



UNFCCC ITL Administrator

Standard Independent Assessment Report
Assessment Report
Part 1 - Completeness

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Prepared by:	Mark Looman/BE Federal Public service of Health		
Reviewed by:	Bryan Eckstein/SRA International, Inc.		
Approved by:	Vitaly Matsarski/UNFCCC		

Circulation list

Name/Role	Organization	Info/Action
Mark Looman/Assessor	BE Federal Public service of Health	Info
Bryan Eckstein/Assessor Coordinator	SRA International, Inc.	Info
Titti Norlin/RSA Main Contact	Swedish Energy Agency	Action

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Summary

Ref Nr	Description	Value	Comments
P1.0.1	Party name	Sweden	
P1.0.2	Reporting period	2009	1/01/2009 – 31/12/2009
P1.0.3	Submission under review	<p>Files submitted:</p> <ul style="list-style-type: none"> - [SEF] SEF_SE_2010_2_16-34-44 12-3-2010.xls - [SEF2] SEF_SE_2010_3_13-7-26 4-5-2010.xls - [NIR] SE_NIR submission 2010 15 januari.pdf (15/01/2010) -[NIR A] SE_NIR-submission-2010-Annexes.pdf (15/01/2010) - [TEST] SE_20090720 SFW V4.1 Test Report.pdf (15/01/2010) - [CERT] SE_Certification email from CITL on golive_SE.pdf (15/01/2010) - [SOFT] SE_ETR v4.1.14 Release Notes.pdf (15/01/2010) - [REPORTS] SE_SIAR Reports 2009-SE v1 0.xls (23/04/2010) <i>(the assessor assumed this is the file referenced by the Party in [NIR A] p.99 as “SE_SIAR Reports 2010-SE v1 0.xls”, where 2010 seems to be a typing error)</i> - [RESPONSE1] SIAR Consultation Form SWE.doc (9/07/2010) 	<p>Information from the ITL Administrator:</p> <ul style="list-style-type: none"> - [SEFCR] SEF_SE_2010_2_16-34-44 12-3-2010-CR.xls (23/04/2010) - [SEFCR2] SEF_SE_2010_3_13-7-26 4-5-2010-CR.xls - [RRITL] SIAR_Reports_2009_SE_v1.1.xls (21/04/2010)
P1.0.4	Previous annual review report reference	FCCC/ARR/2009/SWE (9/04/2010)	

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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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
P1.1.3	Explanation of how the previous Annual Review recommendations have been addressed?	<input checked="" type="checkbox"/> Yes <input 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 [SEF2] and [SEFCR2].
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 2009 report [SEF] was made available to assessors by 21 April 2010. The assessor notes that the first SEF [SEF] submitted by Sweden (see [SEFCR], table 2 (b)) shows 16,507 Independently verified ERUs reported by the Party, versus 0 reported by ITL. This discrepancy in 2(b) seems due to the first time transfer of Track 2 ERUs similar as in other GRETA registries. Sweden resubmitted the SEF report as [SEF2], to address this concern.
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).

Ref Nr	Requirement	Assessment	Comments
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	<p>The Party reported no discrepancies during the reported period in the list in report R-2 of [REPORTS], matching the [RRITL], report R-2).</p> <p>The assessor notes that Sweden made no explicit statement that there were no discrepancies corresponding to the list "Applicable DES response code" in the document "SIAR Reporting Requirements and Guidance for Registries", and suggests that Sweden only populate the R-2 with the specified response codes or to leave the list empty with a clear statement that no discrepant transactions occurred in the reported year.</p>
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	<p>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 [RRITL], report R-3).</p> <p>See also http://www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS/</p>
15/CMP.1 annex I.E paragraph 14			
Non-certification notifications			

Ref Nr	Requirement	Assessment	Comments
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?	[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 [RRITL], report R-3). See also http://www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS/
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?	[] 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?	[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 [RRITL], report R-3). See also http://www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS/

