

# Template 4: Description of Archiving System

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|  | **1: Institutional Arrangements** |
|  | **2: Methods and Data Documentation** |
| icon analysis.png | **3: Description of QA/QC Procedures** |
|  | **4: Description of Archiving System** |
|  | **5: Key Category Analysis** |
| icon NIIP.png | **6: National Inventory Improvement Plan** |

Country Representative Contact Information

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| --- | --- | --- | --- |
| Country: |  | Postal Address: |  |
| Contact Name: |  | Phone Number: |  |
| Title: |  | E-Mail: |  |
| Organization: |  | URL: |  |

## Instructions

* An archiving system is an inexpensive yet critical step in the sustainability of the National Inventory System because it serves as a starting point for future inventory teams.

## Step-by-Step Instructions

STEP 1: Describe the existing archiving program and procedures

STEP 2: Provide the Archive System Plan

STEP 3: Provide improvements to the inventory archive system

* Countries should use this Word document to enter country-specific data and for preparing final plans. The green text is used to provide instructions and guidance throughout the template as well as within tables. In the final plan, all green text should be deleted, and country-specific information should be used in its place.
* Instructions are listed above. Each step is explained in detail in the corresponding section of the template.

## Description of Archiving System for [Country X]

### Background

Archives refer to a collection of records that have been created during the development of the inventory (references, methodological choice, expert comments, revisions, etc.), as well as document the location where these records are kept. The Archiving System is a critical component of the inventory development process and is important for sustaining any National Inventory System. An Archiving System helps make a national inventory transparent and reproducible, and facilitates development of subsequent inventories by future inventory staff and category leads (individuals responsible for developing estimates within a particular sector). Each new inventory cycle will benefit from effective data and document management during development of the previous inventory.

All information used to create the inventory should be archived in a single location in both electronic and/or hard copy (paper) storage so that future inventory managers can reference all relevant files to respond to reviewer feedback including questions about methodologies. Archived information should include all emission factors and activity data at the most detailed level, and documentation of how these factors and data have been generated and aggregated for the preparation of the inventory. This information should also include internal documentation on QA/QC procedures, external and internal reviews, documentation of annual key categories and key category identification, and planned inventory improvements. If possible, a copy of all archive documents should be kept in multiple locations to reduce the risk of losing all records due to theft or disaster (e.g., fire, earthquake, or flooding).

### Assess Existing Archiving Program and Procedures

* STEP 1: Describe any archiving procedures from the first inventory, as well as those currently in place. These questions below will help identify these procedures to include in the plan:

Previous Inventory:

* + What documents and files are available from the previous inventory?
    - Where are they located? Were they stored electronically or in hard copy?
    - Who has access?
    - Are both final and draft copies available?
    - Are contact names available in a list by category/sector?

Current Inventory:

* + Who has received data or documents from previous inventories that will be updated and used to compile the next inventory?
    - How are the data stored?
    - Where are the data stored?
    - Are they stored electronically or in hard copy? In both formats?
    - How are the files named?
    - How are the names/files changed to reflect updates?
  + Who is keeping the following templates while they are being completed, and where are they stored?
    - Institutional Arrangements Template
    - Methods and Data Documentation (MDD) Template
    - QA/QC Measures Template
    - Archiving System Template
    - Key Category Analysis Template
    - National Inventory Improvement Plan Template

### Archive System Plan

The following sections describe the Archive System Plan that *[Country]* plans to follow to ensure a high-quality national inventory based on an assessment of existing practices as described in section 4.2.

#### Archiving Coordinator Role and Responsibilities

The role of Archiving Coordinator will be designated at the beginning of the inventory process. The Archiving Coordinator is responsible for ensuring that all archiving procedures are performed for the inventory and all supporting documents and spreadsheets are retained appropriately. The Archiving Coordinator is also responsible for clarifying who is responsible for carrying out archive procedures at various levels, as well as for ensuring that all team members know their archiving responsibilities, including which documents should be archived. These responsibilities require that the Archiving Coordinator:

* Communicate archiving system plan, procedures, and responsibilities to other staff.
* Determine archiving tasks and assign tasks to staff, create a checklist of archiving procedures for team members to follow.
* Ensure that the archive procedures (see section 4.3.2 below) are carried out effectively.
* Serve as the keeper of the permanent archive and respond to future requests to view archive materials.

