Western Europe and Others Group Regional Briefing 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
8 and 9 November 2023
13:00 – 16:00 (CET)
Online meeting

Draft scope and objective, functions, and operating principles

Note by the secretariat

The annex to the present note contains the draft scope and objective, functions, and operating principles of the science-policy panel. The ad hoc open-ended working group for the science-policy panel to contribute further to the sound management of chemicals and waste and to prevent pollution. The annex is an advance edited version.

Draft Scope and objective, functions and operating principles

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 of the United Nations Environment Programme (UNEP) decided, by its 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 pursuant to the resolution.

2. By the same resolution, the Environment Assembly decided to convene an ad hoc open-ended working group that would prepare proposals for the science-policy panel to consider a number of issues, including the name and scope of the panel (para. 5(b)), the principal functions of the panel (para. 5(c)) and the operating principles governing the work of the panel (para. 5(j)).

3. The present document is aimed at supporting the ad hoc open-ended working group's continued discussions on the scope and objective, principal functions and operating principles of the panel.

4. Section II contains a summary of the deliberations on the panel's scope and objective at the second part of the first session and concludes with a proposal for the way forward. Section III contains a summary of the deliberations at the second part of the first session on the panel's principal functions and concludes with a proposal for the way forward. Section IV contains a report on intersessional work on operating principles and the proposal of a two-step approach to drafting text on operating principles, taking into account Environment Assembly resolution 5/8.

II. Scope and objective

5. **Deliberations on the panel's scope and objective commenced at the second part of the first session of the ad hoc open-ended working group, held in Bangkok from 30 January to 3 February 2023**. The report of the second part of the first session contains a summary of the discussions resulting from the examination of working documents on considerations for a way forward on the panel's scope (UNEP/SPP-CWP/OEWG.1/4) and principal functions (UNEP/SPP-CWP/OEWG.1/5). The outcomes of the contact group on the scope and the principal functions of the science-policy panel accompany the report of the second part of the first session (see UNEP/SPP-CWP/OEWG.1/7, annex II). The outcomes pertinent to scope are also summarized below.

6. **The ad hoc open-ended working group agreed to a way forward on scope and separated out consideration of the panel's name and of its objective**. It was agreed that discussions on scope would continue at the second session and that the panel's name would be decided at the third session (see UNEP/SPP-CWP/OEWG.1/7, annex III, appendix).

7. **Discussions in the contact group identified a preference for a short yet broad objective for the panel**. That approach is similar in form to the objective of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services.

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8. **At the close of the second part of its first session, the ad hoc open-ended working group decided on the outcome set out below with respect to the objective**. The draft text is as follows (the text on functions is addressed in the next section of the present document):

> [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, with the following functions:]

The ad hoc open-ended working group agreed that the proposed text would remain in draft form with the understanding that it could update the wording based on future discussions (UNEP/SPP-CWP/OEWG.1/7, paras. 79 and 80, and annex II).

Proposal for a way forward

9. The ad hoc open-ended working group may wish:

(a) To continue the discussion on scope, and notably consider whether the wording in the draft objective requires updating based on its continued discussions;

(b) To consider how submissions on needs and questions the panel may handle (UNEP/SPP-CWP/OEWG.2/INF/9) and consideration of other issues before it may inform its continued discussion on scope.

III. Principal functions

10. **Deliberations on the panel's principal functions commenced at the second part of the first session**. The report of the second part of the first session contains a summary of the discussions resulting from the examination of working documents on considerations for a way forward on the panel's scope (UNEP/SPP-CWP/OEWG.1/4) and principal functions (UNEP/SPP-CWP/OEWG.1/5). The outcomes of the contact group on the scope and the principal functions of the science-policy panel are annexed to the report of the second part of the first session (UNEP/SPP-CWP/OEWG.1/7, annex II). The outcomes pertinent to principal functions are also summarized below.

