



UNFCCC ITL Administrator

Standard Independent Assessment Report
Assessment Report
Part 2 - Substance

Reference:	SIAR/2015/RU/2/1	State:	Final
Version number:	1.0	Date:	23/12/2016
Prepared by:	R. Bothe Palisoc UNFCCC		
Approved by:	M. Pieters UNFCCC		

Circulation list

Name/Role	Organization	Info/Action
R. Bothe Palisoc	UNFCCC	Info
M. Pieters	UNFCCC	Info
N. Uledova	Russian Federation Registry	Action

Document change record

Version	Date	Description
1.0	23/12/2016	Final report

Summary

Ref Nr	Description	Value	Comments
P1.0.1	Party name	Russian Federation	
P1.0.2	Reporting period	2015	
P1.0.3	Submission under review	Files submitted: - [SEF] Rus-2015-sef-cp1-24mar - [NIR] RUS-NIR-2015_vol1 RUS-NIR-2015_vol2	Information from the ITL Administrator: - [SEFCR] CR_RU_CP1_2014 -[RRITL] ITL R2-R5 RITL2_RU_2014 RITL3_RU_2014 RITL4_RU_2014 RITL5_RU_2014
P1.0.4	Previous annual review report reference	FCCC/ARR/2014/RUS (05/06/3015)	

Table of Contents

1. Introduction.....	5
1.1. Overall assessment.....	5
1.2. Summary of findings.....	6
2. Identification of Problems.....	7
3. Identification of Significant Changes.....	11
4. Recommendations.....	14
4.1. Previous Expert Review Team recommendations	14
4.2. Recommendations to address identified problems	14

1. Introduction

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

1.1. Overall assessment

Ref Nr	Requirement	Assessment
P2.1.1	Is the information submitted by Party, in relation to its national registry, complete?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No P1.2.2
P2.1.2	Problem found with Party's national registry?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No P1.4.1
P2.1.3	Any unresolved problem with Party's national registry?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
P2.1.4	Problems identified with the significant changes to the Party's national registry?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
P2.1.5	National registry related recommendations from previous annual review were fully addressed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
P2.1.6	Is there any recommendation that needs to be addressed by the Party?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No P2.4.2.1 - P2.4.2.2

1.2. Summary of findings

Ref Nr	Summary of findings
P2.2.1	<ul style="list-style-type: none"> The information on Kyoto Protocol units has been reported in accordance with section I.E of the annex to decision 15/CMP.1 and is accurate. The national registry partially fulfilled requirements related to its reporting and accounting of information on Kyoto Protocol units and fulfilled all requirements related to transaction procedures, conformance to the technical standards, security, data integrity, and recovery measures. Information on the accounting of Kyoto units has been prepared and reported in accordance with section I E of the annex to decision 15/CMP.1, and reported in accordance with decision 14/CMP.1 using the SEF tables. However, the Party did not report information on 2014 and 2015 CP2 transactions. The SIAR assessor recommends that the Party includes 2014 and 2015 CP2 SEFs in its next annual submission. Information on the accounting of Kyoto units has been prepared and reported in accordance with section I.E of the annex to decision 15/CMP.1, and reported in accordance with decision 14/CMP.1 using the SEF tables. The SIAR assessor finds that the national registry performed the functions set out in the annex to decision 13/CMP.1 and the annex to decision 5/CMP.1, and adhered to the technical standards for data exchange between registry systems in accordance with relevant Conference of the Parties serving as the meeting of the Parties (CMP) to the Kyoto Protocol decisions. Party has reported its commitment period reserve in its 2015 annual submission. The national registry has not fulfilled all requirements regarding the public availability of information in accordance with section II.E of the annex to decision 13/CMP.1. <p><u>Recommendations</u></p> <ul style="list-style-type: none"> The SIAR assessor recommends that the party includes the 2014 CP2 SEF report in its next annual submission consistent with decision 3/CMP.11, paragraph 14: “Also decides that a Party included in Annex I without a quantified emission limitation or reduction commitment inscribed in the third column of Annex B shall continue to provide relevant information on its national registry, or changes thereto, including information on the units in its registry, by submitting the standard electronic format tables in conjunction with its annual inventory submission for the second commitment period, in accordance with decisions 13/CMP.1 and 15/CMP.1 and annex I to this decision, ‘if its registry is connected to the international transaction log at any time during the relevant calendar year’ The SIAR assessor recommends that the party re-activates its public website http://www.carbonunitsregistry.ru.

