

## **United Nations** Climate Change Secretariat

### **Nations Unies**

Secrétariat sur les changements climatiques

### **UNFCCC ITL Administrator**

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

Reference:	IAR/2014/LTU/1/2		
Version number:	2.0	State:	Final
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### **Document change record**

Version	Date	Description
0.1	27/01/2016	Initial draft
0.2	29/01/2016	Review of initial draft
1.0	29/01/2016	Draft 1.0 ready for distribution to the Party
1.1	26/02/2016	File reviewed, no changes suggested
2.0	26/02/2016	Final version 2.0

# **Summary**

Ref Nr	Description	Value	Comments
P1.0.1	Party name	Lithuania	
P1.0.2	Reporting period	2014	
P1.0.3	Submission under review	Files submitted: - [SEF] RREG1_LT_2014.xlsx - [NIR] LT_NIR 2015.pdf -[ANNEXES] LT_NIR_Annexes_2015.pdf - [RESPONSE] Consultation_form_P12 LT).doc	Information from the ITL Administrator: - [SEFCR] CR_RREG1_LT_2014.xlsx - [ITL REPORTS R2-R5] RITL2_LT_2014.xlsx RITL3_LT_2014.xlsx RITL4_LT_2014.xlsx RITL5_LT_2014.xlsx
P1.0.4	Previous annual review report reference	FCCC/ARR/2014/LTU (21/01/2015)	

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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	[ ]Yes [x]No	
	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?	P1.2.6, P1.2.8, P1.2.10, P1.2.12-14, P1.3.3, P1.3.10	
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?	[ ]Yes [x]No	
		P1.4.1, P1.4.1.1, P1.4.1.4 - P1.4.4	
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 annex I.E paragraph 11		
Standard	d 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)	[x]Yes[]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)	[x]Yes []No	The Party's SEF report [SEF] was made available to assessors by 24/03/2015.
15/CMP.	1 annex I.E paragraph 12		
Discrepa	ant transactions		
P1.2.3	Has the transaction log identified discrepancies in transactions proposed by the Party?	[ ]Yes [x]No	The ITL identified no discrepancies with transactions proposed by the Party during the reported period (see [RRITL], Report R-2).
P1.2.4	Has Party reported all discrepancies as required by paragraph 12 of the annex to decision 15/CMP.1?	[x]Yes []No	The Party reported that no discrepancies occurred during the reported period. The information has been verified and matches the ITL records (see [RRITL], report R-2).

Ref Nr	Requirement	Assessment	Comments
15/CMP.1	annex I.E paragraph 13		
Reversal	of storage notifications		
P1.2.5	Has the transaction log issued reversal of storage notifications to the Party's national registry?	[ ]Yes [x]No	The ITL identified no reversal of storage notifications to the Party's national registry during the reported period (see [RRITL], Report R-3).
P1.2.6	Has Party reported all notifications directing it to replace ICERs in accordance with paragraph 49 of the annex to decision 5/CMP.1?	[ ]Yes [x]No	Party did not state whether type 4 notifications occurred or not.
15/CMP.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 [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?	[ ]Yes [x]No	Party did not state whether type 5 notifications occurred or not.
15/CMP.1	annex I.E paragraph 15		
Non-repla	acement		
P1.2.9	Has the transaction log a record of non-replacement for this Party?	[ ]Yes [x]No	The ITL identified no non-replacement notifications to the Party's national registry during the reported period (see [RRITL], Report R-3).
P1.2.10	Has Party reported all non-replacements in accordance with paragraph 56 of the annex to decision 5/CMP.1?	[ ]Yes [x]No	Party did not state whether non-replacement notifications occurred or not.

Ref Nr	Requirement	Assessment	Comments			
15/CMP.1	15/CMP.1 annex I.E paragraph 16					
Inconsis	Inconsistencies 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?	[ ]Yes [x]No	Party did not report 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.			
	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?	[ ]Yes [x]No	Party did not report 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.			
15/CMP.1	15/CMP.1 annex I.E paragraph 18					
CPR Cald	culation					
P1.2.14	Has Party reported the calculation of its commitment period reserve?	[ ]Yes [x]No	Party did not report the calculation of its commitment period reserve.			

