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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  
Third session**

Geneva, 17–21 June 2024

Item 4 of the provisional agenda\*

**Preparation of proposals for the establishment of a  
science-policy panel**

## **Compilation of proposals for establishing a science-policy panel**

### **Note by the secretariat**

#### **I. Introduction**

1. 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 was held from 11 to 15 December 2023 in Nairobi. (The report of the session is available in document UNEP/SPP-CWP/OEWG.2/8.) The outcome of the session was a compilation of proposals for establishing a science-policy panel, which is set out in section II of the present note, without formal editing, for further consideration by the ad hoc open-ended working group at its third session.
2. The proposals include the foundational elements to establish the panel, including section A: scope, objective and functions of the panel; section B: operating principles of the panel; section C: institutional arrangements for the panel; and section D: evaluation of the operational effectiveness and impact of the panel; and a number of annexes, which set out procedures, policies and guidelines to facilitate the work of the panel, once it is established.
3. At its second session, the ad hoc open-ended working group requested the secretariat to prepare draft text proposals, for consideration by the ad hoc open-ended working group at its third session, for annexes 1–4, as well as for a revised conflict-of-interest disclosure form.
4. The draft text proposals are set out in addenda to the present note, as follows:
  - (a) Draft rules of procedure (UNEP/SPP-CWP/OEWG.3/2/Add.1);
  - (b) Draft financial procedures (UNEP/SPP-CWP/OEWG.3/2/Add.2);
  - (c) Draft process for determining the work programme, including prioritization (UNEP/SPP-CWP/OEWG.3/2/Add.3);
  - (d) Draft procedures for the preparation and clearance of panel deliverables (UNEP/SPP-CWP/OEWG.3/2/Add.4);
  - (e) Draft conflict-of-interest disclosure form (UNEP/SPP-CWP/OEWG.3/2/Add.5).

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\* UNEP/SPP-CWP/OEWG.3/1.

5. The note by the secretariat on proposals to be considered by the intergovernmental meeting to establish the panel (UNEP/SPP-CWP/OEWG.3/3) includes draft text that the open-ended working group may wish to consider when considering the preamble to the proposals mentioned in paragraph 2 above.

6. The ad hoc open-ended working group, at its third session, may wish to consider the present document and its addenda with a view to finalizing its proposals for the establishment of the panel, as mandated in United Nations Environment Assembly resolution 5/8, for subsequent consideration and possible adoption by the intergovernmental meeting to be convened for the purpose of considering the establishment of a science-policy panel.

## **II. Proposals for the establishment of a science-policy panel: outcome 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<sup>1</sup>**

### **Preamble**

[placeholder]

#### **A. Scope, objective and functions of the panel**

1. [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:]

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

(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

*Proposal 1:* 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

*Proposal 2:* 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.

#### **B. Operating principles of the panel**

2. In carrying out its work, the science-policy Panel shall be guided by the following operating principles:

(a) Scientific independence and ensuring [consensus,] [ethics,] credibility, relevance and legitimacy including through peer review of its work, transparency [and accountability] [in its decision-making processes](del), and addressing potential conflicts of interest;

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<sup>1</sup> The proposals are presented without formal editing.

- (b) Producing deliverables that are credible[, ethical] and [scientifically](del) [sound][robust](del) [assessment process] [, as well as ensuring they are accessible by member states and relevant stakeholders] [and prevention focused];
- (c) Interdisciplinarity, ensuring contributions from experts with a broad range of disciplinary [and sectoral expertise](del) [that adhere to ethical standards];
- (d) Inclusivity of participation and forms of knowledge shared [from all relevant sources], including by Indigenous Peoples [and local communities, where appropriate] [indigenous and traditional knowledge, and [local knowledge](del)](del);
- (e) Having [sectorial,] geographical, regional, [and](del) [language and] gender balance;
- (f) Delivering outputs that are [prevention focused and] policy relevant without being policy prescriptive [for both the international, [regional] and national levels] [while respecting the mandates of relevant multilateral agreements and other international instruments and intergovernmental bodies], avoiding overlap and duplication of work [with other existing and future processes at the science-policy interface], and promoting coordination and cooperation;
- (g) [Flexibility, so as to be responsive to member states' needs, in particular needs of developing countries, [while still preserving the scientific and policy bases upon which it operates;]](del)
- (h) [Incorporating the precautionary approach, as stated in Principle 15 of the 1992 Rio Declaration;](del)
- (i) <sup>2</sup>[Incorporating [a human rights-based approach],[the respect and protection of human rights as a cross-cutting principle,] including [prevention-based approach] by recognizing [that the implementation of the sound management of chemicals and waste and prevention of pollution contributes to the full enjoyment of human rights and human well-being and dignity.] [the right to a clean, healthy, and sustainable environment, the right to science, [intergenerational equity,] the importance of informed participation, and](del) the need to give special attention to [those populations](del) [groups and communities] most vulnerable to adverse impacts from chemicals, waste and pollution[, including from the perspective of racial and social equality];](del)
- [i) alt Incorporating the need to give special attention to those populations most vulnerable to adverse impacts from chemicals, waste and pollution.]
- [i) alt bis Incorporating a human rights-based approach, including by recognizing that the implementation of the sound management of chemicals and waste and prevention of pollution contributes to the full enjoyment of human rights and human well-being and dignity.]
- [i) alt ter Incorporating [a human rights-based approach](del), [the respect and protection of human rights as a cross-cutting principle] including by recognizing the right to a clean, healthy, and sustainable environment, the right to science, [intergenerational equity] the importance of informed participation, and the need to give special attention to [those populations](del) [groups and communities] most vulnerable to adverse impacts from chemicals, waste and pollution [including from the perspective of racial and social equality];]
- (j) [Addressing [the prevention of](del) all forms of [existing and legacy](del) pollution[, including pollution](del) related to chemicals and waste and pollution released into the air, water [(including oceans)](del) and soil.](del)
- (k) Recognizing [the relevant socioeconomic contributions and] technical knowledge of workers, including informal workers, involved in the management of chemicals and waste, and promoting a safe and healthy work environment.
- (l) [Integrating capacity-building [and prevention focused principle] into all relevant aspects of its work.](del)
- (m) [Deliverables that are ethical, and [ensuring that] experts [that](del) adhere to [the Conflict of Interest policy including] ethical standards.](del)

