

QUALITY MANUAL: IBE C3 Technical Processes

Summary on changes compared to previous version

- Ergänzung von Erläuterungen zur und Fokus der Prüfung von Eingangsdaten („Input data examination“)
- Klarstellung, dass es sich bei Werkverträgen um Zuarbeiten handelt („service contracts“)
- Ergänzung der Klassifizierungen der Beschwerden und Einsprüche um „cause“ and „root cause“ - IBE C3.10.3

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The table of contents of the quality manual, a list of all quality procedures as well as terms, definitions and abbreviations can be found in IBE C0 Content.

	Author / Revison	Examination	Valid from / Approval
Function	QR	PM	HI
Date			
Signature			

3 TECHNICAL PROCESSES

3.1 Inspection methods and procedures

The inspection activity of the IBE is the preparation of emission inventories for respective reports and checking conformity with the respective requirements as listed in EMI Q1.

The procedures for the inspection activities are set out in EMI Q1.

All inspections are carried out by using methods that follow the relevant guidelines for emission inventories as set out in the respective obligation (refer to EMI Q1).

Inspection methods have to undergo the following procedure:

1. Documentation (“EMI SOP”)
2. Validation
3. Approval by the HI

The requirements for EMI SOP documentation, examination and approval, as well as the relevant procedure are set out in EMI Q1, respectively.

3.2 Data suppliers

Suppliers, particularly of annual data, are referred to as data suppliers. Data from these suppliers is checked before it is used for inspection activities (specific procedures for such checks of input data are set out in the EMI SOPs). Furthermore, more extensive examinations of the input data sets/data suppliers regarding data collection, processing and reporting as well as issues relevant in terms of the national inventory system, impartiality and independence are conducted. The aim is to make the data flow transparent, starting and/or strengthening the cooperation with the data suppliers and identifying areas for improvement. These input data examinations

are subject to available resources and planned in the course of the annual management review (see *IBE Q3 Review and Improvements*, the procedure for input data examinations is included in *EMI Q1 Emission Inventories*).

3.3 Inspection records

Technical records, i.e. documentation of the inspection, shall be designed in such a way as to allow full reproduction. Applicable procedures for technical records and archiving are set out in EMI Q1.

3.4 Specific QA procedures and QC procedures

The emission inventories prepared by the IBE are the basis for judgment if obligatory emission targets have been met. Therefore QA/QC procedures are of high priority.

Specific quality assurance (QA) procedures (except extensive verification procedures which are subject to resources and are planned in the course of the MR) are described in the respective standard operating procedures (see EMI Q1) and performed in the course of the inspection activity.

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Quality control (QC) procedures are performed after every inspection activity and before submission of the inspection report; they are set out in EMI Q1.

3.5 Inspection reports

The work carried out by the IBE is documented by inspection reports (according to ISO/IEC 17020, including a comprehensive description of inspection activities) for each legal task. The information in the reports shall be retrievable, correctly, accurately, and clearly; every inspection report is reviewed and approved by the HI to ensure monitoring as required.

Procedures for the preparation, approval, submission, and – where relevant - publication of IBE reports are set out in (*EMI Q1*).

3.6 Service contracts

In cases which exceed the IBE's resources, the IBE concludes service contracts with qualified institutions (particularly universities or research institutes).

The IBE is responsible for

- choice of the contractor i.e. judging his/her expertise with regard to the technical and QMS requirements
- specifying the technical and QMS requirements in the service contract
- for performing and documenting a detailed QC check of the study results i.e. checking if the specified requirements were fulfilled
- for implementation of the study results into the emission inventory in line with the technical and QMS requirements particularly the requirement of full reproducibility of the emission inventory

The procedures for service contracts are set out in *EMI Q2 Service Contracts*.

3.7 Contracts

As explained in *IBE C1.5*, the IBE has been entrusted by law with specific tasks (preparation of emission inventories for Austria for complying with Austria's reporting obligation). For these tasks, requirements regarding inspection methods and procedures, reports, timing, etc. are listed in *EMI Q1*. No further instructions/guidelines are available for these legal tasks, and are not necessary as the relevant requirements are clearly specified (see *EMI Q1 Emission Inventories*).

3.8 Confidentiality

The results and reports produced as part of the IBE's main tasks are not confidential. They are made publicly available, following the principle of providing access to information, public participation in decision-making and access to justice in environmental matters, as set out in the Aarhus Convention of the UNECE¹.

