MRVA Peer-review 2014
Applied Methodology

Hubert FALLMANN (Umweltbundesamt GmbH)

5th EU ETS Compliance Conference, Brussels, 7 November 2014
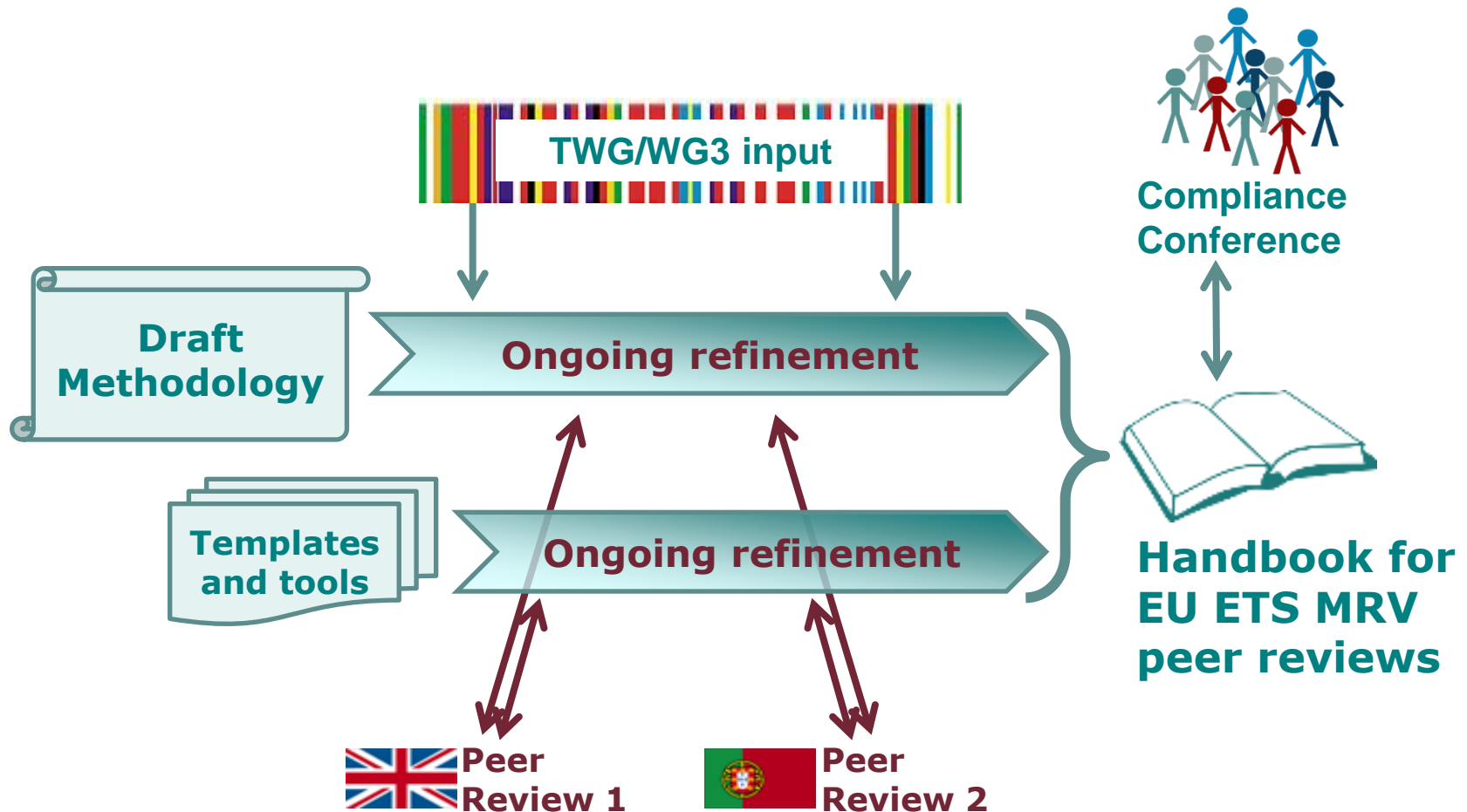
European Commission

Climate Action

EU ETS Peer Review – Context

- *Pilot peer-reviews 2011 - Conclusions:*
  - Successful concept
  - Should be established on a regular basis

- *Peer review project 2014:*
  - Umweltbundesamt GmbH contracted by DG CLIMA
  - Organise peer reviews of two MS in 2014
  - Develop a methodology for peer-reviews, to be used also for possible future peer-reviews

Role of Commission and Consultants

- *Main actors: Member States' experts*

- *Consultants:*
  - Develop the methodology (also to ensure a consistent execution of future peer reviews)
  - Provide review materials (guidance, tools, manuals,..) → serve transparency
  - Organisation of workshops and peer-reviews
  - Ensure that everything "runs smoothly", act as a "catalyst"

- *Commission:*
  - Oversight on project; Some distance ensured open climate
  - Only participated in one peer-review as observer

Process of methodology development

TWG/WG3 input

Compliance Conference

Draft Methodology

Ongoing refinement

Templates and tools

Ongoing refinement

Handbook for EU ETS MRV peer reviews

Peer Review 1

Peer Review 2

Climate Action

Available material

- *Peer review methodology: 2nd Draft (7 July 2014)*
- *Guidance for reviewers: 1st Draft (7 July 2014)*
- *Template for peer review report: 1st Draft (7 July)*
- *List of topics for discussion: 2nd Draft (15 July 2014)*
- *Further elements of the future handbook:*
  - Agendas of preparatory workshop and peer review (as template)
 - Umweltbundesamt's presentations of preparatory workshop and peer review

→ *Next drafts available in the coming days/weeks*
Your comments welcome!

