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Climate Change

Independent assessment report
of the national registry of MALTA

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Prepared by:	M. Pieters /UNFCCC	Date:	22/02/2017
Approved by:		Date:	

Circulation list

Name/ Role	Organization	Info/Action
Mr Alexander Said / RSA	National Registry of Malta	Action
Registry host	European commission	Action

Document change record

Version	Date	Description	Affected sections
v0.1	25/01/2017	First draft	All
v1.0	22/02/2017	Final report	RSA Consultation on draft IAR

Decision

This Independent Assessment Report (IAR) has been prepared by the International Transaction Log (ITL) Administrator. This IAR includes the following Addenda: Addendum 1:   Initialization 1 Addendum 2:   Glossary

General Information

Registry Name	**National Registry of Malta**						
Date of report	25/01/2017	Reporting period	N/A				
IAR Type	Standard IAR	☐	Initial IAR		☒		
Components	Initialization Required	☐	Operational Performance Required	☒	Public Availability of Information Required	☐	
Registry URL							
Consolidated system with other Parties?	Yes	☒	No	☐	Parties involved	EU Member States	

Overall Registry Assessment

Conclusion	Pass ☒ Fail ☐
Comments/ recommendations	The registry has fulfilled sufficient obligations regarding conformity with the Data Exchange Standards. These obligations include having adequate transaction procedures; adequate security measures to prevent and resolve unauthorized manipulations; and adequate measures for data storage and registry recovery.

The Initialization functional tests identified some minor limitations in the state of registry readiness. These limitations are to be rectified in the next release of registry software, followed by a successful completion of Annex H tests before 30/11/2017.

Given these conditions, the registry is deemed sufficiently compliant with the registry requirements defined in decisions 13/CMP.1 and 5/CMP.1. |

Initialization

Conclusion	Pass		Fail		N/A	
Initializations during reporting period	1		2		2	
Initialization status	Pass	☒	Pass	☐	Pass	☐
	Fail	☐	Fail	☐	Fail	☐
	N/A	☐	N/A	☐	N/A	☐
Start Date	01/10/2016					
End Date	25/01/2017					
Comments / recommendations	The Initialization functional tests identified some minor limitations in the state of registry readiness. These limitations are to be rectified in the next release of registry software, followed by a successful completion of Annex H tests before 30/11/2017.					

Operational Performance

Conclusion	Pass ☒ Fail ☐ N/A ☐
Comments / recommendations	

Public availability of information	Conclusion	Pass	☒	Fail	☐	N/A	☐	No data	☐
	Main Web Address	https://ets-registry.webgate.ec.europa.eu/euregistry/MT/public/reports/publicReports.xhtml				Date last assessed		25/01/2017	
	Comments / recommendations								

RSA Consultation on draft IAR	Date of review			
	Author	Mr Alexander Said	Position	National Registry Administrator
	Final comments	No comments from our end		

Addendum 1

Initialization

Registry Name	National Registry of Malta	Pass	☒
Date of report	25/01/2017	Fail	☐
Reporting Period	N/A	N/A	☐
Start Date	01/10/2016		
End Date	25/01/2017		
Comments / recommendations	The initialization functional tests identified some minor limitations in the state of registry readiness. These limitations are to be rectified in the next release of registry software, followed by a successful completion of Annex H tests before 30/11/2017.		

1. Documentation Evaluation

This evaluation was carried out by the ITL Operator under the initialization process and aggregated results have been transcribed here in full.

Status	Green	☒
	Amber	☐
	Red	☐
	N/A	☐
Total Score (max. 100)	90	
Comments / recommendations	N/A	

The scoring approach used to evaluate the registry documentation is to assess the confidence level associated with each document, based on quality (completeness / accuracy / consistency of information supplied) and evidence (actual results supporting information supplied, if appropriate). The approach is set out below (see the ITL Initialization Process documentation for further information).

Status	Description	Score	Outcome
Green	No significant concerns about the state of registry readiness are identified.	> 80	The ITL Operator progresses immediately with the registry initialization process.
Amber	Minor limitations in the state of registry readiness are identified.	50 - 80	Registry initialization can proceed, once minor limitations have been resolved. The ITL Operator communicates with the candidate Registry to obtain additional information. Provided that timely resolution can be achieved, the ITL Operator can proceed with the registry initialization process.
Red	Significant concerns about the state of registry readiness are identified.	< 50	Request for registry initialization is rejected. The ITL Operator notifies the candidate Registry, highlighting the areas of major concern that need to be resolved before a subsequent request for Initialization is made.

