/CMP.1 annex II.E paragraph 32.(j) Change of test results</p> <p>Has the Party reported a change to the results of any test procedures?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>In [RESPONSE1] the party reported on registry test results for software upgrades and release management.</p> <p>[TESTRESULTS] consisting of the test plan and test results of EU sponsored test sessions were submitted.</p> <p>The party should report changes and supply test documents, or specifically state that there were no changes to test results, in its annual submission in accordance with 15/CMP.1 annex II.E. paragraph 32 (j)</p>

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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
P1.4.1.1	13/CMP.1 Annex paragraph 45 (a) Account name: the holder of the account	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
P1.4.1.2	13/CMP.1 Annex paragraph 45 (b) Account type: the type of account (holding, cancellation or retirement)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	In [RESPONSE1] the party references https://www.climateregistry.lu/crweb/report/public/accountOh.do https://www.climateregistry.lu/crweb/report/public/account.do The SIAR assessor was able to identify the Commitment period associated with these accounts in the public reports section of the public website.

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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	In [RESPONSE1] the party references https://www.climateregistry.lu/crweb/report/public/accountOh.do https://www.climateregistry.lu/crweb/report/public/account.do The SIAR assessor was able to identify the representative identifier associated with the accounts in the public reports section of the public website.
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
P1.4.2	13/CMP.1 Annex paragraph 46 Article 6 project information provided?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	In [RESPONSE1] the Party comments that the empty project list on Article 6 projects on the registry website was thought to be sufficient in order to inform the users that no Article 6 projects took place yet. A specific statement of this will be added with the next upgrade of the registry software. t
P1.4.2.1	13/CMP.1 Annex paragraph 46 (a) Project name: a unique name for the project	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	In [RESPONSE1] the Party comments that the empty project list on Article 6 projects on the registry website was thought to be sufficient in order to inform the users that no Article 6 projects took place yet. A specific statement of this will be added with the next upgrade of the registry software.

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	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	In [RESPONSE1] the Party comments that the empty project list on Article 6 projects on the registry website was thought to be sufficient in order to inform the users that no Article 6 projects took place yet. A specific statement of this will be added with the next upgrade of the registry software.
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	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	In [RESPONSE1] that Party comments that the empty project list on Article 6 projects on the registry website was thought to be sufficient in order to inform the users that no Article 6 projects took place yet. A specific statement of this will be added with the next upgrade of the registry software.
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.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	.In [RESPONSE1] that Party comments that the empty project list on Article 6 projects on the registry website was thought to be sufficient in order to inform the users that no Article 6 projects took place yet. A specific statement of this will be added with the next upgrade of the registry software.

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.3	13/CMP.1 Annex paragraph 47 Holding and transaction information provided?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Partial	<p>In its [RESPONSE1] the party states that according to the European Registry Regulation (EC 2216/2004, Annex XVI, 7 (d) & (f)) international transactions towards or from the registry are considered confidential for 5 years. The first publication of international transaction data will therefore be made on 15/01/2013. The party notes that they referenced the statement in their annual submission</p> <p>The assessor notes that the public reports section of the public website references that information is published in accordance with 2216/2004. The party should specifically reference the specific information that is considered confidential. This statement should be included in the annual submission as well as on the public website.</p>
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	<p>In its [RESPONSE] the party states that according to the European Registry Regulation (EC 2216/2004, Annex XVI, 7 (d) & (f)) international transactions towards or from the registry are considered confidential for 5 years. The first publication of international transaction data will therefore be made on 15/01/2013. The party references this in their annual submission and they also provide the instructions on how the assessor can locate this statement at an account level within the public website.</p> <p>Additionally the assessor notes that the public reports section of the public website references that information is published in accordance with 2216/2004.</p>

