

Guidance for Parties Making Adjustment Applications and Guidance for the Expert Review of Adjustment Applications

A Report of the TFEIP
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1 Background and Context

COMMENT: In some parts of this guidance we include contextual comments highlighted in yellow. This is either to explain the basis for some of the text that has been included, or to highlight that it has not been possible to reach a conclusion from a technical perspective, and we therefore ask that the EB discusses and decides on the relevant issue.

1.1 The Need for “Adjustments” to Emission Inventories

Developments in the scientific understanding of emission sources can mean that substantial revisions are made to national emission estimates. Revisions to emission estimates can sometimes result in countries exceeding their commitments in the form of emission ceilings (or emission reduction targets) simply because they are better able to make emission estimates.

The scientific community and users of emission inventories have a need for emission estimates to be “best science” i.e. represent emission estimates as accurately as is practicable. However, it is also recognised that it is unreasonable for Parties to become non-compliant with their international commitments as a result of unforeseeable improvements in the scientific understanding of the emission estimates.

So, under the amended Gothenburg Protocol (GP) of the Convention on Long Range Transboundary Air Pollution (CLRTAP), a mechanism has been created that allows Parties to apply for an “adjustment” to their best science emission estimates. If this application is successful, the adjustment process effectively creates a “compliance” version of the inventory which can be used to compare against the set commitments.¹

This document has been drafted by a team of emission inventory experts. The Co-chair of the TFEIP was the lead author, with other emission inventory experts contributing specialist knowledge. The purpose of this document is to provide guidance to Parties when submitting the applications for inventory adjustments as well as to the experts who are appointed to reviewing whether applications meet the required criteria. It therefore includes not only the principals of the review process, but also a guide to the step-by-step process that has been established.

1.2 Mandate and Legal Framework

EB decisions 2012/3, 2012/4 and 2012/12 (see ECE/EB.AIR/111/Add.1 and ECE/EB.AIR/113/Add.1), implementing article 3, paragraph 11 quinquies and article 13, paragraph 2 of the GP, provide the EMEP Steering Body (SB) in conjunction with other technical bodies under EMEP with the mandate to organise the review of adjustments submitted by Parties.

These EB decisions state when and how Parties are to inform the Convention Secretariat of their intention to apply for an adjustment, and include guidance on the information that they are required to submit to support their application. The decisions also outline the process that is used to review each application, and ultimately provide an “acceptance” or “rejection” outcome.

The decisions state that **“Parties may apply to adjust their inventory data or emission reduction commitments in extraordinary circumstances (EB Decision 2012/12):**

- **Emission source categories** are identified that were **not accounted** for at the time when the emission reduction commitments were set;

¹ It is also possible to apply for an adjustment to an emission ceiling or emission reduction target, instead of the emission estimates. This guidance refers specifically to adjustments of emission inventories.

- **Emission factors** used to determine emissions levels for particular source categories for the year in which emissions reduction commitments are to be attained **are significantly different** than the emission factors applied to these categories when emission reduction commitments were set;
- **The methodologies** used for determining emissions from specific source categories have undergone **significant changes** between the time when emission reduction commitments were set and the year they are to be attained.”

The decisions also specify the application process and outline the information that the Party needs to submit. However, following the first reviews in 2014, it was agreed that the guidance required updating, to provide more detailed information for both Parties submitting an application, and the team of experts reviewing applications. This document has been compiled to provide more detailed guidance for the reviewers and Parties submitting an application than is included in the existing EB decisions, and in particular clarification on some definitions of terms and the general principles that are to be used throughout the review process to arrive at an acceptance/rejection decision.

2 Principles of the Review

A number of terms in the guidance require more detailed clarification, and are provided here, along with the general approach that is to be used throughout the review of the adjustment application.

2.1 Definitions of Relevant Terms

The Scope of an Adjustment Application

An “adjustment application” is defined as being for a specific pollutant and a specific source sector (at the most detailed NFR level).

For the purposes of review, Parties may choose to submit multiple adjustment applications that are grouped by e.g. emission source and/or pollutant.

COMMENT: It is important that we have a clear definition of the “resolution” of an adjustment application and subsequent review. This is particularly relevant when the review team recommend that some adjustment applications are accepted, and others are rejected.

Extraordinary Circumstances

The EB decisions state that Parties may apply for an adjustment under “extraordinary circumstances”. This term has no particular significance for the reviewers as the three different criteria that follow this in the decision text identify what constitutes extraordinary circumstances. These are considered in more detail in sections below.

COMMENT: This term is included in the Decision text, but it is not convenient (or straightforward) to create a precise definition for this. It is easier to refer to the detailed definitions of the three different criteria.

A “New” Source

If a previously unknown or unquantifiable source is added to the emission inventory, then this is typically considered to be a valid basis for an adjustment.