11. **At the second part of its first session, the ad hoc open-ended working group agreed that the secretariat would undertake a "mapping of capacity-building in the chemicals, waste and pollution space" to inform deliberations at its second session**. That task was identified to address in part the provision in resolution 5/8 paragraph 5 (c) that proposals for principal functions respect "the mandates of relevant multilateral agreements and other international instruments and intergovernmental bodies", avoid "overlap and duplication of work" and promote "coordination and cooperation". Accordingly, the secretariat has undertaken a targeted solicitation of information on capacity-building activities in the chemicals, waste and pollution space. On 16 August 2023, the secretariat sent invitations for submissions to the 51 members of the United Nations Environment Management Group. The submissions received by the deadline of 13 September 2023 were made available on the website of the second session. A mapping on the basis of the submissions received is presented in document UNEP/SPP-CWP/OEWG.2/INF/3.

12. **At the close of the second part of the first session, the following draft text on functions of the future panel was agreed (UNEP/SPP-CWP/OEWG.1/7, annex II)**:

> (a) Undertaking "horizon scanning" to identify issues of relevance to policymakers and, where possible, proposing evidence-based options to address them;

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(b) Conducting assessments of current issues and identifying potential evidence-based options to address, where possible, those issues, in particular those relevant to developing countries;

(c) Providing up-to-date and relevant information, identifying key gaps in scientific research, encouraging and supporting communication between scientists and policymakers, explaining and disseminating findings for different audiences, and raising public awareness;

(d) Facilitating information-sharing with countries, in particular developing countries seeking relevant scientific information;

(e) Capacity-building.[1]

13. **The ad hoc open-ended working group further decided that the following two texts would serve as the basis for further consideration to describe the capacity-building function at its second session**:

(a) Provide capacity-building through all the functions of the panel and facilitate technology transfer, in particular to developing countries, to improve the science-policy interface at appropriate levels, including activities to ensure effective, geographically balanced and gender-responsive participation of scientists in the assessments of the panel, strengthen data generation capacity, enhance knowledge and skills that will support country infrastructure and human capacity, and facilitate connection and matchmaking of capacity-related needs and potential solutions;[2]

(b) Build capacity to support the functions and work of the panel in order to strengthen the science-policy interface for sound management of chemicals and waste and to prevent pollution.[3]

Proposal for a way forward

14. The ad hoc open-ended working group may wish to continue its discussions on capacity-building to finalize the principal functions of the panel. In so doing, the ad hoc open-ended working group may find it helpful to consult the results of the mapping of capacity-building in the chemicals, waste and pollution space prepared for its second session (UNEP/SPP-CWP/OEWG.2/INF/3).

IV. Operating principles

15. **At the second part of the first session, participants discussed operating principles in plenary and in the contact group on scope and functions, as well as in the contact group on organization of work (see UNEP/SPP-CWP/OEWG.1/7)**. For the second session, the secretariat was tasked with compiling a working document on examples of operating principles, a working document containing information from the relevant section of the report of the session, and written submissions from Member States and relevant stakeholders (UNEP/SPP-CWP/OEWG.1/7, annex III, appendix). The ad hoc open-ended working group may also wish to consider the range of issues that are to be considered further when developing elements of the panel (see UNEP/SPP-CWP/OEWG.1/7, para. 80).

[1] It was agreed by the ad hoc open-ended working group that a fifth function on capacity-building would be added but that further discussions were needed to finalize the text of the function.

[2] Text proposed by the Africa Group and the Group of Latin American and Caribbean States.

[3] Text proposed by the European Union.

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16. **The secretariat has undertaken several intersessional initiatives on operating principles as per the workplan agreed at the second part of the first session of the ad hoc open-ended working group**. They include:

(a) Convening of a webinar[4] on 26 April 2023, in conjunction with the Geneva Environment Network, attended by participants from the Intergovernmental Panel on Climate Change, the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, the International Resource Panel and the Global Environment Outlook;

(b) Preparation of a background document[5] on operating principles, which informed the preparation of the webinar and supported the call for written submissions[6] issued on 26 April 2023 with a deadline of 6 June 2023;

(c) Posting to the website of the second session of the written submissions, including 30 submissions from Member States and observers, and 28 submissions from stakeholders;

(d) Preparation of an information document that builds on the background document and discusses the submissions received (UNEP/SPP-CWP/OEWG.2/INF/2).

17. **This work was based on a review of operating principles of relevant science-policy interfaces**, specifically the Intergovernmental Panel on Climate Change, the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, the International Resource Panel and the Global Environment Outlook process. The review showed that those interfaces drew on varied approaches to define principles and that in their development, they have learned from each other.