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?	[] 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. (See [NIR A] p.100 paragraph 3)
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?	[X] Yes [] No	<p>The Party reported that no changes were made to the procedures to prevent and/or resolve discrepancies during the 2009 reporting period (see [NIR A] p.95). However regarding the registry software, the Party reports that improvements have been made to eliminate the discrepant/cancelled/rejected transactions due to large number of unit blocks ([NIR A] p.100 paragraph 4).</p> <p>The assessor did not find a mention of any other specific actions taken to correct problems that caused discrepancies to occur, to prevent discrepancies from reoccurring, or to address previously identified questions of implementation pertaining to transactions.</p>
15/CMP.1 annex I.E paragraph 18			
CPR Calculation			
P1.2.14	Has Party reported the calculation of its commitment period reserve?	[X] Yes [] No	The Party reported the commitment period reserve (CPR) in [NIR A] p.98 paragraph 2.

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 [NIR A] p.94 paragraph 1, the Party provides a new name and contact information for the registry administrator.
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	In [NIR A] p.94 paragraph 2, the Party states that no changes have been made to its cooperation arrangement in itself. However the GRETA collective of Registries (of which Sweden is a licensee) changed its IT supplier from Siemens Services and Solutions Ltd. to SFW Ltd. due to the end of a framework contract. Development and support has been taken over by SFW Ltd. as of 9/02/2009.

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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	In [NIR A] p.94 paragraph 3, the Party states that changes have been made to some functionalities. This had an impact on the database structure and capacity of its national registry. A release note [SOFT] specifying the changes and a test report [TEST] is provided.
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	In [NIR A] p.95 paragraph 2, the Party states that no changes have been made to the conformance to technical standards by its national registry.
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	In [NIR A] p.95 paragraph 3, 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	In [NIR A] p.95 paragraph 4, the Party states that no changes have been made to the security measures employed in its national registry.

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	In [NIR A] p.95 paragraph 5, the Party lists the changes that 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	In [NIR A] p.97 paragraph 2, 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	In [NIR A] p.97 paragraph 3, 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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	In [NIR A] p.97 paragraph 4, the Party lists the changes made to the results of its test procedures. A release note [SOFT] specifying the changes and a test report [TEST] with a Certification confirmation [CERT] from the European Commission is provided.

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 [] No	[] Yes [] No <input checked="" type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR A] p.95 paragraph 5 and clearly identified which part of the information is considered confidential (i.e. representative identification information).
P1.4.1.1	13/CMP.1 Annex paragraph 45 (a) Account name: the holder of the account	<input checked="" type="checkbox"/> Yes [] No	[] Yes <input checked="" type="checkbox"/> No [] Partial	The Party provides reference to this publicly available information in [NIR A] p.95 paragraph 5, the info is further available at https://www1.stem.se/etjanster/default.aspx > Rapport

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	<p>The Party provides reference to this publicly available information in [NIR A] p.95 paragraph 5, however only through a link via www.swedishenergyagency.se to the CITL website of the European Commission.</p> <p>According to [RESPONSE1] P1.4.1.2 to P1.4.1.4, the S-IAR Submission states <i>“In light of the forthcoming amendments introduced by Article 78 of the revised Registries Regulation (due to come into force in August 2010) and for security reasons, it is considered that the representative identification information as required in paragraph 45 and paragraph 48 is held as confidential.”</i></p> <p>This is indeed confirmed by [NIR A] p.96 paragraph 2. The SIAR assessor notes, however, that account type is not representative information, but account information.</p>
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	<p>The Party provides reference to this publicly available information in [NIR A] p.95 paragraph 5, however only through a link via www.swedishenergyagency.se to the CITL website of the European Commission.</p> <p>According to [RESPONSE1] as stated above, [NIR A] p.96 paragraph 2 confirms this information is held as confidential.</p> <p>The SIAR assessor notes, however, that commitment period of a cancellation or retirement account is not representative information, but account information.</p>