Peer review principles

- *A method for quality management*

- *Review of activities, documents, procedures etc.*

- *Carried out by "colleagues", i.e. persons of the same hierarchical level, having similar professional competence*

- *Thus informal atmosphere, mutual understanding possible*

- *Outside view to bring in fresh ideas*

- *Team approach fosters broader spectrum of contributions and comparison options*

- *Overall target: Improvement*

Climate
Action
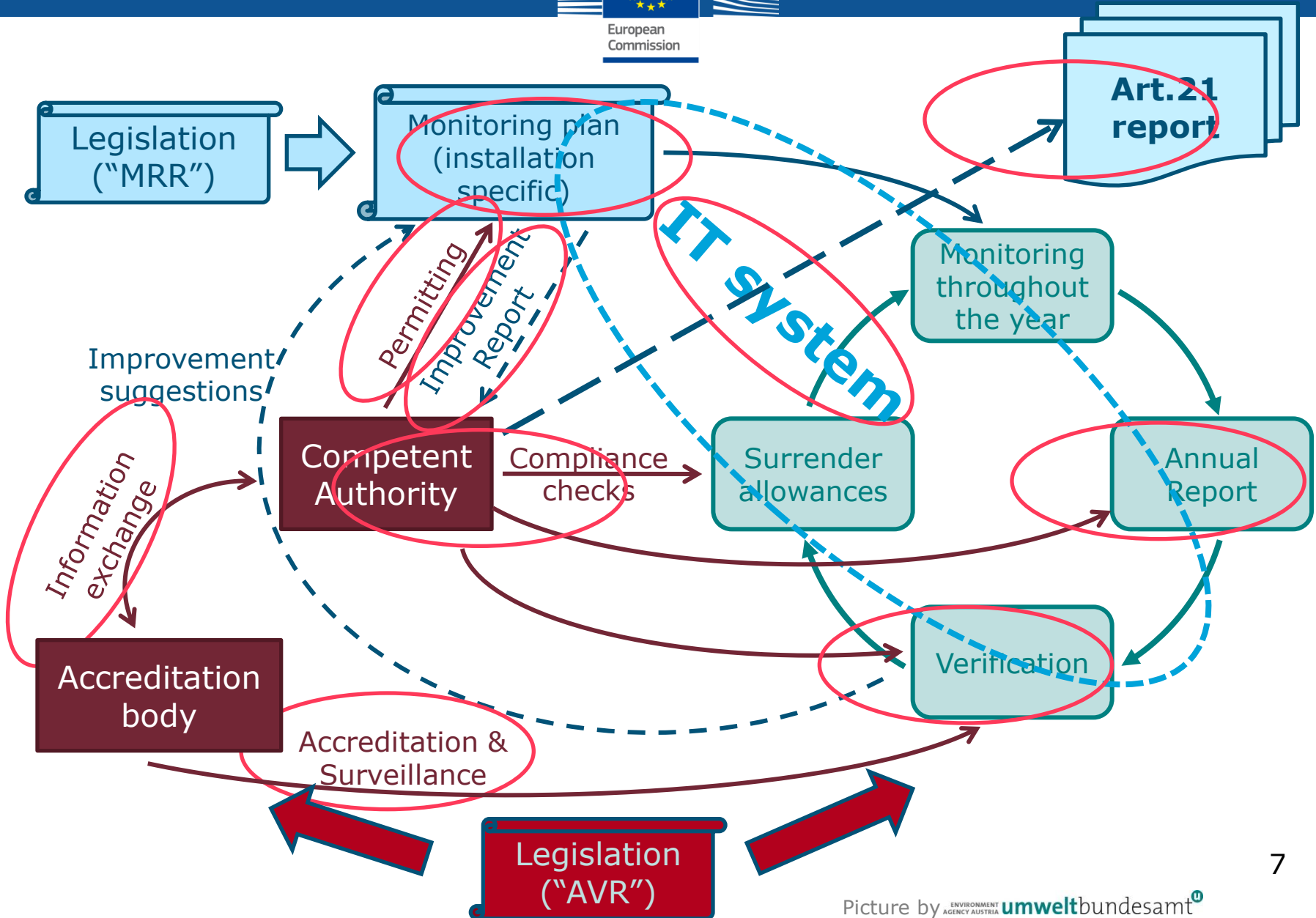
Scope of the 2014 peer-reviews (1)

