

Asia Pacific Regional Meeting of the second session of the Ad hoc open-ended working group on a science-policy panel to contribute further to the sound management of chemicals and waste and to prevent pollution

Thursday, 7 September 2023

08:00 – 18:00 (Bangkok, Thailand; GMT + 7)

In-person / hybrid meeting

Draft overview of work-related processes and procedures

Note by the secretariat

The annex to the present note contains draft overview of work-related processes and procedures for the second ad hoc open-ended working group (OEWG 2) for the science-policy panel to contribute further to the sound management of chemicals and waste and to prevent pollution. The annex has not been formally edited.



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**Ad hoc open-ended working group on a science-policy panel
to contribute further to the sound management of
chemicals and waste and to prevent pollution
Second session**

Dead Sea, Jordan, 11 December – 15 December 2023

Draft overview of work-related processes and procedures

Note by the secretariat

I. Introduction

1. At its resumed fifth session, held in Nairobi from 28 February to 2 March 2022, the United Nations Environment Assembly decided, by resolution 5/8, to establish a science-policy panel to contribute further to the sound management of chemicals and waste and to prevent pollution, with details to be further specified according to the resolution.
2. The present document presents an overview of work-related processes and procedures that will be necessary to launch the work of the panel. Examples of relevant processes and procedures from existing science-policy interfaces have informed the document and are further detailed in information documents UNEP/SPP-CWP/OEWG.2/INF/6, UNEP/SPP-CWP/OEWG.2/INF/7 and UNEP/SPP-CWP/OEWG.2/INF/8.
3. Section II covers processes for determining the work programme of the panel. Section III discusses arrangements for identifying and engaging with experts to contribute to the work of the panel. Section IV relates to procedures for the review and adoption of reports and assessments produced by the panel. Section V focuses on procedures for addressing potential conflicts of interest and Section VI proposes a way forward.

II. Processes for determining the work programme of the panel

4. **Resolution 5/8 requested the open-ended working group to prepare proposals to consider processes for determining and executing the work programme of the panel (paragraph 5(e)).** Examples were drawn from other science-policy interfaces, including from the Intergovernmental Panel on Climate Change (IPCC); Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES); International Resource Panel (IRP); Global Environment Outlook (GEO) process, and assessment panels of the Montreal Protocol on Substances that Deplete the Ozone Layer.
5. **A work programme sets out a panel's work priorities and outputs over an established time and at a relevant scale.** Work programmes are generally developed within the agreed scope and in response to the interface's principal function(s). Some science-policy interfaces have instituted strict periodicity for their work programmes. The Montreal Protocol's Scientific Assessment Panel, for

example, produces quadrennial assessments. Others develop work programmes on a rolling basis, as is the case of IPBES' current workplan (2019-2030).

6. The process for determining a work programme includes receiving submissions (requests); prioritizing these; allocating the prioritized requests to the appropriate functions, and adopting or approving the work programme. The work programme would typically be based on priority topics or areas, input via a clear process, that allows the plenary (or other decision-making body) to periodically review it. The decision-making body is also responsible for the finalization and adoption of the work programme, balancing needs and priorities and the time and budgetary resources available. Some elements of this process may be included in institutional arrangements, rules of procedure, or other guidance documents.

7. The approaches to receiving submission of inputs and requests for possible inclusion in the work programme varies between existing science-policy interfaces. IPBES takes requests from Governments and MEAs, while United Nations bodies can make inputs and suggestions as determined by their respective governing bodies. Relevant stakeholders, such as other intergovernmental organizations, international and regional scientific organizations, environment trust funds, non-governmental organizations, indigenous peoples and local communities, and the private sector, are also encouraged to submit inputs and for their perspectives to be taken into account, as appropriate.

8. IPCC focuses on tasks allotted by relevant WMO Executive Council and UNEP Governing Council/UNEA resolutions and decisions, as well as on actions in support of the UN Framework Convention on Climate Change process.

