

Operating Principles Governing the Work of the Panel

Request for Written Submissions from Member States and Relevant Stakeholders

Member states, during the resumed first session of the Open-ended Working Group (OEWG1.2), requested the Secretariat of the OEWG to solicit written submissions from Member States and relevant stakeholders regarding the operating principles governing the work of the panel.

In support of this request, the Secretariat conducted a webinar (on 26 April 2023) dedicated to the issue of operating principles. In advance of the webinar, the Secretariat released a background document which provides a comparative overview of operating principles of relevant, existing science-policy panels (IPCC, IPBES, IRP and GEO). The recording of the webinar can be found on [this website](#), when available, and the background document is available at [this link](#).

A variety of potential operating principles are presented below, based on the analysis performed for this [background document](#). The following questions in no way attempt to rank or preclude consideration of the operating principles of the future SPP, rather, they draw from the agreed text of Resolution 5/8 and other existing, relevant science-policy bodies, as well as the discussions at the OEWG. You may also suggest relevant potential operating principles that have not been identified yet.

Member States are invited to provide submissions through their respective national focal points (list of focal points available [at this link](#)). Non-government stakeholders are invited to submit their submissions on behalf of their organization or group. You are invited to respond to all or some of the questions below. Once complete, please submit this filled document to SPP-CWP@un.org. All submissions will be uploaded online and will inform a working document to be considered at OEWG 2.

Contact information

What is your name/surname?

Click or tap here to enter text.

What is your country?

EU and its 27 Member states

What is your title?

Click or tap here to enter text.

What is your email address?

Click or tap here to enter text.

Who are you submitting on behalf of?

EU and its member States

The following elements are included in Resolution 5/8. Please indicate by clicking on the box(es) where you believe these elements should be included (i.e., operating principles, rules of procedure, guidelines, or other relevant documents, or if they are not relevant). Some key terms have been grouped together for the purpose of this tabular analysis, there is inevitably some overlap across principles.

	Operating Principle	Rules of Procedure	Guidelines	Other	Not relevant
CREDIBILITY					
Robustness/Rigour	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Integrity/Objectivity / Independence/Impartiality/ Lack of Bias (avoiding conflicts of interest)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interdisciplinary / Multidisciplinary / Balance of disciplines	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RELEVANCE/SALIENCE					
Policy-relevant (and not policy prescriptive)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
LEGITIMACY					
Inclusivity/Balance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
-- indigenous inclusivity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
-- geographic balance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
-- regional balance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
-- gender balance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
-- balance of disciplines (see also Credibility/Interdisciplinary...)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CROSS-CUTTING THEMES					
Transparency	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flexibility	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coordination (without duplication) / Complementarity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost-Effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please provide any relevant comments on your choices above:

The EU and its Member States provides our preliminary comments on the operating principles and reserve the right to deviate from the contents of the tables and the written submissions presented here in the EU+MS negotiating position as such.

The Operating Principles have the goal of recognizing agreement on several overarching values that will shape the panel's agenda, work and output and can be helpful in conveying and communicating essential aspects guiding the work of the panel to different audiences. Operating Principles and their definition must be robust but in the long term a certain flexibility might be useful. Operating principles should in our opinion be qualified to be evaluated, reviewed, and updated at certain times.

According to the report of the OEWG 1.2 we believe that the main documents/structure could be as follows:

- Objectives, principal functions and operating principles
- Rules of Procedure
- Institutional design and governance
- Annexes
- Guidelines
- (Non exhaustive list of items for future work)

We should think carefully about where to include the elements, also depending on the modalities for re-adjusting them and their (legal) character. Some of them may be named in the operating principles but probably further explained in the guidelines.

At this moment in time, it is difficult to judge whether some of the elements should rather be included in the institutional design/governance (not listed in the tabular analysis). We should keep in mind that we have to place all the draft elements for a proposal (according to UNEA resolution 5/8.) where they fit best.

The choice to select both "Operating Principles" and "Guidelines" is since guidelines might provide a further explanation or manner of attaining the Operating Principles. Guidelines are either to be developed by the OEWG, or by the panel itself, depending on the topic of the guidelines, since we may not need to develop a guideline for each principle, though we can imagine that guidelines or procedure will clarify how some of these principles could be operationalized.

Rules of Procedures in our opinion should focus solely on the rules with regards to the governing of the panel (e.g. rules on how meetings (of the governing session) are held, subsidiary bodies are established, how decisions are taken by the governing session (consensus or voting), how a vote would work, how nominations and elections for bureau members are done, in what languages the work is being done etc.). Operating principles are meant to shape how the panel works, whilst the rules of procedures should focus on the governing of the panel as a whole. The EU/MS consider that the element regarding the item legitimacy could be relevant for the RoP, i.e. securing regional balance in the bureau.

Regarding Cost-Effectiveness, Para 6 (h) of Res. UNEA 5/8 calls for both, efficiency, and effectiveness.

The following table includes other elements that may be considered. Please indicate by clicking on the box(es) where you believe these elements should be included (i.e., operating principles, rules of procedure, guidelines, or other relevant documents, or if they are not relevant). It is also possible to add additional potential operating principles to be considered.

OTHER	Operating Principle	Rules of Procedure	Guidelines	Other	Not relevant
Promotion of innovation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comprehensive, holistic, or integrative approach	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Consensus based approach	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing accessible outputs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Others [please add]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Precautionary principle	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Science-based assessments	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk assessment and evaluation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotion of safety measures	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please provide any relevant comments on your choices above:

It is too early in the process to decide on how the “Consensus based approach” should be handled in the different decision-making processes.

Regarding our choices of “Other” in the tables above, other relevant documents include expert analytical documents and scientific studies.

The precautionary principle should be part of operating principles and/or guidelines as very important and relevant principle in the prevention of pollution.

Assessments should be science-based and should be part of the operational principles and/or guidelines to inform policy options.

Risk assessment and evaluation should be part of the operational principles/guidelines to identify policy options.

Safety is a key element in managing chemicals and hazardous wastes. The promotion of safety measures should be part of the operational principles/guidelines to identify policy options.

As the global chemicals production and use is increasing, and at the same time, several million tons of chemicals enter the environment every year, we do see a need for promoting innovation in the sense of sustainable chemistry and therefore consider it necessary to include innovation in the operating principles.

Suitable incentives are required to strengthen the development of sustainable innovations, manufacturing processes and business models.

In its para 5 (i) Res. UNEA 5/8 refers to ‘Options for voluntary financing of the work of the panel’ which shall be considered by the ad hoc OEWG. This is an element that need to be considered when developing operating principles and guidelines where explanations and relevant examples could be agreed upon. As the panel will be funded by voluntary contributions, like IPBES and IPCC, it will be vital for its work to have a broad donor base.

Please provide your written submission in the space below:

Trust in the assessment process is vital for the acceptance of the work by the panel. This trust relies on quality, transparency, and traceability of the origin of statements. Also, there needs to be trust in the data, the models and the scenario’s that will be used by the Panel. There needs to be trust in the scientists that execute the assessments and write the reports and, finally, there needs to be trust in the assessment process. Thus, operating principles that must be included are principles to ensure the credibility and scientific robustness of the Panel.