18. The Intergovernmental Panel on Climate Change document on the principles governing the work of the Panel (see annex II, appendix 1)[7] was adopted in 1998 and last amended in 2012.[8] In the two-page document, the Panel lays out principles specifically as they connect to the rules governing the Panel's work process and includes basic elements of what is addressed under guidelines, rules of procedure or institutional arrangements. The document is supplemented by more detailed appendices and other documents that provide much more detailed guidance on procedures to follow, including for example its appendix A on procedures for the preparation, review, acceptance, adoption, approval and publication of reports of the Panel, and terms of reference for some of its subsidiary bodies (Bureau, Executive Committee, etc.).

19. The operating principles of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (see annex II, appendix 2)[9] consist of 11 concise items included in a document entitled "Functions, operating principles and institutional arrangements of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services", adopted in 2012 at the second session of the plenary meeting to determine modalities and institutional arrangements.

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[4] See www.genevaenvironmentnetwork.org/events/road-to-oewg-2-developing-operating-principles-of-the-science-policy-panel-on-chemicals-waste-and-pollution-prevention-spp-cwp-series/.

[5] Available at https://wedocs.unep.org/bitstream/handle/20.500.11822/42246/SPP_Principles_Background_document.pdf?sequence=1&isAllowed=y.

[6] Available at https://wedocs.unep.org/bitstream/handle/20.500.11822/42247/Submission_Form on_Operating_Principles_Governing_the_Work_of_the_Panel_April_2023.docx?sequence=1&isAllowed=y.

[7] Also available at www.ipcc.ch/site/assets/uploads/2018/09/ipcc-principles.pdf.

[8] A first version of the document was approved in 1991 (see De Pryck, K., *Controversial Practices: Tracing the Proceduralization of the IPCC in Time and Space*, Global Policy, 2001, vol. 12, pp. 80–89, available at https://doi.org/10.1111/1758-5899.12910).

[9] Also available at www.ipbes.net/resource-file/2675.

20. The guiding principles of the International Resource Panel (see annex II, appendix 3) are taken from the larger document on policies and procedures approved in 2016 that consists of a list of five terms, each followed by a brief elaboration.[10]

21. The operational principles of the Global Environment Outlook (see annex II, appendix 4) is a 10-item list included in the document entitled "Global Environment Outlook (GEO): intergovernmental and expert-led scientific assessment procedures".[11] The 20-page document was the result of a September 2022 meeting convened as a result of Environment Assembly resolution 5/3 in which the Assembly, in paragraph 10, requested the Executive Director, with guidance from the intergovernmental and multi-stakeholder advisory group, to convene an intergovernmental, multi-stakeholder and expert meeting to establish a set of procedures that reflects the objectives and core function of the Global Environment Outlook process.

22. **Agreement on the operating principles is a means of conveying consensus on several overarching priorities, characteristics or values that shape the interface's work and its deliverables**. As noted in the cases above, the interface's principles constitute just one of the documents that guide its work. In the case of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, the International Resource Panel and the Global Environment Outlook, principles are part of larger documents addressing other policies and procedures. The skeleton outline of proposals for the establishment of a science-policy panel, prepared for the second session of the ad hoc open-ended working group, contains a part on operating principles (see UNEP/SPP-CWP/OEWG.2/2).

23. The examples above show that principles documents are generally brief. They are then operationalized, more or less explicitly, in other documents of the interface. For example, the second principle of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services reads "(b) Be scientifically independent and ensure credibility, relevance and legitimacy through peer review of its work and transparency in its decision-making processes". That principle is operationalized through Decision IPBES 3-3,[12] which includes a 25-page annex on procedures for the preparation of platform deliverables. Not all documents guiding an interface's work are explicitly connected to principles. The examples taken from the Intergovernmental Panel on Climate Change, the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, the International Resource Panel and the Global Environment Outlook show variation not only in which concepts interfaces have chosen to emphasize under principles but also in how they have chosen to express them. Detailed side-by-side examples related to three concepts (policy relevance, inclusivity/balance and integrity/objectivity) are included in document UNEP/SPP-CWP/OEWG.2/INF/2.