The EB decision text gives one of the three acceptable criteria as “Emission source categories are identified that were not accounted for at the time when the emission reduction commitments were set.”

However, some more detailed clarification is required to support the work of the adjustment review process. For the purposes of the adjustment review, a new source is defined as:

Emission estimates for that source category not included in the inventory when the ceilings were set, and where no methodology was included in the version of the EMEP/EEA Emissions Inventory Guidebook (or national/international emissions models) at that time.

The content of the EMEP CORINAIR Emissions Inventory Guidebook published in 1997 is therefore expected to be key reference for adjustment applications under the Gothenburg Protocol (2010 emission ceilings), as it will define the methodologies available to Parties in 1999.

COMMENT: The TFEIP discussed this issue and identified several different technical ways in which a new source might be defined. There are several reasons for using the definition above:

- This definition means that emissions from the source were not included in the inventory, and at the time, specifically, there was no internationally accepted methodology for quantifying the emission.
- We prefer not to link “new sources” to what was/wasn’t included in the GAINS model. This is because the ceilings modelling in GAINS differs from those finally agreed for some countries. We therefore do not have full consistency between the 2010 emission ceilings and the work delivered by GAINS.

- We prefer not to refer to sources that were “known at the time” because there were some sources which were “known” but for which there was no method for quantification. So it would be unreasonable (and vague) to use this definition.

Changes to Emission Factors (EFs)

If there have been revisions to emission factors, caused by a change in the scientific understanding of the source, then this is typically considered to be a valid basis for an adjustment.

The EB decision text gives one of the three acceptable criteria as “Emission factors used to determine emissions levels for particular source categories for the year in which emissions reduction commitments are to be attained are significantly different than the emission factors applied to these categories when emission reduction commitments were set.” The guidance for the review (decision 2012/12) further requires that the Party provides the “rationale for deciding whether the changes in the emission factors are significant”.

COMMENT: Where a Party is currently in non-compliance, any difference between emission factors currently used and those used when ceilings were set may be viewed by that Party as “significant” in contributing to the non-compliant status. From a technical perspective the TFEIP concluded that there should be no significance threshold.

An adjustment that is one large change of an emission factor might sum to the same amount as small changes of multiple emission factors. Furthermore, the resolution at which the adjustment is considered may become important (a large adjustment to road transport is the sum of smaller adjustments to Euro3 petrol cars, Euro4 petrol cars... etc.).

Some may consider a significance threshold appropriate from a policy perspective or from a pragmatic stance. However, the TFEIP were not able to conclude on a definition for “significant” from a technical or practical stance – other than to conclude that a Party in non-compliance might consider any upward revision of their inventory to be significant in contributing to their non-compliance.

These comments should be considered in this context: The basis of the current mechanism allows Parties to apply for an adjustment where there has been an upward revision of their emission estimates, and to ignore the impact of downward revisions. Some may consider this to be inappropriate, and a flaw of the current mechanism. However tasking an expert review team with assessing the efficacy of all downward revisions in an inventory would be impractical.

It is important to identify which versions of emission factors are to be compared and contrasted:

- The 2010 emission ceilings for the Gothenburg Protocol were set in 1999. Therefore the emission factors “used when the ceilings were set” will be version of national emissions inventories reported in 1999 (which include the emission estimates for 1980-1997). The content of the EMEP CORINAIR Emissions Inventory Guidebook published in 1997, and the COPERT II model are therefore expected to be key references for adjustment applications, as they will contain many of the emission factors used by Parties in 1999.
- The 2020 emission reduction targets for the Revised Gothenburg Protocol were set in 2012. Therefore the emission factors “used when the ceilings were set” will be in the version of national emissions inventories reported in 2012 (which include the emission estimates for 1980-2010).

Changes to Methodologies

In some cases, improving the methodology can result in increases to emission estimates. However, as with revisions to EFs, it is important to understand what guidance was available when the emission ceilings were set.

The EB decision text gives one of the three acceptable criteria as “The methodologies used for determining emissions from specific source categories have undergone significant changes between the time when emission reduction commitments were set and the year they are to be attained.” Again the adopted guidelines (decision 2012/12) requires the Party to provide “The rationale for deciding whether the change in methodology is significant;”.

There are several possible scenarios, but the following guiding principle applies: An adjustment is acceptable where increased emissions result from a Party improving the accuracy of their estimates by moving to a methodology which was not in the EMEP/EEA Emissions Inventory Guidebook available when the ceilings were set².

COMMENT: In analogy with the reasoning regarding changing emission factors, the TFEIP considered that, from a technical perspective, there should be no significance threshold. Again, we consider using the content of the different versions of the Guidebook to provide a clear and workable definition for “change in the scientific understanding”.

