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**Plenary meeting to determine modalities and institutional arrangements for an intergovernmental science-policy platform on biodiversity and ecosystem services
First session**

Nairobi, 3–7 October 2011

Item 4 (c) of the provisional agenda*

Functions and structures of bodies that might be established under the platform

Analysis of the possible institutional arrangements envisaged in the Busan outcome, with the structures and functions of the Intergovernmental Panel on Climate Change and related recommendations of the InterAcademy Council

Note by the secretariat

1. Annex I to the present note provides a tabular analysis of the institutional arrangements for an intergovernmental science-policy platform on biodiversity and ecosystem services envisaged in the Busan outcome,¹ in relation to the Intergovernmental Panel on Climate Change (IPCC) structure, the InterAcademy Council (IAC) recommendations on the IPCC structure (released August 2010) and the relevant decisions of IPCC at its thirty-third session on the IAC recommendations (May 2011).
2. The relevant decisions of IPCC at its thirty-third session with regard to the review of the IPCC processes and procedures are set out in annex II to the present note, as follows:
 - (a) Governance and management (chapter I);
 - (b) Procedures (chapter II);
 - (c) Conflict-of-interest policy (chapter III);
 - (d) Communications strategy (chapter IV).
3. Further information on the IAC recommendations, including the executive summary of the IAC review of IPCC and the outcomes of the Panel's task teams, can be found on the IAC website at <http://reviewipcc.interacademycouncil.net>.
4. The IPCC website (www.ipcc.ch) provides additional information on the IAC review and subsequent adoption of recommendations.
5. Annexes I and II have been reproduced without formal editing.

* UNEP/IPBES.MI/1/1.

1 UNEP/IPBES/3/3, annex.

Annex I

Comparison of the institutional arrangements in the Busan outcome with the IPCC structures and functions, the IAC recommendations on the IPCC structures, and the subsequent decisions of the IPCC plenary on the IAC recommendations:

Issue	Institutional Arrangements			
	Relevant Busan Outcome	IPCC Structure	IAC Recommendations	Relevant decisions from IPCC
Composition of Plenary Body	The plenary, which should be the platform's decision-making body, should be open to participation by all Member States of the United Nations and by regional economic integration organizations. Intergovernmental organizations and other relevant stakeholders should participate in the plenary as observers, in accordance with the rules of procedure established by the plenary. Through its rules of procedure, the plenary should in general take decisions by consensus of government representatives	The IPCC is an intergovernmental body. It is open to all member countries of the United Nations (UN) and WMO. Currently 194 countries are members of the IPCC. It is also open to observer organizations which are accepted by the Plenary in accordance to the requirements described in the "IPCC Policy and Process for Admitting Observer Organizations".	No IAC recommendation	Not applicable
Functions of Plenary Body	-Focusing on government needs and based on priorities established by the plenary, the platform should respond to requests from Governments, including those conveyed to it by multilateral environmental agreements related to biodiversity and ecosystem services as determined by their respective governing bodies. The plenary should welcome inputs and suggestions from, and the participation of, United Nations bodies related to biodiversity and ecosystem services as determined by their respective governing bodies. The plenary should also encourage	The plenary meets approximately once a year. Major decisions are taken by the Panel during the Plenary Session, for example: <ul style="list-style-type: none"> - The election of the IPCC Chair, IPCC Bureau and the Task Force Bureau; - The structure and mandates of the IPCC Working Groups and Task Forces - IPCC Principles and Procedures - The work-plan of the IPCC 	No IAC recommendations	Not applicable

	<p>and take into account, as appropriate, inputs and suggestions made by relevant stakeholders, such as other intergovernmental organizations, international and regional scientific organizations, environment trust funds, non-governmental organizations and the private sector. To facilitate this, and to ensure that the platform's work programme is focused and efficient, a process to receive and prioritize requests should be established by the plenary.</p> <p>-A core trust fund to be allocated by the plenary should be established to receive voluntary contributions from Governments, United Nations bodies, the Global Environment Facility, other intergovernmental organizations and other stakeholders, such as the private sector and foundations;</p> <p>-Further conclude that the platform's efficiency and effectiveness should be independently reviewed and evaluated on a periodic basis as decided by the plenary, with adjustments to be made as necessary.</p>	<ul style="list-style-type: none"> - Budget - Scope and outline of IPCC reports - Approval, Adoption and Acceptance of reports 		
Composition of Chair and Vice-Chairs	<p>One Chair and four vice-chairs, taking due account of the principle of geographical balance among the five United Nations regions, should be nominated and selected by Governments which are members of the plenary. The criteria, nomination process and length of service should be decided by the plenary</p>	<p>The IPCC has one Chair and three Vice-Chairs</p>	<p>The IPCC Chair; Working Group co-Chairs</p> <p>The term of the IPCC Chair should be limited to the timeframe of one assessment. The terms of the Working Group Co-Chairs should be limited to the timeframe of one assessment.</p> <p>Conflict of Interest</p>	<p>The IPCC Chair; Working Group co-Chairs</p> <p>The Panel at its 33rd Session decided to restrict the term of office for the IPCC Chair, Working Group and Task Force on National Greenhouse Gas Inventories Co-Chairs, and the IPCC Vice-Chairs as follows:</p> <p>The term of office for the IPCC Chair and Working Group and Task Force on National Greenhouse Gas Inventories Co-Chairs and IPCC Vice Chairs will be limited to one term in a particular office as defined by the</p>

			<p>Policy The IPCC should develop and adopt a rigorous conflict of interest policy that applies to all individuals directly involved in the preparation of IPCC reports, including senior IPCC leadership (IPCC Chairs and Vice Chairs), authors with responsibilities for report content (i.e. Working Group Co-Chairs, Coordinating Lead Authors, and Lead Authors), Review Editors, and technical staff directly involved in report preparation (e.g. staff of Technical Support Units and the IPCC Secretariat).</p>	<p>Panel (or another time period as defined by the Panel) with the provision, of a possible nomination for election for one further term in the same office for individual cases if the Panel so decides.</p> <p>The limitation of the term of office for the IPCC Chair, Working Group and Task Force on National Greenhouse Gas Inventories Co-Chairs and the IPCC Vice Chairs mentioned in the above paragraph shall be applied for the next and subsequent terms².</p> <p>The Panel at its 33rd Session decided to consider the issue of continuity from one IPCC Chair to the next as part of its review of election procedures.</p> <p>Conflict of Interest Policy The Panel at its 33rd session: Adopted the “IPCC Conflict of Interest Policy” as provided in the Decisions taken with respect to the Review of the IPCC Processes and Procedures: Conflict of Interest Policy. Extended the mandate of the Task Group on Conflict of Interest Policy in order to develop proposals for Annexes to the Policy covering Implementation and the Disclosure Form with a view to adopting a decision at the 34th Session; Decided to work towards early implementation of the Policy with a view to bringing all those covered by the Policy within its remit as early as possible during the Fifth Assessment cycle and no later than the 35th Session of the IPCC.</p>
Functions of	Not discussed in Busan	The functions of the Chair	The IPCC Chair;	The IPCC Chair; Working Group Co-

2 Term is defined as an assessment cycle for the preparation of a major IPCC assessment report.

Chair and Vice-Chair		and Vice-Chairs are not clearly articulated for the IPCC.	Working Group Co-Chairs See above	Chairs See above
Bureau – composition	Not discussed in Busan	The IPCC Bureau comprises the IPCC Chair, the IPCC Vice-Chairs, the co-Chairs and Vice-Chairs of the Working Groups and the Co-Chairs of the Task Force. There are normally 30 (exceptionally 31 at the moment) members elected by the Panel during the Plenary Session. They are highly qualified experts and are nominated and elected in accordance with the system of geographical representation of WMO (6 regions). Their term corresponds to an Assessment cycle (5-6yrs).	The IPCC Bureau The IPCC should develop and adopt formal qualifications and formally articulate the roles and responsibilities for all Bureau members, including the IPCC Chair, to ensure that they have both the highest scholarly qualifications and proven leadership skills.	Terms of Reference of the Bureau Noting that the functions of the Bureau evolved over several decisions of the Panel and did not exist in one set of terms of reference; The Panel at its 33 rd Session decided that the Terms of reference of the Bureau are as contained in Decisions taken with respect to the Review of the IPCC Processes and Procedures: Governance and Management. The Panel at its 33 rd Session decided to review the terms of reference, the composition and the mode of operation of the Executive Committee before formation of the next Bureau.
Bureau – Function	Not discussed in Busan	The IPCC Bureau selects author teams for the preparation of Reports. The Bureau also acts as Editorial Board in finalizing Technical Papers (decided at IPCC 33 rd session). Their mandate normally corresponds to the duration of an Assessment cycle (5-6 years).	The IPCC Bureau No recommendation on functions.	Terms of Reference of the Bureau Noting that the functions of the Bureau evolved over several decisions of the Panel and did not exist in one set of terms of reference; The Panel at its 33 rd Session decided that the Terms of reference of the Bureau are as contained in Decisions taken with respect to the Review of the IPCC Processes and Procedures: Governance and Management. The Panel at its 33 rd Session decided to review the terms of reference, the composition and the mode of operation of the Executive Committee before formation of the next Bureau.
Executive Committee – composition	Not discussed in Busan		The IPCC should establish an Executive Committee to act on its behalf between Plenary sessions. The	Establishment of an Executive Committee The Panel at its 33 rd Session decided to establish an Executive Committee with the following composition:

			<p>membership of the Committee should include the IPCC Chair, the Working Group Co-Chairs, the senior member of the Secretariat, and 3 independent members, including some from outside of the climate community. Members would be elected by the Plenary and serve until successors are in place.</p>	<p>Members: IPCC Chair (who will chair the Executive Committee) IPCC Co-Chairs of Working Groups I, II and III and of the Task Force on Inventories IPCC Vice Chairs Advisory Members: Head of Secretariat The four Heads of the Technical Support Units</p>
<p>Executive Committee - function</p>	<p>Not discussed in Busan</p>	<p>The IPCC established its Executive Committee at its 33rd session in May 2011.</p>	<p>Executive Committee The IPCC should establish an Executive Committee to act on its behalf between Plenary sessions.</p>	<p>Establishment of an Executive Committee The Panel at its 33rd Session decided to establish an Executive Committee</p> <p>The purpose of the Executive Committee is to strengthen and facilitate timely and effective implementation of the IPCC Programme of Work in accordance with the IPCC Principles and Procedures, and the decisions of the Panel and advice of the Bureau, as described below.</p> <p>The Terms of Reference of the Executive Committee are as follows: -Address urgent issues related to the IPCC Products and Programme of Work that require prompt attention by the IPCC between Panel sessions; - Undertake communication and outreach activities, in accordance with the IPCC Communication Strategy; - Oversee the response to possible errors in completed assessments and other IPCC products, in accordance with the 'IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology</p>

				<p>Reports”;</p> <ul style="list-style-type: none"> - Strengthen coordination between Working Groups and Task Forces on activities and issues pertaining to the production of assessments and other relevant IPCC products; and - Undertake other activities at the request of the Panel <p>* The Panel at its 33rd Session decided that the mode of operation of the Executive Committee as set out in Decisions taken with respect to the Review of the IPCC Processes and Procedures: Governance and Management.</p>
Science Panel – composition	Not discussed in Busan	The IPCC does not have a Scientific Advisory Panel	Not applicable	Not applicable
Science Panel – function	Not discussed in Busan	The IPCC does not have a Scientific Advisory Panel	Not applicable	Not applicable
Secretariat - composition	The new platform should be established as an independent intergovernmental body administered by one or more existing United Nations organizations, agencies, funds or programmes.	<p>The IPCC is supported by a central secretariat which has a core staff of 12 people. In addition, four Technical Support Units (TSUs) of the IPCC Working Groups and Task Force support and coordinate the Working Groups/TFI activities, including arranging the authors’ meetings and assisting them during the draft of the reports.</p> <p>The government of the developed country Co-Chair assumes the primary responsibility for funding the TSU, including office space, equipment and staff.</p> <p>The IPCC Trust Fund provides some financial</p>	<p>The Secretariat The IPCC should redefine the responsibilities of key Secretariat positions both to improve efficiency and to allow for any future senior appointments.</p> <p>The IPCC should elect an Executive Director to lead the Secretariat and handle day-to-day operations of the organization. The term of this senior scientist should be limited to the timeframe of one assessment.</p>	<p>Executive Director of IPCC Secretariat</p> <p>The IPCC Head of Secretariat should continue to be an appointed position, and not elected, in keeping with UN practice.</p> <p>The functions of the IPCC Head of Secretariat should remain largely as presently defined, but taking into account decisions on governance and management, communication, processes and procedures, and conflict of interest taken at the 33rd session of the IPCC.</p> <p>The titles of the two senior posts of the Secretariat will be reviewed with a view to accurately reflecting their positions and responsibilities.</p> <p>The Panel decided to review how the IPCC may participate in decisions on contract renewal, employment term limit, staff appraisal, and recruitment for senior staff, and initiates such a review at the 34th</p>

		support to assist the developing country Co-Chairs perform their duties, in particular to cover administrative and travel costs.		<p>session of the IPCC.</p> <p>Terms of Reference of the Secretariat Noting that the functions of the Secretariat were reviewed in 2008;</p> <p>The Panel at its 33rd Session decided to elaborate Terms of reference of the Secretariat and Technical Support Units (TSUs) for consideration at the 34th Session of the IPCC.</p>
Secretariat - function	Not discussed in Busan	The Secretariat coordinates all the IPCC work and liaises with Governments. It is supported by WMO and UNEP and hosted at WMO headquarters in Geneva. Its detailed Terms of Reference will be considered by the 34 rd session of the IPCC in November 2011.		

Annex II

Decisions taken by the Intergovernmental Panel on Climate Change at its thirty-third session, held from 10 to 13 May 2011 in Abu Dhabi

I. Decisions taken with respect to the review of IPCC processes and procedures: governance and management

1. Introduction

This document reflects the Panel's consideration of the InterAcademy Council (IAC) proposals as discussed at the IPCC 32nd Session with respect to governance and management of the IPCC. It covers formation of an Executive Committee, the Term of Office of the Chair and the Working Group and Task Force Co-Chairs, and IPCC Vice Chairs, and the proposal concerning an Executive Director, as well as Terms of Reference of the IPCC Bureau. A proposal is made regarding elaboration of the Terms of Reference of the IPCC Secretariat.

2. Establishment of an Executive Committee

2.1. Noting the IAC recommendation

• The IPCC should establish an Executive Committee to act on its behalf between Plenary sessions. The membership of the Committee should include the IPCC Chair, the Working Group Co-Chairs, the senior member of the Secretariat, and 3 independent members, including some from outside of the climate community. Members would be elected by the Plenary and serve until their successors are in place.

2.2. Recalling the decision of IPCC at its 32nd Session

- The Panel agreed to work toward establishing a formal body to provide governance functions that are necessary between sessions of the panel, strengthen coordination activities, and have oversight of the organisation's administration and communications; according to the mandate to be agreed in the 33rd Session.*
- The Task Group should consider options for the implementation of the decision concerning the recommendation mentioning the establishment of an Executive Committee. These options include those for the **mandate, size, composition, functions and reporting** of the body referred to in this recommendation.*
- The Task Group shall make recommendations on the options mentioned in decision II to the 33rd Session of the Panel, with a view to taking a decision.*

2.3. The Panel at its 33rd Session decided to establish an Executive Committee as defined in paragraphs 2.3.1 to 2.3.4

2.3.1 The purpose of the Executive Committee is to strengthen and facilitate timely and effective implementation of the IPCC Programme of Work in accordance with the IPCC Principles and Procedures, and the decisions of the Panel and advice of the Bureau, as described in paragraph

2.3.2 The Terms of Reference of the Executive Committee are as follows:

- (a) Address urgent issues related to IPCC Products and Programme of Work that require prompt attention by the IPCC between Panel sessions;
- (b) Undertake communication and outreach activities, in accordance with the IPCC Communication Strategy;
- (c) Oversee the response to possible errors in completed assessments and other IPCC products, in accordance with the "IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports";
- (d) Strengthen coordination between Working Groups and Task Forces on activities and issues pertaining to the production of assessments and other relevant IPCC products; and
- (e) Undertake other activities at the request of the Panel.

2.3.3 The Composition of the Executive Committee will be as follows:

- (a) Members:

IPCC Chair (who will chair the Executive Committee);

IPCC Co-Chairs of Working Groups I, II and III and of the Task Force on Inventories;

IPCC Vice Chairs;

(b) Advisory Members:

Head of Secretariat;

The four Heads of the Technical Support Units.

2.3.4 The mode of operation of the Executive Committee will be in accordance with the following rules:

(a) The authority provided to the Executive Committee is vested in the body as a whole, and any Member of the Executive Committee who acts/speaks on its behalf must reflect and be consistent with the views of the Executive Committee and act in accordance with the Principles Governing IPCC Work, Communication Strategy and Policy on Conflict of Interest;

(b) The Members of the Executive Committee are expected to reach decisions by consensus. If, exceptionally on matters of particular urgency, consensus is not possible, the IPCC Chair may take the final decision, having regard to the weight of opinion in the Executive Committee. Any such decisions should be reported to the Panel;

(c) A quorum consists of two thirds of the Members as in paragraph 2.3.3 a;

(d) If the Chair cannot be present at a meeting of the Executive Committee he/she may nominate as chair an IPCC Vice Chair or another Member, if there are no Vice Chairs present;

(e) The Executive Committee may invite additional individuals to participate in a meeting of the Executive Committee;

(f) The Secretariat will provide administrative support to the Executive Committee. It will prepare a draft agenda in consultation with the Chair of the Executive Committee and normally make it available for information to the Panel and Bureau members in advance of those meetings;

(g) The Secretariat will prepare and make available the conclusions and decisions of the Executive Committee to the Panel and Bureau members as soon as possible, but not later than four weeks after the meeting;

(h) The Executive Committee is expected to meet regularly. Meetings should be planned to minimize travel and cost. Additional meetings may be convened at the request of the Chair or at least three Members of the Committee, as in paragraph 2.3.3 a. Meetings may be conducted in person or by electronic means;

(i) The Executive Committee is accountable to the Panel, and the Chair of the IPCC should report on the activities of the Executive Committee to the Panel and the Bureau.