9. IRP conducts every four years a strategic planning exercise to define its strategy and priority areas. Based on inputs from the Panel and Steering Committee as well as public consultations, the secretariat develops the work programme with the strategic direction, priority areas, and a description of potential scientific studies and assessments for the corresponding cycle, which is submitted to the Panel for input and recommendations prior to Steering Committee approval.

10. The GEO and Montreal Protocol assessment processes consider inputs as part of the scoping exercise prior to undertaking an assessment. In the case of GEO, the secretariat facilitates consultations overseen by the Intergovernmental and Multi-stakeholder Advisory Group (IMAG) and provides the UNEP Executive Director with advice for the prioritisation of assessment topics. A scoping document is then presented to the ad hoc open-ended meeting of Member States, stakeholders and experts for review and adoption, which determines the work programme.

11. **Considering who can suggest items for inclusion in the work programme is an important means of enhancing policy relevance, especially if those whom the panel is intended to inform and impact can effectively convey their needs.** Although none of the science policy-interfaces' reviewed fully embraced co-production, the review of the first work programme of IPBES recommended to include principles on co-production with end users and those who may be impacted by the outputs, with appropriate procedures in place to maintain scientific credibility and independence¹.

12. **The panel could require that requests, inputs and needs are accompanied by further information to support their consideration.** IPBES for example requires that requests are accompanied by information on: relevance to the objective, functions and work programme; urgency of action and imminence of risk; relevance for specific policies and processes; geographic scope; anticipated level of complexity; reasons why the Platform is best suited to take action; availability of scientific literature and expertise; scope of potential impacts and potential beneficiaries of requested action; resource requirements (financial and human), and potential duration².

13. Care should be taken, however, that the opportunity to provide information in support of requests does not introduce inequities or barriers for bringing forward those issues of interest to any specific constituency. As called for by OEWG-1.2, the secretariat has solicited submissions on needs and questions the science-policy panel may handle. The findings are presented in document UNEP/SPP-CWP/OEWG.2/INF/9.

¹ IPBES/7/INF/18 Report on the review of the Platform at the end of its first work programme

² Decision IPBES-1/3 paragraph 7

14. **A broad array of requests and issues received may require a prioritization procedure to inform the development of the work programme.** A prioritization framework would allow for a coherent, transparent and structured consideration of topics or areas for the work programme. It helps to ensure that the topics/areas proposed to be included in the work programme are within the scope and functions of the panel. Annex I sets out a draft prioritization framework building on existing examples. A longer discussion of the framework is included in information document UNEP/SPP-CWP/OEWG.2/INF/6.

III. Arrangements for identifying and engaging with experts to contribute to the work of the panel

15. **Once the work programme is established, the panel will work closely with experts to deliver on its functions.** The following section provides an overview of possible arrangements for identifying and engaging with experts to contribute to the work of the panel in accordance with paragraph 5(f) of resolution 5/8. Through the resolution, UNEA also asked the open-ended working group to take into account the need to ensure that the panel is interdisciplinary, ensuring contributions from experts with a broad range of disciplinary expertise; has inclusive participation, including Indigenous peoples; and has geographical, regional and gender balance (paragraph 6(b)). It may be helpful to distinguish experts from stakeholders (as discussed in document UNEP/SPP-CWP/OEWG.2/5), whereby experts contribute to the work directly (e.g., writing the assessments) whereas stakeholders may provide knowledge, data, perspectives and feedback to the panel's work.

16. **Experts are typically nominated to support intergovernmental processes by governments, observer organizations, institutions, and relevant stakeholders.** The science-policy interfaces reviewed have similar sets of procedures and criteria in place. Expert nominations and their selection are usually reviewed by the respective panels, bureaus, or working groups to ensure transparency, fairness, and adherence to established criteria. In the case of IPBES, 80% of selected experts must have been nominated by governments and up to 20% sourced from stakeholders. Reviews show that allowing for a wide range of sources for nominations, building regional networks to coordinate government nominations, and building relationships with potential sources of expertise (i.e., universities, research institutions, think tanks) are some of the processes that may help to address potential issues related to balance^{3,4,5}.