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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this publicly available information in [NIR A] p.95 paragraph 5, however only through a link via www.swedishenergyagency.se to the CITL website of the European Commission. According to [RESPONSE1] as stated above, [NIR A] p.96 paragraph 2 confirms this information is held as confidential.
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 for Operator and Person Holding Accounts in [NIR A] p.95 paragraph 5, the info is further available at https://www1.stem.se/etjanster/default.aspx > Rapportør
P1.4.2	13/CMP.1 Annex paragraph 46 Article 6 project 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 notes in [NIR A] p.96 paragraph 3 that no Article 6 project is reported, as it did not occur in 2009. However, the publicly available information on the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS does not explicitly state for example "No Article 6 (Joint Implementation) project is reported, as conversion to an ERU under an Article 6 project did not occur in the specified period. (Paragraph 46)" as per the guidance in the document "SIAR Publicly Available Information Guidance v4.3". According to [RESPONSE1], a statement as suggested and a link to an (even empty) list of projects will be made public on the mentioned website.

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.2.1	13/CMP.1 Annex paragraph 46 (a) Project name: a unique name for the project	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party notes in [NIR A] p.96 paragraph 3 that no Article 6 project is reported, as it did not occur in 2009. However no detailed information, nor an explicit statement as suggested in P1.4.2 or a link to the (even empty) list of projects was publicly available at the time of the assessment. According to [RESPONSE1], a statement as suggested and a link to an (even empty) list of projects will be made public on the mentioned website.
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	The Party notes in [NIR A] p.96 paragraph 3 that no Article 6 project is reported, as it did not occur in 2009. However no detailed information, nor an explicit statement as suggested in P1.4.2 or a link to the (even empty) list of projects was publicly available at the time of the assessment. According to [RESPONSE1], a statement as suggested and a link to an (even empty) list of projects will be made public on the mentioned website.
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	This information is publicly available through the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS

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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Partial	<p>The Party notes in [NIR A] p.96 paragraph 3 that no Article 6 project is reported, as it did not occur in 2009.</p> <p>Since there are no Art. 6 projects, no information link is foreseen to the project documentation and reports.</p> <p>However, the publicly available website did not include an explicit statement as suggested in P1.4.2 at the time of the assessment.</p> <p>According to [RESPONSE1], a statement as suggested and a link to an (even empty) list of projects will be made public on the website mentioned above.</p>
P1.4.3	13/CMP.1 Annex paragraph 47 Holding and transaction information provided?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	<p>The Party provides reference to this information in [NIR A] p.96 paragraph 4, stating that the holding and transaction information is confidential and therefore not publicly available.</p> <p>The publicly available website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS states that this information will be published on the 15th of January, 2014.</p> <p>The holding and transaction totals are provided in an aggregated form in the [SEF].</p>

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this information in [NIR A] p.96 paragraph 4, stating that the holdings of accounts are confidential and therefore not publicly available. The publicly available website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS states that this information will be published on the 15th of January, 2014. The quantities of units in accounts are provided in an aggregated form in the [SEF].
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 information in [SEF] Table 5 (a). This information is publicly available at the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS .
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 information in [NIR A] p.102 paragraph 5, noting that no Article 6 (JI) project is reported as conversion to an ERU, as this did not occur in the specified period. This information is publicly available at the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS .

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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this information in [SEF] Table 2 (b) in an aggregated form. The publicly available website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS states that this information will be published on the 15th of January, 2014.
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 information in [NIR A] p.96 paragraph 7, stating that the Party does not perform LULUCF activities and therefore does not issue RMUs. This information is publicly available at the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS .
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial	The Party provides reference to this information in [SEF] Table 2 (b) in an aggregated form. The publicly available website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS states that this information will be published on the 15th of January, 2014.
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 information in [NIR A] p.96 paragraph 8, stating that no ERUs, CERs, AAUs and RMUs were cancelled. This information is publicly available at the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS .

