



Common Operational Procedure
Independent assessment reporting for registry systems

True-up period assessment report
First commitment period of the Kyoto Protocol

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0.1	08/01/16	Prefilled,
0.2	08/02/16	Second draft
1.0	15/02/16	Final

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Reference Information

Ref Nr	Description	Value	
P1.0.1	Party name	Australia	
P1.0.2	Reporting period	<ul style="list-style-type: none"> 1 January 2015 00:00:00 through 18 November 2015 24:00:00 UTC 2014 	
P1.0.3	Submission under review	<p>Files provided by AU:</p> <p>[TUP Report] True-up report submitted by AU, including all documents attached to that report.</p> <ul style="list-style-type: none"> true_up_period_report-aus-final.pdf true_up_period_report_au_2015_sef_tup.xlsx true_up_period_report_au_2015_retirement.xlsx true_up_period_report_au_2015_carry_over.xlsx 	<p>Files provided by the ITL administrator:</p> <p>[2014 SEFCR] SEF comparison report for 2014.</p> <ul style="list-style-type: none"> CR_RREG1_AU_2014.xlsx <p>[2014 R2-R5] RITL2 - RITL5 reports for 2014.</p> <ul style="list-style-type: none"> RITL2_AU_2014.xlsx RITL3_AU_2014.xlsx RITL4_AU_2014.xlsx RITL5_AU_2014.xlsx <p>[TUP SEFCR] SEF comparison report for the period 1 January to 18 November 2015.</p> <ul style="list-style-type: none"> CR_RREG1_AU_2015_20151118 <p>[TUP R2-R5] RITL2 - RITL5 reports for the period 1 January to 18 November 2015.</p> <ul style="list-style-type: none"> RITL2_AU_2015.xlsx RITL3_AU_2015.xlsx RITL4_AU_2015.xlsx RITL5_AU_2015.xlsx <p>[ITLRT] ITL "Running totals" export as of 18 November 2015.</p> <ul style="list-style-type: none"> RegistryRunningTotalsPDFReport_AU-CP1.pdf <p>Note:</p> <p>RITL2 provides information on any discrepant transactions and the units involved for the period</p> <p>RITL3 lists the notifications sent to a registry during the reported year. It should consider all notifications</p> <p>RITL4 provides information on the frequency of reconciliation for the registry</p>

			RITL5 provides information on conversion of units provides a basis for determining whether or not a Party needs to provide Article 6 (JI) project information to meeting paragraph 46 of the annex to Decision 13/CMP.1
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True-up period report assessment

Ref	Requirement	Assessment	Comment
True-Up Standard electronic format (SEF), including ERUs, CERs, AAUs and RMUs valid for the current calendar year until the end of the additional period for fulfilling commitments			
T1	Decision 22/CMP.1, annex, paragraph 89(a)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Sub-items T1.1 - T1.3 have all been assessed as Yes.
T1.1	Decision 13/CMP.1, annex, paragraph 49(a)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Sub-items T1.1.1 - T1.1.10 have all been assessed as Yes.
T1.1.1	Has the Party submitted the total quantity of ERUs, CERs, AAUs and RMUs in each account at the beginning of the year in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(a)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 1). OK 2. [TUP SEFCR] indicates that SEF Table 1, as submitted by AU, is consistent with SEF Table 1, as extracted from the ITL. OK
T1.1.2	Has the Party submitted the total quantity of AAUs issued on the basis of the assigned amount in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(b)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 5(a)). 2. [TUP SEFCR] indicates that SEF Table 5(a), as submitted by AU, is consistent with SEF Table 5(a), as extracted from the ITL.
T1.1.3	Has the Party submitted the total quantity of ERUs issued on the basis of Article 6 projects in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(c)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 2 (a) and additional information of Table 2(b)). 2. [TUP SEFCR] indicates that SEF Table 2(a) and additional information of Table 2(b), as submitted by AU, is consistent with SEF Table 2(a) and additional information of Table 2(b), as extracted from the ITL.