2.4. The Panel at its 33rd Session decided to review the terms of reference, the composition and the mode of operation of the Executive Committee before formation of the next Bureau

3. .Term of Office of the IPCC Chair, Working Group and Task Force on National Greenhouse Gas Inventories Co-Chairs, and the IPCC Vice Chairs

3.1. Noting the IAC recommendation

(a) *The term of the IPCC Chair should be limited to the timeframe of one assessment.*

(b) *The terms of the Working Group Co-Chairs should be limited to the timeframe of one assessment.*

3.2. Recalling the decision of IPCC at its 32nd Session

- *Requested the Task Group to consider issues related to the IAC recommendations on the term of the IPCC Chair and Working Group Co-Chairs, including continuity issues.*
- *Noted that any amendments to the existing IPCC Rules of Procedure for Elections could be applied only to subsequent elections.*
- *Requested the Task Group to report their recommendations to the 33rd Session for decision.*

- 3.3. The Panel at its 33rd Session decided to restrict the term of office for the IPCC Chair, Working Group and Task Force on National Greenhouse Gas Inventories Co-Chairs, and the IPCC Vice Chairs as follows**

3.3.1 The term of office for the IPCC Chair and Working Group and Task Force on National Greenhouse Gas Inventories Co-Chairs and IPCC Vice Chairs will be limited to one term in a particular office as defined by the Panel¹ (or another time period as defined by the Panel) with the provision, of a possible nomination for election for one further term in the same office for individual cases if the Panel so decides.

3.3.2 The limitation of the term of office for the IPCC Chair, Working Group and Task Force on National Greenhouse Gas Inventories Co-Chairs and the IPCC Vice Chairs mentioned in paragraph 3.3.1. shall be applied for the next and subsequent terms.

- 3.4 The Panel at its 33rd Session decided to consider the issue of continuity from one IPCC Chair to the next as part of its review of election procedures**

4. .Issues associated with the potential creation of an “Executive Director”

- 4.1. Noting the IAC recommendation**

The IPCC should elect an Executive Director to lead the Secretariat and handle day-to-day operations of an organization. The term of this senior scientist should be limited to the time frame of a single assessment.

- 4.2. Recalling the decision of IPCC at its 32nd Session**

(The Task Group) is requested to consider issues associated with the potential creation of a new post of an “Executive Director” to lead the Secretariat.

- 4.3. The Panel at its 33rd Session decided that**

4.3.1 The IPCC Head of Secretariat should continue to be an appointed position, and not elected, in keeping with UN practice.

4.3.2 The functions of the IPCC Head of Secretariat should remain largely as presently defined, but taking into account decisions on governance and management, communication, processes and procedures, and conflict of interest taken by IPCC at its 33rd Session.

4.3.3 The titles of the two senior posts of the Secretariat will be reviewed with a view to accurately reflecting their positions and responsibilities.

- 4.4. The Panel at its 33rd Session decided to review how the IPCC may participate in decisions on contract renewal, employment term limit, staff appraisal, and recruitment for senior staff, and initiates such a review at the 34th Session of the IPCC**

5. Terms of Reference of the Bureau

- 5.1. Noting that the functions of the Bureau evolved over several decisions of the Panel and did not exist in one set of terms of reference**

- 5.2. The Panel at its 33rd Session decided that the Terms of Reference of the Bureau are as contained in Annex A**

6. . Terms of Reference of the Secretariat

- 6.1. Noting that the functions of the Secretariat were reviewed in 2008**

- 6.2. The Panel at its 33rd Session decided to elaborate Terms of Reference of the Secretariat and Technical Support Units (TSUs) for consideration at the 34th Session of the IPCC**

¹ Currently the term of office is defined in the procedures of the IPCC as an assessment cycle for the preparation of a major IPCC assessment report.

- 7. . Extension of mandate of Task Group on Governance and Management**
The Panel at its 33rd Session decided to extend the mandate of the Task Group on Governance and Management and requested it to deal with issues pending, including those mentioned in 6.2. The Task Group may involve the participation of countries over and above those that took on that responsibility at the IPCC 32nd Session

Annex A

Terms of Reference of the Bureau

1. The purpose of the Bureau is to provide guidance to the Panel on the scientific and technical aspects of its work, to advise on related management and strategic issues, and to take decisions on specific issues within its mandate, in accordance with the Principles governing IPCC Work.
2. The IPCC Bureau consists of the IPCC Chair, three IPCC Vice Chairs, Co-Chairs of the three Working Groups and the Task Force on National Greenhouse Gas Inventories and the members of the Working Group Bureaus. The composition of, rules governing election to and membership of the Bureau and Working Group Bureaus are defined in Appendix C to the Principles Governing IPCC Work. The Bureau is chaired by the IPCC Chair. Its work is supported by the IPCC Secretariat.
3. The Bureau will advise the Panel and the Chair of the IPCC, including with respect to:
 - (a) Scientific and technical aspects of the IPCC's Programme of Work;
 - (b) The conduct of the Sessions of the Panel;
 - (c) Progress in and coordination of the work of the IPCC;
 - (d) The application of the Principles and Procedures of the IPCC;
 - (e) Technical or scientific communications matters.
4. With respect to IPCC Assessment Reports and other IPCC Products the Bureau and the individual Working Group and Task Force Bureaus will:
 - (a) Advise the Panel on the Work Programme of the IPCC and the coordination of work between the Working Groups;
 - (b) Develop and agree the list of authors, review editors and expert reviewers, taking into account the balance of expertise, geographical coverage and gender;
 - (c) Engage with the wider scientific community, both globally and regionally;
 - (d) Oversee scientific quality; and
 - (e) Participate in the response to possible errors, as described in the "IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports.
5. The Bureau will also:
 - (a) Function in the role of an Editorial Board in finalizing Technical Papers as defined in Section 5 of Appendix A to the Principles Governing IPCC Work;
 - (b) Oversee the work of any technical task groups (e.g. TGICA);
 - (c) Provide guidance on cross-cutting scientific issues related to the drafting of reports;
 - (d) Oversee implementation of the communication strategy in respect of the activities of IPCC Bureau members;
 - (e) Review requests for admission as observer organizations; and
 - (f) Perform other duties as may be assigned to it by the Panel.
6. The Working Group and Task Force Bureaus will assist and advise the Working Group and Task Force on National Greenhouse Gas Inventories (TFI) Co-Chairs with respect to:
 - (a) Preparation of working group and TFI assessment reports and methodology guidelines;
 - (b) Identification and selection of authors, review editors and expert reviewers;

- (c) Management of working group and TFI activities, including workshops and expert meetings, and scoping meetings;
- (d) Selection of participants for workshops, expert meetings, and scoping meetings; and
- (e) Communication of working group and TFI report outcomes.

Roles, responsibilities and qualifications of IPCC Bureau Members

7 Roles

Members of the Bureau provide scientific and technical support to the Chair of the IPCC and the Co-Chairs of the Working Groups and TFI in accordance with the Terms of Reference of the Bureau.

8 Responsibilities

Members of the Bureau have responsibility to:

- (a) uphold and implement the principles and procedures of the IPCC;
- (b) advise the Panel and its Chair on scientific and technical matters;
- (c) maintain the reputation of the IPCC and promote its products;
- (d) maintain the highest standards of scientific and technical excellence;
- (e) advise IPCC Coordinating Lead Authors, Lead Authors and Review Editors;
- (f) act in accordance with communications guidelines and oversee the implementation of the Communications Strategy in respect of the activities of IPCC Bureau members;
- (g) declare interests in accordance with the IPCC policy on Conflict of Interest; and
- (h) encourage nominations and participation of scientists from their regions in IPCC activities.

9 Qualifications

Members of the Bureau should have appropriate scientific and technical qualifications and experience relevant to the work of the Bureau, as defined by the Panel.

II. Decisions taken with respect to the review of IPCC processes and procedures: procedures

1. Introduction

The document presented here contains the decisions by the Panel based on consideration of the report of the IPCC Task Group on Procedures to the IPCC 33rd Session and building on the decisions of IPCC 32nd Session. The Task Group addressed the InterAcademy Council (IAC) recommendations as presented in the IAC report, chapter 2, “Evaluation of IPCC assessment process”.

Each recommendation of the IAC is quoted, followed by the decision of the IPCC 32nd Session. Subsequently, the considerations by the Panel at its 33rd Session are briefly represented, followed by a decision of the IPCC 33rd Session.

2. Selection of participants to scoping meetings

The Panel noted that in its report the IAC has recommended:

“The IPCC should make the process and criteria for selecting participants for scoping meetings more transparent”.

At its 32nd Session the Panel agreed with this recommendation and asked the Task Group on Procedures to determine an implementation plan with the view to make a decision at its next Session (IPCC 33rd Session).

