



UNFCCC ITL Administrator

**Standard Independent Assessment Report
Assessment Report
Part 2 - Substance**

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Summary

Ref Nr	Description	Value	Comments
P2.0.1	Party name	Ukraine	
P2.0.2	Reported year	2015	
P2.0.3	Submission under review	Files submitted: - [SEF] - MISSING - [NIR] Ukraine_NIR_2016_eng - [IR] Ukraine's Initial Report CP2 - [RESPONSE] UA Response to draft assessment_form_P12.docx	Information from the ITL Administrator: - [SEFCR] – Requires [SEF] - [RRITL] ITL R2-R5 RITL2_UA_2015 RITL3_UA_2015 RITL4_UA_2015 RITL5_UA_2015
P2.0.4	Previous annual review report reference	FCCC/ARR/2015/UKR	

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1. Introduction

The SIAR Part 2 report assesses the substance of a Party's annual submission with regard to its national registry. Each section contains questions related to the specific items to be assessed.

1.1. Overall assessment

Ref Nr	Requirement	Assessment
P2.1.1	Is the information submitted by Party, in relation to its national registry, complete?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No P1.2.2 - 1.2.13 P1.3.9 P1.3.11
P2.1.2	Problem found with Party's national registry?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
P2.1.3	Any unresolved problem with Party's national registry?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
P2.1.4	Problems identified with the significant changes to the Party's national registry?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
P2.1.5	National registry related recommendations from previous annual review were fully addressed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
P2.1.6	Is there any recommendation that needs to be addressed by the Party?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No P2.2.1 P2.2.4.1-4

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 not been reported in accordance with section I.E of the annex to decision 15/CMP.1. The national registry does not fulfil all requirements with regard to its reporting and accounting of information on Kyoto Protocol units, transaction procedures, conformance to the technical standards, publicly availability of information, security, data integrity and recovery measures. 2. Party has not 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. 3. Information on the accounting of Kyoto units has not 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 SIAR Assessor notes that as of August 3, 2015 the technical administration of the registry has stopped and the connection with the International Transaction Log has been discontinued. The SIAR assessor recommends that Party address this problem and report the results in its next annual submission. 5. Party has reported its commitment period reserve in its 2015 annual submission. 6. The national registry has not fulfilled the requirements regarding the public availability of information in accordance with section II.E of the annex to decisions 13/CMP.1. The SIAR assessor recommends that Party include up to date Account information, Article 6 project information, Holding and transaction information, and List of legal entities authorized by Party. <p><u>Recommendations</u></p> <ol style="list-style-type: none"> 7. The SIAR assessor recommends that the Party submits 2014 and 2015 CP2 SEF reports. 8. The SIAR assessor recommends that the Party submit or make explicit references to 2015 RREG2-4 reports.

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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Party did not submit 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Party did not submit 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Party did not submit 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 tCERs and ICERS.
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 did not submit 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? [] Yes [X] No	No discrepancies occurred for the Party	
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? [] Yes [] No [X] N/A	No discrepancies occurred for the Party
	P2.2.10.2	22/CMP.1 paragraph 88.(j)(ii) Assess whether the same type of discrepancy has occurred previously for that Party;	Has the same type of discrepancy occurred previously for that Party? [] Yes [] No [X] N/A	No discrepancies occurred for the Party
	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? [] Yes [] No [X] N/A	No discrepancies occurred for the Party
	P2.2.10.4	22/CMP.1 paragraph 88.(j)(iv) Has the Party corrected the problem that caused the discrepancy?	Problem that caused the discrepancy corrected? [] Yes [] No [X] N/A	No discrepancies occurred for the Party
	P2.2.10.5	22/CMP.1 paragraph 88.(j)(v) Assess whether the problem that caused the discrepancy relates to the capacity of the national registry to ensure the accurate accounting of Kyoto Protocol units, issuance, holding, transfer, acquisition, cancellation and retirement of ERUs, CERs, tCERs, ICERs, AAs and RMUs, the replacement of tCERs and ICERs, and the carry-over of ERUs, CERs and AAs	Discrepancy relates to the capacity of the national registry to ensure the accurate accounting? [] Yes [] No [X] N/A	No discrepancies occurred for the Party

Ref Nr	Requirement	Assessment	Comment	
P2.2.11	22/CMP.1 paragraph 88.(k) Any record of non-replacement has been sent to the Party by the transaction log in relation to tCERs or ICERs held by the Party, and if so the expert review team shall:	Any tCERs or ICERs subject to non-replacement held by Party? [] Yes [X] No	No non-replacements occurred for the Party.	
Repeat for each non-replacement type (incl. Type number	P2.2.11.1	22/CMP.1 paragraph 88.(k)(i) Verify that the non-replacement has occurred and been correctly identified by the transaction log;	Has the transaction log identified the non-replacement? [] Yes [] No [X] N/A	No non-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? [] Yes [] No [X] 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? [] Yes [] No [X] 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? [] Yes [] No [X] 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? [] Yes [] No [X] 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	Party did not report changes in its national registry in its 2016 annual submission compared with the previous annual submissions.
P2.3.3	15/CMP.1 paragraph 32.(c) A description of the database structure and capacity of the national registry.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	Party did not report changes in its national registry in its 2016 annual submission compared with the previous annual submissions.

