

# Mitigation Documentation ToolD: Mitigation Analysis Archiving System

**A: Key Sectoral Emissions Analysis**

**B: Institutional Arrangements for Mitigation Activities**

**C: Mitigation Assessment Methods and Data Sources**

**D: Mitigation Analysis Archiving System**

**E: National Plan for Further Mitigation Assessment**

Country Representative Contact Information

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

## D.1. Purpose and Instructions

An archiving system is an inexpensive yet critical step in the sustainability of the mitigation component of the national communication because it serves as a starting point for future mitigation teams.

Countries should use this document to enter country-specific data and for preparing final plans. The green text is used to provide instructions and guidance. In the final plan, all green text should be deleted, and country-specific information should be used in its place.

## Description of Archiving System for [Country X]

## D.2 Background

Archives refer to a collection of records that have been created during the development of the mitigation assessment (references, methodological choice, expert comments, revisions, etc.), as well as document the location where these records are kept. The Archiving System is a helpful component of the process and sustainability of developing the mitigation component of the national communication. An Archiving System helps make the mitigation analysis and assessment transparent and reproducible, and facilitates development of subsequent work by future staff.

All information used to create the mitigation assessment should be archived in a single location in both electronic and/or hard copy (paper) storage so that future managers can reference all relevant files to respond to reviewer feedback, including questions about methodologies. 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).

## D.3. Assess Existing Archiving Programme and Procedures

Describe any archiving procedures from the mitigation assessment, as well as those currently in place. These questions below will help identify these procedures to include in the plan:

Previous Mitigation Assessment:

* + What documents and files are available from the previous mitigation assessment?
		- 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 Mitigation Analysis:

* + Who has received data or documents from previous mitigation assessments that will be updated and used to compile the next analysis?
		- 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 documentation tools while they are being completed, and where are they stored?

## D.4. Archive System Plan

The following sections describe the Archive System Plan that *[Country]* plans to follow to ensure a high-quality national mitigation analysis based on an assessment of existing practices as described in section D.3.

### D.4.1. Archiving Coordinator Role and Responsibilities

The role of Archiving Coordinator will be designated at the beginning of the mitigation analysis process. The Archiving Coordinator is responsible for ensuring that all archiving procedures are performed for the mitigation analysis 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:

* Communicates archiving system plan, procedures, and responsibilities to other staff;
* Determines archiving tasks and assign tasks to staff, create a checklist of archiving procedures for team members to follow;
* Ensures that the archive procedures (see section D.4.2 below) are carried out effectively;
* Serves 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 Mitigation Analysis Coordinator, who is in charge of compiling the mitigation component for the National Communications for [Country]. She/he is with X organization (e.g., Ministry, University, etc.).]*

### D.4.2. 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]* takes into account the following:

Modify the following list according to proposed procedures.

###### Management of Files.

* Save files with mitigation sector name and analysis 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 estimates should be provided to the Archiving Coordinator.

The following are essential components of the archive:

* Data and calculation spreadsheets and other electronic files to create mitigation analysis estimates;
* Key sectoral emissions analysis spreadsheets;
* Latest draft and final electronic versions of the mitigation analysis document (for use as a starting point to update the analysis in the future);
* Updated documentation tools, which should be used to list and check references.
* *[List any additional components of the data retention archiving checklist.]*

The files listed above are most easily archived by saving to a CD-ROM 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 archive. The contents of the CD-ROM 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 mitigation analysis will be collected and provided to the Archiving Coordinator. Essential 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 mitigation analysis records file. The files retained in storage from any given analysis year are known as the mitigation analysis archive. The Archiving Coordinator is responsible for reviewing the references cited in the mitigation analysis and collecting all new documents. It is not necessary to include duplicate copies of references that are already in the records file from any previous analysis.
* Draft versions (either electronic or hard copy) used for major internal and external peer reviews, as well as the final submitted versions of the analysis.
* Final version of the National Mitigation Analysis Report (compilation of completed documentation tools including Key Sectoral Emissions Analysis, Institutional Arrangements for Mitigation Activities, Mitigation Analysis Archiving System and National Mitigation 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 mitigation staff.
* *[List any additional document types.]*

###### Storage Mechanisms. Archived mitigation analysis 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.

### D.4.3. 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 mitigation analysis process. Table D.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. Archive material should be collected when the material is first used for the mitigation analysis, to avoid searching for materials at a later date.

Review Table D.1 carefully. As noted above, edit the tasks and responsibilities so that they accurately reflect those in your country's mitigation analysis system.

Insert as many rows within the table below as necessary to provide the detailed information for each subtask.

Table D.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 emissions reductions by sector. |  |  |  |
| Collect copies of draft versions of mitigation analysis document. |  |  |  |
| Collect copies of final versions of mitigation analysis document. |  |  |  |
| Compile electronic versions of final versions of mitigation analysis 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 for Mitigation Activities and Documentation of Mitigation Assessment Methods and Data. |  |  |  |
| Compile electronic versions of Key Sectoral Emissions Analysis. (Some files will be duplicated from the previous subtask.) |  |  |  |
| 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 mitigation analysis update. |  |  |  |
| *[List additional tasks]* |  |  |  |
| *Category Lead* |
| Send electronic versions of spreadsheets used to estimate net emissions to Mitigation Coordinator (using naming convention). |  |  |  |
| Send final text documents for sector or category to Mitigation Coordinator. |  |  |  |
| Send Documentation of Mitigation Analysis and Actions 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 Sectoral Emissions analyses and documents to Mitigation Coordinator (add "key" to naming convention). |  |  |  |
| 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 Mitigation Coordinator. |  |  |  |
| *[List additional tasks]* |  |  |  |

## D.5. Improvements to the Mitigation Analysis Archive System

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 mitigation analysis archive system in Table D.2 below.

Insert as many rows within the table below as necessary to provide the detailed information for each improvement.

Table D.2 provides a list of suggested improvements to the archive system. These improvements should be incorporated into the archive system in future years.

Table D.2: Improvements to the Mitigation Analysis Archive System

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