



UNFCCC ITL Administrator

Standard Independent Assessment Report
Assessment Report
Part 2 - Substance

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|------------------------|----------------------------|---------------|-------------|
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| Version | Date | Description |
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| 0.1 | 30/07/2010 | Initial draft |
| 1.0 | 30/07/2010 | Reviewed draft, version 1.0 to be sent to Party |
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Summary

| Ref Nr | Description | Value | Comments |
|--------|---|--|---|
| P2.0.1 | Party name | The Netherlands | |
| P2.0.2 | Reporting period | 2009 | |
| P2.0.3 | Submission under review | Files provided by the Party: - [SEF] SEF_NL_2010_2_14-42-58+22-4-2010.xls - [REPORTS] SIAR+Reports+2009-NL+v1.0.xls - [NIR] NIR2010-NL-V2.pdf | Files provided by the ITL Administrator: - [SEFCR] SEF_NL_2010_2_14-42-58+22-4-2010-CR.xls -[RRITL] SIAR_Reports_2009_NL_v1.1.xls |
| P2.0.4 | Previous annual review report reference | FCCC/ARR/2009/NLD (16 December 2009) | |

Table of Contents

- 1. Introduction..... 4**
 - 1.1. Overall assessment4**
 - 1.2. Summary of findings.....5**
- 2. Identification of Problems..... 6**
- 3. Identification of Significant Changes.....11**
- 4. Recommendations..... 14**
 - 4.1. Previous Expert Review Team recommendations 14**
 - 4.2. Recommendations to address identified problems..... 14**

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 type="checkbox"/> Yes <input checked="" 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 all 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) The Netherlands 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. 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) The Party has reported on corrective actions undertaken to reduce discrepancies between the national registry and the ITL with a view to minimizing operator error and ensuring efficient exchange of data with other registry systems including the ITL, and to improve the availability of public information. These actions were identified as necessary by the previous ERT. 5) The Party provided access to information from its national registry that substantiated for clarified the information reported in its annual submission. 6) The SIAR assessor found that 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 Netherlands has reported its commitment period reserve in its 2009 annual submission. 8) 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. |

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.

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 ERUs, CERs, AAUs and RMUs. |
| 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 | Party 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 | |

| 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? [X] Yes [] No | Discrepancies have been identified in R2 in [RRITL]. | |
| 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? [X] Yes [] No [] N/A | The ITL and the Party have reported the same discrepancy DES response code 4003. |
| | 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? [X] Yes [] No [] N/A | Party has reported the same type of discrepancy also prior to the Reported Year. |
| | 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? [X] Yes [] No [] N/A | All transactions were Terminated. |
| | 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? [] Yes [] No [X] N/A | This response code is related to out of sequence messaging. There is nothing for the Party to correct. The ITL Administrator will correct DES and the software message model. |
| | 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? [] Yes [] No [X] N/A | This response code is related to out of sequence messaging. There is nothing for the Party to correct. The ITL Administrator will correct DES and the software message model. |

| Ref Nr | Requirement | Assessment | Comment | |
|--|--|--|---|---|
| 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? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | The ITL and the Party have reported the same discrepancy DES response code 4010. |
| | 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | Party has reported the same type of discrepancy also prior to the Reported Year. |
| | 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 checked="" type="checkbox"/> No <input type="checkbox"/> N/A | One transaction was Cancelled, others were Terminated. |
| | 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 | This response code is related to out of sequence messaging. There is nothing for the Party to correct. The ITL Administrator will correct DES and the software message model. |
| | 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 | This response code is related to out of sequence messaging. There is nothing for the Party to correct. The ITL Administrator will correct DES and the software message model. |
| 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | No non-replacements occurred for the Party. | |

| Ref Nr | Requirement | Assessment | Comment | |
|---|-------------|---|---|---|
| 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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | 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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | 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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | 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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | 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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | In [NIR], paragraph 14.2, the Party states changes to the database and capacity of its national registry. |

| Ref Nr | Requirement | Has the Party reported a change? | Problem Identified with the Change? | Comment |
|---------------|--|---|--|--|
| P2.3.4 | 15/CMP.1 paragraph 32.(d) 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) | <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. |
| P2.3.5 | 15/CMP.1 paragraph 32.(e) 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 | <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. |
| P2.3.6 | 15/CMP.1 paragraph 32.(f) 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 | <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 |
|---------------|---|---|---|--|
| P2.3.7 | 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | In [NIR], paragraph 14.2, the Party states changes made to the data integrity measures. |
| 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No | In [NIR], paragraph 14.2, the Party states changes made to the results of its test procedures. |

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 | The Netherlands should further improve the measures put in place in its national registry with a view to minimizing operator errors and ensuring efficient exchange of data with other registry systems, including the international transaction log, in accordance with paragraph 115 (b) and (e) of the annex to decision 22/CMP.1. | [X] Yes [] No | [NIR], paragraph 14.1.1 Improvements on DES response codes 2008, 4003, 4010, 4008 and inconsistencies – new versions 4.2. and 4.3. of Greta software |
| P2.4.1.2 | “The Netherlands should implement measures listed in paragraph 6 of the summary of findings in the SIAR by the time of its next annual submission, and report in that submission on the changes made to the national registry following the successful implementation and testing of those measures, including any test plans and test reports. | [X] Yes [] No | [NIR], paragraph 14.1.2 Actions taken united with the previous recommendation (P2.4.1.1) |
| P2.4.1.3 | The Netherlands should enhance the user interface of its registry by the time of its next annual submission by providing the public information referred to in paragraphs 45, 46 and 48 of the annex to decision 13/CMP.1, and report, in the annual submission, on any changes to that public information. | [X] Yes [] No | [NIR], paragraph 14.1.3 The information on accounts and authorized legal entities is provided on the registry website |

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 | | | |
| P2.4.2.2 | | | |
| P2.4.2.3 | | | |
| P2.4.2.x | | | |