The Panel noted that the current procedures do not describe the procedures for scoping meetings. Therefore amendments to the Procedures should be made, reflecting the purpose of scoping meetings and criteria for selecting its participants.

“At its 33rd Session, the Panel decided to add to the list in Appendix A to the Principles Governing IPCC Work under the chapeau “To ensure proper preparation

and review, the following steps should be taken” above current paragraph 4.2.1, as a first item:

1. Convening a scoping meeting to prepare an outline of the Report.

In addition, the Panel decided to insert a new paragraph preceding current paragraph 4.2.1:

Each IPCC Assessment Report, Special Report, Methodology Report and Synthesis Report as defined in section 2 of Appendix A to the Principles Governing IPCC work, should be preceded by a scoping meeting that develops its draft outline (and explanatory notes as appropriate). Nominations for participation will be solicited from governments Focal Points, participating organizations, and Bureau members. Participants should be selected by the relevant respective Working Group Bureau / Task Force Bureau and, in case of the Synthesis Report, by the IPCC Chair in consultation with the Working Group Co-Chairs. In selecting Scoping Meeting participants, consideration should be given to the following criteria: scientific, technical and socio-economic expertise, including the range of views; geographical representation; a mixture of experts with and without previous experience in IPCC; gender balance; experts with a background from relevant stakeholder and user groups, including governments. The Working Group Bureau / Task Force Bureau and in the case of the Synthesis Report, the IPCC Chair, will report to the Panel on the selection process including a description of how the selection criteria for participation and any other considerations have been applied, and including a list of participants”.

3. . Selection of Coordinating Lead Authors (CLAs) and Lead Authors (LAs)

3.1. The Panel noted that in its report the IAC has recommended

“The IPCC should establish a formal set of criteria and processes for selecting Coordinating Lead Authors and Lead Authors”.

At its 32nd Session the Panel agreed with this recommendation. Formal criteria are included in the existing procedures. The Panel asked the Task Group on Procedures to consider enhancing implementation and transparency as well as potential additional criteria and procedures with the view to taking a decision at its next session (IPCC 33rd Session).

The Panel noted that paragraph 4.2.2 of Appendix A to the Principles Governing IPCC Work should be amended by including the notion that gender balance, and a balance in the mixture of scientific experts with and without experience in the IPCC process should be taken into account. Procedures should be amended to require a report on the selection process.

3.2. The Panel noted that in its report the IAC has recommended

“The IPCC should make every effort to engage local experts on the author teams of the regional chapters of the Working Group II report, but should also engage experts from countries outside of the region when they can provide an essential contribution to the assessment”.

At its 32nd Session the Panel agreed with this recommendation. This is already implemented for the Fifth Assessment Report (AR5). The Panel asked the Task Group on Procedures to consider further implementation of this recommendation.

The Panel noted that the current composition of the regional writing teams of the Working Group II report has already taken this recommendation into account. The IAC recommendation should be reflected in paragraph 4.2.2.

“At its 33rd Session, the Panel decided to amend the existing text of paragraph 4.2.2 of Appendix A of the Principles Governing IPCC Work, Selection of Lead Authors as follows:

Coordinating Lead Authors and Lead Authors are selected by the relevant Working Group/Task Force Bureau, under general guidance provided by the Session of the Working Group or, in case of reports prepared by the Task Force on National Greenhouse Gas Inventories, the Panel, from those experts cited in the lists provided by governments and participating organizations, and other experts as appropriate, known through their publications and works. The composition of the group of Coordinating Lead Authors and Lead Authors for a chapter, a report or its summary shall aim to reflect:

- A range of scientific, technical and socio-economic views and expertise;
- Geographical representation (ensuring appropriate representation of experts from developing and developed countries and countries with economies in transition); there should be at least one and normally two or more from developing countries;
- A mixture of experts with and without previous experience in IPCC;
- Gender balance.

The Working Group Bureau / Task Force Bureau will report to the Panel on the selection process and the extent to which the aims were achieved.

The IPCC should make every effort to engage experts from the region on the author teams of chapters addressing specific regions, but should also engage experts from countries outside of the region when they can provide an essential contribution to the assessment.

The Coordinating Lead Authors and Lead Authors selected by the Working Group/Task Force Bureau may enlist other experts as Contributing Authors to assist with the work”.

4. Sources of Data and Literature

The Panel noted that in its report the IAC has recommended:

“The IPCC should strengthen and enforce its procedure for the use of unpublished and non-peer reviewed literature, including providing more specific guidance on how to evaluate such information, adding guidelines on what types of literature are unacceptable, and ensuring that unpublished and non-peer-reviewed literature is appropriately flagged in the report”.

At its 32nd Session the Panel agreed with this recommendation. The Panel decided to strengthen the application of its procedures on the use of unpublished and non-peer reviewed literature. It decided to implement this recommendation and further key elements through its procedures and guidance notes. The Panel noted the General Guidance on the Use of Literature in IPCC Reports (contained in IPCC-XXXII/INF.4) as revised in General Guidance on the Use of Literature in IPCC Reports (Appendix 1 of the decision of IPCC-32) which addresses the related aspects in the IAC recommendations and decided to endorse them as a Guidance Note. The Panel urged the Co-Chairs of Working Group I, II, III and Task Force on National Greenhouse Gas Inventories (TFI) to take any necessary steps to ensure that this guidance note is applied in the development of IPCC reports.

The Panel noted that changes to the procedures are warranted to respond to this IAC recommendation.

“At its 33rd Session, the Panel decided to replace the current Annex 2 of the Appendix A to the Principles Governing IPCC Work (“Procedure for using non-published/non-peer-reviewed sources in IPCC reports”) by a new Annex 2 as described below:

ANNEX 2: PROCEDURE ON THE USE OF LITERATURE IN IPCC REPORTS

This annex is provided to ensure that the IPCC process for the use of literature is open and transparent. In the assessment process, emphasis is to be placed on the assurance of the quality of all cited literature. Priority should be given to peer-reviewed scientific, technical and socio-economic literature if available.

It is recognized that other sources provide crucial information for IPCC Reports. These sources may include reports from governments, industry, and research institutions, international and other organizations, or conference proceedings. Use of this literature brings with it an extra responsibility for the author teams to ensure the quality and validity of cited sources and information¹. In general, newspapers and magazines are not valid sources of scientific information. Blogs, social networking sites, and broadcast media are not acceptable sources of information for IPCC Reports. Personal communications of scientific results are also not acceptable sources.

The following additional procedures are specified:

1. See IPCC-XXII/INF.4, Notes on the Informal Task Group on Procedures, containing general guidance on the use of literature in IPCC, page 7, section 2.

1. Responsibilities of Coordinating, Lead and Contributing Authors

The Coordinating Lead Authors will ensure that all sources are selected and used in accordance with the procedures in this Annex.

The author team is required to critically assess information they would like to include from any source. Each chapter team should review the quality and validity of each source before incorporating information into an IPCC Report. Authors who wish to include information that is not publicly or commercially available are required to send the full reference and a copy, preferably electronically, to the relevant Technical Support Unit. For any source written in a language other than English, an executive summary or abstract in English is required”.

These procedures also apply to papers undergoing the publication process in peer-reviewed journals at the time of the government or expert review.

All sources will be integrated into the reference section of the IPCC Report.

2. Responsibilities of the Review Editors

The Review Editors will support and provide guidance to the author team in ensuring the consistent application of the procedures in this Annex.

3. Responsibilities of the Working Group /Task Force Bureau Co-Chairs

For sources that are not publicly or commercially available, the Working Group/Task Force Bureau Co-Chairs coordinating the Report will make these sources available to reviewers who request them during the review process.

4. Responsibilities of the IPCC Secretariat

For sources that are not publicly or commercially available, the IPCC Secretariat will store these sources after publication of an IPCC report, in order to support the “IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports”.

5. . Handling the full range of views

The Panel noted that in its report the IAC has recommended:

“Lead Authors should explicitly document that a range of scientific viewpoints has been considered, and Coordinating Lead Authors and Review Editors should satisfy themselves that due consideration was given to properly documented alternative views”.

At its 32nd Session the Panel agreed with this recommendation. The Panel emphasized that handling the full range of scientific views is a core principle of the IPCC. Its procedures clearly require the representation of differing scientific viewpoints and encourages rigorous adherence by the CLAs, LAs, and REs. The Panel asked the Task Group on Procedures to consider further implementation with the view to make a decision at its next Session (IPCC 33rd Session).

The Panel noted that the current language concerning the range of views in the procedures should be more precise. Instead of “aiming for a range of views”, the authors and experts should make every effort to take in to account, or represent, the full range of views available in scientific literature, even if these views are contradicting.

“At its 33rd Session, the Panel decided to amend sections 4.2.2 Selection of Lead Authors, 4.2.4.1 First Review (by Experts), and 4.4.1 The Synthesis Report, and decided to create a new sub-section handling the diversity of views under section 4 of Appendix A as follows:”

“4.2.2: Selection of Lead Authors

...The composition of the group of Coordinating Lead Authors and Lead Authors for a section or chapter of a Report shall reflect the need to consider the range of scientific, technical and socioeconomic views, expertise and geographical representation...”