- *In general, MS approaches to the whole compliance cycle:*
- *Organisation of the CA or CAs*
- *QA/QC systems within the competent authority*
- *Education and training of EU ETS personnel*
- *Use of IT systems*
- *Checking and approval of MP, AER, VR, IR,…*
- *Generation of Article 21 reports*
- *Accreditation and surveillance of verifiers*
- *Performance of information exchange between competent authorities and national accreditation bodies (including foreign NABs)*

Climate Action

Scope of the 2014 peer-reviews (2)

- *Best practices, e.g.*
    - Treatment of small emitters (aviation)
    - "Simple" installations, installations with low emissions
    - Waiving of site visits
    - Organisation of proficiency testing programs ("round-robin tests") as quality assurance for (non-) accredited laboratories
- *Special topics of interest to the expert team, e.g.*
    - Treatment of sustainability criteria for biomass
    - Assessment of sampling plans and risk assessments
    - Treatment of fuels as commercial standard fuels
    - Treatment of instruments not under the control of the operator
    - CA's use of and coordination with external consultants
- *Collection of need for further guidance and tools by the Commission*

Climate Action

Peer review phases

Preparatory Phase

Identify host countries	Compose review team	Coordination and planning

Implementation Phase

Follow review agenda	Document findings	Perform QA/QC checks

Follow-up Phase

Finalise Review report	Disseminate findings

Preparatory Workshop

- *Team building – getting to know each other*

- *Internal alignment of team → create common understanding of the methodology*

- *Distribution of roles*

- *Discussion and further development of the list of topics (will probably not be repeated in future peer reviews)*

Climate
Action

Implementation phase

- *Follow the agenda*
- *Topic to be discussed is introduced by a presentation by the host, followed by Q&A of all participants*
- *Q&A:*
  - Main interest: understand the host's approaches → expert team learns
  - Expert team contributes experience from MS → host country learns
  - Lead reviewer has the chair and ensures balance
  - "List of topics" supports the broad coverage of the discussion
- *Conclusions on the information gathered are drawn jointly by the expert team later (separate agenda point)*

Sample Agenda

- *Day 1:*
  - Review team internal preparation
  - Welcome & introduction
  - Presentation of the project
  - Host country: EU ETS Implementation framework
  - IT system used for MRV
  - MP, IR, approval & inspections
  - Assessment of AER & VR
  - Wrap up of Day 1
  - Review team internal coordination

- *Day 2:*
  - Accreditation
  - Aviation issues (what is different to installations)
  - Article 21 reporting
  - Diverse Q&A
  - Expert team / Host internal discussion for finding of conclusion
  - Presentation of findings
  - Feedback by host country
  - Wrap up

Climate Action

List of topics

- *Original Idea: Have a template for taking detailed notes*

1.4	CA Organisation – Information exchange	If applicable, how is a relevant information exchange between competent authorities ensured (e.g. between CA responsible for MRV and CA in charge of allocation)? What kinds of discussion groups, workshops, helpdesks, guidance documents, legislation, etc. are applied in your MS for ensuring a coordinated approach of your CAs (or departments within one CA)?	
Supporting Documents:			
Replies given by host MS:			
Contribution by Review team			
Assessment by Review Team:		Recommendation (if any)	Follow-up

Climate Action

List of topics – Simplified approach

- *Brief version: listing the overall topics for discussion*
  - To be used by the host for preparation of presentations
- *Extended version: detailed questions for each topic*
  - To be used by lead reviewer for steering the discussion "Excess supply" of questions for avoiding awkward silence
- *E.g. "MP approval – risk assessment & control system":*
  - Please outline your experience with risk assessments as basis for MPs.
  - To which extent do CAs require detailed evidence?
  - What kinds of checks are performed by the CA?
  - What is your experience with checking of procedures for data flow activities and the internal control system? What level of detail do operators (have to) report?
  - Please give examples for things that work particularly well in your MS, and examples of problems.

Climate Action

From implementation to follow-up phase

- *During discussion, notes are taken continuously, mainly in the template of the "list of topics for discussion"*
  → Evidence for what has really been discussed

- *In a separate step the expert team discusses the conclusions on the findings*
  - What are best practices?
  - What is normal?
  - What can/must be improved?
    (perhaps with suggestion of best practice from another MS)

- *Conclusions are presented to the host, and feedback from host is taken into account for clarification*

Follow-up phase

- *Lead reviewer (with support of the coordinator) prepares the draft (internal) report.*
- *The notes taken are copied into the (internal) report for documenting the full findings*
- *The lead reviewer drafts a summary of the review findings and conclusions.*
- *The report is shared with the review team and the host country for receiving comments.*
- *In case of contradicting comments, the coordinator tries to resolve the issue (e.g. by teleconference)*
- *After the (internal) report is agreed, a "public" version is generated by deleting the chapter containing the detailed notes.*
- *The "public" version of the report is shared with the Commission (and other MS)*

Climate Action

Thank you for your attention

Contact:

Robert.Gemmill@ec.europa.eu

Edoardo.Turano@ec.europa.eu

Consultant contact:

Hubert.Fallmann@umweltbundesamt.at

Katrin.Seuss@umweltbundesamt.at

Christian.Heller@umweltbundesamt.at

Climate
Action