Nations Unies

Secrétariat sur les changements climatiques

UNFCCC ITL Administrator

Standard Independent Assessment Report Assessment Report Part 1 – Completeness

Reference: SIAR/2018/LI/1/1

Version 1.0 State: Final

number:

Elodie Tourte / CDC Date: 05/07/2018

Prepared by: Malgorzata Dzieciuchowicz/National Centre for

Emission Management (KOBiZE)

Reviewed by: Miroslav Hrobak/ICZ Slovakia

Approved by: M. Pieters /UNFCCC

Circulation list

Name/Role	Organization	Info/Action
Malgorzata Dzieciuchowicz/Assessor	National Centre for Emission Management (KOBiZE)	Action
Elodie Tourte/Assessor	CDC	
Markwin Pieters/Assessor Coordinator	UNFCCC	
		Info
Heike Summer/RSA	Landesverwaltung Furstentum Liechtenstein Amt fur Umwelt	Action

Document change record

Version	Date	Description	
0.1	28/05/2018	Initial version	
0.2	29/05/2018	Assessed	
0.3	30/05/2018	Reviewed	
1.0	05/07/2018	Final version	

Summary

Ref Nr.		Description				
P1.0.1	Party name	Liechtenstein				
P1.0.2	Reporting period	2018				
P1.0.3	Submission	Files submitted:	Information from the ITL Administrator:			
	under review	 [SEF] RREG1_LI_2017_2_1.xlsx RREG1_LI_2017_1_1.xlsx [NIR] lie_2018_apr_nir.pdf [ANNEX] Annex A - CSEUR.pdf Annex_BChanges_in_EUCR_v8.08.xlsx 	 [SEFCR] CR_RITL1_LI_2017_1_1_RREG1_LI_2017_1_1.xls CR_RITL1_LI_2017_2_1_RREG1_LI_2017_2_1.xls [RITL] RITL2_LI_2017.xlsx RITL3_LI_2017.xlsx RITL4_LI_2017.xlsx RITL5_LI_2017.xlsx [ANNEX] Test Report - ITL Annex H tests for EUCR software.docx 			
P1.0.4	Previous annual review report reference	FCCC/ARR/2016/LIE				

Table of Contents

1.	Overall Assessment Summary	4
1.	.1. Overall assessment	4
2.	Accounting of Kyoto Protocol units	5
3.	National Registry Change	8
4.	Public information	11
5.	Previous Expert Review Team recommendations	16

1. Overall Assessment Summary

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?	✓ Yes □ 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?	✓ Yes □ No
P1.1.3	Explanation of how the previous Annual Review recommendations have been addressed?	☐ Yes ☑ No ☐ 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.	15/CMP.1 annex I.E paragraph 11						
Standard	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?	✓ Yes □ No	The Party has transferred or acquired Kyoto Protocol units during or prior to the reported period as indicated in [SEF] and [SEFCR].				
	(If yes, Party is required to submit the SEF report)						
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	▼ Yes □ No	The Party's SEF report [SEF] for CP1 and CP2 were made available to assessors by 12/04/2018.				
15/CMP.	was not required to do so) 1 annex I.E paragraph 12						
Discrepa	nnt transactions						
P1.2.3	Has the transaction log identified discrepancies in transactions proposed by the Party?	□ Yes ☑ No	The ITL identified no discrepancies with transactions proposed by the Party during the reported period (see [RITL] R-2).				
P1.2.4	Has Party reported all discrepancies as required by paragraph 12 of the annex to decision 15/CMP.1?	✓ Yes □ No	The Party reported in [NIR] section 12.3 that no discrepancies occurred during the reported period. The information has been verified and matches the ITL records (see [RITL] R-2).				

Ref Nr	Requirement	Assessment	Comments
15/CMP.	1 annex I.E paragraph 13		
Reversal	of storage notifications		
P1.2.5	Has the transaction log issued reversal of storage notifications to the Party's national registry?	□ Yes 🗹 No	The ITL identified no reversal of storage notifications to the Party's national registry during the reported period (see [RITL] R-3).
P1.2.6	Has Party reported all notifications directing it to replace ICERs in accordance with paragraph 49 of the annex to decision 5/CMP.1?	▼ Yes □ No	The Party reported in [NIR] section 12.3, 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 [RITL] R-3).
15/CMP.	1 annex I.E paragraph 14		
Non-cert	ification notifications		
P1.2.7	Has the transaction log issued non- certification notifications to the Party's national registry?	☐ Yes ☑ No	The ITL identified no non-certification notifications to the Party's national registry during the reported period (see [RITL] R-3).
P1.2.8	Has the Party reported all notifications to replace ICERs in accordance with paragraph 50 of the annex to decision 5/CMP.1?	✓ Yes □ No	The Party reported in [NIR] section 12.3, 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 [RITL] R-3).
	15/CN	//P.1 annex I.E paragraph	
Non-repl	acement		
P1.2.9	Has the transaction log a record of non-replacement for this Party?	☐ Yes ☑ No	The ITL identified no non-replacement notifications to the Party's national registry during the reported period (see [RITL] R-3).
P1.2.10	Has Party reported all non- replacements in accordance with paragraph 56 of the annex to decision 5/CMP.1?	▼ Yes □ No	The Party reported in [NIR] section 12.3, 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 [RITL] R-3).