¹ Austria ratified this Convention in 2005; implementation by the Environmental Information Act "Umweltinformationsgesetz (UIG)" 2004, Federal Legal Gazette No 495/1993 as amended by Federal Legal Gazette I No 6/2005

However, some of the underlying data is confidential, particularly data on single industrial facilities. Procedures to protect these data are set out in *EMI Q1*. The personnel is committed to strict confidentiality of data and information obtained during their work for the IBE (*IBE Q1.8.6*).

3.9 Data security and integrity

General principles of data security which are applicable for the Environment Agency Austria as a whole are described in the intranet (refer to *EMI Q1.13.5*).

Additional security measures are set out in *EMI Q1*.

Data integrity is provided by QC before submission as set out in *EMI T1*.

3.10 Appeals (dt. “Einsprüche”) and complaints (dt. “Beschwerden”)

3.10.1 Review Process (→ “appeals”)

The main source of feedback on the emission inventories are the reviews organized by

- the United Nations Framework Convention on Climate Change (UNFCCC)
- the United Nations Economic Commission for Europe (UNECE) and
- the European Commission (EC)

The data and reports officially submitted are subject to comprehensive annual reviews:

- The greenhouse gas inventory is reviewed under
 - the Monitoring Mechanism Regulation² and the Effort Sharing Decision³ in the so called “ESD review”⁴ by the so called “Technical Expert Review Team” (TERT) by order of the European Commission. This review starts with the so called “Initial Checks (step 1)” for all countries. Potential significant issues resulting from “step 1” are investigated during an in-depth review (“step 2”).
 - the UNFCCC scheme and the Kyoto Protocol⁵ by the so called “Expert Review Team” (ERT) by order of the UNFCCC secretariat. This review consists of two steps (“initial assessment” and “review of individual annual inventories”) as well. Every fifth year the second step is carried out as in-country review.
- The air pollutants inventory is reviewed under
 - the National Emissions Ceilings (NEC) Directive⁶ by the so called “Technical Expert Review Team” (TERT) by order of the European Commission. This review consists of three stages (“initial checks”, “desk review” and “centralized review”)⁷.
 - the “Convention on Long-Range Transboundary Air Pollution” (CLRTAP) by the so called “Expert Review Team” (ERT) by order of the Centre on

² Regulation (EU) No 525/2013

³ Decision No 406/2009/EC

⁴ Review according to Article 19 (2) of the Monitoring Mechanism Regulation

⁵ http://unfccc.int/national_reports/annex_i_ghg_inventories/review_process/items/2762.php

⁶ Directive 2016/2284/EU

⁷ <https://emrt-necd.eionet.europa.eu/>

Emission Inventories and Projections (CEIP/UNECE). This review consists of three stages as well⁸.

All reviews are conducted by international inventory experts, who examine if the inventories have been set up in line with the respective guidelines and judge if the quality criteria are met. They set measures for improvements (“shall”, “should”) or make further recommendations. The reports on the reviews are published on the websites^{9,10 11}.

3.10.2 Other sources than the review process (→ “complaints”)

Other sources are:

- accreditation audits
- responses particularly to the inspection reports from experts outside the IBE
- “Bundesministerium für Klimaschutz, Umwelt, Energie, Mobilität, Innovation und Technologie” (Federal Ministry of Climate Protection, Environment, Energy, Mobility, Innovation and Technology) as the official responsible for reporting emission inventories
- representatives from the provincial governments (“Bundesländer”) that work with the emission inventory and support the disaggregation of inventory information to the federal states, who might have valuable bottom up data and information

3.10.3 Documentation and measures

All complaints and appeals as well as major internal findings are

- documented
- rated according to their
 - potential to risk an adjustment in the UNFCCC Review process or Austria’s eligibility,
 - cause
 - root cause
 - resource needs
 - urgency
- set with a measure, responsibilities and a timeline

The originator of the complaint or appeal is informed about the completion of the measure. The HI checks implementation of the defined measures annually.

The detailed procedures applicable for complaints and appeals are set out in *IBE Q3 Review and Improvements*.

⁸ http://www.ceip.at/ms/ceip_home1/ceip_home/review_process/review_process_general/

⁹ E.g. review report of Austria’s GHG inventory submission under UNFCCC/KP: <https://unfccc.int/documents/9818>

¹⁰ E.g. review report of Austria’s submission under the UNECE/LRTAP Convention :
http://www.ceip.at/fileadmin/inhalte/emep/pdf/2015/DP0146_InventoryReport_2015_forWeb.pdf
https://www.ceip.at/fileadmin/inhalte/emep/pdf/2017_s3/AT-Stage3ReviewReport-2017.pdf

¹¹ E.g. review report of Austria’s submission under the NEC Directive:
<http://ec.europa.eu/environment/air/reduction/implementation.htm>