

# U.S. EPA Templates for Creating a National GHG Inventory System Manual

# 6. Archiving System

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Staff member responsible for populating the template - Contact Information

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## Introduction to Template 6. Archiving System

In the U.S. EPA's Templates for Creating a National GHG Inventory System Manual, this is Template 6. Its purpose is to help you create a complete and accessible archive of your national GHG inventory. The template is also consistent with archiving guidance for future reporting requirements under the Enhanced Transparency Framework[[1]](#footnote-1) (ETF) for National GHG Inventories.

An inventory archive is a collection of information related to the GHG inventory compilation process, reporting, and institutional arrangements. Having easy access to such information will help:

* Current and future inventory compilers understand previously used data, methodologies, structures, processes, etc., so that they are able to prepare the inventory efficiently and in a manner that is consistent with prior inventories;
* Increase the sustainability of the National Inventory System and its improvement over time;
* Increase the transparency of current reporting under the UNFCCC (e.g., for example, for National Communications and Biennial Update Reports), in addition to transparency of future reporting under the ETF. This can be particularly valuable for peer reviewing processes, such as International Consultation and Analysis.

The Archiving Coordinator (see roles documented in Template 2: Institutional Arrangements) is encouraged to use this template to develop an Archiving System Plan before the GHG inventory compilation cycle starts, and to document potential improvements to the Archiving System based on lessons learned while archiving materials or accessing these materials later. The Archiving Coordinator may need to work with the National Inventory Coordinator (NIC) and other Inventory Agency staff to develop this plan.

The Archiving Coordinator should archive all material associated with each GHG inventory compilation cycle and not overwrite existing material. An inventory archive differs from routine electronic file backup. The archive should be a collection of materials that specifically facilitates replicating the compilation steps of a prior GHG inventory.

The inventory archive should include at least the following materials, customized for your country’s context:

* Institutional arrangements (Template 2)
* Inventory compilation plan (i.e. National GHG Inventory Inception Memorandum supporting template)
* Methodology and data (Template 3)
* Any files used for calculation, e.g. spreadsheets, models, databases
* QA/QC plan (Template 4)
* Key category analysis (Template 5)
* Drafts and final electronic versions of the inventory report (e.g. national inventory document and any submitted common reporting tables)
* Internal and external review comments and responses
* Archiving plan (Template 6)
* Improvement plan (Template 7)

To complete this template, the Archiving Coordinator, with support from other key inventory team members, as required, should carry out the steps enumerated below by following the instructions above each table in this template. When the tables are complete, the Archiving Coordinator should delete both the green text and green tables throughout this template. The remaining text or tables can be used for [documenting archive steps and procedures] or as a section of your country’s National GHG Inventory System Manual.

|  |  |
| --- | --- |
| Step | Purpose |
| 1. Assess the existing archiving steps and procedures | You may potentially use these as foundations for an updated Archiving System. |
| 1. Develop the Archiving System Plan | The Archiving System Plan will clearly indicate who must take what actions, and how and when to take them. This should help ensure that all archiving activities are carried out in a targeted manner and can be tracked. |
| 1. Identify improvements to the Archiving System | Identifying improvements will help increase the quality of the Archiving System and therefore improve inventory quality over time. The prioritization of improvements and the development of an improvement plan are covered in Template 7. |

### STEP 1: Use Table 6-1 to assess the existing archiving steps and procedures

* Describe any archiving procedures from previous inventory compilation cycles. The questions below will help identify these procedures. You may add to or remove from this list, or modify the questions that are currently there, according to your needs. Consider which procedures could support current and future inventory compilation cycles. These may form the basis for the Archiving System Plan you will develop in Step 2.

Table 6-1 Assessment questions

| Example Assessment Questions | Assessment Findings and Comments |
| --- | --- |
| Is there an archiving plan from previous compilation cycles, or are archiving procedures documented in any other way? |  |
| Where is previous GHG inventory compilation material stored and in which format (e.g., electronically, or on paper)? |  |
| Who has access to it? |  |
| Which documents were archived? |  |
| Were both drafts and final versions archived? If so, at which points in the GHG inventory compilation cycle were drafts archived? |  |
| If there is an archiving plan, was its implementation tracked (e.g., by a checklist within the plan, or an external spreadsheet)? |  |
| If files were archived electronically, was a folder structure used to enable easy access to the documents? If so, describe the structure. |  |
| Was a naming convention for files used (e.g., to indicate sectors, categories, status, type of document, date, or responsible staff)? If so, describe the convention used. |  |

### STEP 2: Develop the Archive System Plan

*The following section describes what to include in the Archiving System Plan for your national inventory. The overall objective of your plan should be to address what information created during the compilation of your national inventory will be archived, where it will be archived, when it will be archived, by whom it will be archived, and who will have access to it and how. It is important that you save information throughout the compilation of your national inventory, rather than only at the end of the process, and that your plan address the gaps you may have identified in Table 6-1, above.*