<sup>2</sup> This paragraph represents the text as negotiated in the room. Due to the divergent views and in order to more clearly identify the proposals on the table, the Co-Facilitators have provided three alternative paragraphs for consideration.

(n) Recognizing the unique scientific knowledge within and among regions and ensuring the [full](del) use of national, sub-regional and regional assessments and knowledge, as appropriate[, including a bottom-up approach](del).

(o) Integrating gender equality [and equity](del) in all relevant aspects of its work;

### C. Institutional arrangements for the Panel

3. [The Panel is...]

## I. [Plenary][Governing Body of the SPP]

4. A [Plenary][Governing Body of the Panel] is the [Panel's] decision-making body [is made of Member states [and observer states] [and Regional Economic Integration Organizations] and takes its decisions during the Plenary meeting].

4. alt [The Panel is a decision making body sitting in a Plenary session]

### [Membership]

5. The [[Panel][Plenary][Governing Body] is composed of National Focal Points and Scientists of] [Plenary is open to] States Members of the United Nations [members of specialized agencies] [observer states][and Regional Economic Integration Organizations][that are members of the Panel][who may become members by expressing their intent to do so].

5. alt [[the Panel][Plenary][Governing Body] is composed of [nominated representatives of] state members of the UN [and Regional Economic Integration Organizations] [members of specialized agencies][and observer states] [who may become members by expressing their intent to do so]]

### Participation of States not members of the Panel, United Nations bodies and other intergovernmental and non-governmental organizations

6. [The [Panel][Plenary] is open to participation as observers to any [Member State of the UN][State] not a member of the Panel, any United Nations entity and any other body, organization or agency, whether national or international, governmental, intergovernmental or non-governmental, indigenous peoples and local communities [qualified][with expertise] in matters covered by the Panel, and which has informed the Secretariat of the Panel of its wish to be represented at sessions of the Plenary, subject to the rules of procedure.]

6. alt [The Plenary meeting is open to participation by observers to any State not a member of the Panel, any United Nations entity, organization or agency, whether national or international, governmental, intergovernmental or non-governmental, indigenous peoples and local communities qualified in matters covered by the Panel, and which has informed the Secretariat of the Panel of its wish to be represented at sessions of the Plenary, subject to the rules of procedure].

7. [The [Panel] [Plenary] is open to participation by regional economic integration organizations as observers. The European Union is allowed enhanced participation in sessions of the Plenary, including the right to speak in turn; the right of reply; the right to introduce proposals; the right to provide views; and the ability to support the implementation of the work programme of the Panel through financial support, among other means. [These rights do not grant the ability to be elected to the Bureau of the Panel].]

### Functions

8. The functions of the [Plenary][Governing Body of the Panel] include:

(a) [Acting as the Panel's] [The] decision-making [body][for the Panel];

(b) [Adopting the [Panel's] work programme to deliver on each of the functions of the Panel];

(c) [Soliciting, via the Secretariat, [inputs][submissions] for work programme [development from Governments][approved by the Governing Body of the Panel], [[including through the governing bodies of] relevant multilateral agreements [,Global Framework on Chemicals], [and input on these submissions from] related United Nations bodies, and relevant stakeholders, such as other intergovernmental organizations, international and regional scientific organizations, environmental trust funds, non-governmental organizations, indigenous peoples, local communities and the private sector]]];

(d) Responding to requests [from governments, [including those from Regional Economic Integration Organizations] and those transmitted by relevant multilateral environmental agreements, [Global Framework on Chemicals] as determined by their respective governing bodies][put to the Panel as appropriate, including on the basis of the application of an agreed prioritization framework];

(c)-(d) alt [Responding to requests from Governments, including those conveyed to it by relevant multilateral environmental agreements as determined by their respective governing bodies;

Welcoming inputs and suggestions from, and the participation of, relevant United Nations bodies, as determined by their respective governing bodies;

Encouraging and taking into account, as appropriate, inputs and suggestions made by relevant stakeholders, such as other intergovernmental organizations, international and regional scientific organizations, environmental trust funds, non-governmental organizations, indigenous peoples and local communities and the private sector;]

(d) bis [Adopting the Panel's work programme to deliver on each of the functions of the Panel[, including on knowledge generation, assessments, policy support and capacity building].]