Ref	Requirement	Assessment	Comment
T1.1.4	Has the Party submitted the total quantity of ERUs, CERs, AAUs and RMUs acquired from other registries and the identity of the transferring accounts and registries in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(d)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 2(b)). 2. [TUP SEFCR] indicates that SEF Table 2(b), as submitted by AU, is consistent with SEF Table 2(b), as extracted from the ITL.
T1.1.5	Has the Party submitted the total quantity of RMUs issued on the basis of each activity under Article 3, paragraphs 3 and 4 in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(e)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 2(a)). 2. [TUP SEFCR] indicates that SEF Table 2(a), as submitted by AU, is consistent with SEF Table 2(a), as extracted from the ITL.
T1.1.6	Has the Party submitted the total quantity of ERUs, CERs, AAUs and RMUs transferred to other registries and the identity of the acquiring accounts and registries in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(f)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 2(b)). 2. [TUP SEFCR] indicates that SEF Table 2(b), as submitted by AU, is consistent with SEF Table 2(b), as extracted from the ITL.
T1.1.7	Has the Party submitted the total quantity of ERUs, CERs, AAUs and RMUs cancelled on the basis of activities under Article 3, paragraphs 3 and 4 in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(g)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 2(a)). 2. [TUP SEFCR] indicates that SEF Table 2(a), as submitted by AU, is consistent with SEF Table 2(a), as extracted from the ITL.
T1.1.8	Decision 13/CMP.1, annex, paragraph 47(h)		Left here for completeness purpose. As this is the assessment for the first commitment period, there are no non-compliance cancellations that occurred.

Ref	Requirement	Assessment	Comment
T1.1.9	Has the Party submitted the total quantity of other ERUs, CERs, AAUs and RMUs cancelled in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(i)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 2(a)). 2. [TUP SEFCR] indicates that SEF Table 2(a), as submitted by AU, is consistent with SEF Table 2(a), as extracted from the ITL.
T1.1.10	Has the Party submitted the total quantity of ERUs, CERs, AAUs and RMUs retired in its SEF tables for the period 1 January to 18 November 2015 in accordance with decision 13/CMP.1, annex, paragraph 47(j)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 4). 2. [TUP SEFCR] indicates that SEF Table 4, as submitted by AU, is consistent with SEF Table 4, as extracted from the ITL.
TUP Report, including total quantity and serial numbers of ERUs, CERs, AAUs and RMUs in its retirement account			
T1.2	Decision 13/CMP.1, annex, paragraph 49(b)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Sub-items T1.2.1 - T1.2.2 have all been assessed as Yes
T1.2.1	Quantity of units retired	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ol style="list-style-type: none"> 1. AU has submitted its SEF tables for the period 1 January to 18 November 2015 in [TUP Report] (including Table 4). 2. [TUP SEFCR] indicates that SEF Table 4, as submitted by AU, is consistent with SEF Table 4, as extracted from the ITL, and that the quantity of units retired by AU is consistent with SEF Table 4, as extracted from the ITL.
T1.2.2	Serial numbers of units retired	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	AU has reported (or referred to) the serial numbers for the units contained in the retirement account in [TUP Report].
TUP Report, including the total quantity and serial numbers of ERUs, CERs and AAUs which AU requests to be carried over to the subsequent commitment period			
T1.3	Decision 13/CMP.1, annex, paragraph 49(c)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If sub-items T1.3.1 - T1.3.6 have all been assessed as Yes, tick Yes .

Ref	Requirement	Assessment	Comment
T1.3.1	Quantity of AAUs requested to be carried-over	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	AU has indicated a number of 127,650,775 AAUs it requests to carry-over in [TUP Report 15.].
T.1.3.2	Serial numbers of AAUs requested to be carried-over	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	AU has reported the serial numbers of the AAUs it requests to carry-over in [TUP Report true_up_period_report_aus_2015_carry_over.xlsx].
T1.3.3	Quantity of CERs requested to be carried-over	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	AU has indicated a number of 21,768,290 CERs it requests to carry-over in [TUP Report 15.].
T.1.3.4	Serial numbers of CERs requested to be carried-over	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	AU has reported the serial numbers of the CERs it requests to carry-over in [TUP Report true_up_period_report_aus_2015_carry_over.xlsx].
T1.3.5	Quantity of ERUs requested to be carried-over	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	AU has indicated it requests 0 (zero) ERUs to carry-over in [TUP Report 15.].
T1.3.6	Serial numbers of ERUs requested to be carried-over	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Since Australia does not request to carry over any ERUs to the second commitment period, it doesn't need to report serial numbers for ERUs.
T2	Decision 22/CMP.1, annex, paragraph 89(b)		Assessed by ERTs. Kept here for completeness.
T3	Decision 22/CMP.1, annex, paragraph 89(c)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Sub-items T3.1 through T3.7 have all been assessed as Yes. Sub-items T3.10 through T3.11 have been assessed as NA since no discrepancies or non-replacements occurred.
T3.1	Decision 22/CMP.1, annex, paragraph 88(a)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Completeness of the submission is assessed through all other items in this report.
Information relating to issuance, cancellations, retirement, transfers, acquisitions, replacement and carry-over			