The implications of this definition are illustrated in the following examples:

A Party obtains more detailed activity data, and is therefore able to use a higher tier methodology than was used when the ceilings were set. This may result in an increase in the emission estimates.

Scenario 1: The higher tier methodology that the Party now uses *was* available when the ceilings were set. This revision is *not* considered to be caused by a “change in the scientific understanding”, and is therefore *not* a valid case for an adjustment.

Scenarios 2: The higher tier methodology that the Party now uses *was not* available when the ceilings were set. This is considered to be new scientific understanding, and *is* therefore a valid case for an adjustment.

Note that the “higher tier methodology” cited here refers to the basis of the approach, and not revisions to e.g. emission factors within the methodology (this would be considered in “Changes to EFs” – as explained above).

2.2 Reviewing an Adjustment Application

The individual procedures of the review are detailed in Section 3. But the approach used by the reviewers must take several aspects into account:

Understanding the Information Provided by the Parties: Using a Constructive Approach (but one which is time bounded)

The expert reviewers must make reasonable efforts to review and understand the information provided by the Parties. The expert reviewers should be constructive and supportive in their approach but, at their discretion and should the lead reviewer agree, they are entitled to recommend the rejection of an adjustment application on the basis that fully

² Where models are being used, it will be necessary to identify and resolve improvements caused by changes to the understanding of the science (typically all revisions to emission factors and the calculation/methodology parts of the model) and improvements caused by the Party using improved input data e.g. annual vehicle kilometres or vehicle fleet data – which is not typically driven by an improved scientific understanding.

complete/transparent/detailed enough information was not provided to the review team in time to allow the review to be undertaken.

However, if the expert reviewer considers that clarification or additional simple information from the Party would aid the review, then they are encouraged to collate questions for the Party, and provide these to the CEIP.

CEIP will act as an intermediary between the expert review team and the Party, handling all communications during the review.

The Party will be required to respond to the request(s) of the CEIP within three working days, to allow the review to be undertaken to the required timetable.

COMMENT: Three working days should be sufficient for all Parties to respond, and avoids delays to the already challenging review timetable.

Consistency

The reviews must be consistent across all Parties, pollutants and sectors. It is therefore essential that the expert reviewers remain within their remit, and also follow the step-by-step process of the review, which helps to ensure that the guidelines presented in this report are followed.

The lead reviewer will also oversee all of the work undertaken by the individual expert reviewers to ensure consistency both in terms of approach and the drafting of the findings in the country reports.

2.3 Drafting the Review Report

Detailed guidance is provided in Section 4 below. A report template is provided to support the work of the expert reviewers (included in the Appendices to this guidance).

If the expert reviewers agree to recommend that an application is rejected, then they must show that the application does not fully comply with one or more of the three criteria included in the EB decision text. The evidence for reaching this conclusion must be presented clearly in the review report with references to the relevant sections of the EB decisions.

When an application is rejected, it is not the role of the expert reviewers to indicate to Parties whether a re-application with additional supporting information would be successful. However, the text of the EMEP SB report will explain the basis for the rejection of the application and may indicate if the underlying reason for not complying with one of the three criteria in the EB decision text was e.g. a lack of transparency, or that information provided by the Party was not provided promptly enough for the expert reviewers to consider it.

Whilst this information will be helpful, Parties will be left to draw their own conclusions as to whether it is sensible for them to re-apply for an adjustment to the same pollutant/source combination, by providing additional or new supporting information.

COMMENT: We assume here that the EB will decide to allow Parties to re-apply for an adjustment to a specific pollutant/source combination that has been previously rejected by the SB (if the Party is able to present new/additional information to support the application).

2.4 Quantifying the Adjustment

The three different criteria for an adjustment require different datasets to be clearly presented by the Party, so that quantification of the adjustment application is fully transparent.

2.4.1 New Source

The Party need to clearly demonstrate that no methodology was available in the EMEP/EEA Emissions Inventory Guidebook in 1999.

COMMENT: This assumes that the EB decide to define “new” in the way suggested above. A significance threshold may need to be added here, depending on EB discussions.

Quantification of the adjustment is typically simply the value of the new source that has been added to the emissions inventory— because the value of the source in the version of the inventory when the ceilings were set was zero. This value, and hence the adjustment, may be year specific.

2.4.2 Changes to Emission Factors (EFs)

The Party needs to quantify the impact of the revision to EFs only, and not include the impact of any revisions to activity data or other underlying assumptions.

This is because revisions to activity data do not typically represent a change in the scientific understanding of the emission source.

If a Party considers that there have been changes to activity data and/or other underlying assumptions which have been driven by a change in the scientific understanding, then it would have been more appropriate for them to make the adjustment application under the Changes to Methodologies criteria (see following section).

COMMENT: A significance threshold may need to be added here, depending on EB discussions.