(e) Ensuring the active and efficient participation of civil society as observers in the Plenary;

(f) Electing [the Bureau [and members of permanent subsidiary bodies] in accordance with the rules of procedure] [officers of the Plenary [from among the members of the Bureau], taking due account of the principles of geographical, regional and gender balance, based on criteria, a nomination [and selection] process[es] and length of service to be set out in the rules of procedure];

(g) In accordance with the rules of procedure, establishing [committees and] subsidiary bodies as appropriate[, including through, inter alia, committees, working groups and task forces,];

(h) [For main deliverables, approving the scoping document, endorsing the selection of experts, and accepting, adopting, or approving the deliverable as appropriate];

(h) alt [Defining the scope of [and taking decisions on the] deliverables as agreed in the work programme [and taking decision on deliverables][and approving on all the outcomes of the Panel] as appropriate]

(i) Approving a budget and overseeing the allocation of the Trust Fund [that follows the UN voluntary indicative scale of contributions];

(i) alt [approving and overseeing the budget]

(j) Deciding on an evaluation process [and its terms of reference] for the periodic and independent reviewing of the Panel's efficiency, effectiveness and impact;

(k) Adopting and amending rules of procedure and financial rules and procedures [by consensus].

(k) bis [Setting up a transparent peer review process for the production of reports and assessments by the Panel]

## II. Bureau

9. A Bureau is established [by the Governing Body of the Panel] [to provide oversight of the Panel][oversee the implementation of decisions of the Plenary] .

### Membership

10. The Bureau comprises two members [nominated] from [each of the regions of the institution hosting the Secretariat][each of the 5 UN regional groups [and elected by the Governing Body, including one chair and 9 vice chairs, one of whom shall act as rapporteur, as provided for in the rules of procedure, along with the co-chairs of the subsidiary bodies]].

11. [Members of the Bureau are nominated by their regional groups and elected [by Plenary][elected during the Plenary meeting by the member states, in accordance with the rules and

procedures of UNEA], keeping in mind the need for the Bureau's membership to have [sector,] geographical, regional and gender balance.<sup>3]</sup>

12. Members of the Bureau are selected for their [subject matter][relevant scientific and technical] expertise [and demonstrated experience with relevant intergovernmental processes].

12. bis [all scientific and technical positions at all different levels should be carried out by the bureau as directed by the Governing Body to ensure relevant scientific and technical expertise and competencies to carry out their future responsibilities]

### Functions

13. The functions of the Bureau include:

- (a) [Organizing and helping][Assisting] to conduct the sessions of the Plenary;
- (a) bis [providing oversight of and guidance to the Governing Body's work during the intersessional period]
- (a) bis alt [supporting the Governing Body, including through managing implementation of the work programme]
- (b) [Reviewing the observance of the Panel's rules and procedures;]
- (c) [Addressing requests related to the Panel's programme of work and other intersessional matters that require attention by the Panel between sessions of the Plenary;]
- (d) [Reviewing the management of resources and observance of financial rules and reporting thereon to the Plenary;]
- (e) [Reviewing progress in the implementation of decisions of the Plenary, if so directed by the Plenary; ]
- (f) [Advising the Plenary on coordination between the Panel and other relevant institutions;]
- (g) [Identifying donors and developing partnership arrangements for the implementation of the Panel's activities.][Adhering to the due diligence procedures also restricting earmarking and encouraging contributions to the trust fund]
- (g) bis [Participating in the conflict of interest committee]

## III. Committees and subsidiary bodies

### Interdisciplinary Expert Committee

14. An Interdisciplinary Expert Committee is established [to provide scientific advice to the Panel.]

#### Membership of the Interdisciplinary Expert Committee

15. The Interdisciplinary Expert Committee comprises an equal number of members from each of the [regions of the institution hosting the Secretariat][5 UN regional groups].<sup>4</sup>

16. Members of the Interdisciplinary Expert Committee are nominated by regions and elected by [the Governing Body during a] Plenary, [taking into account the need to ensure][ensuring] the committee is interdisciplinary, [by] ensuring contributions from experts with a broad range of disciplinary expertise; has inclusive participation, including by indigenous peoples; and has geographical, regional and gender balance.<sup>5</sup>

<sup>3</sup> Guidelines covering the nomination process, length of service and any rotation of the Chair of the Plenary among the regions will be provided for in the rules of procedure.

<sup>4</sup> The rules of procedure will specify the number from each region. The ad hoc open-ended working group may wish to consider an Interdisciplinary Expert Committee with five members from each of region.

<sup>5</sup> Guidelines covering the nomination process, length of service, and any rotation of the Chair or Co-Chairs of the Interdisciplinary Expert Committee among the range of its members at regular intervals, will be provided for in the rules of procedure. The ad hoc open-ended working group may wish to consider an Interdisciplinary Expert Committee with staggered three-year terms, renewable once.

17. Interdisciplinary Expert Committee members are selected for their scientific, technical [, socioeconomic] or [policy] expertise and knowledge of the main elements of the work of the Panel.
18. [Representatives of non-governmental participants as well as the Chair of the United Nations Environment Management Group may participate as ex officio members in Interdisciplinary Expert Committee meetings. The representatives of non-governmental participants are elected by and from non-governmental participants engaged in the work of the Panel.<sup>6</sup> ]
19. [Members of the Bureau, representatives of other relevant science-policy interfaces [(including the Intergovernmental Panel on Climate Change and the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services)] or international organizations, and representatives of relevant multilateral [environmental] agreements may be invited to participate as observers in meetings of the Interdisciplinary Expert Committee.]