“4.2.4.1 First Review (by Experts)

... First draft Reports should be circulated by Working Group/Task Force Bureau Co-Chairs for review. The review shall be undertaken by experts nominated by

governments and participating organizations. In addition, the Working Group/Task Force Bureaus shall seek the participation of the range of scientific, technical and socio-economic views, expertise, and geographical representation....”

“4.4.1 The Synthesis report

...The IPCC Chair will lead a writing team whose composition is agreed by the Bureau, noting the need to consider the range of scientific, technical and socio-economic views, expertise, gender and geographical representation”.

“Handling the diversity of views

In Assessment Reports, Synthesis Reports, and Special Reports, chapter teams Coordinating Lead Authors (CLAs), Lead Authors (LAs), and Review Editors (REs) are required to consider the range of scientific, technical and socio-economic views, expressed in balanced assessments. Authors should use calibrated uncertainty language that expresses the diversity of the scientifically and technically valid evidence, based mainly on the strength of the evidence and the level of agreement in the scientific, technical, and socio-economic literature”.

6. Report review

6.1. The Panel noted that in its report the IAC has recommended

“The IPCC should adopt a more targeted and effective process for responding to reviewer comments. In such a process, Review Editors would prepare a written summary of the most significant issues raised by reviewers shortly after review comments have been received. Authors would be required to provide detailed written responses to the most significant review issues identified by the Review Editors, abbreviated responses to all non-editorial comments, and no written responses to editorial comments”.

At its 32nd Session the Panel agreed with this recommendation in principle and asked the Task Group on Procedures to consider implementation options with the view to make a decision at its next Session (IPCC 33rd Session).

6.2. The Panel noted that in its report the IAC has recommended

“The IPCC should encourage Review Editors to fully exercise their authority to ensure that reviewers’ comments are adequately considered by the authors and that genuine controversies are adequately reflected in the report”.

At its 32nd Session the Panel agreed with this recommendation. The Panel decided to strengthen its application of procedures, and amend them where necessary, to enable Review Editors to fully exercise their role. The Panel noted the new Guidance Note on the Role of Review Editors (Appendix 2 of the decision of IPCC 32nd Session) which addresses the related aspects in the IAC recommendations. The Panel urges the Co-Chairs of Working Group I, II, III and TFI to take steps to ensure that this guidance note is implemented in the development of its work.

The Panel considered that a staged response to the above mentioned two recommendations is needed, first through the development of additional guidance, and then through subsequent consideration of the relevant section of the Procedures (Section 4.2.4).

“At its 33rd Session, the Panel decided to request the Bureaus of Working Group I, II and III and TFI to develop and agree an additional guidance document that fully responds to these recommendations in time for implementation in the AR5 assessment process. The Working Group /TFI Bureaus should consider the guidance document “Role of Review Editors”² The Panel may subsequently revise the Procedures as required at a future session”.

7. Further assuring quality of the review

The Panel noted that during the Fourth Assessment Report (AR4), some parts of the Working Group II reports have not been sufficiently reviewed by experts. The review process should be organized in a way to ensure complete coverage of the report. The expert reviews should also include cross checking by lead authors of other Working groups where relevant.

2. General Guidance on the Role of Review Editors, Decisions taken at 32nd Session of the IPCC, appendix 3.

“At its 33rd Session, the Panel decided that the Working Group/TFI Co-Chairs should arrange a comprehensive review of reports in each review phase, seeking to ensure complete coverage of all content. Those parts of a Working Group report that are crosscutting with other Working Group reports should be crosschecked through the relevant Authors and Co-Chairs of that other Working Group”.

8. Confidentiality of draft reports

The Panel noted that issues related to confidentiality of draft reports is important and that clear guidance is needed on what the rules for the confidentiality of draft reports during drafting and review.

“At its 33rd Session, the Panel decided that the drafts of IPCC Reports and Technical Papers which have been submitted for formal expert and/or government review, the expert and government review comments, and the author responses to those comments will be made available on the IPCC website as soon as possible after the acceptance by the Panel and the finalization of the report. IPCC considers its draft reports, prior to acceptance, to be pre-decisional, provided in confidence to reviewers, and not for public distribution, quotation or citation”.

9. Summary for Policymakers (SPM)

The Panel noted that in its report the IAC has recommended:

“The IPCC should revise its process for the approval of the Summary for Policymakers so that governments provide written comments prior to the Plenary”.

At its 32nd Session the Panel acknowledged the importance of both written comments and inputs from the floor, which are current practice.

The Panel noted that current IPCC practice already allows for governments to provide written comments on the Summary for Policymakers prior to the plenary approval session.

“At its 33rd Session, the Panel decided that the existing Procedures (section 4.3 of the Procedures) should be amended to clarify the current practices related to submitting written comments prior to the plenary approval session”.

The Panel further noted that the procedures should be further amended to reflect the important role of Coordinating Lead Authors at the SPM approval session.

“At its 33rd Session, the Panel decided that the existing Procedures should be amended to clarify the current practices related to the role of the Coordinating Lead Authors during the approval session. The existing text: “Coordinating lead authors may be asked to provide technical assistance in ensuring that consistency has been achieved” (section 4.3, second paragraph) should be replaced by: “Coordinating Lead Authors should be consulted in order to ensure that the Summary for Policymakers is fully consistent with the findings in the main report”.”

10. Procedure for handling possible errors identified after approval of IPCC reports

At its 32nd Session, the Panel agreed on the need to establish a process for evaluating, addressing and correcting, if necessary, possible errors and further developing errata as appropriate.

“At its 33rd Session, the Panel decided to adopt the IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports. The agreed protocol is adopted as an Annex to the Procedures. The IPCC should prominently display the procedure for submitting possible errors by the public at its website. The Executive Committee will oversee the implementation of the procedures regarding possible errors including a report to the plenary on errors that were corrected”.

11. IPCC Evaluation of Evidence and Treatment of Uncertainty

The Panel noted that in its report the IAC has recommended:

1. All Working Groups should use the qualitative level-of-understanding scale in their Summary for Policymakers and Technical Summary, as suggested in IPCC uncertainty guidance for the Fourth Assessment Report. This scale may be supplemented by a quantitative probability scale, if appropriate.

2. Chapter Lead Authors should provide a traceable account of how they arrived at their ratings for level of scientific understanding and likelihood that an outcome will occur.
3. Quantitative probabilities (as in the likelihood scale) should be used to describe the probability of well-defined outcomes only when there is sufficient evidence. Authors should indicate the basis for assigning a probability to an outcome or event (e.g. based on measurement, expert judgment, and/or model runs).
4. The confidence scale should not be used to assign subjective probabilities to ill-defined outcomes. The likelihood scale should be stated in terms of probabilities (numbers) in addition to words to improve understanding of uncertainty.
5. Where practical, formal expert elicitation procedures should be used to obtain subjective probabilities for key results.

The Panel noted that these recommendations have been addressed by the 32nd Session in a draft guidance note by Working Group Co-chairs, see Appendix 4 to the 32nd Panel decisions. This guidance provides a common approach to the treatment of uncertainty in the Working Groups; it applies to Assessment Reports, Special Reports, Synthesis Reports and Technical Papers. The Panel noted that the final guidance paper is available on the IPCC website and should be considered as an Addendum to this document. The Panel noted that the guidance paper may be updated in future.

“At its 33rd Session, the Panel endorsed the common approach to the treatment of uncertainty in the Working Groups as described in the Guidance Note for Lead Authors of the IPCC Fifth Assessment Report on Consistent Treatment of Uncertainties. The Panel affirmed that the guidance applies to assessment reports, special reports, synthesis reports and technical papers”.

12. . IPCC guidance material

The Panel noted that some IPCC guidance material now plays a significant role in the processes of IPCC and that there is a need for transparency related to the development of such material. The IAC Review has elevated the importance of such guidance.

The Panel noted that some of this material has until this point not been classified or has been classified as supporting material.

“At its 33rd Session, the Panel decided that the procedure for developing, revising, and classifying guidance materials need to be further considered with the aim of improving appropriate procedures. The Panel will decide about the appropriate connection between the guidance material and the Procedures”.

13. . Extension of mandate of the Task Group on Procedures

“1. The Panel decided that the mandate of the Task Group on Procedures, as established at IPCC 32nd Session, will be extended to IPCC 34th Session in order to develop revised procedures reflecting the decisions on the procedures taken at IPCC 33rd Session. This revision should also take into account internal consistency, editorial improvement, and legal consistency. This work should be carried out in consultation with the IPCC Secretariat. The Task Group will produce draft decisions for IPCC 34th Session. The Panel agreed to consider the resource implications of its procedural decisions.