24. **Peer-reviewed literature of science-policy interfaces has long identified credibility, relevance and legitimacy as key attributes of successful institutions**. A more detailed discussion of those findings can be found in the 2020 UNEP report entitled *Assessment of Options for Strengthening the Science-Policy Interface at the International Level for the Sound Management of Chemicals and Waste*. More recent peer-reviewed literature on science-policy interfaces have identified transparency, inclusiveness and iterativity as also playing a key role in the most effective science-policy interfaces. In some cases, the principles reviewed for the report explicitly relate to attaining one or more of those six attributes. For example, one of the guiding principles of the International Resource Panel indicates: "Inclusiveness. The

[10] Available at www.resourcepanel.org/sites/default/files/documents/document/media/policies_and_procedures_of_the_irp.pdf.

[11] Available at https://wedocs.unep.org/bitstream/handle/20.500.11822/40633/GEO_procedures.pdf?sequence=3&isAllowed=y.

[12] Available at www.ipbes.net/resource-file/4898.

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International Resource Panel aims at striking and maintaining a balanced and diverse composition of the Panel, Steering Committee and Working Groups in terms of expertise, gender, and regional representation". In other cases, the formulation of existing principles could be enhanced, by unpacking terms such as "representative", or complemented with new scientific insights and lessons learned. For example, to increase uptake of the panel's outputs, a principle could be framed around ensuring that knowledge is actionable by engaging practitioners on their experiences to achieve a comprehensive understanding of issues across different stakeholders or sectors and the practical utility of the panel's deliverables.

25. **Results of the call for written submissions point to diverse views as to which elements should be included as operating principles** (see table 1). For 11 of the 14 elements reviewed, more than 60 per cent of submissions were in agreement as to their suitability for inclusion under operating principles. Among Member States and observers, every element garnered more than 60 per cent support for inclusion as a principle. When all submissions are aggregated, only three elements (flexibility, coordination/ complementarity and cost-effectiveness) garner less than 60 per cent support for inclusion under operating principles. Looking to the elements with the greatest differences between submissions from stakeholders and from Member States and observers, the difference in responses for the element "robustness/rigour" is notable.

26. The call for written submissions used two tables to solicit member views. The elements in the tables were drawn from an analysis of the principles of the Intergovernmental Panel on Climate Change, the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, the International Resource Panel and the Global Environment Outlook and suggestions put forward at the first session of the ad hoc open-ended working group. Owing to variation in terminology used across the four science-policy interfaces, in some cases one element included several terms used to convey a similar principle. For example one element included all the following concepts: Integrity/Objectivity/Independence/Impartiality/Lack of Bias (avoiding conflicts of interest). Table 1 lists elements that might be considered as principles and that were also included in Environment Assembly resolution 5/8. They were grouped according to the three general attributes of credibility, relevance and legitimacy, and a cross-cutting category.

Table 1
Percentage of submissions favouring inclusion of potential "principle" elements included in Environment Assembly resolution 5/8

Elements included in Environment Assembly resolution 5/8	*Member States and observers*	*Stakeholders*	*All submissions combined*
Credibility			
Robustness/rigour	80	**57**	69
Integrity/objectivity/independence/impartiality/lack of bias (avoiding conflicts of interest)	83	82	83
Interdisciplinary/multidisciplinary/balance of disciplines	80	64	72
Relevance/salience			
Policy-relevant (and not policy prescriptive)	83	71	78
Legitimacy			
Inclusivity/balance	80	86	83
Indigenous inclusivity	67	64	66
Geographic balance	77	64	71
Regional balance	73	61	67

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Elements included in Environment Assembly resolution 5/8	*Member States and observers*	*Stakeholders*	*All submissions combined*
Gender balance	67	64	66
Balance of disciplines (see also credibility/ interdisciplinary)	63	68	66
Cross-cutting themes			
Transparency	87	82	84
Flexibility	67	**39**	**53**
Coordination (without duplication)/complementarity	73	**43**	**59**
Cost-effectiveness	63	**29**	**47**

Note: values under 60 per cent are in bold and underlined for emphasis.