Ref	Requirement	Assessment	Comment
T3.2	Is the information relating to issuance, cancellations, retirement, transfers, acquisitions, replacement and carry-over consistent with information contained in the national registry of the Party concerned and with the records of the transactions log according to decision 22/CMP.1, annex, paragraph 88(b)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The SEF comparison report for the period 1 January to 18 November 2015 [TUP SEFCR] indicates that SEF tables reported by AU are consistent with the SEF tables extracted from the ITL.
Information relating to transfers and acquisitions between national registries			
T3.3	Is the information relating to transfers and acquisitions between national registries 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 according to decision 22/CMP.1, annex, paragraph 88(c)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	the SEF comparison report for the period 1 January to 18 November 2015 [TUP SEFCR] indicates in table 2B that SEF tables reported by AU are consistent with the SEF tables extracted from the ITL.
Information relating to acquisitions of CERs, tCERs, and ICERs from the CDM Registry			
T3.4	Is the information relating to acquisitions of CERs, tCERs, and ICERs from the CDM registry 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 according to decision 22/CMP.1, annex, paragraph 88(d)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The SEF comparison report for the period 1 January to 18 November 2015 [TUP SEFCR] indicates in table 2B that SEF tables reported by AU are consistent with the SEF tables extracted from the ITL.

Ref	Requirement	Assessment	Comment
Issuance, acquirement, transfer, cancellation, retirement, or carry-over of ERUs, CERs, AAUs and RMUs			
T3.5	Have ERUs, CERs, AAUs and RMUs 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 according to decision 22/CMP.1, annex, paragraph 88(e)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The SEF comparison report for the period 1 January to 18 November 2015 [TUP SEFCR] indicates that SEF tables reported by AU are consistent with the SEF tables extracted from the ITL.
Issuance, acquirement, transfer, cancellation, retirement, or replacement of tCERs and ICERs			
T3.6	Have tCERs and ICERs 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, according to decision 22/CMP.1, annex, paragraph 88(f)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The SEF comparison report for the period 1 January to 18 November 2015 [TUP SEFCR] indicates that SEF tables reported by AU are consistent with the SEF tables extracted from the ITL.
Quantities of units in accounts at the beginning of the year			
T3.7	Is 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 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 according to decision 22/CMP.1, annex, paragraph 88(g)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The SEF comparison report for the period 1 January to 18 November 2015 [TUP SEFCR] indicates in table 1 that SEF tables reported by AU are consistent with the SEF tables extracted from the ITL.
T3.8	Decision 22/CMP.1, annex, paragraph 88(h)		Assessed by the ERTs. Kept here for completeness.
T3.9	Decision 22/CMP.1, annex, paragraph 88(i)		Assessed by the ERTs. Kept here for completeness.
Discrepancies			

Ref	Requirement	Assessment	Comment
T3.10	Has any discrepancy been identified by the transaction log relating to transactions initiated by the Party according to decision 22/CMP.1, annex, paragraph 88(j)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> NA	No discrepancies have been identified by the international transaction log during the period 1 January to 18 November 2015
T3.10.1	If Yes to T3.10, has the discrepancy been correctly identified by the transaction log according to decision 22/CMP.1, annex, paragraph 88(j)(i)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No discrepancies have been reported and/or identified by the ITL.
T3.10.2	If Yes to T3.10, has the same type of discrepancy occurred previously for that Party according to decision 22/CMP.1, annex, paragraph 88(j)(ii)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No discrepancies have been reported and/or identified by the ITL.
T3.10.3	If Yes to T3.10, has the transaction been completed or terminated according to decision 22/CMP.1, annex, paragraph 88(j)(iii)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No discrepancies have been reported and/or identified by the ITL.
T3.10.4	If Yes to T3.10, has or have the Party or Parties corrected the problem that caused the discrepancy according to decision 22/CMP.1, annex, paragraph 88(j)(iv)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No discrepancies have been reported and/or identified by the ITL.
T3.10.5	If Yes to T3.10, does the problem that caused the discrepancy relate to the capacity of the national registry according to decision 22/CMP.1, annex, paragraph 88(j)(v)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No discrepancies have been reported and/or identified by the ITL.
Non-replacements			
T3.11	Has any record of non-replacement been sent to the Party by the transaction log in relation to tCERs or ICERs held by the Party according to decision 22/CMP.1, annex, paragraph 88(k)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> NA	There is no separate R3/R4 report since AU incorporated the R2-R5 in the [TUP report] true_up_period_report-aus-final.pdf. The R3 report for the period 1 January to 18 November 2015 indicates that no non-replacements occurred during the period 1 January 2015 to 18 November 2015. Sub-items T3.11.1 - T3.11.5 have all been assessed as NA