For changes to EFs only, there are examples where it is not straightforward to assess and/or demonstrate the impact arising from only changes to EFs (e.g. where models are used).

The following approach for quantifying the adjustment takes into account the fact that changes might have been made to assumptions and activity data as well as emission factors:

We assume here that the adjustment application is being made for year Y. Current emission estimates may therefore be described as:

$$E_{Y \text{ Current}} = EF_{\text{Current}} \times AD_{Y \text{ Current}}$$

Where:

EF_{Current} is the EF for year Y used in the current methodology.

$AD_{Y \text{ Current}}$ is the activity data for year Y used as input into in the current methodology.

$E_{Y \text{ Current}}$ is the emission estimate for year Y (using the current input data and methodology).

Emission estimates for year Y using the original input data and methodology (at the time the ceilings were set) may be described as:

$$E_{Y \text{ Original}} = EF_{\text{Original}} \times AD_{Y \text{ Original}}$$

Where:

EF_{Original} is the EF that was used when the ceilings were set, and is now outdated.

$AD_{Y \text{ Original}}$ is the activity data for year Y that was used prior to the current activity data.

$E_{Y \text{ Original}}$ is the emission that is estimated for year Y using the original input data and methodology.

Quantification of the Adjustment

The value for the adjustment for year Y is the difference between the current emission estimate, and the current emission estimate determined by using the now outdated EF.

This can be described as:

$$A_Y = AD_{Y \text{ Current}} \times (EF_{\text{Current}} - EF_{\text{Original}})$$

Where:

A_Y is the value of the adjustment for year Y.

Individual applications may be more complex than this, but the principles presented above should be used in quantifying the value of the adjustment that is applied for.

COMMENT: There is a choice as to whether the current or original AD should be used in this calculation. From a technical point of view, we do not think that there is a strong argument for one or the other. However, using the “current” AD has the important added advantage that it does not require Parties to go through assumptions and activity data in emission inventory calculations from many years ago. In short, it makes quantifying the adjustment value considerably easier.

2.4.3 Changes to Methodologies

The general approach used above, for changes to EFs, can also generally be applied to a change in the methodology. However it is necessary to account for the fact that changes to the scientific understanding of the AD may have arisen, and the impact of this will need to be taken into account.

Hence the adjustment can be described as:

$$A_Y = E_{Y \text{ Current}} - (EF_{\text{Original}} \times AD_{Y \text{ Original}}) = E_{Y \text{ Current}} - E_{Y \text{ Original}}$$

Y will be 2010 or later, and therefore $E_{Y \text{ Original}}$ will, of course, not be available from the current inventory (it is the emission of a relatively recent year determined by using an outdated methodology). So it will need to be calculated by the Party and presented in a transparent way as part of the supporting information provided with the adjustment application.

2.4.4 Calculation Errors and “Corrected” Applications

In checking the applications, expert reviewers may find calculation errors in applications which otherwise meet all other adjustment criteria.

Whilst it is not the role of the expert reviewer to make a correct calculation on behalf of the Party, the review team may elect to ask for clarification or additional simple information where they consider this would aid the review (see Section 2.2). This might include requesting the Party (through the CEIP) to correct a calculation error, and provide a revised adjustment estimate.

2.5 Granting an Adjustment

When the review team recommend an adjustment application for acceptance, it is both the principle of the adjustment (i.e. that required criteria are met) and the calculation to quantify the adjustment that are considered to be acceptable by the review team. The EMEP SB then choose whether to follow this recommendation or not, and grant an adjustment. Any Party, in principle, can raise the issue again in the Executive Body should there be concern regarding the decision made by the EMEP SB.

All relevant information to support the recommendation from the review team should be presented in the country report.

2.6 Subsequent Annual Reporting of Granted Adjustment

When the EMEP SB grant an adjustment, it is both the principle of the adjustment (i.e. that required criteria are met) and the calculation to quantify the adjustment in its first year that are considered to be accepted. Therefore a granted adjustment needs to be updated and presented in years following the successful application.

Most granted adjustments will have a value which varies from year to year (although some may remain constant). The method for presenting the updated information is to include the calculation methodology and updated quantification of the adjustment in the Party's IIR. This will need to be done for each year following the successful adjustment application, until the adjustment is terminated.

A process for reviewing these annual updates has not been established within the current procedures.

2.7 Time period of validity of a Granted Adjustment

Parties are required to provide an annual update to any granted adjustment. This will continue until the adjustment is no longer valid.

For each source category for which an adjustment has been granted, Parties shall use the same methodology and emission factors in preparing their adjusted estimates in subsequent years as were contained in their original and accepted submission.