Ref.	Test Description	Quality	Evidence	Confidence[1]
1.1	**Database and Application Backup** Detailed plan describing backup procedures for the production database and software.	100	100	100
1.2	**Disaster Recovery Plan** Plan designed to enable Registry to survive in the event of catastrophic failure or disruption of the host environment and to re-establish normal business operations as quickly as possible.	100	100	100
1.3	**Security Plan** Plan defined in order to protect the application and data from unrestricted and unsolicited use.	100	100	100
1.4	**Application Logging Documentation** Documentation describing registry capability to maintain database logs and activity logs, provided to demonstrate conformance with Section 7 of the Data Exchange Standards.	100	100	100
1.5	**Time Validation Plan** Specific procedures for validating server time on a periodic basis to allow successful data exchange.	100	100	100
1.6	**Version Change Management** Procedure providing a clear migration path to upgrade from version to version of registry software and database schemas.	100	100	100
1.7	**Test Plan** Plan ensuring a registry has performed basic testing and is capable of participating in the tests outlined in Annex H of the DES, which are required of a registry prior to being authorized to submit production transactions to the ITL.	100	100	100
1.8	**Test Report** Report providing evidence that a registry has performed basic testing and is capable of participating in the tests outlined in Annex H of the DES, which are required of a registry prior to being authorized to submit production transactions to the ITL.	80	80	80
1.9	**Operational Plan** Plan ensuring that the Registry has appropriately planned and staffed their operational requirements, so that the initial standards and requirements will be addressed on an ongoing basis.	100	100	100

[1] Figures in this column were calculated using weighted averages for quality and evidence.

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2. Connectivity Evaluation

This evaluation was carried out by the ITL Operator under the initialization process and the results have been transcribed here in full.

Status	Pass	☒
	Fail	☐
	N/A	☐
Comments / recommendations		

Ref.	Test Description	Pass	Fail	N/A
2.1	Establish VPN connectivity between registry and ITL	☒	☐	☐
2.2	Establish SSL connection	☒	☐	☐
2.3	Establish basic Web service communication	☒	☐	☐

3. Interoperability Evaluation

This evaluation was carried out by the ITL Operator under the initialization process and aggregated results have been transcribed here in full. In the below table, Reference 5 applies only to EU ETS member registries, and Reference 6 applies only to the CDM registry.

Status	Pass	☒
	Fail	☐
	N/A	☐
Comments / recommendations	During the execution of the interoperability tests, the national registry of Malta did not successfully carry-out the following transactions: - Fulfilment of excess issuance notifications; - Fulfilment of reversal of storage notifications; - Fulfilment of non-submission of certification report notifications; - Replacement of lCERs and tCERs upon expiry; - Expiry data change for tCERs. Because these types of transactions are extremely unlikely to occur in 2017, the ITL administrator overall assessment of the interoperability tests is positive, on the condition that the national registry of Malta will address the issues related to the above transaction types before end November 2017, and report on the results in its SIAR for 2018.	

4. Initialization Recommendation (by ITL Operator)

Recommendation	Yes	☒
	No	☐
Comments	External transfer to fulfil excess issuance notification while acquiring account configured to reject the transaction: Unexpected issue encountered. After investigation, the EC concluded that the issue is due to an EUTL check which triggers erroneously. It would never happen in Prod and in the unlikely case where it would occur a workaround is in place. All test cases from the test series should be re-run once the issue is permanently addressed.	

5. Initialization Authorisation (by ITL Administrator)

Authorization	Yes	☒
	No	☐
Comments	The Initialization functional tests identified some minor limitations in the state of registry readiness. These limitations are to be rectified in the next release of registry software, followed by a successful completion of Annex H tests before 30/11/2017.	

Addendum 2

Glossary

GLOSSARY	
TERM	**DEFINITION**
Annex H of the DES	The annex of the DES defining the initialization tests that a registry must pass as part of the initialization process
CDM Registry	The registry established by the Executive Board of the Clean Development Mechanism and implemented by the UNFCCC secretariat
CITL	Community Independent Transaction Log. The STL operated by the European Commission for the European Union Emissions Trading Scheme
Connectivity Evaluation	Part of the initialization process that tests whether a registry can connect successfully with the ITL
Consolidated Systems	Registry systems which share system infrastructure
DES	Data Exchange Standards
Document Evaluation	Part of the initialization process that assesses the documentation submitted to the ITL Administrator
ERT	Expert Review Team under Article 8 of the Kyoto Protocol
Final Comments	The final comments made by a RSA on the draft IAR after having received responses from the ITL Administrator on earlier comments
IAR	Independent Assessment Report
Initial IAR	The first IAR carried out for a registry when it initialises for the first time. Subsequent initializations are reported in Standard IARs.
Initialization	The process by which a registry is formally tested by the ITL Administrator for conformity with the DES
International Transaction Log (ITL)	The system established under the Kyoto Protocol to monitor the validity of transactions between Parties. It is implemented by the UNFCCC secretariat
ITL Administrator	The Administrator of the ITL. It is a role assigned to the UNFCCC secretariat
ITL Operator	The service provider that operates the ITL on behalf of the ITL Administrator
N/A	Not Applicable
National Registry	A registry established by an Annex I Party
Operational Performance	The performance of a registry during its operation
Reporting Period	The period of time covered by an IAR
RSA	Registry System Administrator
SEF	Standard Electronic Format, defined for the reporting by Annex B Parties to the Kyoto Protocol of their assigned amount holdings and transactions
SSL	Secure Socket Layer. A standard used to establish encrypted communications
Standard IAR	All IARs subsequent to a successful Initial IAR
Supplementary Transaction Log (STL)	An electronic database established for a Supplementary Trading Programme to monitor the validity of transactions between registries under that programme