#### Responsibilities of the Archiving Coordinator

*This subsection will be part of the Archiving System Plan and provides an overview of the responsibilities of the Archiving coordinator. It is included in the plan for ease of access by the Archiving Coordinator. You may modify this bulleted list of responsibilities according to your needs.*

The role of the Archiving Coordinator entails the following:

* Setting up and operating the Archiving System and compiling the Archiving System Plan
* Maintaining the Archiving System Plan, and reviewing and updating it as required (at least every inventory compilation cycle)
* Ensuring that all actions in the Archiving System Plan are implemented
* Conveying to the inventory compilers the Archiving System, including:
  + The location of the archive
  + Instructions regarding access, the file structure, and file/folder naming conventions
  + The archiving plan and related responsibilities for each inventory compiler regarding the documents to be archived and archiving timelines
* Tracking the implementation of the Archiving System Plan

#### Archiving location, archive backup, and person in charge

*This subsection indicates where files are archived, where a backup is kept, and who is in charge of the archive. The archive and its backup should not be stored in the same location. Complete these bullets by replacing the green text with your own information.*

* Archiving Coordinator: *[insert name and contact information of the individual in charge of the archive]*
* Archived inventory files are stored here: *[insert location of electronic and hardcopy files]*
* Access to the archive: *[comment on how to request access (e.g. contact Archiving Coordinator), whether access to the archive is password-protected, and if so, how a password may be obtained]*
* The archive is kept here: *[insert master versions of hard copy and electronic files] by [insert name of person(s) in charge of master files]*
* A backup of the archive is kept here: *[insert location of electronic and hardcopy files]*
* Backup procedures are as follows: *[insert description of backup procedures, e.g., how often a backup is created]*

#### Archive structure and file/folder naming convention

*This subsection indicates how files and folders in the archive are structured and named to ensure a standardized approach and easy access.*

* The archive is structured as follows: *[insert list of folders/subfolders, or a screenshot showing the folder structure. Folder names should clearly indicate what documents are in them.]*
* The naming convention for files is as follows: *[insert detailed description of the file naming convention (e.g., inventory year, category code, etc). Provide several examples(e.g., one for a calculation sheet, one for the QA/QC plan, one for activity data as obtained from a data provider). The file naming convention should include a version control element, unless you are using a storage solution which automatically performs version control.]*

#### Materials to be archived

*Consider which drafts should be archived and how often (e.g., at the end of each stage of the inventory compilation cycle, upon completing the first draft of the inventory report, or upon reviewing and finalizing the report). Archiving drafts provides additional protection from file corruption or loss, but also increases effort.*

### Use Table 6-2 to record which materials should be archived

* *Table 6-2, below, provides an overview of the materials to be archived. It is prepopulated with a list of recommended materials in the “Materials to be archived” column. The second and third columns have example responses. You may overwrite any of the information in this table according to your needs. If you decide to keep any of the example responses in the second and third columns, change their font color to black so that they remain in the table when you delete the green text from this template upon completing it.*

Table 6-2 Materials to be archived

| **Materials to be archived** | **Staff from whom the materials should be obtained** | **Point in time at which the materials should be obtained** |
| --- | --- | --- |
| 1. Institutional Arrangements (Template 2) | *NIC* | *At the beginning of the inventory compilation cycle* |
| 1. Inventory compilation plan (Template 1; Inception Memorandum supporting template) | *NIC* | *At the end of the inventory compilation cycle* |
| 1. Methods and Data Documentation (Template 3) | *Sector leads* | *At the beginning and at the end of the inventory compilation cycle* |
| 1. Any files used for calculations (e.g., spreadsheets or models) | *Sector leads* | *At the end of the inventory compilation cycle* |
| 1. QA/QC Procedures (Template 4) | *NIC* | *At the end of the inventory compilation cycle* |
| 1. Results of quality control processes (Template 4) | *Sector leads* | *At the end of the inventory compilation cycle* |
| 1. Key Category Analysis (Template 5) | *NIC* | *At the end of the inventory compilation cycle* |
| 1. Drafts and final electronic versions of the inventory report | *NIC* | *Intermediate, draft final, and final versions* |
| 1. Internal and external review comments and responses | *NIC* | *At the end of the inventory compilation cycle* |
| 1. Archiving System Plan (Template 6) | *Archiving Coordinator* | *At the end of the inventory compilation cycle* |
| 1. National Inventory Improvement Plan (Template 7) | *NIC* | *At the end of the inventory compilation cycle* |
| 1. Contacts and contact information for data sources | *Sector leads* | *At the end of the inventory compilation cycle* |
| 1. Communication with data sources and the data obtained | *Sector leads* | *At the end of the inventory compilation cycle* |
| 1. Decision-making documents related to the compilation process (e.g., minutes of meetings of the GHG inventory compilers, email communication, minutes of phone communication) | *NIC and Sector Leads* | *Whenever communication has taken place* |

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### Overall Archive Procedures Checklist

To ensure a successful archiving system, a comprehensive checklist can be helpful. Checklists help to ensure that all archiving procedures occur in a timely and complete manner. The final archiving task list should show all archiving tasks, responsible staff, and due dates. All tasks should be clearly conveyed to the inventory compilers at the start of the GHG inventory compilation cycle. The Archiving Coordinator is responsible for assign tasks and due dates to inventory compiler staff at the beginning of the inventory compilation cycle in order to accomplish all archive task on time. Table 6-3, below, provides the comprehensive checklist to be used by the Archiving Coordinator.