3 The Application Process

3.1 Preparing for An Adjustment Application

Parties wishing to make an application are recommended to undertake the following steps:

1. **Review the relevant EB decisions:** This will provide initial information to help determine whether the Party has a valid case for making an adjustment.
2. **Review this Guidance:** This will provide more detailed information on the application and review process. In particular it includes guidance for the expert reviewers, and an explanation of the steps that are undertaken to review an application. The Party should then have a clear indication of whether their situation would be classed as a valid case for an adjustment by an expert reviewer.
3. **Review the Appendices to this Guidance:** The Appendices to this guidance provide sector specific guidance that will help the Party prepare supporting information to be provided as part of their application. The Appendices also include reporting templates that will need to be used as part of the application process. Familiarisation with this information will help the Party to prepare and present all the relevant information that the expert reviewers are likely to require.
4. **Prepare and Submit the Application:** Parties will need to invest time in preparing text that explains the background to the application, the underlying causes and demonstrates that their application does comply with the requirements of the EB decisions. They will also need to prepare data that clearly demonstrate the quantification of the adjustment applied for.

3.2 Application from a Party

Any Party applying for an adjustment to its inventory is required to notify the Convention Secretariat through the Executive Secretary of the Economic Commission for Europe by 15th February at the latest. The information provided shall indicate the pollutant(s) and source sector(s) for which applications are being made.

All supporting information requested in the text of the EB decisions (2012/3, 2012/4 and 2012/12) must be provided as part of the Party's Informative Inventory Report, or in a separate report, by 15th March of the same year. The Party shall also provide quantitative information in standardised format (See Appendix B).

All submitted adjustment applications will be subject to an expert review. This includes:

- An assessment of formal criteria;
- An assessment of consistency with requirements of decision 2012/3;
- A assessment of the quantification of the impact of the adjustment;

4 The Review Process

The decision tree for the adjustment review process is included below (Figure 3.2A). This shows the different steps that are taken to review the application from a Party, and how the recommendations from the Expert Review Team are passed to the EMEP SB.

To ensure consistency, the review process uses a clearly defined stepwise approach. In undertaking the review, the expert reviewers use templates (provided in the Appendices to the guidance) to guide them through the decision-making process. This ensures transparency.

Roles in the Review

Each application will be reviewed by an individual with particularly relevant expertise, not just in emission inventories, but in the sources relevant to the adjustment application. Consequently there may be several reviewers involved in assessing different aspects of the information provided by the Party.

Once the expert reviewer completes their work and reaches a conclusion, a second reviewer checks their work and discusses the findings with the first reviewer.

The work of all reviewers, across all sectors and all adjustment applications is overseen by a Lead Reviewer. The lead reviewer ensures that the review process is followed correctly, provides expert technical input where required, ensures consistency across all of the reviews, and general drives the quality of the output.

CEIP support the reviewers by managing the review process overall, including the provision of Party information to the reviewers. They also act as an intermediary between the Party and the reviews should there be points which require clarification during the review.

