

UNFCCC ITL Administrator

Standard Independent Assessment Report Assessment Report Part 1 - Completeness

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Document change record

Version	Date	Description
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0.2	22/12/2015	Review of initial draft
1.0	22/12/2015	Draft 1.0 ready for distribution to Party
1.1	20/01/2016	File reviewed, no changes suggested
2.0	26/01/2016	Final version 2.0 for distribution

Summary

Ref Nr	Description	Value	Comments
P1.0.1	Party name	Germany	
P1.0.2	Reporting period	2014	
P1.0.3	Submission under review	Files submitted: - [SEF] RREG1_DE_2014.xlsx - [NIR] NIR_2015_Endfassung_englisch.pdf NIR_2015_addendum_kyoto_units.pdf - [ANNEX A] Annex A CSEUR_DB_MODEL_20150113.PDF - [ANNEX B] Annex B - Changes from V6.2.1 - 6.3.3.2_v2.xlsx - [ANNEX H] Annex H test results EU 2015.docx	Information from the ITL Administrator: - [SEFCR] CR_RREG1_DE_2014.xlsx - [ITL REPORTS R2-R5] RITL2_DE_2014.xlsx RITL3_DE_2014.xlsx RITL4_DE_2014.xlsx RITL5_DE_2014.xlsx
P1.0.4	Previous annual review report reference	FCCC/ARR/2014/DEU (28/04/2015)	

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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?	[]Yes []No [x]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	I annex I.E paragraph 11				
Standard	l 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?	tocol units in the reporting period or in any year			
	(If yes, Party is required to submit the SEF report)				
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?		[x]Yes []No	[x]Yes []No	The Party's SEF report [SEF] was made available to assessors by 15/04/2015.
	(Yes is also indicated when the Party has not submitted a SEF and was not required to do so)				
15/CMP.1	l annex I.E paragraph 12				
Discrepa	nt 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 [ITL REPORTS R2-R5], 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 [ITL REPORTS R2-R5], report R-2).		

Ref Nr	Requirement	Assessment	Comments
15/CMP.1	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 [ITL REPORTS R2-R5], 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 [ITL REPORTS R2-R5], report R-3).
15/CMP.1	1 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 [ITL REPORTS R2-R5], 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 [ITL REPORTS R2-R5], report R-3).
15/CMP.1	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 [ITL REPORTS R2-R5], report R-3).

Ref Nr	Requirement	Assessment	Comments
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 [ITL REPORTS R2-R5], report R-3).
15/CMP.1	l 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.
	I 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	I annex I.E paragraph 18		
CPR Calo	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 [NIR], Chapter 12.5.

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 [NIR], Chapter 14, the Party states that no changes have been made to the name and contact information of the registry administrator.
P1.3.2	15/CMP.1 annex II.E paragraph 32.(b)Change of cooperation arrangementHas 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 [NIR], Chapter 14, the Party states that no changes have been made to its cooperation arrangements.

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
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	[x]Yes []No	In [NIR], Chapter 14, the Party states that no changes have been made to the capacity of the national registry and that changes introduced to the database structure were limited and only affected EU ETS functionality. Assessor notes that relevant common CSEUR documentation [ANNEX A] was referenced in the
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	[x]Yes []No	Party's submission. In [NIR], Chapter 14, the Party states that changes made during the reported period were limited and only affected EU ETS functionality. Assessor notes that relevant common CSEUR documentation [ANNEX B] was referenced in the Party's submission.

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
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 [NIR], Chapter 14, the Party states that no changes have been made to the procedures employed in its national registry to minimize discrepancies.
P1.3.6	15/CMP.1 annex II.E paragraph 32.(f)Change of SecurityHas 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 [NIR], Chapter 14, the Party states that no changes have been made to the security measures employed in its national registry.
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 [NIR], Chapter 14, 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.
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 [NIR], Chapter 14, the Party states that no changes have been made to the Internet address of its national registry.

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.9	15/CMP.1 annex II.E paragraph 32.(i)Change of data integrity measureHas 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 [NIR], Chapter 14, the Party states that no changes have been made to the data integrity measures.
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	[x]Yes []No	In [NIR], Chapter 14, the Party states that both regression testing and tests on the new functionality were successfully carried out prior to release of the version 6.1.7.1 to Production. However, the Party states that changes introduced in this release limited and only affected EU ETS functionality. Assessor notes that relevant common CSEUR documentation [ANNEX B] and [ANNEX H] was referenced in the Party's submission.

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 [] No [x] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.
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	[x] Yes [] No [] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
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	[x] Yes [] No [] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
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 this publicly available information in [NIR], Chapter 12.4.
P1.4.3	13/CMP.1 Annex paragraph 47 Holding and transaction information provided?	[x]Yes []No	[] Yes [] No [x] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
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	[x] Yes [] No [] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
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	[x]Yes []No	[] Yes [x] No [] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
P1.4.3.3	13/CMP.1 Annex paragraph 47 (c) The total quantity of ERUs issued on the basis of Article 6 projects	[x]Yes []No	[] Yes [x]No [] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
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	[x]Yes []No	[]Yes []No [x] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
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	[x]Yes []No	[] Yes [x] No [] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
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	[x]Yes []No	[] Yes [] No [x] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
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	[x]Yes []No	[] Yes [x] No [] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
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 this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.
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 this publicly available information in [NIR], Chapter 12.4.
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	[x] Yes []No [] Partial	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.
P1.4.4	13/CMP.1 Annex paragraph 48 List of legal entities authorized by Party provided? ¹	[x]Yes []No	[]Yes [x]No	The Party provides reference to this publicly available information in [NIR], Chapter 12.4.

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	There are no recommendations related to the national registry in the previous Annual Review report (ref.: FCCC/ARR/2014/DEU (28/04/2015)).	[]Yes []No	N/A
P1.5.2		[] Yes [] No	
P1.5.3		[] Yes [] No	
P1.5.x		[] Yes [] No	