Ref Nr	Requirement	Assessment	Comments			
CMP.1 ar	CMP.1 annex I.E paragraph 16					
Inconsis	tencies from discrepant transactions	;				
P1.2.11	Has the transaction log identified discrepant transactions proposed by the Party that were not terminated or cancelled?	□ Yes ☑ No	The ITL did not identify discrepant transactions proposed by the Party that were not terminated or cancelled.			
P1.2.12	Has Party reported on units that are not valid for use towards compliance with commitments under Article 3, paragraph 1, pursuant to paragraph 43 (b) of the annex to decision 13/CMP.1?	▼ Yes □ No	The Party reported in [NIR] section 12.3 that its national registry does not hold units that are not valid for use towards compliance with commitments under Article 3, paragraph 1.			
15/CMP.	1 annex I.E paragraph 17					
Actions	and changes to address discrepanci	es				
P1.2.13	Has Party reported actions taken to correct any problem that caused a discrepancy to occur, any changes to the national registry to prevent a discrepancy from reoccurring, or the resolution of any previously identified questions of implementation pertaining to transactions?	▼ Yes □ No	The Party reported in [NIR] section 12.3, that "Necessary actions have been undertaken to correct any problem causing a discrepancy in the reporting year 2017. All relevant transactions were terminated".			
15/CMP.	1 annex I.E paragraph 18					
CPR Calculation						
P1.2.14	Has Party reported the calculation of its commitment period reserve?	▼ Yes □ No	The Party reported the calculation of its commitment period reserve (CPR) in [NIR] section 12.5.			

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?	✓ Yes □ No	□ Yes ▼ No	In [NIR] section 14, the Party states that no changes have been made to the name and contact information of 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?	✓ Yes □ No	□ Yes ☑ No	In [NIR] section 14, the Party states that no changes have been made to its cooperation arrangements.
P1.3.3	15/CMP.1 annex II.E paragraph 32.(c) Change to the database or the capacity of National Registry Has the Party reported a change to the database structure or capacity of the national registry?	✓ Yes □ No	□ Yes ☑ No	In [NIR] section 14, the Party reported a change that did not include a change to KP related tables or properties.

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
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?	▼ Yes □ No	▼ Yes □ No	In [NIR] section 14, the Party states that, changes have been made to the conformance to technical standards since version 8.0.7 of the national registry. These changes are
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?	✓ Yes □ No	☐ Yes ☑ No	listed in Annex B [ANNEX]. In [NIR] section 14, 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?	▼ Yes □ No	□ Yes ☑ No	In [NIR] section 14, the Party states that no changes have been made to the security measures employed in its national registry.
P1.3.7	15/CMP.1 annex II.E paragraph 32.(g) Change of list of publicly available information Has the Party reported a change to the list of publicly accessible information?	✓ Yes □ No	□ Yes ☑ No	In [NIR] section 14, the Party states that no changes have been made to the list of publicly available information accessible by means of the user interface of its national registry
P1.3.8	15/CMP.1 annex II.E paragraph 32.(h) Change of Internet address Has the Party reported a change to the Internet address of the national registry?	✓ Yes □ No	□ Yes ☑ No	In [NIR] section 14, the Party states that no changes have been made to the Internet address of its national registry.

Ref Nr	Requirement	Submission complete?	Item changed during reported period?	Comments
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?	▼ Yes □ No	□ Yes ☑ No	In [NIR] section 14, 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?	▼ Yes □ No	✓ Yes □ No	In [NIR] section 14, the Party reported changes. Annex H test results were provided by the UNFCCC to the assessors.

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. The assessor should go to the webpage by the URL provided in the submission to determine if the information has been successfully made public. If the information is only found in the NIR that does not satisfy the requirements and should be negatively assessed. See the Publicly Available Information Guidance document for additional clarification.

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.1	13/CMP.1 Annex paragraph 45 Account information provided?	✓ Yes □ No	☐ Yes ☐ No ☑ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://ets-registry.webgate.ec.europa.eu/euregistry/Ll/public/reports/publicReports.xhtml
P1.4.1.1	13/CMP.1 Annex paragraph 45 (a) Account name: the holder of the account	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://ets-registry.webgate.ec.europa.eu/euregistry/Ll/public/reports/publicReports.xhtml
P1.4.1.2	13/CMP.1 Annex paragraph 45 (b) Account type: the type of account (holding, cancellation or retirement)	▼ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://ets-registry.webgate.ec.europa.eu/euregistry/Ll/public/reports/publicReports.xhtml
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	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://ets-registry.webgate.ec.europa.eu/euregistry/LI/public/reports/publicReports.xhtml