27. **Table 2 provides a list of elements that had been suggested during the first session of the ad hoc open-ended working group and were not included in Environment Assembly resolution 5/8; none of them yielded more than 60 per cent of submissions favouring their inclusion under operating principles**. The lack of agreement around inclusion of a "consensus-based approach" under operating principles, especially among stakeholders, may be a reflection of the perception that the emphasis on consensus within a science-policy interface may adversely impact the credibility and legitimacy of its outcomes as well as water down the conclusions or results owing to different perspectives in science, legislation or national circumstances. Without delaying deliverables this could partly be addressed through procedures that deal with disagreement. Although consensus requirements may have infused a degree of institutional conservatism, the approach has for example served the Intergovernmental Panel on Climate Change well.[13]

28. **Suggestions for additional elements to consider as principles were invited, resulting in more than 50 such suggestions** (see table 2 below and the compilation in UNEP/SPP-CWP/OEWG.2/INF/2). Some suggestions were put forward in multiple submissions, notably those underscoring the importance of capacity-building, and those referring to the precautionary principle/approach and to a human rights approach. The call for written submissions also provided an opportunity to provide additional information; several submissions put forward complete proposals for operating principles text for the future panel.

Table 2
Percentage of submissions favouring inclusion of potential "principle" elements not included in Environment Assembly resolution 5/8

Elements not included in Environment Assembly resolution 5/8 that may be considered	*Member States and observers*	*Stakeholders*	*All submissions combined*
Promotion of innovation	47	39	43
Comprehensive	57	50	53
Consensus-based approach	37	29	33
Providing accessible outputs	47	43	45

Note: all values are under 60 per cent.

Proposal for a way forward

[13] Eric Paglia and Charles Parker, "The intergovernmental panel on climate change: guardian of climate science", in *Guardians of Public Value: How Public Organizations Become and Remain Institutions*, Arjen Boin, Lauren Fahy and Paul 't Hart, eds. (London, Palgrave Macmillan, 2021).

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29. The ad hoc open-ended working group may wish to employ a two-step approach to drafting operating principles text:

(a) The first step would entail looking to the suggested operating principles text building on Environment Assembly resolution 5/8 (as presented in annex I to the present document). For each component of that text, the ad hoc open-ended working group could consider whether the item in the text warrants highlighting as an operating principle when establishing the science-policy panel, or whether it is sufficient for the item to be operationalized through other means (i.e. through the drafting of institutional arrangements, rules of procedure and work processes and procedures that will need to be prepared for the panel to be established);

(b) The second step would entail considering the principles not already addressed under the text arising from Environment Assembly resolution 5/8 in the first step that should be included in the panel's operating principles. For those principles, the ad hoc open-ended working group may consider whether language consistent with those principles from already agreed text from the principles of the Intergovernmental Panel on Climate Change, the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, the International Resource Panel and the Global Environment Outlook can be adapted for the panel's purposes. A compilation of principles formulations drawing from agreed principles of other science-policy interfaces encompassing suggestions in submissions is included in annex II to the present report.

30. The ad hoc open-ended working group may then wish to provide guidance to the secretariat in connection with any intersessional activities it may wish it to undertake to inform the finalization of the panel's operating principles at its third session, if necessary.

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Annex I

Suggested operating principles formulations building on the text of Environment Assembly resolution 5/8

In carrying out its work, the science-policy panel will be guided by the following operating principles:

(a) Be independent;

(b) Ensure that the work of the panel is transparent and impartial;

(c) Produce reports and assessments that are credible and scientifically robust;

(d) Address potential conflicts of interest;

(e) Safeguard commercially sensitive information;

(f) Be interdisciplinary, ensuring contributions from experts with a broad range of disciplinary expertise;

(g) Have inclusive participation, including Indigenous Peoples;

(h) Have geographical, regional and gender balance;

(i) Be cost-effective, with the leanest structure consistent with achieving the highest impact;

(j) Deliver outputs that are policy relevant without being policy prescriptive, according to a programme of work approved by its member Governments, while respecting the mandates of relevant multilateral agreements and other international instruments and intergovernmental bodies, avoiding overlap and duplication of work, and promoting coordination and cooperation;

(k) Undertake work that is [aligned with] and does not duplicate the work of the relevant multilateral agreements, other international instruments[1] and intergovernmental bodies, including those that are members of the Inter-Organization Programme for the Sound Management of Chemicals;

(l) Coordinate, as appropriate, with other science-policy bodies, such as the Intergovernmental Panel on Climate Change and the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services;

(m) Be flexible, so as to respond, to the extent possible, to the needs identified by stakeholders and agreed to by its member Governments, and to fulfil its principal functions.