2. Identification of Problems

The purpose of this section is to identify any problems with the national registry based on the Party's annual submission and transaction log records that may affect the performance of the functions of the national registry pursuant to paragraph 88 of the annex to decision 22/CMP.1.

Ref Nr	Requirement	Assessment	Comment
	22/CMP.1 paragraph 88.(a) The information is complete and submitted in accordance with section I.E of the annex to decision 15/CMP.1 and relevant decisions of the COP/MOP;	Assessed in SIAR Part 1. Kept here for completeness	
P2.2.2	22/CMP.1 paragraph 88.(b) The information relating to issuance, cancellations, retirement, transfers, acquisitions, replacement and carry-over is consistent with information contained in the national registry of the Party concerned and with the records of the transactions log;	Problem Identified? [x] Yes [] No	Party submitted a CP1 SEF which is consistent with the ITL records. The SIAR assessor recommends that the party includes the 2014 CP2 SEF report in its next annual submission.
P2.2.3	22/CMP.1 paragraph 88.(c) The information relating to transfers and acquisitions between national registries is consistent with the information contained in the national registry of the Party concerned and with the records of the transaction log, and with information reported by the other Parties involved in the transactions;	Problem Identified? [x] Yes [] No	Party submitted a CP1 SEF which is consistent with the ITL records. The SIAR assessor recommends that the party includes the 2014 CP2 SEF report in its next annual submission.
P2.2.4	22/CMP.1 paragraph 88.(d) The information relating to acquisitions of CERs, tCERs, and ICERs from the CDM registry is consistent with the information contained in the national registry of the Party concerned and with the records of the transaction log, and with the clean development mechanism (CDM) registry;	Problem Identified? [x] Yes [] No	Party submitted a CP1 SEF which is consistent with the ITL records. The SIAR assessor recommends that the party includes the 2014 CP2 SEF report in its next annual submission.

Ref Nr	Requirement	Assessment	Comment
P2.2.5	22/CMP.1 paragraph 88.(e) ERUs, CERs, AAUs and RMUs have been issued, acquired, transferred, cancelled, retired, or carried over to the subsequent or from the previous commitment period in accordance with the annex to decision 13/CMP.1;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Party submitted a CP1 SEF which is consistent with the ITL records. The SIAR assessor recommends that the party includes the 2014 CP2 SEF report in its next annual submission.
P2.2.6	22/CMP.1 paragraph 88.(f) tCERs and ICERs have been issued, acquired, transferred, cancelled, retired and replaced, in accordance with the annex to decision 13/CMP.1 and the annex to decision 5/CMP.1;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Party submitted a CP1 SEF which is consistent with the ITL records. The SIAR assessor recommends that the party includes the 2014 CP2 SEF report in its next annual submission.
P2.2.7	22/CMP.1 paragraph 88.(g) The information reported under paragraph 11 (a) of section I.E. in the annex to decision 15/CMP.1 on the quantities of units in accounts at the beginning of the year is consistent with information submitted the previous year, taking into account any corrections made to such information, on the quantities of units in accounts at the end of the previous year;	Problem Identified? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Party submitted a CP1 SEF which is consistent with the ITL records. The SIAR assessor recommends that the party includes the 2014 CP2 SEF report in its next annual submission.
P2.2.8	22/CMP.1 paragraph 88.(h) The required level of the commitment period reserve, as reported, is calculated in accordance with paragraph 6 of the annex to decision 18/CP.7;	Only assessed by the Expert Review Team. Kept here for completeness	
P2.2.9	22/CMP.1 paragraph 88.(i) The assigned amount is calculated to avoid double accounting in accordance with paragraph 9 of the annex to decision 16/CMP.1;	Only assessed by the Expert Review Team. Kept here for completeness	