Ref	Requirement	Assessment	Comment
T3.11.1	If Yes to T3.11, has the non-replacement occurred and been correctly identified by the transaction log according to decision 22/CMP.1, annex, paragraph 88(k)(i)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No non-replacements have been identified in R3 of [TUP R2-R5] and/or in R4.
T3.11.2	If Yes to T3.11, has non-replacement occurred previously for that Party according to decision 22/CMP.1, annex, paragraph 88(k)(ii)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No non-replacements have been identified in R3 of [TUP R2-R5] and/or in R4.
T3.11.3	If Yes to T3.11, has the replacement been subsequently undertaken according to decision 22/CMP.1, annex, paragraph 88(k)(iii)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No non-replacements have been identified in R3 of [TUP R2-R5] and/or in R4.
T3.11.4	If Yes to T3.1, has the Party corrected the problem that caused the non-replacement according to decision 22/CMP.1, annex, paragraph 88(k)(iv)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No non-replacements have been identified in R3 of [TUP R2-R5] and/or in R4.
T3.11.5	If Yes to T3.1, does the problem that caused the non-replacement relate to the capacity of the national registry according to decision 22/CMP.1, annex, paragraph 88(k)(v)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> NA	No non-replacements have been identified in R3 of [TUP R2-R5] and/or in R4.
The quantity of AAUs, CERs, tCERs, ERUs and RMUs transferred into the tCER replacement account			
T4	Is the quantity of AAUs, CERs, tCERs, ERUs and RMUs transferred into the tCER replacement account for the commitment period equal to the quantity of tCERs in the retirement account, and in the tCER replacement account, that expired at the end of the commitment period according to decision 22/CMP.1, annex, paragraph 89(d)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The quantity of AAUs, CERs, tCERs, ERUs and RMUs transferred into the tCER replacement account for the first commitment period is equal to the quantity of tCERs in the retirement account, and in the tCER replacement account, that expired at the end of the commitment period. There were no quantities to expire, cancel or replace.

The quantity of AAUs, CERs, ICERs, ERUs and RMUs transferred into the ICER replacement account			
T5	Is the quantity of AAUs, CERs, ICERs, ERUs and RMUs transferred into the ICER replacement account for the commitment period equal to the sum of the quantity of ICERs in the retirement account, and the quantity of ICERs in the ICER replacement account, that expired at the end of the commitment period, and the quantity of ICERs identified by the Executive Board of the CDM as requiring replacement within the registry for the commitment period according to decision 22/CMP.1, annex, paragraph 89(e)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The quantity of AAUs, CERs, ICERs, ERUs and RMUs transferred into the ICER replacement account for the commitment period is equal to the sum of the quantity of ICERs in the retirement account, and the quantity of ICERs in the ICER replacement account, that expired at the end of the commitment period, and the quantity of ICERs identified by the Executive Board of the CDM as requiring replacement within the registry for the commitment period. There were no quantities to expire, cancel or replace.
2014 SEF			
T6	Decision 22/CMP.1, annex, paragraph 90	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The reports R2–R5 of Australia covering the period 1 January to 31 December 2014 do not include any information because there were no discrepancies, CDM notifications, non-replacements and invalid units in 2014. The reports R2–R5 have not been submitted previously because they are empty.
T6.1	SEF Report for 2014	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	AU has submitted SEF tables for 2014 consistent with the ITL records
T6.2	R2 - R5 Reports for 2014	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> NA	The reports R2–R5 of Australia covering the period 1 January to 31 December 2014 do not include any information because there were no discrepancies, CDM notifications, non-replacements and invalid units in 2014. The reports R2–R5 have not been submitted previously because they are empty.
T7	Decision 22/CMP.1, annex, paragraph 91		Assessed by the ERTs. Kept here for completeness.

Key findings

Ref	Description
T8	Completeness of the submission is assessed through all items in this report. Australia [AU] included all required reports in the True-Up report. No irregularities have been identified by the assessor.