# 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	[x]Yes []No	In [NIR] chapter 14, page 503 the Party reports that a change of the registry administrator occurred and provides contact information.
P1.3.2	15/CMP.1 annex II.E paragraph 32.(b) Change of cooperation arrangement Has the Party reported changes to the names of the other Parties with which they cooperate in maintaining their national registry consolidated?	[x]Yes []No	[]Yes [x]No	In [NIR] chapter 14, page 503 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?	[]Yes [x]No	[x]Yes []No	In [NIR] chapter 14, page 503 the Party states that no changes related to Kyoto functionality have been made to the database and capacity of its national registry.  The Party does not reference any supplementary materials in its submission. However, the assessor is aware that changes have taken place affecting all CSEUR Parties. The Party must report these changes and provide direct reference to any supplementary documentation that has been submitted.
P1.3.4	15/CMP.1 annex II.E paragraph 32.(d) Change of conformance to technical standards Has the Party reported a change to how the national registry conforms to the technical standards for data exchange between registry systems?	[x]Yes []No	[ ]Yes [x]No	In [NIR] chapter 14, page 503 the Party states that changes to the National Registry were limited and that these only affected EU ETS functionality. The Party states as well that no other changes have been made to the conformance to technical standards by its national registry.

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, page 503 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 Security  Has the Party reported a change to the security measures employed in the national registry to prevent unauthorized manipulations and to prevent operator error?	[x]Yes []No	[]Yes [x]No	In [NIR] chapter 14, page 503 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, page 504 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, page 504 the Party states that no changes have been made to the Internet address of its national registry.
P1.3.9	15/CMP.1 annex II.E paragraph 32.(i) Change of data integrity measure Has the Party reported a change to the measures ensuring the integrity of data storage and the recovery of registry services in the event of a disaster?	[x]Yes []No	[ ]Yes [x]No	In [NIR] chapter 14, page 504 the Party states that no changes have been made to the data integrity measures.

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
P1.3.10	15/CMP.1 annex II.E paragraph 32.(j) Change of test results	[ ]Yes [x]No	[x]Yes []No	In [NIR] chapter 14, page 504 the Party states that no
	Has the Party reported a change to the results of any test procedures?			changes have been made to the results of its test procedures. The Party does not reference any supplementary materials in its submission. However, the assessor is aware that changes have taken place affecting all CSEUR Parties. The Party must report these changes and provide direct reference to any supplementary documentation that has been submitted.

### 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?	[ ]Yes [x]No	[ ] Yes [ ] No [x] Partial	The Party provides reference to publicly available information in [NIR] paragraph 12.4, page 500.
	7.000drk illionnation provided.			The assessor notes that the website (EUTL) is not under the Party's control. Additionally referenced website http://www.laaif.lt/ is not available in English.
P1.4.1.1	13/CMP.1 Annex paragraph 45 (a) Account name: the holder of the	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly available information.
	account			The assessor notes that if this information is identified as confidential the Party should clearly state that in the [NIR].
P1.4.1.2	13/CMP.1 Annex paragraph 45 (b) Account type: the type of account	[x]Yes []No	[ ]Yes [x]No[ ]Partial	The Party provides reference to publicly available information in [NIR] paragraph 12.4, page 500.
	(holding, cancellation or retirement)			The assessor notes that the website (EUTL) is not under the Party's control. Additionally referenced website http://www.laaif.lt/ is not available in English.
P1.4.1.3	13/CMP.1 Annex paragraph 45 (c)	[x]Yes []No	[ ]Yes [x]No[ ]Partial	The Party provides reference to publicly available information in [NIR] paragraph 12.4, page 500.
	Commitment period: the commitment period with which a cancellation or retirement account is associated			The assessor notes that the website (EUTL) is not under the Party's control. Additionally referenced website http://www.laaif.lt/ is not available in English.