17. **The selection of experts takes into account their scientific, technical, and socio-economic expertise relevant to the respective fields or assessments.** In addition to expertise, there is a common emphasis on regional and gender balance in the selection of experts in the science-policy interfaces reviewed. Consideration also needs to be given to the balance between representation from developed and developing countries and countries with economies in transition. Inclusion of indigenous and non-traditional knowledge holders is also considered critical in the selection of experts, recognizing the importance of multiplicity of perspectives.

18. **The process, of identifying and engaging with experts, and notably its transparency and inclusiveness, has implications for the panel's overall credibility, relevance and legitimacy.**⁶ These key attributes of effective science-policy interfaces, are explicitly used in the design of science-policy interfaces⁷. As more experience has been gained with science-policy interaction, three more key features of effective institutional design have been pursued: transparency, inclusiveness and iterativity.⁸ These attributes are tightly coupled, such that efforts to enhance any one may incur a cost

³ IPBES/7/INF/18 Report on the review of the Platform at the end of its first work programme

⁴ Montana, J. and Borie, M., 2016. IPBES and biodiversity expertise: Regional, gender, and disciplinary balance in the composition of the interim and 2015 multidisciplinary expert panel. *Conservation Letters*, 9(2), pp.138-142.

⁵ Timpte, M., Montana, J., Reuter, K., Borie, M. and Apkes, J., 2018. Engaging diverse experts in a global environmental assessment: participation in the first work programme of IPBES and opportunities for improvement. *Innovation: The European Journal of Social Science Research*, 31(sup1), pp.S15-S37.

⁶ First put forward in 2003 by a team of scientists reviewing global environmental assessments. This project yielded many outputs, but most notably : Cash, D., Clark, W., Alcock, F., Dickson, N., Eckley, N., Guston, D., Jäger, J. and Mitchell, R. (2003). Knowledge systems for sustainable development. *Proceedings of the National Academy of Sciences of the United States of America* 100(4), 8086-8091. <https://doi.org/10.1073/pnas.1231332100>.

⁷ UNEP (2021). *Reflecting on the Past and Imagining the Future: A contribution to the dialogue on the Science-Policy Interface*. Nairobi

⁸ An iterative process counters the enduring conceptualization of a linear, unidirectional model of the relationship between science and policy. See: : [Assessment of options for strengthening the science-policy interface at the international level for the sound management of chemicals and waste](#). The following studies provide insights on how transparency, inclusiveness and

to the others.^{9,10} IPCC and IPBES offer examples of how to engage with and include indigenous knowledge experts, experts on indigenous knowledge, and indigenous knowledge holders in their work, however literature on the topic indicate that further efforts may be required^{11 12}.

19. Existing gaps in specific fields of expertise, such as indigenous and local knowledge, may also result in difficulty engaging scientists in these fields due to high demand and existing commitments¹³. IPBES offers a plenary-approved approach to recognizing and working with indigenous and local knowledge¹⁴, which recognizes that participation of Indigenous Peoples and local communities is crucial for developing IPBES assessments and other activities. The [participatory mechanism](#) helps to facilitate the participation of Indigenous Peoples and local communities in assessments and other areas of work. The participation of Indigenous Peoples and local communities may be additionally enhanced through stakeholder engagement strategies and activities.

20. **There are differences between science-policy interfaces in the approaches taken to identifying and engaging experts, including their specific roles (e.g., co-chair, vice-chair, author, reviewer), level of responsibility/involvement, the selection criteria used, degree of flexibility, and the scope of work.** Each interface may have additional criteria relevant to its specific mandate and objectives. Some interfaces, such as the IPCC and IPBES, provide more detailed guidelines on the composition of expert teams, considering factors like previous experience in the organization and diversity of knowledge systems.

21. **Experts who contribute to the work of science-policy interfaces generally do so on a volunteer basis.** It is critical to consider the time expectations of experts in the work of the future panel. In the case of the sixth IPCC assessment report, the Working Group Co-Chairs' Perspectives on Lessons Learned from AR6¹⁵ noted that the number of planned outputs, and the increasing number and complexity of IPCC processes has had a negative impact on the scientists who participated, resulting in a reduced interest in future participation in IPCC. This could have negative consequences for the diversity of perspectives that would ideally underpin the reports¹⁶. Similar issues have been identified in the review of IPBES at the end of its first work programme¹⁷; the pace at which assessments have been produced, has raised question about the longer-term sustainability of work.