2. The Task Group may also consider, taking note of the deliberations during IPCC 33rd Session:

- Proposals to address relevant inconsistencies in current procedures
- Selection of participants to IPCC workshops and expert meetings
- Matters relating to the transparency, quantity and efficiency of the review process
- Anonymous expert review
- Summary for Policymakers Approval Sessions”

III. Decisions taken with respect to the review of IPCC processes and procedures: conflict-of-interest policy

Decision

Recalling the recommendation of the InterAcademy Council (IAC) on IPCC Conflict of Interest Policy that the IPCC should “develop and adopt a rigorous conflict of interest policy that applies to all individuals directly involved in the preparation of IPCC reports, including senior IPCC leadership (IPCC Chair and Vice Chairs), authors with responsibilities for report content (i.e., Working Group Co-Chairs, Coordinating Lead Authors, and Lead Authors), Review Editors, and technical staff directly involved in report preparation (e.g., staff of the Technical Support Units and the IPCC Secretariat)” and recalling the decisions taken at the 32nd Session.

At its 33rd Session, the Panel

Adopted the “*IPCC Conflict of Interest Policy*” as provided in Appendix 1 to this decision;

Extended the mandate of the Task Group on Conflict of Interest Policy in order to develop proposals for Annexes to the Policy covering Implementation and the Disclosure Form with a view to adopting a decision at the IPCC 34th Session;

Decided to work towards early implementation of the Policy with a view to bringing all those covered by the Policy within its remit as early as possible during the Fifth Assessment cycle and no later than the IPCC 35th Session.

Noting that Working Groups I and II, and the Task Force on National Greenhouse Gas Inventories (TFI), have implemented, and Working Group III is in the process of designing, interim Conflict of Interest Policies that are broadly consistent with the IPCC Conflict of Interest Policy at Appendix 1, the Panel:

Invited the Task Group to consult the Working Groups and the TFI in developing proposals for Annexes on Implementation and the Disclosure Form;

Invited the Task Group to develop proposals for Implementation and smooth transition of all three Working Groups and the TFI to the approved IPCC conflict of interest policy designing the details to the needs of each.

The Panel *invited* the Working Groups and the TFI, in taking forward their activities under the Fifth Assessment cycle, to take note of the Conflict of Interest Policy at Appendix 1 and ensure, as far as possible, that their actions are consistent with the Conflict of Interest Policy at Appendix 1.

Appendix 1

IPCC conflict of interest policy

Purpose of the Policy

1. The role of the IPCC as stated in paragraph 2 of the Principles Governing IPCC Work is to assess on a comprehensive, objective, open and transparent basis the scientific, technical and socio-economic information relevant to understanding the scientific basis of risk of human-induced climate change, its potential impacts and options for adaptation and mitigation. IPCC reports should be neutral with respect to policy, although they may need to deal objectively with scientific, technical and socio-economic factors relevant to the application of particular policies.

1. The role of the IPCC demands that it pay special attention to issues of independence and bias in order to maintain the integrity of, and public confidence in, its products and processes. It is essential that the work of IPCC is not compromised by any conflict of interest for those who execute it.

2. The overall purpose of this policy is to protect the legitimacy, integrity, trust, and credibility of the IPCC and of those directly involved in the preparation of reports, and its activities. This policy is principles-based and does not provide an exhaustive list of criteria for the identification of such conflicts. The Panel recognizes the commitment and dedication of those who participate in IPCC activities. The policy should maintain the balance between the need to minimise the reporting burden, and to ensure the integrity of the IPCC process. In this way, it seeks to encourage participation and to ensure that the representativeness and geographic balance of the Panel is not impaired whilst continuing to build and maintain public trust.

3. The IPCC Conflict of Interest Policy is designed to ensure that conflicts of interest are identified, communicated to the relevant parties, and managed to avoid any adverse impact on IPCC balance, products and processes, thereby protecting the individual, the IPCC, and the public interest. The individual and the IPCC should not be placed in a situation that could lead a reasonable person to question, and perhaps discount or dismiss, the work of the IPCC simply because of the existence of a conflict of interest.
4. Identifying a potential conflict of interest does not automatically mean that a conflict of interest exists – the purpose of the policy is to enable individuals to provide the relevant information necessary for each particular situation to be evaluated.

Scope of the Policy

5. This policy applies to senior IPCC leadership (the IPCC Chair, Vice Chairs, Working Group and Task Force Co-Chairs), other members of the IPCC Bureau and members of the Task Force Bureau, authors with responsibilities for report content (Coordinating Lead Authors, Lead Authors), Review Editors and the professional staff of the Technical Support Units (TSUs).
6. The policy applies to the development of all IPCC products including but not limited to: assessment reports; special reports; methodology reports and technical papers.
7. The professional staff members of the IPCC Secretariat are employees of WMO and/or UNEP and are subject to their disclosure and ethics policies, which include conflict of interest.
8. The policy will be executed to reflect the various roles, responsibilities and levels of authority, of participants in the IPCC process. In particular, consideration should be given to whether responsibility is held at an individual level or shared within a team; to the level of influence held over the content of IPCC products.
9. The application of the conflict of interest policy to those elected to positions within the IPCC should reflect their specific responsibilities.

Conflict of Interest

10. A “conflict of interest” refers to any current professional, financial or other interest which could: i) significantly impair the individual’s objectivity in carrying out his or her duties and responsibilities for the IPCC, or ii) create an unfair advantage for any person or organization. For the purposes of this policy, circumstances that could lead a reasonable person to question an individual’s objectivity, or whether an unfair advantage has been created, constitute a potential conflict of interest. These potential conflicts are subject to disclosure.
11. Conflict of interest policies in scientific assessment bodies typically make a distinction between “conflict of interest” and “bias,” which refers to a point of view or perspective that is strongly held regarding a particular issue or set of issues. In the case of author and review teams, bias can and should be managed through the selection of a balance of perspectives. For example, it is expected that IPCC author teams will include individuals with different perspectives and affiliations. Those involved in selecting authors will need to strive for an author team composition that reflects a balance of expertise and perspectives, such that IPCC products are comprehensive, objective, and neutral with respect to policy. In selecting these individuals, care must be taken to ensure that biases can be balanced where they exist. In contrast, conflict of interest exists where an individual could secure a direct and material gain through outcomes in an IPCC product. Holding a view that one believes to be correct, but that one does not stand to gain from personally is not a conflict of interest.
12. The conflict of interest requirements in this policy are not designed to include an assessment of one's behaviour or character or one's ability to act objectively despite the conflict of interest.
13. This policy applies only to current conflicts of interest. It does not apply to past interests that have expired, no longer exist, and cannot reasonably affect current behaviour. Nor does it apply to possible interests that may arise in the future but that do not currently exist, as such interests are inherently speculative and uncertain. For example, a pending application for a particular job is a current interest, but the mere possibility that one might apply for such a job in the future is not a current interest.
14. Professional and other non-financial interests need to be disclosed only if they are significant and relevant. If in doubt about whether an interest should be disclosed, individuals are encouraged to seek advice from the appropriate IPCC body as defined in Annex A. Significant and relevant interests may include, but are not limited to, senior editorial roles, advisory committees associated with private

sector organizations, and memberships on boards of non-profit or advocacy groups. However, not all such associations necessarily constitute a conflict of interest.

15. Financial interests need to be disclosed only if they are significant and relevant. These may include, but are not limited to, the following kinds of financial interests: employment relationships; consulting relationships; financial investments; intellectual property interests; and commercial interests and sources of private-sector research support. Individuals should also disclose significant and relevant financial interests of any person with whom the individual has a substantial business or relevant shared interest. If in doubt about whether an interest should be disclosed, individuals are encouraged to seek advice from the appropriate IPCC body as defined in Annex A “Implementation”.

16. To prevent situations in which a conflict of interest may arise, individuals directly involved in or leading the preparation of IPCC reports should avoid being in a position to approve, adopt, or accept on behalf of any government the text in which he/she was directly involved.

Annex A

Implementation

To be developed under the extended mandate of the Conflict of Interest Policy Task Group

Annex B

Conflict of interest disclosure form

To be developed under the extended mandate of the Conflict of Interest Policy Task Group

IV. Decisions taken with respect to the review of IPCC processes and procedures: communications strategy

Decision

Recalling the recommendation of the InterAcademy Council (IAC) on IPCC communications that the IPCC “should complete and implement a communications strategy that emphasizes transparency, rapid and thoughtful responses, and relevance to stakeholders, and which includes guidelines about who can speak on behalf of IPCC and how to represent the organization appropriately”.

At its 33rd Session the Panel decided

To *accept* the “Guidance on IPCC Communications Strategy” as provided in Annex A to this decision;

To *request* the Secretariat to elaborate an IPCC Communication Strategy in line with this Guidance, and to deliver the Strategy, accompanied by an analysis of financial implications, for approval by the Panel at its 34th Session;

To *request* the Secretariat include in this Strategy a proposal for a formal set of procedures, including the role, tasks and responsibilities of the involved individuals, to allow the IPCC to make timely and effective responses to urgent inquiries. These procedures should include a contingency plan for managing rapidly-escalating communications needs, such as when individual queries gather momentum and risk causing serious reputational damage; and

To *request* the Secretariat report back to the Panel with regard to planned evaluation metrics for assessing the effectiveness of the IPCC communications, as well as the results of any evaluation exercises that have already taken place.