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
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 information in [NIR A] p.96 paragraph 9, stating that no ERUs, CERs, AAUs and RMUs were cancelled. This information is publicly available at the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS .
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 no direct reference to this information (only general in [NIR A] p.96 paragraph 4, stating that holding and transaction information is provided on a holding type level). However the total quantity is publicly available at the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS .
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 information in [NIR A] p.96 paragraph 10, stating that no ERUs, CERs AAUs and RMUs have been retired. This information is publicly available at the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS . <i>However, the assessor notes Table 2 (a) in both [SEF] and [SEF2] reflects retirement transactions of 19,509,068 AAUs and 592,297 CERs.</i>

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
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 information in [NIR A] p.97 paragraph 1, stating that there is no previous commitment period to carry over ERUs, CERs and AAUs from. This information is publicly available at the website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS .
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	The Party provides reference to this information in [NIR A] p.96 paragraph 4, stating that the holdings of accounts are confidential and therefore not publicly available. The publicly available website www.energimyndigheten.se/en/International/Instruments/EU-ETS---Implementation-in-Sweden/EUETS/Reports/Kyoto-units-in-SUS states that this information will be published on the 15th of January, 2014. The holdings in accounts are provided in an aggregated form in [SEF].
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 reference to this information in [NIR A] p.104-106, listing legal entities authorised to participate in CDM, in JI, in Article 17 of the KP. The lists of Operator and Person holding accounts assigned to legal entities within the national registry are available on the Party's registry website https://www1.stem.se/etjanster/ > Rapportör. <i>Note: the assessor cannot find a list of legal entities for Party holding accounts.</i>

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	[FCCC/ARR/2009/SWE] Section VII paragraph 88 and 98 (j) recommends that the Party should enhance the availability the information referred to in paragraphs 45 to 47 of the annex to decision 13/CMP.1	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	As shown in [NIR A] p.95 to 106, the referred information is now made publicly available, except where stated in this 'SIAR 2009 SE Part 1 Assessment Report' under P1.4.1.2, P1.4.1.3 and P1.4.1.4, where reference is made to an external information source from CITL.

P1.5.2	[FCCC/ARR/2009/SWE] Section VII paragraph 88 and 98 (k) recommends that the Party should report, in its next annual submission, on some transactions that were recorded in Sweden's database as rejected, whereas they should be recorded as terminated.	[X] Yes [] No	<p>The Party reported that no changes were made to the procedures to prevent and/or resolve discrepancies during the 2009 reporting period (see [NIR A] p.95). Concerning the registry system, [NIR A] p.100 paragraph 4 states that improvements have been made to eliminate the discrepant/cancelled/rejected transactions due to large number of unit blocks. There were no discrepant transactions in 2009. However the assessor did not find in the NIR submission any explicit reference to the recommendation on discrepant transactions mentioned in the previous ERT recommendation.</p> <p>[RESPONSE1] P1.5.2 states that the recommendations (FCCC/ARR/2008/SWE) from previous expert review team were not published when submitting the NIR and SIAR, therefore the recommendations were not addressed and answered earlier by SWE. <i>The assessor assumed the reference should be to FCCC/ARR/2009/SWE, where 2008 seems to be a typing error.</i></p> <p>According to [RESPONSE1], the issue of the status of the discrepant transactions mentioned in the previous ERT recommendation is still under investigation in the Greta software working group and by the software developer, SFW.</p>
P1.5.3	In [FCCC/ARR/2009/SWE] Section VII paragraph 89 and 98 (i) the ERT recommends that Sweden include correct information on its commitment period reserve in its next annual submission.	[X] Yes [] No	[NIR A] p.98 paragraph 2 (Commitment Period Reserve) contains detailed information on the calculation of the CPR, referring to the ERT recommendation.
P1.5.4	In [FCCC/ARR/2009/SWE] Section VII paragraph 91 and 98 (h) the ERT recommends that the Party report in its next annual submission any changes in its national registry in accordance with section I.G of the annex to decision 15/CMP.1.	[X] Yes [] No	In [SOFT] and in [NIR A] p.94 to 97, the Party provides information on changes to the national registry system, accompanied by [TEST] and [CERT] as proof of the conducted testing and the certification of the changed registry software.