Ref Nr		Requirement	Assessment	Comment
P2.2.10		22/CMP.1 paragraph 88.(j) A discrepancy has been identified by the transaction log relating to transactions initiated by the Party, and if so the expert review team shall:	Has the discrepancy been identified by the transaction log? [] Yes [x] No	No discrepancies occurred for the Party.
Repeat for each discrepancy type (include Type Number)	P2.2.10.1	22/CMP.1 paragraph 88.(j)(i) Verify that the discrepancy has occurred and been correctly identified by the transaction log;	Has the discrepancy been identified by the transaction log? [] Yes [] No [x] N/A	No discrepancies occurred for the Party.
	P2.2.10.2	22/CMP.1 paragraph 88.(j)(ii) Assess whether the same type of discrepancy has occurred previously for that Party;	Has the same type of discrepancy occurred previously for that Party? [] Yes [] No [x] N/A	No discrepancies occurred for the Party.
	P2.2.10.3	22/CMP.1 paragraph 88.(j)(iii) Assess whether the transaction was completed or terminated;	Was the transaction completed or terminated? [] Yes [] No [x] N/A	No discrepancies occurred for the Party.
	P2.2.10.4	22/CMP.1 paragraph 88.(j)(iv) Has the Party corrected the problem that caused the discrepancy?	Problem that caused the discrepancy corrected? [] Yes [] No [x] N/A	No discrepancies occurred for the Party.
	P2.2.10.5	22/CMP.1 paragraph 88.(j)(v) Assess whether the problem that caused the discrepancy relates to the capacity of the national registry to ensure the accurate accounting of Kyoto Protocol units, issuance, holding, transfer, acquisition, cancellation and retirement of ERUs, CERs, tCERs, ICERs, AAUs and RMUs, the replacement of tCERs and ICERs, and the carry-over of ERUs, CERs and AAUs	Discrepancy relates to the capacity of the national registry to ensure the accurate accounting? [] Yes [] No [x] N/A	No discrepancies occurred for the Party.

Ref Nr		Requirement	Assessment	Comment
P2.2.11		22/CMP.1 paragraph 88.(k) Any record of non-replacement has been sent to the Party by the transaction log in relation to tCERs or ICERs held by the Party, and if so the expert review team shall:	Any tCERs or ICERs subject to non-replacement held by Party? [] Yes [x] No	No non-replacements occurred for the Party.
Repeat for each non-replacement type (incl Type number	P2.2.11.1	22/CMP.1 paragraph 88.(k)(i) Verify that the non-replacement has occurred and been correctly identified by the transaction log;	Has the transaction log identified the non-replacement? [] Yes [] No [x] N/A	No non-replacements occurred for the Party.
	P2.2.11.2	22/CMP.1 paragraph 88.(k)(ii) Assess whether non-replacement has occurred previously for that Party;	Has this type of non-replacement previously occurred for that Party? [] Yes [] No [x] N/A	No non-replacements occurred for the Party.
	P2.2.11.3	22/CMP.1 paragraph 88.(k)(iii) Assess whether the replacement was subsequently undertaken;	Was the replacement subsequently undertaken? [] Yes [] No [x] N/A	No non-replacements occurred for the Party.
	P2.2.11.4	22/CMP.1 paragraph 88.(k)(iv) Examine the cause of the non-replacement and whether the Party has corrected the problem that caused the non-replacement;	Has the Party corrected the problem that caused the non-replacement? [] Yes [] No [x] N/A	No non-replacements occurred for the Party.
	P2.2.11.5	22/CMP.1 paragraph 88.(k)(v) Assess whether the problem that caused the non-replacement relates to the capacity of the national registry to ensure the accurate accounting of Kyoto Protocol units, holding, transfer, acquisition, cancellation, and retirement of ERUs, CERs, tCERs, ICERs, AAUs and RMUs, and the replacement of tCERs and ICERs, and if so, initiate a thorough review of the registry system in accordance with part V of these guidelines.	Non-replacement relates to the capacity of the national registry to ensure the accurate accounting? [] Yes [] No [x] N/A	No non-replacements occurred for the Party.

3. Identification of Significant Changes

The purpose of this section is to identify any **significant changes** in the national registry reported by the Party that may affect the performance of the functions contained in the annex to decision 13/CMP.1, the annex to decision 15/CMP.1 and the adherence to the technical standards for data exchange between registry systems in accordance with relevant COP/MOP decisions.