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)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly available information.
	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			The assessor notes that if this information is identified as confidential the Party should clearly state that in the [NIR].
P1.4.1.5	13/CMP.1 Annex paragraph 45 (e)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly available information.
	Representative name and contact information; the full name, mailing address, telephone number, facsimile number and email address of the representative of the account holder			The assessor notes that if this information is identified as confidential the Party should clearly state that in the [NIR].
P1.4.2	13/CMP.1 Annex paragraph 46	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly available information.
	Article 6 project information provided?			avaliable information.
P1.4.2.1	13/CMP.1 Annex paragraph 46 (a)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly
	Project name: a unique name for the project			available information.
P1.4.2.2	13/CMP.1 Annex paragraph 46 (b)	[ ] Yes [x] No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly
	Project location; the Party and town or region in which the project is located			available information.
P1.4.2.3	13/CMP.1 Annex paragraph 46 (c)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly
	Years of ERU issuance; the years in which ERU's have been issued as a result of the Article 6 project			available information.

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,	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly available information.
	including proposals, monitoring, verification and issuance of ERU's, where relevant, subject to the confidentiality provisions in decision 9/CMP.1.			
P1.4.3	13/CMP.1 Annex paragraph 47	[ ]Yes [x]No	[ ] Yes [x]No[] Partial	The Party does not provide reference to this publicly available information.
	Holding and transaction information provided?			The assessor notes that if this information is identified as confidential the Party should clearly state that in the [NIR].
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	[ ]Yes [x]No	[ ] Yes [x]No[ ] Partial	The Party does not provide reference to this publicly available information.
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	[ ]Yes [x]No	[ ] Yes [x]No[ ] Partial	The Party does not provide reference to this publicly available information.
P1.4.3.3	13/CMP.1 Annex paragraph 47 (c) The total quantity of ERUs issued on the basis of Article 6 projects	[ ]Yes [x]No	[ ] Yes [x]No[ ] Partial	The Party does not provide reference to this publicly available information.

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)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly
	The total quantity of ERUs, CERs, AAUs and RMUs acquired from other registries and the identity of the transferring accounts and registries			available information.
P1.4.3.5	13/CMP.1 Annex paragraph 47 (e)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly
	The total quantity of RMUs issued on the basis of each activity under Article 3, paragraphs 3 and 4			available information.
P1.4.3.6	13/CMP.1 Annex paragraph 47 (f)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly
	The total quantity of ERUs, CERs, AAUs and RMUs transferred to other registries and the identity of the acquiring accounts and registries			available information.
P1.4.3.7	13/CMP.1 Annex paragraph 47 (g)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly
	The total quantity of ERUs, CERs, AAUs and RMUs cancelled on the basis of activities under Article 3, paragraphs 3 and 4			available information.
P1.4.3.8	13/CMP.1 Annex paragraph 47 (h)	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly
	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			available information.

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	[ ]Yes [x]No	[ ] Yes [x]No[ ] Partial	The Party does not provide reference to this publicly available information.
P1.4.3.10	13/CMP.1 Annex paragraph 47 (j) The total quantity of ERUs, CERs, AAUs and RMUs retired	[ ]Yes [x]No	[ ] Yes [x]No[ ] Partial	The Party does not provide reference to this publicly available information.
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	[ ]Yes [x]No	[ ] Yes [x] No [ ] Partial	The Party does not provide reference to this publicly available information.
P1.4.3.12	13/CMP.1 Annex paragraph 47 (I) Current holdings of ERUs, CERs, AAUs and RMUs in each account	[ ]Yes [x]No	[ ] Yes [x]No[ ] Partial	The Party does not provide reference to this publicly available information.
P1.4.4	13/CMP.1 Annex paragraph 48 List of legal entities authorized by Party provided? <sup>1</sup>	[ ]Yes [x]No	[ ] Yes [x]No[] Partial	The Party does not provide reference to this publicly available information.

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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	No recommendations in FCCC/ARR/2014/LTU (21/01/2015)	[ ] Yes [ ] No	There were no Expert Review Team recommendations.
P1.5.2		[ ] Yes [ ] No	
P1.5.3		[ ] Yes [ ] No	
P1.5.x		[ ] Yes [ ] No	