#### **Functions of the Interdisciplinary Expert Committee**

20. The functions of the Interdisciplinary Expert Committee include:
- (a) Providing advice to the Plenary and the Bureau on [, and coordinating the delivery of,] scientific and technical [and capacity building] aspects of the Panel's programme of work;
  - (a) alt [[Manage][Oversee the development of] scientific and technical [aspects][outputs] of the Panel[ 's programme of work]]
  - (b) Providing advice and assistance on technical and/or scientific communication matters;
  - (c) Providing advice to the [Secretariat][Panel] in setting up and managing a transparent peer review process as necessary for the production of deliverables of the Panel, helping to ensure the highest levels of scientific quality, independence, integrity and credibility at all stages of [Panel] processes [of the interdisciplinary expert committee];
  - (d) Advising on a process, and overseeing the process, for defining the scope of reports following agreement on the work programme;
  - (e) [Participate on the] Selection and endorsement of experts for Panel activities as agreed in the work programme based on advice from the Secretariat; experts are selected from government and non-government nominations, taking into account the need for different disciplines and types of knowledge, gender balance and effective contribution and participation by experts from developing countries;
  - (f) Engaging the scientific community and other knowledge holders with the work programme [, taking into account the need for different disciplines and types of knowledge, gender balance, and effective contribution and participation by experts from developing countries];
  - (g) Assuring scientific and technical coordination among other bodies set up under the Panel and facilitating coordination between the Panel and related processes to build upon existing efforts.
  - (g) bis [to prepare periodic reports]

#### **[Policy Committee**

21. A Policy Committee is established to provide policy guidance to the Panel.

#### **Membership of the Policy Committee**

22. The Policy Committee comprises an equal number of members from each of the regions of the institution hosting the Secretariat.
23. Members of the Policy Committee are nominated by regions and elected by the Governing Body, taking into account the need for inclusive participation, including by indigenous peoples; and has geographical, regional and gender balance.
24. Policy Committee members are selected for their policy expertise and knowledge of the main elements of the work of the Panel.

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<sup>6</sup> Guidelines covering the nomination process and length of service of these representatives will be provided for in the rules of procedure. The ad hoc open-ended working group may wish to consider electing five representatives to serve in this role, one each from health, environment, industry, trade union and public interest groups.

25. The Chair of the Science Committee, and representatives of other relevant science-policy interfaces, relevant international organizations, and representatives of the Secretariat of relevant multilateral environmental agreements may be invited to participate as observers in meetings of the Policy Committee.

#### Functions of the Policy Committee

26. The functions of the Policy Committee include providing advice to the Governing Body on policy aspects of the Panel's programme of work, by;

- (a) Contributing to the process for prioritizing requests received from Member States [and UN observer States], including receiving submissions from Member States via the Secretariat, and identifying prioritized requests for the Governing Body to consider in developing a proposed work programme based on those submissions;
- (b) Facilitating communication between the Panel and other relevant science-policy interfaces, relevant international organizations and multilateral agreements, in order to avoid overlap and duplication of work, and promote coordination and cooperation;
- (c) Providing comments on the policy elements of the Panel's draft deliverables, as appropriate.]

#### Other subsidiary bodies

27. [The Governing Body of the Panel][The Plenary, including upon advice from the Bureau and Interdisciplinary Expert Committee,] may establish other subsidiary bodies under the Panel, whether to aid in delivering Panel functions or in meeting the Panel's cross-cutting needs. These other subsidiary bodies [may][should] include [, inter alia, expert groups, committees, task forces, technical support units, [conflict of interest committee,] etc.]:

- (a) [[Expert groups to deliver on the horizon scanning and assessment functions of the Panel;]
- (a) bis [A conflict of interest committee to support the implementation of a conflict of interest policy.]
- (a) ter [a Prospective error analysis committee]
- (b) [Task forces][Subsidiary bodies] to deliver on [other][the] functions of the Panel, [such as capacity building];
- (b) bis [A committee established on capacity building [and research translation]]
- (c) [A conflict of interest committee to support the implementation of a conflict of interest policy.]
- (c) bis [Technical support units to coordinate and support work of expert groups or task forces]]

28. [In establishing] these subsidiary bodies [may also include subsidiary bodies to deliver on the other functions of the Panel], Plenary shall ensure their composition, modalities of work and functions align with the Panel's agreed operating principles.

28. bis [establishing a socioeconomic subsidiary body]

28. ter [establishing a non-prescriptive policy recommendation body]

## IV. Secretariat

29. The [Panel][Plenary][Governing Body] shall be supported by a Secretariat for the Panel with the following functions:

29. alt [secretariat for the Panel will support all the functions of the Panel (including Governing Body bureau and subsidiary body) with the following functions:]

- (a) Providing [support on] [scientific,] [technical, organisational, communication]and capacity building [activities][support] [as requested by the [Plenary] [Governing Body]];
- (a) alt [Providing [the required] support to all functions of the Panel]



- (b) Organizing meetings and providing [support on] administrative and [scientific,] [technical], organisational and communication [activities][ support for meetings], including the preparation of documents and reports to the [Plenary] [Governing Body[of the Panel]], [and for the work of the Panel's [other][subsidiary] bodies as needed];
- (c) [Assisting][Supporting] members of [the [Plenary][ [Governing Body[of the Panel]], Bureau, Interdisciplinary Expert Committee and other subsidiary bodies, to undertake their respective functions [as decided by the [Plenary]] [Governing Body], [including participation in their meetings and facilitating communication [between][with] the various stakeholders of the Panel];
- (d) Facilitating communication among any other bodies that might be established by the Panel;
- (d) bis [facilitating communication between the various stakeholders of the Panel]
- (e) Disseminating the Panel's deliverables;
- (f) [Assisting][Supporting] in outreach activities and in the production of relevant communication materials [including regarding the Panel deliverables];
- (g) Preparing the Panel's [Governing Body] draft budget [for submission to [Plenary]] [Governing Body], managing the [financial arrangements][budget] and preparing any necessary financial reports;
- (h) [Assisting][Supporting] in the mobilization of financial resources [based on the UN voluntary indicative scale of contributions];
- (i) [[Assisting][Supporting] in the facilitation of monitoring and evaluation of the Panel's work;]
- (j) [Proposing potential strategic partnerships to [Plenary] [Governing Body], and] [coordinating and implementing][Supporting the implementation of] any strategic partnerships as needed.