This task is the general responsibility of *[e.g., the Inventory Coordinator, who is in charge of compiling the Inventory Chapter for the National Communications for [Country]. She/he is with X organization (e.g., Ministry, University, etc.).]*

#### Archive Procedures

It is essential to outline each aspect of the archiving process so that these procedures can be effectively implemented. The archive plan developed by the Archive Coordinator for *[Country]* that takes into account the following:

* STEP 2: Modify the following list according to proposed procedures.

###### Management of Files.

* Save files with IPCC category name and inventory year, and track the file version by including the date the file was last saved. For example, use a category-year naming convention such as "N2O soils 2000.23\_0523\_05\_2001.xls" or "KEY-CO2 stat combus-2000.23\_0505\_2001.xls."
* Clearly establish and communicate the file management procedures and naming conventions for version control.

###### Data Retention. Spreadsheets and other electronic files used to create inventory estimates should be provided to the Archiving Coordinator.

The following are essential components of the archive:

* Data and calculation spreadsheets and other electronic files for every category used to create inventory estimates.
* QA/QC plan with completed checklists.
* Key category analysis spreadsheets.
* Internal and external review comments and responses.
* Latest draft and final electronic versions of the inventory document (for use as a starting point to update the inventory in the future).
* Updated MDD templates, which should be used to list and check references (references provided in STEP 2 through STEP 4 in the MDD template).
* *[List any additional components of the data retention archiving checklist.]*

The files listed above are most easily archived by saving to a CD-ROM disk or other durable media, and should be given to the Archiving Coordinator. If it is not possible to store the data archive in electronic format, files should be printed, catalogued, and placed in the inventory archive. The contents of the CD-ROM disc should be clearly labeled for easy reference.

* There are several types of numerical systems that can be used to catalogue archive items. One of these systems involves cataloguing by sector. For example, the data related to the first new source in the energy sector would be labeled "E-1-dat," the second source "E-2-dat," etc. The sources for waste would be "W-1-dat," "W-2-dat," etc. Dates should also be included in the labels for proper version control.
* [List any additional document retention procedures.]

###### Document Retention. Source documents and references used to create the inventory will be collected and provided to the Archiving Coordinator. Vital information from publications, contacts, and other sources must be included in the documents provided to the Archiving Coordinator. This information includes, at a minimum, the title page with the name of the author(s), pages of actual data used, pages explaining data used, and pages describing methodologies used.

These documents should include *[edit as appropriate]*:

* All new reference documents for the current year's inventory records file. The files retained in storage from any given inventory year are known as the inventory archive. The Archiving Coordinator is responsible for reviewing the references cited in the inventory and collecting all new documents. It is not necessary to include duplicate copies of references that are already in the records file from the previous inventory cycle.
* Draft versions (either electronic or hard copy) used for major internal and external peer reviews, as well as the final submitted versions of the inventory.
* Final version of the National Systems Report (compilation of completed templates including Institutional Arrangements, QA/QC Plan, Description of Archiving System, Key Category Analysis Report, and National Inventory Improvement Plan).
* Documents created to address comments received during any official review periods (or from expert reviews). These documents typically include both, comments received verbatim, as well as the response and subsequent actions taken by the inventory staff.
* *[List any additional document types.]*

###### Storage Mechanisms. Archived inventory files are stored in *[insert location(s) of hard copy and electronic files here]*.

* The master copies of the archive files are stored in *[insert location of master versions of hard copy and electronic files]* by *[insert name of person(s) in charge of master files]*.
* Duplicate copies of the archive files are stored in *[insert location, address, etc.]* by *[insert name of person(s) in charge of copied files]*.

All archive materials should be duplicated (two copies of each document), catalogued and placed in the archive file. An index describing the contents of the archive should be placed at the front. The Archiving Coordinator will choose a centralized and secure location for the placement of the hard copy and electronic archive.

### Overall Archive Procedures Checklist

To ensure a successful archiving system, the Archiving Coordinator should use a comprehensive checklist. Checklists help to ensure that all archiving procedures occur in a timely and complete manner.