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[1] Note by the secretariat: These could include upcoming instruments such as the framework instrument for chemicals and waste beyond 2020, a global plastic instrument, and the environmental dimension of a new agreement being negotiated under the auspices of the World Health Organization on antimicrobial resistance.

Annex II

Compilation of principles formulations drawing on agreed principles of other science-policy interfaces encompassing suggestions in submissions

The list presented below provides an overview of agreed text from principles documents of science-policy interfaces that address suggestions made in submissions (the secretariat has not edited for overlap within this list or with annex I):

(a) "Use clear, transparent and scientifically credible processes for the exchange, sharing and use of data, information and technologies from all relevant sources, including non-peer-reviewed literature, as appropriate;" (from Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services; see appendix 2 to the present annex, para. 2 (c))

(b) Ensure that "panel members carry out their research with impartiality" (from International Resource Panel; see appendix 3 to the present annex, para. 4 (b)) and "maintain the integrity of the scientific process and avert any conflicts of interest" (from International Resource Panel; see appendix 3 to the present annex, para. 4 (e))

(c) Be objective and undertake critical, unbiased studies and assessments of best available science, follow robust methodologies and peer review processes, and ensure open and transparent decision-making processes (from International Resource Panel; see appendix 3 to the present annex, para. 4 (d))

(d) Ensure the legitimacy of its outputs, produced through unbiased, [geographically] representative [and multidisciplinary] and defensible procedures (adapted from Global Environment Outlook; see appendix 4 to the present annex, sect. 2.3 (c))

(e) Ensure the full use of national, subregional and regional assessments and knowledge, as appropriate, including by ensuring a bottom-up approach (from Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services; see appendix 2 to the present annex, para. 2 (k))

(f) Undertake assessments on a comprehensive, objective, open and transparent basis (from Intergovernmental Panel on Climate Change; see appendix 1 to the present annex, para. 2)

(g) Use all best endeavours to reach consensus in taking decisions, and approving, adopting and accepting reports (from Intergovernmental Panel on Climate Change; see appendix 1 to the present annex, para. 10)

(h) The Panel's efficiency and effectiveness will be independently reviewed and evaluated on a periodic basis as decided by the Plenary, with adjustments to be made as necessary (from Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services; see appendix 2 to the present annex, para. 3)

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Appendix 1*

PRINCIPLES GOVERNING IPCC WORK[1]

Approved at the Fourteenth Session (Vienna, 1-3 October 1998) on 1 October 1998, amended at the Twenty-First Session (Vienna, 3 and 6-7 November 2003), the Twenty-Fifth Session (Mauritius, 26-28 April 2006), the Thirty-Fifth Session (Geneva, 6-9 June 2012) and the Thirty-Seventh Session (Batumi, 14-18 October 2013)

INTRODUCTION

1. The Intergovernmental Panel on Climate Change (hereinafter referred to as the IPCC or, synonymously, the Panel) shall concentrate its activities on the tasks allotted to it by the relevant WMO Executive Council and UNEP Governing Council resolutions and decisions as well as on actions in support of the UN Framework Convention on Climate Change process.

ROLE

2. The role of the IPCC 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.

3. Review is an essential part of the IPCC process. Since the IPCC is an intergovernmental body, review of IPCC documents should involve both peer review by experts and review by governments.

ORGANIZATION

4. Major decisions of the IPCC will be taken by the Panel in plenary meetings.

5. The IPCC Bureau, the IPCC Working Group Bureaux and the Bureaux of any Task Forces of the IPCC shall reflect balanced geographic representation with due consideration for scientific and technical requirements.

6. IPCC Working Groups and any Task Forces constituted by the IPCC shall have clearly defined and approved mandates and work plans as established by the Panel, and shall be open-ended.

PARTICIPATION

7. Participation in the work of the IPCC is open to all WMO and UN Member countries.

8. Invitations to participate in the sessions of the Panel and its Working Groups, Task Forces and IPCC workshops shall be extended to Governments and other bodies by the Chairman of the IPCC.