IV. Procedures for the review and adoption of reports and assessments produced by the panel

22. **The review process in science-policy interfaces has been an essential determinant of credibility and legitimacy, and one that has benefitted from regular adjustment based on lessons learned over time, notably leading to increases in transparency and inclusiveness.** Resolution 5/8 requested the open-ended working group to develop a proposal on procedures for the review and adoption of reports and assessments produced by the panel (paragraph 5(g)). A well-defined, transparent, and approved review process will help the panel to ensure credibility of its work.

iterativity have been deployed for science-policy interface effectiveness: *Science on Stage: Expert Advice as Public Drama*. Stanford, CA: Stanford University Press. <https://www.sup.org/books/title/?id=634>.; Kohler, P.M. (2020). *Science Advice and Global Environmental Governance: Expert Institutions and the Implementation of International Environmental Treaties*. London: Anthem Press; Diaz-Reviriego, I., Turnhout, E. and Beck, S. (2019). Participation and inclusiveness in the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services. *Nature Sustainability*, 2(6), 457-464. <https://doi.org/10.1038/s41893-019-0290-6>. Sarkki, S., Tinch, R., Niemelä, J., Heink, U., Waylen, K., Timaeus, J., Young, J., Watt, A., Neßhöver, C. and van den Hove, S., (2015). Adding 'iterativity' to the credibility, relevance, legitimacy: a novel scheme to highlight dynamic aspects of science-policy interfaces. *Environmental Science & Policy*, 54, 505-512. <https://doi.org/10.1016/j.envsci.2015.02.016>.

⁹ Cash, D., Clark, W., Alcock, F., Dickson, N., Eckley, N., Guston, D., Jäger, J. and Mitchell, R. (2003). Knowledge systems for sustainable development. *Proceedings of the National Academy of Sciences of the United States of America* 100(4), 8086-8091. <https://doi.org/10.1073/pnas.1231332100>.

¹⁰ See for just one example Gopinathan, U., Hoffman, S.J. and Ottersen, T., 2018. Scientific advisory committees at the World Health Organization: A qualitative study of how their design affects quality, relevance, and legitimacy. *Global Challenges*, 2(9), p.1700074; note the authors' (and WHO's) use of "quality" rather than "credibility" in applying Cash et al.'s framework.

¹¹ Ford, J.D., Cameron, L., Rubis, J., Maillet, M., Nakashima, D., Willox, A.C. and Pearce, T., 2016. Including indigenous knowledge and experience in IPCC assessment reports. *Nature Climate Change*, 6(4), pp.349-353.

¹² Ford, J.D., Vanderbilt, W. and Berrang-Ford, L., 2012. Authorship in IPCC AR5 and its implications for content: climate change and Indigenous populations in WGII. *Climatic change*, 113, pp.201-213.

¹³ IPCC-LVII/INF.12 Working Group Co-Chairs' Perspectives on Lessons Learned from AR6

¹⁴ IPBES, annex II to decision IPBES-5/1

¹⁵ IPCC-LVII/INF. 12 Working Group Co-Chairs' Perspectives on Lessons Learned from AR6

¹⁶ IPCC-LVII/INF. 12 Working Group Co-Chairs' Perspectives on Lessons Learned from AR6

¹⁷ IPBES/7/INF/18 Report on the review of the Platform at the end of its first work programme