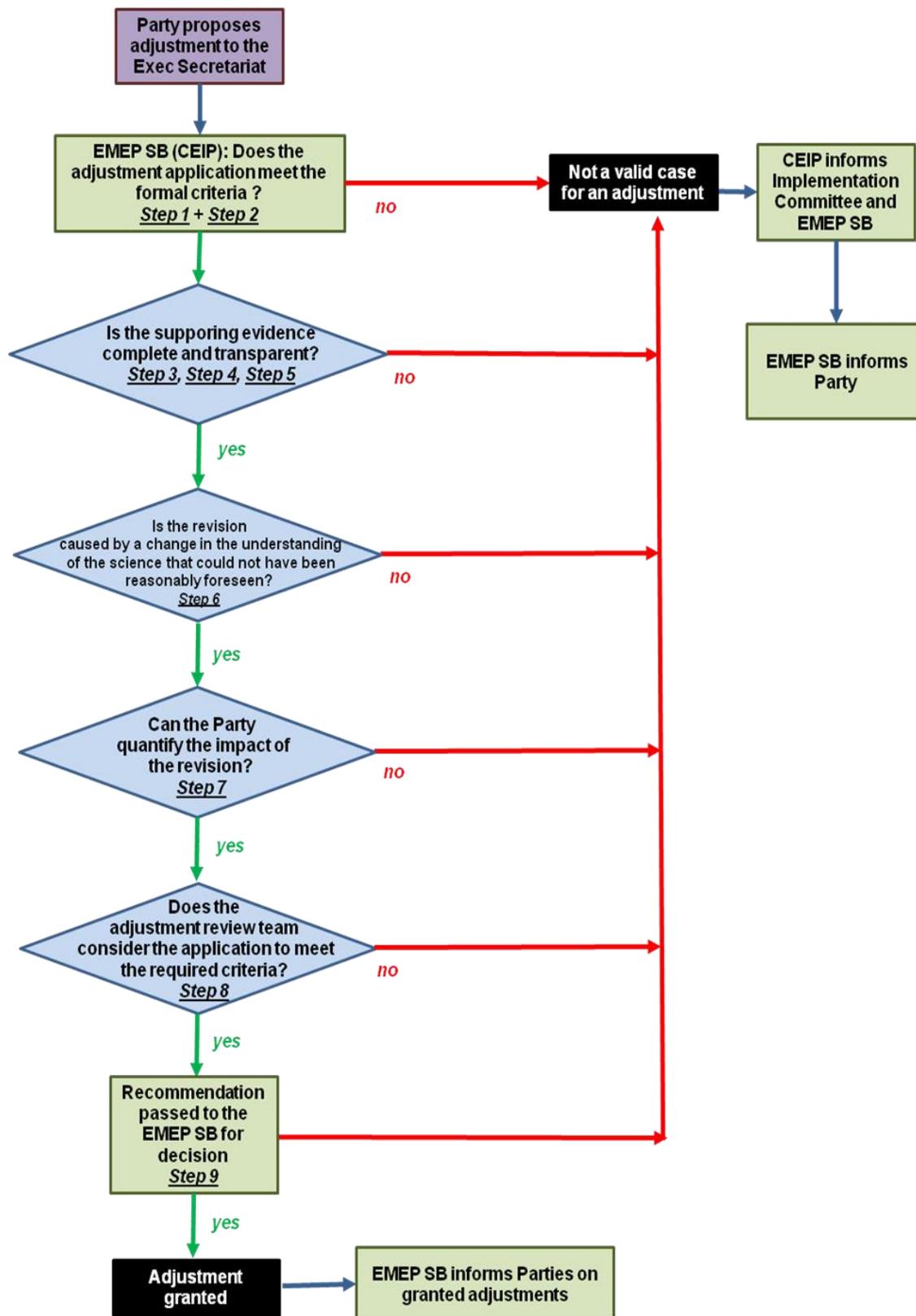


Figure 3.2A: The Decision Tree of the Adjustment Review Process

4.1 The Review Timetable

The timetable for key steps in the review of adjustments will be issued by CEIP each year. However, the timetable might be as follows:

| Dates/Deadlines | Activity |
|--|---|
| 15 th February | Parties indicate their intention to submit an adjustment application for specific pollutants/source sectors. |
| 15 th March | Parties provide the detail of their application, quantification of the proposed adjustment, and supporting documentation. |
| 15 th April – 7 th May | The review team assesses the information provided by the Parties. |
| 8-31 st May | Country reports, which include the review recommendations, are drafted. |
| 1 st - 15 th June | Parties are given sight of the report relating to their adjustment applications. The adjustment review reports (one for each country) are finalized. A Status report is provided to the Convention Secretariat. |
| 16 – 22 st Jun | The Convention Secretariat makes the findings and recommendations from the review team available to the Parties. |
| Sept | EMEP SB concludes on the recommendations from the review team (acceptance or rejection), and reports this information to the Convention Secretariat |
| Sept | The Convention Secretariat informs the Implementation Committee of rejected adjustment applications. |

COMMENT: THIS TIMETABLE IS INTENDED AS A GUIDE ONLY

This timetable has been designed so that:

- The process starts as early as possible, but not until after GHG emission inventory deadlines on the 15th April (potential reviewers will be very busy until after this date).
- The TFEIP meeting (early May) falls between the review of information provided by Parties and the drafting of country reports. This provides a convenient opportunity for the expert reviewers to meet to discuss initial findings.
- By concluding these reviews by 15th June, expert reviewers could also make themselves available for the Stage 3 reviews (preparation for, and participation in the review week in the second half of June).
- Where there are complex issues that require meetings/further discussion, then the Stage 3 week/meeting could be used as a convenient location for this. These reports would be completed a little later than other country reports.

5 Procedures During the Review of Adjustment Applications

5.1 Preparing for the Review of an Adjustment Application

The co-ordination of the review will be performed by CEIP. The main responsibilities of CEIP prior to the review will be to appoint the expert review team, and manage all of the information provided by Parties to support their adjustment applications.

The technical review of adjustments is conducted by a team of expert reviewers. Each expert reviewer will be selected from the EMEP roster of experts. The structure of the expert review team will be as follows:

- Two independent expert reviewers will be assigned to each adjustment application. One will be assigned the primary sectoral expert reviewer role, and the other will check work of the first, and will be called the second sectoral expert reviewer.

- A lead reviewer will co-ordinate the work of the team, and provide expert input as necessary. The role of the lead reviewer is also to ensure that a consistent approach is taken across all Parties/pollutants/source sectors.