The final archiving task list and schedule will show all archiving tasks, corresponding task leaders, and due dates. The Archiving Coordinator will ensure that all tasks are outlined prior to the start of any archive procedure. The Archiving Coordinator is also responsible for assigning task leaders to accomplish each archive task prior to the due date. Staffing for each task and date due will be completed by the Archiving Coordinator at the beginning of the inventory process. Table 4.1 provides the comprehensive checklist to be used by the Archiving Coordinator for *[Country]*.

* The checklist below contains a list of proposed archiving activities for both the overall Archive coordinator and also category leads. Edit this list according to your country's circumstances and objectives. The "date due" column does not need to be completed for the purposes of describing and developing 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" proposed in the Institutional Arrangements Template. Archive material should be collected when the material is first used for the inventory, to avoid searching for materials at a later date.
* Review Table 4.1 carefully. As noted above, edit the tasks and responsibilities so that they accurately reflect those in your country's inventory system.
* Insert as many rows within the table below as necessary to provide the detailed information for each subtask.

Table 4.1: Archive Tasks, Responsibilities, and Schedule for *[Country]*

| Subtask | Date Due | Task Completed | |
| --- | --- | --- | --- |
| Initials | Date |
| *Archiving Coordinator* | | | |
| Create official archive located in *[insert location of master versions of hard copy and electronic files]*. |  |  |  |
| Communicate archiving plan and set deadlines. |  |  |  |
| Collect copies of all data references. |  |  |  |
| Request missing references from category leads. |  |  |  |
| Compile electronic versions of spreadsheets used to estimate net emissions by sector. |  |  |  |
| Collect copies of draft versions of inventory document. |  |  |  |
| Collect copies of final versions of inventory document. |  |  |  |
| Compile electronic versions of final versions of inventory document. |  |  |  |
| Collect copies of expert review comment response documents from each category lead. |  |  |  |
| Collect copies of public review comment response documents from each category lead. |  |  |  |
| Catalogue all documents using a unique tracking number and index. |  |  |  |
| Collect completed Institutional Arrangements and Methods and Data Documentation templates. |  |  |  |
| Compile electronic versions of Key Category analyses. (Some files will be duplicated from the previous subtask.) |  |  |  |
| Compile electronic versions of QA/QC checklists. |  |  |  |
| Save all electronic files on archive CD-ROM. |  |  |  |
| Ensure all hard copy materials are present in official archive by reviewing contents against index. |  |  |  |
| Ensure all necessary electronic files are contained on CD-ROM and ensure that it is placed with other official archive materials. |  |  |  |
| Distribute electronic files at start of next inventory update. |  |  |  |
| *[List additional tasks]* |  |  |  |
| *Category Lead* | | | |
| Send electronic versions of spreadsheets used to estimate net emissions to Inventory Coordinator (using naming convention). |  |  |  |
| Send final text documents for sector or category to Inventory Coordinator. |  |  |  |
| Send Methods and Data Documentation reports for category. |  |  |  |
| Create index of draft documents and files for electronic and hard copy storage. |  |  |  |
| Create index of final documents and files for electronic and hard copy storage. |  |  |  |
| Compile and send electronic versions of any Key Category analyses and documents to Inventory Coordinator (add "key" to naming convention). |  |  |  |
| Send summary or list of QA/QC steps and corrective actions (by category) to Inventory Coordinator. |  |  |  |
| Save all final electronic files on archive CD-ROM. Label as "FINAL" with name of category/sector, date, and contact information, and send copy to Inventory Coordinator. |  |  |  |
| *[List additional tasks]* |  |  |  |

### Improvements to the Inventory Archive System

* STEP 3: Improvements to the Archiving System include improvements associated with staff roles and responsibilities and archiving procedures, including file management, file storage, and document and data retention.
* Enter any suggested improvements to the inventory archive system in Table 4.2 below.
* Insert as many rows within the table below as necessary to provide the detailed information for each improvement.

Table 4.2 provides a list of suggested improvements to the archive system. These improvements should be incorporated into the archive system in future years.

Table 4.2: Improvements to the Inventory Archive System

| Improvement # | Archive System Task | Potential Improvement |
| --- | --- | --- |
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