9. Experts from WMO and UN Member countries or international, intergovernmental or nongovernmental organisations may be invited in their own right to contribute to the work of the IPCC

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* Issued without formal editing.

[1] Available at: https://www.ipcc.ch/site/assets/uploads/2018/09/ipcc-principles.pdf.

Working Groups and Task Forces. Governments should be informed in advance of invitations extended to experts from their countries and they may nominate additional experts.

PROCEDURES

10. In taking decisions, and approving, adopting and accepting reports, the Panel, its Working Groups and any Task Forces shall use all best endeavours to reach consensus. If consensus is judged by the relevant body not possible: (a) for decisions on procedural issues, these shall be decided according to the General Regulations of the WMO; (b) for approval, adoption and acceptance of reports, differing views shall be explained and, upon request, recorded. Differing views on matters of a scientific, technical or socio-economic nature shall, as appropriate in the context, be represented in the scientific, technical or socio-economic document concerned. Differences of views on matters of policy or procedure shall, as appropriate in the context, be recorded in the Report of the Session.

11. Conclusions drawn by IPCC Working Groups and any Task Forces are not official IPCC views until they have been accepted by the Panel in a plenary meeting.

12. Invitations to participate in the sessions of the Panel and its Working Groups, Task Forces and IPCC workshops should be extended at least six weeks in advance of the opening of the session.

13. Major reports, including Assessment Reports, Special Reports and Methodology Reports, basic documentation and other available reports for consideration at the sessions of the Panel and its Working Groups shall normally be made available by the IPCC Secretariat at least four weeks in advance of the session and, to the extent possible, in all official UN languages.

14. Interpretation into all official UN languages shall be provided for all sessions of the IPCC meeting in plenary, of its Bureau and its Working Groups. Should members of the IPCC Bureau or government representatives participate in a session of the Bureau via video conferencing or other electronic means the interaction with these members of the Bureau and government representatives may be in English only. Such arrangements will be subject to agreement by the Bureau, in advance of the meeting, and availability of technical facilities.

15. The scheduling of the sessions of the Panel and its Working Groups and Task Forces shall be co-ordinated, to the extent possible, with other related international meetings.

16. These Principles shall be reviewed at least every five years and amended as appropriate.

17. Procedures for the preparation, review, acceptance, approval, adoption and publication of IPCC reports are given in Appendix A.

18. Financial procedures for the IPCC are given in Appendix B.

19. Procedures for the Election of the IPCC Bureau and Any Task Force Bureau are given in Appendix C.

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Appendix 2*

Operating principles of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services[1]

Functions, operating principles and institutional arrangements of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services

Adopted by the second session of the plenary meeting to determine the modalities and institutional arrangements for IPBES, held from 16 – 21 April 2012 in Panama City, Panama

II. Operating principles of the Platform

2. In carrying out its work the Platform will be guided by the following operating principles:

(a) Collaborate with existing initiatives on biodiversity and ecosystem services, including multilateral environment agreements, United Nations bodies and networks of scientists and knowledge holders, to fill gaps and build upon their work while avoiding duplication;

(b) Be scientifically independent and ensure credibility, relevance and legitimacy through peer review of its work and transparency in its decision-making processes;

(c) Use clear, transparent and scientifically credible processes for the exchange, sharing and use of data, information and technologies from all relevant sources, including non-peer-reviewed literature, as appropriate;

(d) Recognize and respect the contribution of indigenous and local knowledge to the conservation and sustainable use of biodiversity and ecosystems;

(e) Provide policy-relevant information, but not policy-prescriptive advice, mindful of the respective mandates of the multilateral environmental agreements;

(f) Integrate capacity-building into all relevant aspects of its work according to priorities decided by the Plenary;

(g) Recognize the unique biodiversity and scientific knowledge thereof within and among regions and the need for the full and effective participation of developing countries and balanced regional representation and participation in its structure and work;

(h) Take an interdisciplinary and multidisciplinary approach that incorporates all relevant disciplines, including social and natural sciences;

(i) Recognize the need for gender equity in all relevant aspects of its work;

(j) Address terrestrial, marine and inland water biodiversity and ecosystem services and their interactions;

(k) Ensure the full use of national, subregional and regional assessments and knowledge, as appropriate, including by ensuring a bottom-up approach.