If a change to a Party's national registry has been identified under paragraph 22 of the annex to decision 15/CMP.1 then information relating to this change should be submitted by the Party in accordance with paragraph 32 of the annex to decision 15/CMP.1. This section assesses the submitted changes reported by Party in accordance with paragraph 32 of decision 15/CMP.1, and the further guidance elaborated in the Independent Assessment Report common operational procedure.

Ref Nr	Requirement	Has the Party reported a change?	Problem Identified with the Change?	Comment
P2.3.1	15/CMP.1 paragraph 32.(a) The name and contact information of the registry administrator designated by the Party to maintain the national registry	Not a significant change, left here for completeness		
P2.3.2	15/CMP.1 paragraph 32.(b) The names of the other Parties with which the Party cooperates by maintaining their national registries in a consolidated system	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	No changes occurred for the Party for this item.
P2.3.3	15/CMP.1 paragraph 32.(c) A description of the database structure and capacity of the national registry.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	No changes occurred for the Party for this item.

Ref Nr	Requirement	Has the Party reported a change?	Problem Identified with the Change?	Comment
P2.3.4	15/CMP.1 paragraph 32.(d) A description of how the national registry conforms to the technical standards for data exchange between registry systems for the purpose of ensuring the accurate, transparent and efficient exchange of data between national registries, the clean development mechanism registry and the transaction log (decision 19/CP.7, paragraph 1)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	No changes occurred for the Party for this item.
P2.3.5	15/CMP.1 paragraph 32.(e) A description of the procedures employed in the national registry to minimize discrepancies in the issuance, transfer, acquisition, cancellation and retirement of ERUs, CERs, tCERs, ICERs, AAUs and/or RMUs, and replacement of tCERs and ICERs, and of the steps taken to terminate transactions where a discrepancy is notified and to correct problems in the event of a failure to terminate the transactions	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	No changes occurred for the Party for this item.
P2.3.6	15/CMP.1 paragraph 32.(f) An overview of security measures employed in the national registry to prevent unauthorized manipulations and to prevent operator error and of how these measures are kept up to date	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	No changes occurred for the Party for this item.

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

4. Recommendations

4.1. Previous Expert Review Team recommendations

This section assesses Party's response to the previous annual review recommendations.

Ref Nr	Recommendation from previous Annual Review report (with ref)	Has Party acted on recommendation?	Comment
P2.4.1.1	NA	<input type="checkbox"/> Yes <input type="checkbox"/> No	
P2.4.1.2		<input type="checkbox"/> Yes <input type="checkbox"/> No	
P2.4.1.3		<input type="checkbox"/> Yes <input type="checkbox"/> No	
P2.4.1.x		<input type="checkbox"/> Yes <input type="checkbox"/> No	

4.2. Recommendations to address identified problems

If a problem has been identified earlier in section 2 and 3 or a previous recommendation listed in section 4.1 has not been taken into account, then this section of the report lists a recommendation for each problem to be brought to the attention to the Expert Review Team.

Ref Nr	Recommendation Ref	Recommendation description	Comment
P2.4.2.1	P.1.2.2	The Party did not include 2014 CP2 SEFs in its annual submission, consistent with decision 3/CMP.11, paragraph 14: "Also decides that a Party included in Annex I without a quantified emission limitation or reduction commitment inscribed in the third column of Annex B shall continue to provide relevant information on its national registry, or changes thereto, including information on the units in its registry, by submitting the standard electronic format tables in conjunction with its annual inventory submission for the second commitment period, in accordance with decisions 13/CMP.1 and 15/CMP.1 and annex I to this decision, 'if its registry is connected to the international transaction log at any time during the relevant	The SIAR assessor recommends that the party includes the 2014 CP2 SEF report in its next annual submission.

		calendar year'	
P2.4.2.2	P1.4.1	<p>The Party provides reference to this publicly available information in NIR vol. 1 section 10.2.2.7. The URL of the webpage is http://www.carbonunitsregistry.ru.</p> <p>At the time of assessment, the webpage was unavailable.</p>	The SIAR assessor recommends that the party re-activates its public website http://www.carbonunitsregistry.ru .
P2.4.2.3			
P2.4.2.x			