30. The Panel, at its first Plenary session, will secure secretariat services from one or more Intergovernmental Organizations, based on solicited proposals to host the Secretariat. The Secretariat will be hosted in a single location.

## V. Financial Arrangements

31. A Trust Fund is established, to be hosted by an institution agreed by [Plenary][the Governing Body of the Panel at a Plenary meeting], to:
- (a) be allocated by [Plenary] [the Governing Body] in an open and transparent manner;
  - (b) collect voluntary financing to support the work of the Panel [from a variety of sources];
  - (c) be governed by financial rules and procedures adopted by the [Plenary][the Governing Body of the Panel].
31. alt [A [voluntary] trust fund is established to manage the incomes and expenditures of the Panel. The trust fund is hosted by an institution agreed by Plenary. The trust fund is managed in compliance with the financial rules and regulations, and due diligence standards of the host institution.]
32. Contributions to the Trust Fund are [welcomed][invited] from Governments,[using the UN voluntary indicative scale of assessments as a guideline, and are welcomed][as well as] from United Nations bodies, [the Global Environment Facility], other intergovernmental organizations [, international financial institutions and development banks] and stakeholders such as the private sector and foundations, on the understanding that such funding [the amount of contributions from private sources must not exceed the amount of contributions from public sources in any biennium]:
32. alt [the trust fund is open to voluntary contributions from all sources, including governments, UN bodies, other IGOs and stakeholders such as the private sector and foundations]
- (d) will come without conditionalities;
  - (e) will not orient the work of the Panel;
  - (f) cannot be earmarked for specific activities.

32. bis [in kind contributions from governments, Regional Economic Integration Organizations, the scientific community, other knowledge holders and stakeholders will come without conditionalities, nor orient the work or influence prioritization of the Panel and will be consistent with the functions, operational principals or institutional arrangements of the Panel]

33. Exceptions to paragraph 30 may be provided to allow additional contributions for specific activities [in line with the agreed prioritization and] approved by the [Plenary] [the Governing Body by consensus] [, preceded by a due diligence process by the secretariat and approved by the bureau].

34. The [Plenary] [the Governing Body of the Panel] regularly reviews Panel expenditures and budget proposals, and adopts budgets [for the Panel].

35. [The Bureau regularly reviews budget information prepared by the Secretariat.]

36. The Secretariat prepares the Panel's draft budget for submission to [Plenary] [the Governing Body of the Panel], managing the financial arrangements and preparing any necessary financial reports.

36. alt [The Secretariat prepares the Panel's draft budget for submission to the Plenary, manages the approved budget and prepares the financial reports for the bureau and the Plenary]

## VI. Strategic Partnerships

37. The [Governing Body of the Panel][Panel][Plenary] [may decide to][shall] pursue formal strategic partnerships with United Nations entities, multilateral agreements[, regional entities, funding agencies] and other [selected][relevant] stakeholders that are active and qualified in the topics covered by the Panel. [Formal strategic partnerships [support][can be a means of] [promoting synergies [and avoiding overlap] towards] [achieving the operating principle[s] [of the Panel] [that includes] "avoiding overlap and duplication of work, and promoting coordination and cooperation"] [while delivering on any of the Panel's functions].]

38. The [Secretariat][or the bureau] [subsidiary bodies under the Panel]may propose [the need for the establishment] [for consideration [and approval] of the Plenary the establishment of] [possible][specific] strategic partnerships, [with different sectors, ensuring the absence of conflict of interest] including their contribution to the work of the Panel.

38. alt [the [Panel][Governing Body] may mandate the Secretariat to engage potential strategic partnerships as it relates to their contribution to the identified work programme]

39. The Secretariat shall regularly [inform the Bureau] and [the Governing Body of the Panel][the Plenary] about the [formal][formation of] strategic partnerships and their contribution. Strategic partnerships are subject to periodic review.

40. [In order to encourage and facilitate formal strategic partnerships,] [the Governing Body of the Panel][Plenary] may decide to mandate [to any of [the bodies of the Panel][its sub organizations such as bureau, secretariat, and subsidiary bodies]][to the secretariat] the development, and periodic updating, of:

(a) guidance for entities wishing to apply to enter in a formal strategic partnership with the Panel, and

(b) guidelines for formalizing partnerships that [the Governing Body][the Plenary] agrees to pursue, including, as appropriate, through the preparation of memoranda of understanding [, joint project documents or work programmes]or contracts [Partnerships shall be established in line with UN and UNEP partnership policies and procurement rules].

(b) bis [a review process for the assessment of the effectiveness of strategic partnerships]

41. [[Considerations in formalizing strategic partnerships may include] [The Panel may consider the following in formalizing strategic partnerships]:

(a) the function(s) the formal strategic partnership will support;

(b) alignment with the Panel's scope, objective, and operating principles;

(c) complementarity with the Panel's work programme;

(c) bis [opportunity to perform work programme activities more effectively, efficiently, economically and ethically]

- (c) ter [experience and capacity of the potential strategic partner in fields relevant to the Panel and its willingness to collaborate in delivering the work programme]
- (c) quater [achievement of a more appropriate regional or thematic balance in the delivery of the work programme]
- (d) opportunities for synergies [and for avoiding overlap][, as appropriate]].