The Panel further decided

That the “Guidance on IPCC Communications Strategy” should guide the communications work of the **Secretariat**, Bureau, and the Executive Committee while the IPCC Communication Strategy is in development.

Annex A

Review of the IPCC processes and Procedures

Guidance on IPCC Communications Strategy

Preamble

This document was produced to address the IAC recommendation on communications:

The IPCC should complete and implement a communications strategy that emphasizes transparency, rapid and thoughtful responses, and relevance to stakeholders, and which includes guidelines about who can speak on behalf of IPCC and how to represent the organization appropriately.

Communication is a key issue in IPCC activities and has been subject to discussions during several IPCC Plenary Sessions. As the recognition of the IPCC and the profile of its work have grown over time, so, too, have the requirements placed on the organization to communicate effectively, particularly with the media.

In 2005, a consulting firm developed a Framework Communications Strategy for Release and Dissemination of the IPCC Fourth Assessment Report (AR4)¹. In 2008, the Panel established a working group on “the future of IPCC”, in anticipation of the Fifth Assessment Report (AR5). The working group presented its findings², including recommendations on communications, during the 28th Session of the Panel.

Starting in 2006, the IPCC has addressed some of the recommendations made in these reports, such as recruiting a communications officer, and discussed how to strengthen internal communication and enhance transparent dissemination of IPCC products.

At the time of drafting this document, the IPCC is in the process of recruiting a Senior Communications Manager who will report directly to the head of the Secretariat. This document provides guidance to the Secretariat, who is expected to develop and deliver a comprehensive communications strategy that reflects the expectations of the Panel in respect of outreach and media communications.

The Plenary is ultimately responsible for ensuring that IPCC Communications are appropriate and that the Strategy meets the requirements of the Panel and is being delivered suitably although between Plenary sessions the Bureau and the Executive Committee will act on the Plenary’s behalf. The IPCC leadership will rely on the Senior Communications Manager, who reports to the Secretary, for expert advice as necessary and the coordination and coherence of IPCC communication. Decisions regarding fundamental communications issues, according to their importance, should be debated and approved within the framework of the Bureau and/or the Plenary.

1. Principles

Communications are an important aspect of the work of the IPCC, essential to its mission of providing rigorous and balanced scientific information on climate change and its impacts to decision makers. The following set of principles should guide the IPCC approach:

Objective and transparent. The Panel’s communications approach and activities should, at all times, be consistent with the IPCC overarching principles of objectivity, openness and transparency.

Policy-relevant but not policy-prescriptive. It is an essential quality of the IPCC work that it is policy-relevant but not policy-prescriptive. The presentation of its assessments and reports should remain policy-neutral and maintain scientific balance. The IPCC communications approach and activities should be consistent with these qualities.

Drawn from IPCC Reports. While the IPCC work and process of preparing reports aim to reflect a range of views and expertise, its communications should reflect the language that has been subject to the IPCC review process and has been accepted, adopted or approved by the members of the Panel.

1 <http://www.ipcc.ch/pdf/session24/inf3.pdf>: This report was intended to be a framework proposal for an AR4 communications strategy but not the final communications strategy for the IPCC. With this report, the Secretariat invited the Panel to consider the observations and recommendations contained in the report and provide guidance to the IPCC Secretariat on next steps. Then, at the next Panel Session (25th Session) in 2006 the Secretariat submitted a strategy (Document entitled: "IPCC Communications Strategy and Outreach") <http://www.ipcc.ch/meetings/session25/doc6.pdf>

2 At the 29th Session (August – Sept 2008) the Task Group that was set up at P-28 presented its findings: <http://www.ipcc.ch/meetings/session29/inf5.pdf>

Recognizing IPCC as a unique organization. IPCC unique process of international assessment by scientists and review by the scientific community, governments and stakeholders, is central to the authority and quality of IPCC reports. The IPCC should always seek to be clear in its communications about what the organization is and what it does – providing up to date assessments of the latest authoritative science. The objective is to ensure that the IPCC provides a context to guide the interpretation of its reports and to ensure that the public has unbiased information about the IPCC.

Timely and audience-appropriate. In order to be effective, the IPCC communications approach and activities should be aimed at ensuring that timely and appropriate information enters the public domain – both proactively to communicate reports, and reactively in response to questions or criticism.

2. . Defining the scope of IPCC communications (overall IPCC and report-specific)

The scope of IPCC expertise is diverse and multi-disciplinary, spanning physical science, impacts, adaptation, and mitigation. The overall picture of IPCC communication should fully represent this range of knowledge.

The IPCC primary communication outputs are its assessment reports, special reports, technical papers, and methodology reports, which authors should strive to make as comprehensible as possible without sacrificing scientific accuracy.

The scope of wider communications activities is to support good understanding of these reports, and the processes that generated them, among IPCC primary audience of governments and policymakers. Specifically, the communications activities of the IPCC should include:

- Raising awareness of new reports, and the major conclusions thereof, among IPCC primary audiences.
- Ensuring that the content of IPCC reports is readily available to interested parties – including those who will use these reports as a basis for their own communications with wider audiences.
- Clearly communicating how IPCC functions, how IPCC is governed, and how IPCC reports are produced. Working Groups are encouraged to continue their ongoing efforts to explore engagement with wider audiences as they develop their reports. These efforts are an important way of communicating the work of the IPCC and increasing transparency.
- Proactively providing information and responding to media queries – including at short notice – about IPCC activities and processes, and the content of published IPCC reports.
- Responding effectively to incorrect representations of the IPCC and its processes, where these could be damaging to the IPCC reputation.

Global engagement

To ensure that information produced by the IPCC is widely distributed, the IPCC Secretariat should engage Bureau members and government Focal Points and – while recognizing budgetary restrictions – consider capacity-building relating to the role of Focal Points in communications and outreach activities.

Bureau members and Focal Points should be sent all relevant information and reference materials around the release of reports. Equally, when the IPCC Secretariat issues a statement, press release or other materials intended for a wide audience, this should be shared with Bureau members and Focal Points so that they are informed of the IPCC central conclusions and messaging for public statements.

By engaging Bureau members and Focal Points, important relationships will be built, which deepen reciprocal understanding and ultimately help the IPCC achieve its wider communication objectives.

The IPCC plenary should consider whether there should be enhanced media access to its meetings. To facilitate this consideration the Senior Communications Manager should consult with other United Nations (UN) organizations, such as WMO, UNEP and UNFCCC and the Secretariat should bring forward a proposal at the appropriate time.

Web presence

The IPCC website should serve its target audiences as well as government Focal Points. It should effectively communicate the organization's nature and mandate. For the purposes of outreach efforts, it is important that a strong web presence be maintained.

Special attention should be dedicated to up-to-date information and reports, a well designed search function, content in the six official UN languages (engaging member governments when necessary), user-friendly navigation and accessibility features.

Up-to-date leaflets and Frequently Asked Questions (FAQs) from IPCC assessment and special reports should be prominent. In addition, consideration should be given to archiving on website communication products dating back to the beginning of the last assessment cycle.

The Senior Communications Manager of the Secretariat should work to ensure consistency across all the official websites of the IPCC, including those of its Working Groups and Task Force.

The Secretariat and its Communications Team should recommend to the Bureau the use of appropriate technologies to implement the agreed communications strategy.

3. Target audiences

The primary target audiences of the communications efforts of the IPCC are governments and policy-makers (including the UNFCCC). Engaging and building relationships with the media is an important way in which the IPCC can communicate the information contained in its reports, as well as its processes and procedures.

Broader audiences, such as the UN, IPCC observer organizations, the scientific community, the education sector, Non Governmental Organizations (NGOs), the business sector and the wider public, also have an interest in the work and assessments of the IPCC. While these are not primary audiences of the IPCC communications efforts, the IPCC should look for ways to ensure that information is available and accessible for these audiences. While the IPCC itself does not produce derivative products aimed at specific audiences, it may engage with organizations that take elements of IPCC assessments and communicate them in more audience-specific formats. However, such products must not be considered joint productions or in any way products of the IPCC.

4. Languages of communication

Consistent with its status as a UN institution, its reports should be made available in the six UN languages (Arabic, Chinese, English, French, Russian, and Spanish) to the extent possible according to the IPCC Principle #13³. IPCC communication practices should follow this model, and IPCC communications products, including brochures and press releases, should be translated and made available. The standards for quality control of all translations need to be enhanced and maintained at high levels.

A number of countries have undertaken translation of IPCC reports into languages, which are not UN languages. The IPCC will continue to welcome these initiatives and provide IPCC documents as appropriate, while noting that the translations have been prepared under the responsibility of the respective country or institutions. The Secretariat can support national focal point efforts to translate IPCC documents into non-UN languages by providing guidance on good practice for their translation. Countries that undertake to translate reports into non-UN languages could be assisted by IPCC to translate the key graphics (diagrams, etc.) into their languages, thus guaranteeing the accessibility of IPCC products.