23. In the science-policy interfaces studied, a review of assessment processes commonly includes two-steps: a first review conducted by experts and a revised draft produced; then a second review conducted by experts and governments. These steps are often coordinated by the secretariat and supported by review editors or co-chairs of the assessments. To ensure the scientific quality of assessments of the panel, the review process should have a means for dealing with divergent viewpoints. More detail is provided in information document UNEP/SPP-CWP/OEWG.2/INF/7.
24. **A participatory review process helps to ensure adoption of reports and assessments and a minimum level of ownership/trust in the products from the members of the relevant decision-making body.** Co-production with potential users of outputs, with appropriate procedures in place to maintain scientific credibility and independence, can enhance the utility of deliverables for their intended users¹⁸. Such an approach may also assist in readily adoption of deliverables and addressing sometimes significant time lags between the production of reports and assessments and the uptake and implementation of follow-up work by governments and stakeholders.
25. **The adoption of deliverables can range from line-by-line acceptance, section by section adoption, to working group approval** (see Annex II). The chapters of IPBES and IPCC assessments are accepted by plenary, whereas summaries for policymakers are approved, line by line, by their respective decision-making bodies. The GEO summary for policymakers is approved, line by line, by the ad hoc open-ended meeting of Member States, stakeholders and experts, whereas the Montreal Protocol assessments are approved by its own assessment panels of selected experts, without member state review. The IRP reports are approved by the scientific panel itself, with input and recommendations from the steering committee.
26. While most examples reviewed focus on assessments, the panel may need to consider procedures that will guide the adoption of other types of deliverables and deliverables related to other functions, such as watching briefs, as well. Science-policy interfaces can deliver on a range of functions bridging disciplinary perspectives and ways of knowing.
27. As there is significant time lag between the production of global reports and their translation and appropriation by national actors, it is important to track the use of deliverables by the panel. There are a number of influencing factors known from other science-policy interfaces that could be considered to enhance the potential for impact on policymaking and decision-making.
28. **An error protocol helps to ensure the credibility and legitimacy after reports and assessments are published.** The IPCC, IPBES, and GEO process all have protocols for addressing errors that are identified in approved/accepted/finalized reports or technical papers. These protocols are used to address errors of fact or accuracy, and generally only apply when the inaccuracy could have been avoided in the context of the information available at the time the report was written.

V. Procedures for addressing potential conflicts of interest

29. **UNEA Resolution 5/8 provides that the ad hoc open-ended working group should take into account the need to ensure that the panel “has the ability to address potential conflicts of interest and safeguard commercially sensitive information” (paragraph 6(f)).** The issue of safeguarding commercially sensitive information is not covered in this document and has been tabled for future work in accordance with the outcome of OEWG1.2.
30. **Conflict of interest procedures are required for the panel to commence work.** The ability to address potential conflicts of interest is a key component of legitimacy, independence and credibility. It could address bias, perceptions of bias, actual conflict and perceived conflict, and fairness^{19,20}. Financial conflicts of interest, professional, past or potential future conflicts of interest may also be found in a conflict of interest procedures.
31. **There are several commonalities in the conflict of interest policies of existing science-policy interfaces, including text related to the policy’s purpose, its scope and the definition of**

¹⁸ IPBES/7/INF/18 Report on the review of the Platform at the end of its first work programme

¹⁹ Báldi, A. and Palotás, B., 2021. How to diminish the geographical bias in IPBES and related science?. *Conservation Letters*, 14(1), p.e12786.

²⁰ Liverman, D., vonHedemann, N., Nying’uro, P., Rummukainen, M., Stendahl, K., Gay-Antaki, M., Craig, M., Aguilar, L., Bynoe, P., Call, F. and Connors, S., 2022. Survey of gender bias in the IPCC. *Nature*, 602(7895), pp.30-32.

conflict of interest (Annex III). According to the policies of IPCC and IPBES, 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 interface, 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”.²¹

32. **The science-policy interfaces reviewed have developed conflict of interest policies that focus on individuals nominated in roles to provide conflict of interest disclosure related to their personal and/or professional interests.** Both the IPCC and IPBES conflict of interest policies include two annexes: one detailing implementation procedures and another constituting the conflict of interest declaration form. Whether or not to pursue addressing potential institutional conflicts of interest as well would be an important component of how the panel chooses to establish relationships with relevant key stakeholders.