CEIP will make the information provided from Parties available, by posting files to their website. They will provide information and passwords for the reviewers etc. Expert reviewers are expected to review the material provided by the Parties according to the timetable specified by the CEIP.

Queries, and requests for additional supporting information may be compiled by expert reviewers and sent to CEIP, who will manage the communications with the Party during the review.

Parties will need to ensure that they have national inventory compilers available to respond quickly to any requests for additional information during the review.

The review of adjustment applications for compliance purposes is independent of the “Stage 3” scientific reviews³ which are conducted each year. However, it may be that an expert is appointed to roles within both of these review processes.

5.2 Sectoral Review Expert Activities

Expert reviewers will be assigned review responsibilities on the basis of their expertise in a particular emissions source sector. For each adjustment application, there will be a primary sectoral expert reviewer (1SER), and a second sectoral expert reviewer (2SER). The work of sectoral expert reviewers will be co-ordinated by a lead reviewer.

The 1SER will need to:

- Check the information provided by a given Party for a given source category, and the complete the adjustments “checklist” spreadsheet.
- Draft a report chapter on the findings of the review. A template will be provided for this.

The 2SER will review the work of the 1SER. These two sectoral experts shall liaise with the aim of achieving consensus on each individual adjustment that they have been assigned to.

Following this, the findings and recommendations from the two sectoral experts will be discussed with the lead reviewer and relevant sections will be drafted for the EMEP SB Adjustment status report and for the country report. The team of experts have to achieve a consensus regarding the acceptance/rejection of each application. Should this prove to be challenging, the lead reviewer will liaise with CEIP, and may elect to introduce additional experts to the process to provide additional technical viewpoints.

The chapters drafted by the sectoral expert reviewers will then be collated by the Lead Reviewer, to create a single report for each country submitting an adjustment application. This report will clearly indicate a recommendation for acceptance and rejection for each adjustment application, and the reasons for reaching these recommendations in line with the criteria and principles of the EB decisions 2012/3 and 12.

The responsibility for the findings and recommendations of the review lies with the adjustment review team.

³ http://www.ceip.at/ms/ceip_home1/ceip_home/review_proces_intro/review_proces/

The recommendations of the review team (as documented in the country report) will be reported to the EMEP SB in the form of the Adjustment Status Report (compiled by CEIP).

Throughout the process, the expert review team will keep CEIP informed of progress and draft recommendations.

5.3 Review Checklist

A spreadsheet checklist (See Appendix C1) has been compiled to allow the review process to be undertaken in a transparent way that aligns with the aims of the EB decisions, and ensures that reviewers remain within their remit and field of expertise.

The following sections provide a summary of the different stages of the checklist, and include who is responsible for each step. timescales for completion are included as a guide only – the precise timetable being issued by CEIP each year.

5.3.1 Check of Formal Submission Criteria

Steps 1 and 2 of the adjustment checklist.

Main objective: A preliminary check of whether the adjustment has been notified on time and whether the required supporting documentation has been submitted on time (requirements according to Decision 2012/12) will be undertaken by CEIP. CEIP will complete the adjustment checklist.

If the check is positive the adjustment application can be forwarded to the expert review team. If the check is negative, CEIP informs the UN/ECE secretariat and the EMEP SB.

Undertaken by: CEIP

Deadline: 14th April

5.3.2 Check of Supporting Evidence

This check aims to establish whether the revision to the emissions inventory was caused by a change in the understanding of the science

Steps 3 to 6 of the adjustment checklist

Main objective: This is a check to establish whether the supporting evidence listed in the checklist under steps 3 to 5 provided by the country is complete, transparent and detailed enough to allow proper checking of the submitted adjustment. The 1SER completes the adjustment check list. Questions for clarification, and questions to be discussed by the review team are noted.

Based on the findings, the reviewer decides:

1. Whether the supporting evidence is complete and sufficiently transparent to allow for a suitably detailed review.
2. Whether the supporting evidence is only partially complete and transparent and questions have to be posed to the Party for clarification.
3. Whether the supporting evidence is not complete and transparent and the review of the adjustment will be stopped, with the application being rejected.

If the check of the supporting evidence is positive, the 1SER proceeds to the next step. If not, the reviewer sends the adjustment checklist with steps 3 – 5 completed (and any other relevant information) to CEIP.

The expert reviewers may ask a Party to provide additional information on particular issue, whenever they think that this is required to support or progress the review. Requests will be made through the CEIP.

If the check of the supporting evidence is negative, the 1SER informs the 2SER and asks for their agreement on the issue. Their common position is then forwarded to the lead reviewer and copied to CEIP.

Undertaken by: 1SER

Deadline: 30th April

5.3.3 Cross-check of Steps 3 to 6 by 2SER

Steps 3 to 6 of the adjustment checklist

Main objective: These steps are designed to deliver an independent view on the findings of the 1SER. The 1SER and 2SER should achieve consensus on the submitted adjustment concerning the checks included in steps 3 to 6 of the adjustment checklist.