**D. Evaluation of the operational effectiveness and impact of the Panel**

42. The Panel's efficiency, effectiveness and impact shall be [independently and externally reviewed and] evaluated on a periodic basis as decided by the [Plenary][Governing Body of the Panel]. [The Panel should produce a framework for the assessment to include the periodicity of the evaluation with the primary goal of mapping the output to [the main][its] functions and to assess the adherence to the core principles][, with adjustments to be made as necessary]

ADVANCE

**[Annexes<sup>1</sup>****Annex 1. Rules of procedure [of the Panel]**

1. [Scope][Purposes]
2. Definitions
3. Venues, dates and notice of sessions
4. Members and observers
5. Admission of observers
6. Agenda
7. Representation, credentials and accreditation
8. Members and operation of the Bureau
9. Election of members of the Bureau
10. Nominations
11. Subsidiary bodies (members, operation, election of members, etc.)
12. Conduct of business
13. Decision-making
14. Languages
15. Modifications to the rules of procedure

**Annex 2. Financial rules and procedures**

1. Scope
2. Financial year and budgeting period
3. Panel Trust Fund
4. Currency
5. Budget
6. Contributions
7. Working capital reserve
8. Accounts and audit
9. General provisions

**Annex 3. Process for determining the work programme, including prioritization**

1. Solicitation and submission of issues for inclusion in the work programme
2. Prioritization criteria for setting the work programme
3. Process for applying the prioritization criteria
4. Process for finalizing the work programme

**Annex 4. Procedures for the preparation and clearance of Panel deliverables**

1. Definitions
2. Procedures for the preparation of Panel deliverables

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<sup>1</sup> The following “annexes” need to be considered in terms of substance and their placement in the context of the ongoing process of the ad hoc open-ended working group, including in relation to the intergovernmental meeting and potentially the Panel’s plenary sessions.

- (a) horizon scanning deliverables
    - (i) general approach
    - (ii) tasks and responsibilities of key roles
    - (iii) identification and selection of experts
    - (iv) means of ensuring robustness and credibility
  - (b) assessments
    - (i) general approach
    - (ii) tasks and responsibilities of key roles
    - (iii) identification and selection of experts
    - (iv) means of ensuring robustness and credibility
  - (c) knowledge management deliverables
    - (i) general approach
    - (ii) tasks and responsibilities of key roles
    - (iii) identification and selection of experts
    - (iv) means of ensuring robustness and credibility
  - (d) information-sharing deliverables
    - (i) general approach
    - (ii) tasks and responsibilities of key roles
    - (iii) identification and selection of experts
    - (iv) means of ensuring robustness and credibility
  - (e) capacity building deliverables
    - (i) general approach
    - (ii) tasks and responsibilities of key roles
    - (iii) identification and selection of experts
    - (iv) means of ensuring robustness and credibility
3. Procedures for the clearance of Panel deliverables
  4. Error protocol
  5. Procedure on the use of sources
  6. Procedure on data management and use of digital tools and intelligence
  7. Procedure for safeguarding commercially sensitive information

## **Annex 5. Conflict-of-Interest policy**

### **A. Purpose of the Conflict-of-Interest Policy**

1. The objective of the Science-Policy Panel (“the Panel”) as stated in [paragraph 1 of the “Functions, operating principles and institutional arrangements of the Panel” in the Agreement and Rules of Procedure] 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. According to the operating principles of the Panel, in carrying out its work, the Panel and the supporting subsidiary bodies must be scientifically independent and ensure credibility, relevance and legitimacy through its work and transparency in its decision-making processes and use clear, transparent and scientifically credible processes for the exchange, sharing and use of data, information and technologies from all relevant sources, including peer-reviewed and non-peer-reviewed literature, as appropriate, [alongside other reliable sources, to ensure a comprehensive, and robust assessment process](del). The outputs of the Panel should be policy relevant without being

policy prescriptive [neutral with respect to policy](del), [although they may need to deal objectively with scientific, technical and socio-economic factors relevant to the application of particular policies].

2. The role of the Panel requires that it pays special attention to issues of independence and bias in order to maintain the integrity of, and public confidence in, its outputs and processes. It is essential that the work of the Panel is not compromised by any conflict of interest for those who execute it.
3. The overall purpose of this policy is to protect the legitimacy, integrity, trust, and credibility of the Panel 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. This policy does not provide an exhaustive list of criteria for the identification of conflicts of interest. It can be amended by the Plenary as part of the functions vested in the [Plenary] in the [Agreement and the Rules of Procedure].
4. The Panel recognizes the commitment and dedication of those who participate in its activities and the need to maintain a balance between minimising the reporting burden, and ensuring the integrity of the Panel and its deliverables[. In this way, this policy seeks to encourage participation and to ensure that the representativeness and geographic, regional, and gender balance of the panel is not impaired,] while continuing to build and maintain public trust.
5. This Conflict-of-Interest Policy is designed to ensure that [potential](del) conflicts of interest are identified, communicated to the Committee on Conflicts of Interest, and managed to avoid any adverse impact on the Panel's independence, [quality of](del) outputs and processes, thereby protecting the person or persons concerned, the Panel, and the public interest. [Any duly reasoned request relating to a potential conflict of interest may be sent to the [Bureau].](del)
6. It is essential to avoid a situation in which a reasonable person could question, discount or dismiss the work of the Panel owing to the perception of a conflict of interest. It is recognized that the privacy and professional reputation of individuals must be respected. Identifying a potential conflict of interest does not automatically mean that a conflict of interest exists.