33. **WHO provides extensive precedent and experience with scientific advisory committees and conflicts of interest.** As is stated on WHO’s Declarations of Interest website: “WHO has a robust process to protect the integrity of WHO in its normative work as well as to protect the integrity of individual experts the Organization collaborates with. WHO requires that experts serving in an advisory role disclose any circumstances that could give rise to actual or ostensible conflict of interest”.²² The form also specifies that “The term “you” refers to yourself and your immediate family members (i.e., spouse (or partner with whom you have a similar close personal relationship) and your children)”.²³

34. 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 by a Conflict of Interest Committee which may report to plenary.

35. Questions to be considered in developing a conflict of interest procedure may include:

- a. To whom will the conflict of interest will apply, and, if using a disclosure model, what will need to be disclosed?
- b. Whether the disclosures are to be kept confidential, and if they are to be disclosed the modality for doing so;
- c. How disclosures will be reviewed, by whom, and with what consequences;

VI. Proposals for development and delivery of the work programme

36. **With regard to the various aspects of developing and delivery of the work programme of the panel, the OEWG may wish to consider the following:**

- a. Whether a fixed time frame or a rolling work programme would be suitable for the panel and include this information in the institutional arrangements text;
- b. A process for receiving and prioritizing requests/submissions on topics/areas for possible inclusion in the panel’s work programme, specifically:
 - i. Who can submit requests, inputs or suggestions?
 - ii. What information will be required to support submissions?
 - iii. Who will screen and review submissions and prioritize them if needed and according to what timeline?
- c. Provide guidance to the secretariat for preparing a draft procedure for receiving and prioritizing inputs and requests to the work programme for discussion and finalization at OEWG-3;
- d. Provide guidance to the secretariat on preparing a draft procedure for identifying and engaging with experts to contribute to the work of the panel for discussion and finalization at OEWG-3;
- e. Provide a mandate to secretariat on preparing a draft of the procedures for the preparation of the panel’s deliverables and tracking of their use for discussion and finalization at OEWG-3;

²¹ Ibid. Paragraph 11

²² <https://www.who.int/about/ethics/declarations-of-interest>

²³ Form linked on page cited above, or directly at : https://cdn.who.int/media/docs/default-source/ethics/doifirmen_wlogo_blank.pdf?sfvrsn=799d694_6&download=true

- f. The definition of conflict of interest and the objective of a conflict of interest policy for the panel; and
- g. Provide a mandate to the secretariat to prepare a draft conflict of interest policy for discussion and finalization at OEWG 3.

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Annex I: Draft prioritization framework to assist in establishing the issues of the work programme of the panel

A prioritization framework would allow for a coherent, transparent and structured consideration of topics or areas for the work programme. It helps to ensure that the topics/areas proposed to be included in the work programme are within the scope and functions of the panel.

This Annex provides some initial suggestions for a possible prioritization framework for the work of the science policy panel on chemicals, waste and the prevention of pollution. A more detailed discussion of a possible prioritization framework can be found in UNEP/SPP-CWP/OEWG.2/INF/6.

The approach takes into account the need for a two-way approach, from science to policy – but also for policy to express issues and needs to science. The proposed framework would aim at informing workplan development and its delivery against the agreed functions.

The prioritization framework can be used to inform the development of the (rolling) workplan of the panel. It can be triggered by the plenary when a new workplan is being developed – fixed or on a rolling basis. \

As discussed at OEWG 1.2, '[the objective of the panel is to strengthen the science policy interface to contribute to the sound management of chemicals and waste and to prevent pollution for the protection of human health and the environment]'. \

The key factors that need to be considered in a priority setting framework should be guided by the scope and objectives of the chemicals, waste, and prevention of pollution science-policy interface. Given the range of potential issues that may be considered, a multi-criteria analysis approach is likely the most appropriate to provide for holistic considerations and the flexibility required for prioritization of the scope of work, but other approaches are also discussed as well in UNEP/SPP-CWP/OEWG.2/INF/6. Criteria must be transparent and rely on an evidence base.

To be credible and useful, the prioritization framework should be inclusive, open, transparent, comprehensive, and based on the best available scientific evidence and data, acknowledging the complex interactions on chemicals, waste and pollution with human health, the environment, and social and economic systems. But it must also be easy to use and facilitate decision making by the plenary on the work programme.