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	Party did not report changes in its national registry in its 2016 annual submission compared with the previous annual submissions.
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	Party did not report changes in its national registry in its 2016 annual submission compared with the previous annual submissions.
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	Party did not report changes in its national registry in its 2016 annual submission compared with the previous annual submissions.

Ref Nr	Requirement	Has the Party reported a change?	Problem Identified with the Change?	Comment
P2.3.7	15/CMP.1 paragraph 32.(g) A list of the information publicly accessible by means of the user interface to the national registry	Not a significant change, left here for completeness		
P2.3.8	15/CMP.1 paragraph 32.(h) The Internet address of the interface to its national registry	Not a significant change, left here for completeness		
P2.3.9	15/CMP.1 paragraph 32.(i) A description of measures taken to safeguard, maintain and recover data in order to ensure the integrity of data storage and the recovery of registry services in the event of a disaster	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	Party did not report changes in its national registry in its 2016 annual submission compared with the previous annual submissions.
P2.3.10	15/CMP.1 paragraph 32.(j) The results of any test procedures that might be available or developed with the aim of testing the performance, procedures and security measures of the national registry undertaken pursuant to the provisions of decision 19/CP.7 relating to the technical standards for data exchange between registry systems.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	Party did not report changes in its national registry in its 2016 annual submission compared with the previous annual submissions.

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?	Comment
P2.4.1.1	No recommendations were provided to the Party in FCCC/ARR/2015/UKR	<input type="checkbox"/> Yes <input type="checkbox"/> No	N/A
P2.4.1.2		<input type="checkbox"/> Yes <input type="checkbox"/> No	
P2.4.1.3		<input type="checkbox"/> Yes <input type="checkbox"/> No	
P2.4.1.x		<input type="checkbox"/> Yes <input type="checkbox"/> No	

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	P.1.2.2 – P.1.2.13	<p>The SIAR assessor recommends that the Party submits 2014 and 2015 CP2 SEF reports.</p> <p>The SIAR assessor recommends that the Party submits or references to 2015 RREG2-4 reports.</p>	<p>The Party did not provide CP2 SEF for 2014 and 2015. The Party refers in [NIR] Section 12.2 to the NIR submitted in 2015. This report does not include information relevant to the reporting period.</p> <p>In [RESPONSE] Party states that on 23 August 2016 the operational status of UA Registry was changed and reconciliation completed successfully also. After necessary actions, Ukraine will submit actual SEF and actual RREG2-4 reports.</p>

Ref Nr	Recommendation Ref	Recommendation description	Comment
P2.4.2.2	P1.3.9	The SIAR assessor recommends that the party submit a disaster recovery plan in line with FCCC/SBI/2015/10.	<p>Party did not submit a disaster recovery plan as part of the NIR submission in line with FCCC/SBI/2015/10,</p> <p>In [RESPONSE] Party states that after renewal of the UA Registry proper work Ukraine will prepare and submit a disaster recovery plan.</p>
P2.4.2.3	P1.3.11	The SIAR assessor recommends that the party clearly state if they have established a previous period surplus reserve (PPSR) account in its national registry.	<p>The assessor was unable to find reference in [INITIAL REPORT] as to whether or not the Party established a previous period surplus reserve account in its national registry.</p> <p>In [RESPONSE] Party states that on 23 August 2016 the operational status of UA Registry was changed and reconciliation completed successfully also. After renewal of the UA Registry proper work Ukraine will establish a previous period surplus reserve account in its national registry.</p>

Ref Nr	Recommendation Ref	Recommendation description	Comment
P2.4.2.4	P1.4.1-P1.4.4	The SIAR assessor recommends that the publicly available information be up to date (i.e. updated as close to real time as possible, but at least updated on a monthly basis).	<p>The Party provides reference to correctly formatted and descriptive public information at http://www.carbonunitsregistry.gov.ua</p> <p>The assessor notes however that the published information for paragraphs 45-48 is not up to date (i.e. updated as close to real time as possible, but at least updated on a monthly basis).</p> <p>The Party reports in [NIR] section 12.1 “On August 3, 2015, the technical administrator of the Registry stopped providing to the State Environmental Investment Agency of Ukraine services to support functioning of the Registry. Since then, the connection with the International Transaction Log was discontinued, and no new data were introduced into the Registry.” However, a similar statement is not available on http://www.carbonunitsregistry.gov.ua.</p> <p>In [RESPONSE] Party states that on 23 August 2016 the operational status of UA Registry was changed and reconciliation completed successfully also. After necessary actions, Ukraine will update the information at the website of the UA Registry carbonunitsregistry.gov.ua</p>
P2.4.2.x			