## **B. Scope of the Conflict-of-Interest Policy**

7. This policy applies to [the senior leadership of the Panel, [namely.]](del) members of the Bureau of the Panel, [committees] and any subsidiary bodies contributing to the development of deliverables, [to experts contributing to the activities of the Panel such as](del) authors with responsibility for report content (including report co-chairs, coordinating lead authors and lead authors), [and review editors](del); and to professional non-United Nations staff supporting the Panel's work.
8. [The policy applies to the development of all Panel products and deliverables, including but not limited to: horizon scanning products; assessment reports; special reports; methodology reports, and technical papers [and policy briefs.]](del)
9. [The professional staff members of the Panel Secretariat who are employees of [the United Nations] are subject to the United Nations disclosure and ethics policies, as well as code of conduct, which include conflict of interest.]
10. [The policy will be executed to reflect the various roles, responsibilities and levels of authority, of participants in the Panel process. In particular, consideration should be given to whether responsibility is held at an individual level or shared within a team and to the level of influence held over the content of the Panel's deliverables.](del)
11. The application of the Conflict-of-Interest Policy to persons elected to or selected for positions within the Panel should reflect their specific responsibilities.

## **C. Conflict of Interest**

12. A "conflict of interest" refers to a[ny current, or previous](del) professional, financial or other interest [from the past four years](del) which could:
  - (a) significantly impair the individual's objectivity in carrying out his or her duties and responsibilities for the Panel, or
  - (b) 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.

13. A distinction is made between “conflict of interest” and “bias,” which refers to a point of view or perspective that is strongly held regarding a particular issue or set of issues. In the case of author and review teams, bias can and should be managed through the selection of a balance of perspectives. Bias can also be managed through other means, including a rigorous peer review. For example, it is expected that Panel author teams will include individuals with different perspectives and affiliations. Those involved in selecting authors will need to strive for an author team composition that reflects a balance of expertise and perspectives, such that Panel products are comprehensive, objective, and neutral with respect to policy. In selecting these individuals, care must be taken to ensure that biases can be balanced where they exist. In contrast, conflict of interest exists where an individual, or an organization, could secure a direct and material gain through outcomes of a Panel process. Holding a view that one believes to be correct, but that one does not stand to gain from does not necessarily constitute a conflict of interest but may be a bias.

14. The conflict-of-interest requirements in this policy are not designed to include an assessment of one's behaviour or character or one's ability to act objectively despite the conflict of interest.

15. [This policy applies only to current conflicts of interest. It does not apply to past interests that have expired, no longer exist, and cannot reasonably affect current behaviour.] Nor does it apply to possible interests that may arise in the future but that do not currently exist, as such interests are inherently speculative and uncertain. For example, a pending application for a particular job is a current interest, but the mere possibility that one might apply for such a job in the future is not a current interest.

16. [All ]Professional and other non-financial interests need to be disclosed [only if they are significant and relevant](del). If in doubt about whether an interest should be disclosed, individuals are encouraged to seek advice from the appropriate Panel body as defined in Annex A [Committee on Conflicts of Interest]. Significant and relevant interests may include, but are not limited to consulting relationship, advisory committees associated with private sector organizations, [senior editorial roles](del) and memberships on boards of non-profit or advocacy groups. [Significant and relevant interests may also include those relevant interests of parties with whom an expert has a current contractual relationship or substantial common interests and which could be perceived as unduly influencing, or likely to unduly influence, the expert's judgement (for example their employer(s), close professional associates, their administrative unit or department, sponsoring or funding entities).](del) [Significant and relevant interests may include but are not limited to membership of advisory committees associated with private sector organizations, and of the boards of non-profit or advocacy groups.]

17. Financial interests need to be disclosed [only if they are significant and relevant](del) . These may include, but are not limited to, the following kinds of financial interests: employment relationships; consulting relationships; financial investments; intellectual property interests; commercial interests, and sources of research support. Individuals should also disclose significant and relevant financial interests of any person with whom the individual has a substantial business or relevant shared interest. If in doubt about whether an interest should be disclosed, individuals are encouraged to seek advice from the appropriate Panel body as defined in Annex A [Committee on Conflicts of Interest]. [In its determination whether a potential conflict of interest may negatively impact the Panel's legitimacy, integrity or credibility, or that of its deliverables, or the confidence in its activities, the committee shall take into consideration the significance and relevance of the financial interests disclosed.]

18. To prevent situations in which a conflict of interest may arise, individuals directly involved in the preparation of Panel deliverables should avoid being in a position to clear (approve, adopt, or accept) on behalf of any government the text in which they were directly involved.

## Appendix A

This appendix sets out the procedures for implementing the Conflict-of-Interest Policy (“the COI Policy”) for the Science-Policy Panel (‘the Panel’) which is contained in [XX] adopted by the Panel at its first session.

### Implementation Procedures

1. These Implementation Procedures are designed to ensure that conflicts of interest are identified, communicated to the relevant parties and managed to avoid any adverse impact on the Panel and its deliverables and processes and also to protect the person or persons concerned and the public interest.
2. These Implementation Procedures apply to all [potential](del) conflicts of interest as defined in paragraph 12 of the COI Policy and apply to the individuals listed in paragraph 7 of that policy. Compliance with the COI Policy and Implementation Procedures is mandatory. An individual [to whom the COI policy applies](del) cannot participate in the Panel’s work where he or she has not complied with the COI Policy and Implementation Procedures. Where a conflict of interest is identified, a person may only proceed to participate in Panel activities if action is undertaken that resolves the conflict or the individual is a Panel author subject to the provisions in paragraph 6 of these procedures.