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) The total quantity of AAUs issued on the basis of the assigned amount pursuant to Article 3, paragraphs 7 and 8	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
P1.4.3.3	13/CMP.1 Annex paragraph 47 (c) The total quantity of ERUs issued on the basis of Article 6 projects	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
P1.4.3.4	13/CMP.1 Annex paragraph 47 (d) The total quantity of ERUs, CERs, AAUs and RMUs acquired from other registries and the identity of the transferring accounts and registries	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Partial	The Party provides the following reference to this information on its website: "International Transactions of Kyoto units will be shown after 5 years pursuant European Registry Regulation Annex xVI, 7."
P1.4.3.5	13/CMP.1 Annex paragraph 47 (e) The total quantity of RMUs issued on the basis of each activity under Article 3, paragraphs 3 and 4	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
P1.4.3.6	13/CMP.1 Annex paragraph 47 (f) The total quantity of ERUs, CERs, AAUs and RMUs transferred to other registries and the identity of the acquiring accounts and registries	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Partial	The Party provides the following reference to this information on its website: "International Transactions of Kyoto units will be shown after 5 years pursuant European Registry Regulation Annex xVI, 7."

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.3.7	13/CMP.1 Annex paragraph 47 (g) The total quantity of ERUs, CERs, AAUs and RMUs cancelled on the basis of activities under Article 3, paragraphs 3 and 4	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
P1.4.3.9	13/CMP.1 Annex paragraph 47 (i) The total quantity of other ERUs, CERs, AAUs and RMUs cancelled	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
P1.4.3.10	13/CMP.1 Annex paragraph 47 (j) The total quantity of ERUs, CERs, AAUs and RMUs retired	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR], paragraph 12.1.2

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.3.12	13/CMP.1 Annex paragraph 47 (l) Current holdings of ERUs, CERs, AAUs and RMUs in each account	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	In its [RESPONSE] the party states that according to the European Registry Regulation (EC 2216/2004, Annex xVI, 7 (d) & (f)) international transactions towards or from the registry are considered confidential for 5 years. The first publication of international transaction data will therefore be made on 15/01/2013. The party references this in their annual submission and they also provide the instructions on how the assessor can locate this statement at an account level within the public website. Additionally the assessor notes that the public reports section of the public website references that information is published in accordance with 2216/2004
P1.4.4	13/CMP.1 Annex paragraph 48 List of legal entities authorized by Party provided? ¹	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	The Party provides the following reference to this information on its website: "The account holder of each account is the legal entity authorized by Luxembourg to hold ERUs, CERs, AAUs and/or RMUs under its responsibility. The list of holding accounts constitutes the list of legal entities authorized by the Party as required by 13/CMP.1 Annex II paragraph 48."

¹ 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	<p>Paragraph 114 of FCCC/ARR/2009/LUX includes the strong recommendation of the previous ERT that Luxembourg should ensure sufficient resources are allocated to allow Luxembourg to report in a timely manner on Kyoto Protocol units, Kyoto Protocol transactions and changes in its national registry and to allow Luxembourg to report on any actions undertaken to address problems in its next annual submission.</p> <p>Further, in paragraph 117, the previous ERT recommends that Luxembourg in its next annual submission report any change(s) in its national registry in accordance with section I.G of the annex to decision 15/CMP.1.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<p>In [RESPONSE1] the party noted that the change of registry system administrator was the response to this recommendation since additional resources have been added to the registry management team. The party should specifically address how each previous recommendation was acted upon in their annual submission.</p>
P1.5.2	<p>Paragraph 114 of FCCC/ARR/2009/LUX includes the recommendation of the previous ERT that Luxembourg should enhance the user interface of its national registry by providing all the public information referred to in paragraphs 46 and 47 of the annex to decision 13/CMP.1, and report, in its next annual submission, on any changes to that public information.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>In [RESPONSE1] the party reported that the registry software upgrade of September 2009 provided a structural solution to improve the public reports module that now meets the publicly available information requirements (except the Article 6 specific statement that Luxembourg does not currently participate in Article 6 projects) The party should specifically address how each previous recommendation was acted upon in their annual submission</p>

P1.5.3	Paragraph 115 of FCCC/ARR/2009/LUX includes the recommendation of the previous ERT that Luxembourg include information on its commitment period reserve in its next annual submission.	[x] Yes [] No	In [RESPONSE1] the party reported its CPR. The party should specifically report the CPR calculation in its annual submission.
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