

Umwelt  
Bundes  
Amt



Für Mensch und Umwelt

D E H S t

Deutsche Emissionshandelsstelle





# **The Accreditation & Verification Regulation (AVR) – challenges and opportunities for CAs**

**Alexander Handke**

Unit E 1.5

German Emissions Trading Authority (DEHSt )  
at the Federal Environment Agency (UBA)

**4th EU ETS Compliance Conference  
03/04 June 2013, Brussels**

- **Introduction / Roles of CAs and NABs**
- **Challenges / opportunities for CAs arising from the AVR...**
  - ...with regard to the whole **MRV-process**
  - ...with regard to the **accreditation of verifiers**
- **Summary**

# Introduction / Role of CAs & NABs

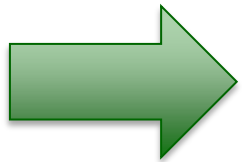
- In general the **functions of CAs and NABs are distinguished** clearly within the framework of the AVR
- **Accreditation & surveillance** of verifiers lies with the **NABs**
- However, **CAs are responsible for the functioning and the integrity of the EU-ETS**
- **The AVR offers opportunities for the CAs to**
  - play a role in enhancing the quality of verification
  - aim for improvements concerning the monitoring & reporting

- Introduction / Roles of CAs and NABs
- **Challenges / opportunities for CAs arising from the AVR...**
  - ...with regard to the whole **MRV-process**
  - ...with regard to the **accreditation of verifiers**
- Summary

# Challenges/opportunities with regard to the MRV-process

## Improvement of Monitoring Plans (MP)

- The **approved MP** is the **reference point for the verification**
- Art. 7(5) AVR: identified areas of **non-compliance with the MRR have to be included in the verification report (VR)**, even if the MP is approved
- Art 27(3) o, Art. 30 AVR: identified **potentials for improvement** in the monitoring & reporting system **have to be included in the VR** together with recommendations for improvement

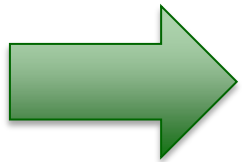


**CAs are enabled to correct the approvals /  
request improvements of MPs**

# Challenges/opportunities with regard to the MRV-process

## Immediate approval requirements

- **Art. 7 (6) AVR: verifiers shall request the Operator to obtain an approval** by the CAs, if the MP
  - has not been approved or is incomplete
  - has been modified significantly (Art. 15 MRR) but has not been submitted to the CA for approval
- **Special rules** apply for **data gaps** (Art. 18 AVR, Art. 65 MRR)
- If the requested approval can not be granted until the issuance of the VR, the verifier has to highlight the concerned matter in the VR (Art. 27, 28 AVR)

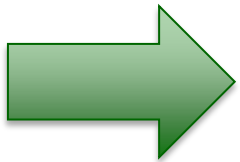


- Immediate action by the CA may be required in some cases
- CAs are enabled to influence the monitoring & reporting

# Challenges/opportunities with regard to the MRV-process

## Decisions about waiving site visits

- **Site visits of installations with low emissions** (Art. 47 MRR: < 25.000 t CO<sub>2(e)</sub> p.a.) may be waived by the verifier based on his risk analysis, if
  - provisions in Art. 31 (1) AVR are fulfilled (esp. remote data access, Conditions set by the Commission in KGN.5 are met)
  - none of the conditions laid down in Art. 31 (3) AVR applies
- **Approval by the CA is necessary** for installations with annual emissions of **25.000 t CO<sub>2(e)</sub> or more**



- CAs are enabled to influence the verification of larger installations
- Approval processes lead to additional administrative effort / refusals could be challenged by operators

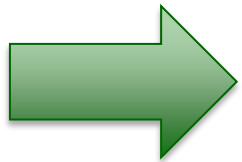


- Introduction / Roles of CAs and NABs
- **Challenges / opportunities for CAs arising from the AVR...**
  - ...with regard to the whole **MRV-process**
  - ...with regard to the **accreditation of verifiers**
- Summary

# Challenges/opportunities with regard to the accreditation

## Information to be provided by the NABs

- **Art. 70 AVR: NABs have to submit to the CAs annually**
  - **Accreditation Work Programme** (by June); esp. **planned office audits / witness audits** during accreditation procedures and (annual) surveillance for the coming 12 months
  - **Management Report** (by December) esp. **on accreditation and surveillance activities carried out, complaints received and actions taken** during the preceding 12 months
- **Templates** have been developed and **published by the Commission**

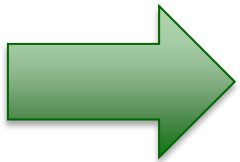


- CAs get an overview on the activities carried out by the NABs

# Challenges/opportunities with regard to the accreditation

## Information to be provided by the CAs

- **Art. 72 AVR: CAs have to submit to the NABs annually relevant results from checking AERs & VRs**
- Information should be provided **by end of September** in order to enable the NABs to take appropriate action, esp.
  - **to draft the accreditation work programme**
  - **to decide whether immediate action is required**
- **Template** has been developed and **published by the Commission**
- **In cases of serious violations** of the AVR **filing a complaint seems to be preferable** instead of including this issue in the annual report

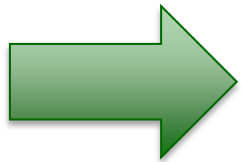


**CAs are enabled to address deficiencies of verifiers and influence the work of the NABs / Assessments of VR are necessary**

# Challenges/opportunities with regard to the accreditation

## Complaints / investigations by CAs

- **Art. 61 AVR: CAs may file complaints**, esp. if **serious or repeated breaches of the AVR** are identified
- **CAs may decide to carry out investigations**, esp. **check the internal verification documentation** of verifiers, Art. 26(3) AVR
- **NABs have**
  - **to decide about appropriate action to be taken** (e.g. extraordinary assessments; administrative measures)
  - **to respond within three months**, Art. 72(2) AVR



**CAs are enabled to address serious violations immediately / investigations might be considered as burdensome by CAs**

- Introduction / Roles of CAs and NABs
- Challenges / opportunities for CAs arising from the AVR...
  - ...with regard to the whole MRV-process
  - ...with regard to the accreditation of verifiers
- Summary

- **CAs should use the opportunities arising from the AVR even if some of them appear to be challenging**
- **Functioning of the compliance cycle can only be achieved if CAs share their competencies, experiences and knowledge with NABs**



**Thank you for your attention!**

**Alexander Handke**

E-Mail: [emissionstrading@dehst.de](mailto:emissionstrading@dehst.de)

Internet: [www.dehst.de](http://www.dehst.de)