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	▼ Yes □ No	✓ Yes □ No □ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://ets-registry.webgate.ec.europa.eu/euregistry/LI/public/reports/publicReports.xhtml
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	✓ Yes □ No	✓ Yes □ No □ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://ets-registry.webgate.ec.europa.eu/euregistry/LI/public/reports/publicReports.xhtml
P1.4.2	13/CMP.1 Annex paragraph 46 Article 6 project information provided?	▼ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://www.llv.li/#/12414
P1.4.2.1	13/CMP.1 Annex paragraph 46 (a) Project name: a unique name for the project	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://www.llv.li/#/12414
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	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://www.llv.li/#/12414
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	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://www.llv.li/#/12414

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.	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://www.llv.li/#/12414
P1.4.3	13/CMP.1 Annex paragraph 47 Holding and transaction information provided?	▼ Yes □ No	☐ Yes ☐ No ☑ Partial	The Party provides reference to this publicly available information in [NIR] section 12.4, https://ets-registry.webgate.ec.europa.eu/euregistry/Ll/public/reports/publicReports.xhtml
P1.4.3.1	13/CMP.1 Annex paragraph 47 (a) The total quantity of ERUs, CERs, AAUs and RMUs in each account at the beginning of the year	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
P1.4.3.2	13/CMP.1 Annex paragraph 47 (b) The total quantity of AAUs issued on the basis of the assigned amount pursuant to Article 3, paragraphs 7 and 8	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
P1.4.3.3	13/CMP.1 Annex paragraph 47 (c) The total quantity of ERUs issued on the basis of Article 6 projects	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	See P1.4.3

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.3.4	13/CMP.1 Annex paragraph 47 (d)	✓ Yes ☐ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
	The total quantity of ERUs, CERs, AAUs and RMUs acquired from other registries and the identity of the transferring accounts and registries			
P1.4.3.5	13/CMP.1 Annex paragraph 47 (e)	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
	The total quantity of RMUs issued on the basis of each activity under Article 3, paragraphs 3 and 4			
P1.4.3.6	13/CMP.1 Annex paragraph 47 (f)	✓ Yes ☐ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
	The total quantity of ERUs, CERs, AAUs and RMUs transferred to other registries and the identity of the acquiring accounts and registries			
P1.4.3.7	13/CMP.1 Annex paragraph 47 (g)	✓ Yes ☐ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
	The total quantity of ERUs, CERs, AAUs and RMUs cancelled on the basis of activities under Article 3, paragraphs 3 and 4			
P1.4.3.8	13/CMP.1 Annex paragraph 47 (h)	✓ Yes ☐ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
	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			

Ref Nr	Requirement	Submission complete	Has party identified this type of information confidential?	Comments
P1.4.3.9	13/CMP.1 Annex paragraph 47 (i) The total quantity of other ERUs, CERs, AAUs and RMUs cancelled	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
P1.4.3.10	13/CMP.1 Annex paragraph 47 (j) The total quantity of ERUs, CERs, AAUs and RMUs retired	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
P1.4.3.11	13/CMP.1 Annex paragraph 47 (k) The total quantity of ERUs, CERs and AAUs carried over from the previous commitment period	✓ Yes ☐ No	☐ Yes ☑ No ☐ Partial	See P1.4.3
P1.4.3.12	13/CMP.1 Annex paragraph 47 (I) Current holdings of ERUs, CERs, AAUs and RMUs in each account	✓ Yes □ No	✓ Yes □ No □ Partial	See P1.4.3
P1.4.4	13/CMP.1 Annex paragraph 48 List of legal entities authorized by Party provided?1	✓ Yes □ No	☐ Yes ☑ No ☐ Partial	The Party provides information about this publicly available information in [NIR] section 12.4.

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 <u>most recently published annual review</u>, this section should list them and the party's annual submission is checked to see that each has been addressed and satisfies each recommendation.

Ref Nr	Recommendation from previous Annual Review report (with ref)	Has Party covered the recommendation in its submission?	Comment
P1.5.1	The ERT notes from the SIAR that the national registry does not fully comply with the functions set out in the annex to decision 13/CMP.1 and the annex to decision 5/CMP.1. The SIAR points out that relevant information from the administrator of the national registry is lacking. Such information includes, in the disaster recovery plan, the following: (1) disaster recovery roles and responsibilities for primary and alternative national registry personnel; (2) a contingency plan communication procedure; (3) documentation on the operation of the national registry in a crisis situation; and (4) a periodic testing strategy, based on mechanisms agreed with the host of the national registry. During the review, Liechtenstein explained that its national registry is operated by the European Union hence the Party assigned the functions relating to the disaster recovery plan to the Central Administrator of the European Union The ERT, noting the explanation by Liechtenstein, recommends that this information is included in its next submission. FCCC/ARR/2016/LIE/G.10 from 21/09/2017	▼ Yes □ No □ NA	Liechtenstein has explained how the Annual Review recommendations have been addressed in the NIR, see p. 39 Inventory Development Plan, p. 268 Chapter 10.4.1, p. 322f. Annex A8.3 Inventory Development Plan submission 2017, text and table A-10
P1.5.2		☐ Yes ☐ No ☑ NA	
P1.5.3		☐ Yes ☐ No ☑ NA	
P1.5.x		☐ Yes ☐ No ☑ NA	

SIAR Part 1 LI 2018 v1.0