5. Guidelines

How authorized spokespersons should represent the IPCC

The ability of IPCC spokespersons to provide neutral and objective statements that are grounded in the assessments reports and other products adopted by the Panel will be essential to preserving the trust and confidence placed in the IPCC by decision-makers and other key audiences. Authorized spokespersons should act in accordance with the guiding principles that have been set out for IPCC communications, most notably maintaining policy neutrality, scientific balance, and refraining from, or being perceived as advocating or communicating personal views on climate policy while speaking in their official IPCC capacity.

Selecting authorized spokespersons for the organization as a whole, and for individual reports

The objective of these guidelines is to identify a group of authorized spokespersons allowing the IPCC to speak credibly to its products and processes. The primary spokespersons have a mandate from and accountability to the Panel by virtue of the election process.

- The Chair, IPCC Vice-Chairs, or their appropriate designate, are the lead spokespersons for the organization as a whole. This applies to topics including but not limited to IPCC operations, proceedings of IPCC Panel Sessions and Bureau Sessions, Synthesis Reports, principles governing IPCC work, IPCC rules of procedures, etc;
- Co-Chairs are the lead spokespersons for the activities and content of their Working Group or Task Force on National Greenhouse Gas Inventories (TFI). The Co-Chairs may also engage spokespersons from among the Working Group Vice-Chairs, the authors and contributors to the reports with the best

3 As defined in the Principles Governing IPCC Work.

knowledge of the subject matter and the best media/presentation skills. Other factors could include meeting language requirements, adequate regional representation and timing/availability;

- In the case of media contacting a Coordinating Lead Author (CLA) or Lead Author (LA) to make inquiries concerning IPCC matters, the CLA or LA should clarify that he or she is not representing IPCC but answering as a research scientist involved in writing of the IPCC assessment report;
- Effective communications can only be assured if there is centralized coordination of the message. Consistent with the common practice of other organizations, the Senior Communications Manager should be the initial point of contact for the media, and to provide on request background and technical information based on approved reports and materials. The Senior Communications Manager should ensure the relevant and appropriate coordination of messages within the leadership and spokespersons of the Panel, and keep the Bureau, the Executive Committee, the Secretariat and government Focal Points informed of communications activities.

Rapid response

The IPCC sometimes needs to respond rapidly to media enquiries or breaking stories. This is important in order to maintain the reputation and credibility of the IPCC. This guidance is principles based and does not provide an exhaustive list of situations justifying pro-active engagement with the media. These responses will often require inputs of both scientific and communications expertise and the organization needs to find a balance between the need to ensure approved language and the need to respond to the media cycle.

As an urgent and immediate priority, the Senior Communications Manager should make proposals to the Executive Committee for a set of procedures, including the role, tasks and responsibilities of the involved individuals, to allow the IPCC to make timely and effective responses to urgent inquiries. The Executive Committee should inform the Plenary about these procedures, as well as future revisions. These procedures would allow a response to be developed using appropriate subject knowledge (including the expertise of the most relevant working group), but incorporate redundancy to prevent individual absences from stalling a response. A critical analysis of the media occurrences involving the IPCC over the last two years would be helpful in developing these procedures.

It is the responsibility of the Executive Committee to ensure such circumstances are handled appropriately and in a way that protects the reputation of the IPCC. If the enquiry concerns a Working Group or Task Force product, at least one of the Co-Chairs from the relevant Working Groups or Task Force must be involved. Before and after the response, the Senior Communications Manager should maintain open channels of communication with the Executive Committee and provide updates as appropriate.

The procedures must ensure that real-time demands of the media are taken into consideration while remaining robust enough to guarantee accuracy and consistency with IPCC reports.

Errors

The IPCC is in the process of developing a formal procedure for acknowledging potential errors of fact that might change the scientific content of assessments. In the case of addressing such a potential error of fact, the Executive Committee, which has the responsibility of overseeing the process of handling errors, as identified by the IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports, should work closely with the Senior Communications Manager on a timely and cogent response. If an error is identified, it should be addressed in a forthright manner, corrected, and formally acknowledged. Though a full response is likely to take more time than allowed by the media cycle, it is however important to quickly communicate to the Media, as well as government Focal Points, that the issue is being examined according to the forthcoming IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports.

Planned communications materials

An overall strategy for planned communications materials (i.e., those associated with a planned report release) should be prepared by the Secretariat and approved by the Chair together with the Co-Chairs of the applicable Working Group and/or Task Force well in advance of the planned release date. Specific products (i.e. press releases, media lines, key messages and slides for presentations prepared by the Working Groups and Technical Support Units (TSUs)) will be approved by the Co-Chairs of the applicable Working Group and/or Task Force.

Spokespersons will play a key role in the communication of IPCC reports. For the release of each report, the Senior Communications Manager will engage with the Working Groups and/or the Task Force, as appropriate, to identify content-specific spokespersons to work on outreach. For the release of a report, the Bureau and identified spokespersons should be kept well informed about the planned communications materials.

Press-releases prepared for IPCC communications should be disseminated to all relevant people, including the government Focal Points, the IPCC Bureau, Task Force Bureau, the Secretariat and the TSUs.

Media and presentation training

The Secretariat in conjunction with the Working Groups and/or the Task Force, as appropriate, should strongly consider media and presentation training to enhance the ability and effectiveness of spokespersons in communicating the messages of the IPCC to the media and presenting the findings of the IPCC as part of general outreach activities.

6. Limits of IPCC Communication

It is an essential quality of the IPCC that its reports are policy-relevant but not policy-prescriptive. When speaking on behalf of the IPCC, individuals should take care to stay within this mandate – and not to express views beyond the scope of the IPCC reports, or to advocate specific policies. IPCC communications should be drawn from IPCC Reports; the IPCC does not issue statements updating scientific conclusions unless these come from formal IPCC assessment documents.

All those associated with the IPCC should be clear to distinguish in which instances they are speaking in an official IPCC capacity and in which instances they are speaking personally or on behalf of other organizations. Similarly, those associated with the IPCC should use their appropriate professional affiliation in activities unrelated to the IPCC. For example, an individual should not be listed by an IPCC title in a non-IPCC report, as this might inadvertently link the report to the IPCC or be misinterpreted as an IPCC endorsement. Honors accorded to the IPCC should be attributed to the organization and not to any individual.

The Panel recognizes that a large number of individuals participate in IPCC activities without compensation from the IPCC. These guidelines are not intended to restrict these volunteers from referring to their past or present IPCC roles, nor to their own professional activities. However, it is vital to retain clear boundaries around those activities and conclusions that were subject to IPCC process of review and adoption, recognizing that this distinction is not always clear to the public.

Those holding the most senior positions within the IPCC are most readily associated with it and should be aware that the public and the media often do not differentiate among the various functions a person might have. It is expected that persons working at the highest levels take the most care in avoiding confusion or misinterpretation in their public statements. The senior leadership should be mindful that publicly advocating or expressing personal opinions about climate policies may jeopardize the reputation of the IPCC, even if unintended. It is important that the IPCC leadership is not perceived as taking positions or making statements that would have the appearance of reflecting bias in the work of the IPCC.

While recognizing that the scientific content of reports remains private until they are released, contributors to IPCC reports are encouraged to respond to interest in emerging reports or emerging science, as an opportunity to communicate how the IPCC works and to emphasize the need for careful assessments of emerging science. The IPCC encourages the science community, including those involved in producing its reports, to engage with wide audiences on an ongoing basis. When doing so, those involved with the IPCC should be mindful to make clear the distinction between their roles inside and outside the IPCC.

The IPCC Bureau will keep the implementation of these aspects of the strategy under review in respect of the activities of IPCC Bureau Members.

7. Implementing the new strategy

Executing external communications effectively will require coordination of an extensive network within the IPCC, including government Focal Points. Successful internal coordination is central to the success of external communication, and should be considered a priority by IPCC leaders.

There are significant resource implications in communicating IPCC work effectively, and the Panel will require regular updates on the financial implications of implementing the strategy.

IPCC communication load varies greatly – depending both on the cycle of its Reports, and the level of external interest in the IPCC. The Secretariat will need to have the flexibility to respond to this changing cycle of activity, including by engaging additional temporary staff, including consultants, when necessary. All contractors, temporary staff and occasional contributors to the external communications of the IPCC must have a clearly defined and centrally coordinated mandate – in line with the communications strategy to be developed by the Secretariat – and respect that the external communications activities of the IPCC are under the authority and coordination of the Senior Communications Manager. In addition, the outreach and communications activities of the TSUs should be carried out in cooperation with the Senior Communications Manager.

8. Evaluation of IPCC Communications

The objectives set out in the Communications Strategy to be drafted by the Secretariat before the 34th Session of the Panel should be used as a guide to evaluating the IPCC communications. The Secretariat should facilitate appropriate evaluation of the IPCC communications and report to Plenary Sessions, including the type and

extent of outreach and media coverage. Evaluation reports should also be made to the Bureau and to the Executive Committee at regular intervals. These reports should be informed by feedback from the government Focal Points where possible. Specific metrics for evaluation might be used so that the Panel is clear about the overall effectiveness and impact of communication efforts.