3. The Platform's efficiency and effectiveness will be independently reviewed and evaluated on a periodic basis as decided by the Plenary, with adjustments to be made as necessary.

Edited Advance

* Issued without formal editing.

[1] Available at https://www.ipbes.net/resource-file/2675 and as extracted from the document entitled "Functions operating principles and institutional arrangements of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services".

Appendix 3*

Guiding principles of the International Resource Panel[1]

Ref:IRP-PP-2016

Policies and Procedures of the International Resource Panel
Approved at the Nineteenth Meeting of the International Resource Panel (Paris, 15-18 November 2016)

Under: SECTION I. OBJECTIVE AND GUIDING PRINCIPLES

4. The work of the IRP is guided by the following principles:

(a) Policy relevance. The IRP provides scientific knowledge and science-based policy options in a nonprescriptive manner responding to requests from its Steering Committee as well as from intergovernmental bodies including the United Nations Environment Assembly, the UN High-Level Political Forum on Sustainable Development and other institutions as deemed relevant and appropriate by the Steering Committee.

(b) Independence. Panel members carry out their research with impartiality; Steering Committee members provide input to IRP scientists so as to enhance policy relevance without compromising the independent nature of the research.

(c) Inclusiveness. The IRP aims at striking and maintaining a balanced and diverse composition of the Panel, Steering Committee and Working Groups in terms of expertise, gender, and regional representation.

(d) Objectivity. The IRP undertakes critical, unbiased studies and assessments of best available science, follows robust methodologies and peer review processes, and ensures open and transparent decision-making processes.

(e) Integrity. Panel members maintain the integrity of the scientific process and avert any conflicts of interest as per Annex II of this document.

Edited Advance

* Issued without formal editing.

[1] As extracted from "Policies and procedures of the International Resource Panel", available at www.resourcepanel.org/sites/default/files/documents/document/media/policies_and_procedures_of_the_irp.pdf.

Appendix 4*

Operational principles of the Global Environment Outlook[1]

2.3 Operational principles

The GEO procedures have been drafted to ensure:

(a) Mandate consistency and comparability across editions of GEO;
(b) The relevance (or salience) of GEO in terms of responding flexibly to the needs of Member States and stakeholders, for example for improving the effectiveness of environmental policy;
(c) The legitimacy of GEO, as an assessment accepted by Member States and stakeholders as authoritative, produced through unbiased, representative and defensible procedures,
(d) The credibility of GEO as a robust and rigorous assessment based on scientifically accepted methods and analysis, from multiple official sources; To ensure team compositions that are balanced with respect to geography, gender and discipline;
(e) The accessibility of GEO, meaning that its outputs and the underlying methodologies, knowledge base and environmental data are accessible by Member States and stakeholders to support policymaking, decision-making and strengthening of the science-policy interface;
(f) The added value of GEO, in terms of ensuring that it responds to UNEP's mandate, that it avoids duplication with other global assessment processes, while addressing interlinkages and cross-cutting issues and identifying gaps and emerging issues;
(g) The overall feasibility of GEO, including continuity of operations for the periodic production of the report and in terms of the implications for administrative, financial and collaborative structures and other initiatives across the UNEP science-policy interface;
(h) Transparency of the GEO process, to support the scientific credibility and legitimacy criteria. Key tools to increase transparency can be incorporated into the process through the digital transformation efforts for GEO-7;
(i) All assessment products are strongly evidence-based and supported by authoritative data and knowledge. Data and knowledge tools can be incorporated into the process through the digital transformation of the GEO-7 assessment; and
(j) Active outreach and awareness raising to inform outside audiences about the key steps in the GEO process and the impact of the main findings. GEO supporting services can serve as outreach and awareness raising activities.

Edited Advance

* Issued without formal editing.

[1] As extracted from the document entitled "Global Environment Outlook (GEO): intergovernmental and expert-led scientific assessment procedures", available at https://wedocs.unep.org/bitstream/handle/20.500.11822/40633/GEO_procedures.pdf?sequence=3&isAllowed=y.