The 2SER steps through the submitted data and the adjustment checklist, and checks/reviews the findings of the 1SER. The 2SER completes the respective fields for the 2SER in steps 3 to 6 of the adjustment checklist and provides the checklist to the 1SER and CEIP.

If the 2SER agrees with the finding of the 1SER, then the 1SER continues with the next steps. If the 1SER and 2SER cannot find a common position, then they will inform the lead reviewer and CEIP.

Undertaken by: 2SER

Deadline: 7th May

5.3.4 Review of the Quantification of the Impact of the Revision

Step 7 of the adjustment checklist

Main objective: This check is designed to determine whether the calculated adjustments are accurate and properly documented.

The 1SER carries out a detailed assessment of the supporting evidence provided by the Party, and checks this against the EMEP/EEA Emissions Inventory Guidebooks, and other relevant literature as required. The 1SER should also check whether the adjustment has been calculated without errors and whether the information in Table 7a provided by the Party is correct.

The 1SER submits findings to 2SER and the lead reviewer (copied to CEIP). The 2SER checks and confirms the findings of the 1SER and documents the decision in the respective fields in the adjustment checklist under step 7.

The 1SER provides a summary to the lead reviewer.

Undertaken by: 1SER and 2SER

Deadline: 7th May

5.3.5 Confirming and Drafting Conclusions and Recommendations of the Adjustment Review

Step 8 of the adjustment checklist

Main objective: Confirming the findings of the 1SER and 2SER, and drafting the recommendations for the EMEP SB, and the adjustment reports for individual countries.

The 1SER and 2SER will discuss the findings with the LR and other sectoral reviewers, and will confirm the findings of the review of each individual adjustment application. Remaining review activities are agreed. The lead reviewer completes step 8 of the adjustment checklist and sends the completed file to CEIP.

The review team will draft conclusions and recommendations for the EMEP SB in an agreed template (see Appendix C2) and provide the relevant text and tables to the CEIP according to the timetable issued by the CEIP.

The 1SERs and 2SERs will draft relevant chapters for country reports and send to LR.

Undertaken by: All of the review team

Deadline: 31st May

5.3.6 Draft Country Adjustment Reports

Main objective: Draft the country adjustment reports.

The lead reviewer will, based on the chapters provided by 1SERs and the Country report template (see Appendix C3) compile the individual country adjustment reports. Where substantive changes are made, these will be checked with the relevant 1SERs and 2SERs. The LR will send the draft country reports to CEIP.

Undertaken by: Lead Reviewer

Deadline: 7th June

5.3.7 Liaison with Parties

Main objective: Error-checking the country adjustment reports.

CEIP will send the draft adjustment reports to the relevant Parties. The Parties will be invited to review the draft reports, and reply within 5 days to address any substantive errors. The Parties will not be asked to challenge the findings of the review team, unless the findings clearly arise from factual errors.

CEIP will pass comments from Parties to the lead reviewer, who will then convert the draft reports to final versions.

COMMENT: Do we wish to include this step? It is intended to ensure that there are no factual errors in the report. We expect this point to be discussed by the EB (and text here amended as required).

Undertaken by: CEIP, Parties, Lead Reviewer

Deadline: 15th June

5.3.8 Publication of Findings and Recommendations

CEIP will publish the finalised individual country reports on its website and send a copy of each reports to the UN/ECE Secretariat.

The UN/ECE Secretariat will check the wording in individual country reports prior to publication.

COMMENT: Check with the Secretariat that they are happy to take on this task.

A copy of the finalised report will also be sent to each of the corresponding Parties.

Undertaken by: CEIP

Deadline: 22nd June

5.3.9 EMEP SB Assessment

Step 9 of the adjustment checklist

The EMEP SB will consider the findings of the expert review team, and will make the formal decision on the acceptance/rejection of each adjustment application. The EMEP SB will then inform the Convention Secretariat accordingly. The Convention Secretariat shall make the review available to the Parties and inform the Implementation Committee of adjustments being rejected.

Undertaken by: EMEP Steering Body

Deadline: September

Appendices

See separate file for the content of these Appendices.

COMMENT: We ask that the TFEIP/CEIP or EMEP SB be given the remit to revise/update any of these Appendices without the need to refer back to the CLRTAP EB.

A: Sector Specific Guidance

A1: Non-Road Mobile Machinery

A2: Road Transport

A3: Agriculture

B: Party Templates for an Adjustment Application

C: Expert Reviewers Templates for Reporting Conclusions and Recommendations

C1: Expert Reviewers Checklist

C2: Template for Summary Status Report (for EMEP SB)

C3: Template for Country Report