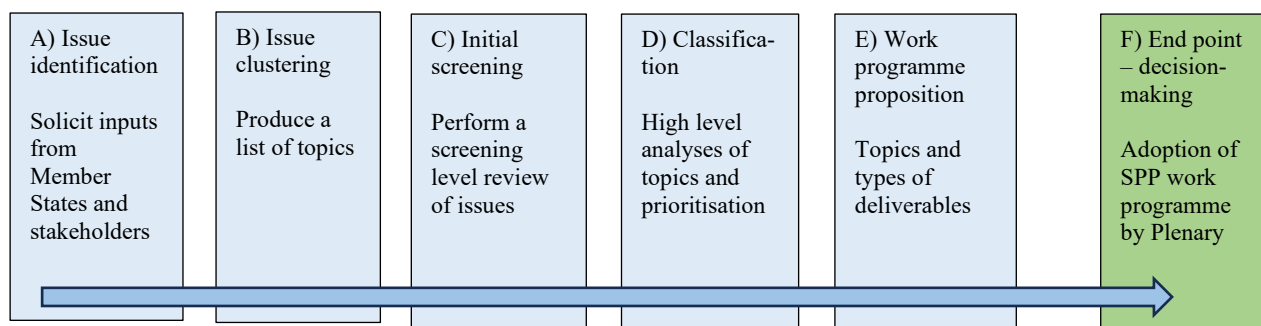
The proposed framework for identifying priorities for the work programme of the science-policy panel consist of five different stages (see Figure 1):

- A. Issue identification
- B. Clustering of issues
- C. Initial screening
- D. Classification of issues
- E. Preparation of proposals for work programme inclusion

The final decision is taken by the decision-making body of the panel.

UNEP/SPP-CWP/OEWG.2/INF/6 is making further detailed proposals on who can submit requests, what information will be required to support submissions, and who will screen and review submissions and prioritize them if needed and according to what timeline.

Figure 1: Stages for identifying priorities for the Science-Policy Panel work programme.



Annex II - Review and approval processes for deliverables of the assessment function under different science-policy interfaces

	IPBES	IPCC	IRP	GEO	OZONE
Review					
How many review steps and by whom?	Two 1 st : expert reviewers 2 nd : governments and experts	Two 1 st : expert reviewers 2 nd : governments and experts	Two 1 st : expert reviewers 2 nd : Steering Committee and experts	Two 1 st : expert reviewers 2 nd : governments and experts	Parties review and seek clarification once reports are prepared
Error protocol?	Yes	Yes	Not available online	Yes	Yes
Approval process					
Validation					
	IPBES	IPCC	IRP	GEO	OZONE
By whom	Provided by MEP/Bureau ²⁴			By the IMAG and MESAG ²⁵	
Which documents	All reports/assessments			Full report	
Adopted					
	IPBES	IPCC	IRP	GEO	OZONE
How	Section-by-section	Section-by-section,		Section-by-section	The parties' involvement is restricted to adopting the TORs of the requested assessments/reports and once the reports are prepared, reviewing them, seeking clarifications, formally discussing the Panel
By whom	Plenary	Plenary		ad hoc open-ended meetings	
Which documents	Synthesis Reports	Synthesis Reports, Overview Chapters of Methodology Reports		Procedures document and scoping document:	
Accepted					

²⁴ the Multidisciplinary Expert Panel and the Bureau provide their endorsement that the processes for the preparation of Platform reports have been duly followed

²⁵ indicates that all procedures have been followed

	IPBES		IPCC	IRP	GEO	findings at Montreal Protocol meetings and, if they deem necessary, requesting the Panels to provide further information in subsequent reports through adoption of relevant decisions.
How	Material has not been subjected to section-by-section or line-by-line discussion and agreement by the Plenary but nevertheless presents a comprehensive and balanced view of the subject matter	Material has not been subject to line by line discussion and agreement, but nevertheless presents a comprehensive, objective and balanced view of the subject matter		Material has not been subjected to section-by-section or line-by-line discussion and agreement by Member States, but nevertheless presents a comprehensive and balanced view of the subject matter		
By whom	Plenary	Authors and MEP	Responsible working group with Plenary		Member States Ad hoc Open-Ended meeting	
Which documents	Thematic and methodological assessment reports, regional/subregional assessment reports, Global assessment reports, technical summaries	Technical papers	Full report, Special report (after SPM is approved)		Full report	
Approved						
	IPBES		IPCC	IRP	GEO	
How	Line-by-line		Line-by-line	Agreement by two-thirds, with possibility of Panel members to reflect dissenting opinions on an editorial note	line-by-line	
By whom	Plenary		Plenary	Panel members	Member States at ad hoc open-ended meetings	