### In Table 6-3, below, record archiving tasks by responsible party, their due dates, and status

* Table 6-3 is a checklist of recommended archiving activities.
  + You may modify this checklist according to your needs by adding or removing activities, or editing those already present. You may also reassign activities as it suits your country’s circumstances and objectives (at the outset, all activities are assigned to the Archive Coordinator).
  + The “Due Date” column does not need to be completed for the purpose of describing archive procedures in your national system report.
  + When using the checklist below at the beginning of the next inventory cycle, develop due dates in accordance with the “Inventory Cycle” in the Template 1. How to Use the Templates National GHG Inventory Inception Memorandum supporting template. Archive material should be collected when the material is first used for the inventory, to avoid searching for materials later.
* Review Table 6-2, above, carefully. As noted above, edit the tasks and responsibilities so that they accurately reflect those in your country’s inventory system.

Table 6-3: Archive Tasks, Responsibilities, and Schedule

| Activity | Due Date | Activity Completed | |
| --- | --- | --- | --- |
| Completed by (name) | Date |
| *Archiving Coordinator* | | | |
| Create official archive, backup, and access requirements |  |  |  |
| Generate folder structure and naming convention |  |  |  |
| Update the archiving plan and deadlines |  |  |  |
| Convey archive structure, naming convention, access, and archiving plan to inventory compilers |  |  |  |
| Collect and archive documents describing institutional arrangements (Template 2) |  |  |  |
| Collect and archive documents describing methods and data collected (Template 3) |  |  |  |
| Collect and archive the inventory compilation plan, e.g., Template 1. How to Use the Templates, or the Inception Memorandum supporting template |  |  |  |
| Collect and archive any files used for calculation, e.g., spreadsheets or models |  |  |  |
| Collect and archive the QA/QC plan and results of QA/QC assessments (Template 4) |  |  |  |
| Collect and archive results of quality control processes (Template 4) |  |  |  |
| Collect and archive the key category analysis (Template 5) |  |  |  |
| Collect and archive drafts and final electronic versions of the inventory report |  |  |  |
| Collect and archive external review comments and responses |  |  |  |
| Archive the archiving plan (Template 6) |  |  |  |
| Collect and archive the national inventory improvement plan (Template 7) |  |  |  |
| Collect and archive contacts and contact information for data sources |  |  |  |
| Collect and archive communication with data sources and the data obtained |  |  |  |
| Collect and archive documents indicating decision-making related to the compilation process (e.g., minutes of meetings of the GHG inventory compilers, email correspondence) |  |  |  |

### STEP 3: Identify improvements to the Inventory Archiving System

Improvements to the Inventory Archiving System may include improvements associated with staff roles and responsibilities, and archiving procedures, including file management, file storage, and document and data retention.

### In Table 6-4, below, record potential improvements to the Inventory Archiving System

* Add as many rows to the table as necessary to list the improvement options.
* Instructions by column:
  + **Issue**: Describe the issue to be improved, specifying the associated archiving task.
  + **Improvement Option**: Describe the potential improvement to the Inventory Archiving System. Example: “Ensure that all final text documents for any given sector are sent to the National Inventory Coordinator in a single zipped file to minimize the risk of files being misplaced during the transmittal.”)
  + **Implementation Action**: Describe any actions needed to implement the improvement option. Example: “During the next inventory cycle, once all final text documents have been created, ensure they are all zipped and emailed to the National Inventory Coordinator by X date.”

Table 6-4, below, provides a list of suggested improvements to the Inventory Archiving System. These improvements, together with improvement options suggested in the other templates, form the basis for the national GHG inventory improvement plan.

Table 6-4: Improvements to the Inventory Archiving System

| Improvement # | Issue | Improvement Option | Implementation Action |
| --- | --- | --- | --- |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |

1. See 18/CMA.1, Modalities, Procedures and Guidelines (MPGs), Annex Chapter II, [Section B. National Circumstances and Institutional Arrangements](https://unfccc.int/sites/default/files/resource/CMA2018_03a02E.pdf) guidance for National Greenhouse Gas Inventory Report (available at http://unfccc.int/decisions). [↑](#footnote-ref-1)