Which documents	Thematic and methodological assessment SPMs, regional/subregional assessment SPMs, Global assessment SPMs, Synthesis SPMs, by Plenary	Summaries for Policymakers	Studies and assessments	Summary for Policy Makers	
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SPM: Summary for Policy Makers, IMAG: Intergovernmental and Multistakeholder Advisory Group MESAG: Multidisciplinary Expert Scientific Advisory Group, MEP: Multidisciplinary Expert Panel

Annex II: Overview of existing conflict of interest policies in other science-policy interfaces

	IPBES	IPCC	IRP	GEO	Ozone*
Purpose	To protect the legitimacy, integrity and credibility of the Platform and its deliverables as well as confidence in its activities and in individuals who are directly involved in the preparation of its reports and other deliverables	To protect the legitimacy, integrity, trust, and credibility of the IPCC and of those directly involved in the preparation of reports, and its activities.	Policy not available for review	To ensure the highest integrity, transparency, and public confidence in the production of the GEO assessment.	To protect the legitimacy, integrity, trust, and credibility of the TEAP, TOCS and TSBs and of those directly involved in the preparation of reports and activities
Scope	Applies to the senior leadership of the Platform, namely, members of the Bureau, the Multidisciplinary Expert Panel and any other subsidiary bodies contributing to the development of deliverables, authors with responsibility for report content (including report co-chairs, coordinating lead authors and lead authors), review editors and the professional staff to be hired to work in a technical support unit established by the Platform. The professional staff members of the secretariat are employees of the United Nations Environment Programme (UNEP) and are subject to the Programme's disclosure and ethics policies, which include conflicts of interest.	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). The policy applies to the development of all IPCC products including but not limited to: assessment reports; special reports; methodology reports and technical papers. 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.	Policy not available for review	Applies to the senior leadership of the GEO process, namely, members of the IMAG, the MESAG and any other subsidiary bodies contributing to the development of deliverables, authors with responsibility for report content (including co-chairs/ vice-chairs of the assessment, coordinating lead authors, lead authors and contributing authors), review editors, collaborating centres and the professional staff to be hired to work in a collaborating centre or technical support unit established by the GEO process. The procedure applies to the development of any and all deliverables of the GEO.	Member including co-chairs of TEAP, the TOCs and/or the TSBs.
Definition	For the purposes of this policy, any circumstances that could lead a	A "conflict of interest" refers to any current professional,	Policy not available for review	For the purposes of this procedure, any circumstances that could lead a	For the purposes of these Guidelines: (a) "Conflict of

	reasonable person to question either an individual's objectivity, or whether an unfair advantage has been created, constitute a potential conflict of interest. A "conflict of interest" refers to any current interest of an individual that could: (a) Significantly impair the individual's objectivity in carrying out his or her duties and responsibilities for the Platform; (b) Create an unfair advantage for any person or organization.	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.		reasonable person to question either an individual's objectivity, or whether an unfair advantage has been created, constitute a potential conflict of interest. A "conflict of interest" refers to any current interest of an individual that could: (a) Significantly impair the individual's objectivity in carrying out his or her duties and responsibilities for the GEO process; and (b) Create an unfair advantage for any person or organization.	interest" means any current interest of a member, or of that member's personal partner or dependant which, in the opinion of a reasonable person does or appears to: (i) Significantly impair that individual's objectivity in carrying out their duties and responsibilities for TEAP, the TOC or the TSB; or (ii) Create an unfair advantage for any person or organization;
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