### Bureau and [Interdisciplinary Expert] Committee members: Review process prior to appointment

3. The Conflict of Interest Disclosure Form (“the COI Form”) contained in Annex B to the COI Policy will be submitted to the Secretariat in respect of each nominee for election to the Bureau or [Interdisciplinary Expert Committee (IEC)] of the Panel. The COI Committee<sup>1</sup> (composed of six members from the Bureau and six members from the IEC and two additional members with appropriate legal expertise from [relevant United Nations entity] appointed by that organization) will review the COI Forms. Where the COI Committee determines that a nominee for Bureau membership has a conflict of interest that cannot be resolved, the individual will not be eligible for election to the Bureau. The process above will also apply in respect of candidates for election to the Bureau or IEC who are nominated during the course of the Panel plenary session during which the relevant election is due to be held.

### Bureau and [Interdisciplinary Expert] Committee members: Review process after appointment

4. All members of the Bureau and the [Interdisciplinary Expert Committee] members will inform the Secretariat annually of any changes in the information provided in their previously submitted COI Form. The COI Committee will review the updated information, determine whether the relevant member has a conflict of interest that cannot be resolved and determine what further action is necessary in accordance with the COI Policy.

### Other roles subject to COI Policy: Review process prior to appointment

5. Before an individual is appointed to a role subject to the COI Policy in accordance with paragraph 7 of the Policy, the Secretariat will request the individual to complete a [COI Form]. Before an expert can take on the role in question, the COI Committee will evaluate the form to determine whether the individual has a conflict of interest that cannot be resolved.
6. In exceptional circumstances, a conflict of interest on the part of a Panel expert which cannot be resolved may be tolerated where the individual is deemed to provide a unique contribution to a Panel deliverable and where it is determined that the conflict can be managed such that it will not have an adverse impact on the relevant Panel deliverable. In such cases, the COI Committee will publicly disclose the conflict and the reasons for determining that the individual may continue to contribute to the Panel’s work in spite of the conflict.

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<sup>1</sup> When the panel is first established, an interim committee will be necessary for reviewing the [COI forms] of nominees to the Bureau and IEC.



## **Other roles subject to COI Policy: Review process after appointment**

7. Experts in those other roles subject to the COI Policy will inform the Secretariat annually of any changes in the information provided in their previously submitted [COI Form]. The COI Committee will evaluate the revised information in accordance with the procedure for reviewing conflicts of interest issues prior to appointment.

7. bis [Notwithstanding paragraphs [3 and 5] an individual may decline to disclose information related to activities, interests and funding where its disclosure would adversely and materially affect:

- (a) Defense, national security or imminent public safety;
- (b) The course of justice in prospective or current court cases;
- (c) The ability to assign future intellectual property rights; or
- (d) The confidentiality of commercial, government, or industrial information.]

7. ter [Members who decline to disclose information under paragraph 7. bis must declare that they are doing so in their disclosure of interest under paragraphs [X] or [X] and must be completely excluded from discussions and decisions on related topics.]

## **Principles for Considering Conflict of Interest Issues**

8. The COI Committee should consult the relevant individual where the body has concerns about a potential conflict of interest and/or where it requires clarification of any matters arising out of a [COI Form] and should ensure that the relevant individuals and, where appropriate the Panel member which nominated the relevant individual, have an opportunity to discuss any concerns about a potential conflict of interest.

9. Where the COI Committee has determined that an individual has a conflict of interest that cannot be resolved, the relevant individual may request the Panel Bureau to review the COI Committee's determination. The Panel Bureau will review the determination at the first session following the request. The individual will be bound by the determination of the COI Committee pending the outcome of the review.

10. When considering whether an individual has a conflict of interest, the COI Committee will, in consultation with the individual, explore options for resolving the conflict. Individuals might, for example, resolve a conflict of interest by divesting themselves of the particular financial or other interests which gave rise to the potential conflict or by recusing themselves from discussions or decision-making processes in respect of which they have a relevant conflict. [In case where the conflict of interest cannot be resolved, the COI committee shall make a recommendation to protect the legitimacy, integrity, trust and credibility of the panel and its deliverables, and public confidence in, its outputs and processes, to the appropriate decision making committee.]

11. Members of the COI Committee may not consider cases involving themselves and will recuse themselves in the event that the Committee considers a potential conflict of interest concerning themselves.

## **Processing and Storage of Information**

12. All [COI Forms] will be submitted to the Secretariat.

13. All [COI Forms] and any records of the deliberations and/or decisions of the COI Committee in relation to conflict of interest issues in respect of specific individuals and any information disclosed by individuals for the purposes of the COI Policy will be transferred to the Secretariat after they have been reviewed and will be securely archived by the Secretariat and retained for a period of five years after completion of their term or completion of the deliverable to which the relevant individual contributed, after which the information will be destroyed. Subject to the requirement to notify the existence of a conflict of interest to others under paragraph 6 above, the information referred to above will be considered confidential and will not be used for any purpose other than consideration of conflict-of-interest issues under these Implementation Procedures without the express consent of the individual providing the information.

### **The COI Committee**

14. A Committee on Conflicts of Interest (“the COI Committee”) will be established for the purpose of reviewing [COI forms] and determining whether those participating in the Panel and subject to the COI policy have conflicts of interest.
15. The COI Committee will comprise of six members from the Bureau and six members from the IEC and two additional members with appropriate legal expertise from [United Nations entity] , appointed by that organization.
16. The COI Committee will elect a Chair at its first meeting.
17. The members of the COI Committee are expected to reach consensus. If, exceptionally on matters of particular urgency, consensus is not possible, the COI Committee Chair may take the final decision, having regard to the weight of opinion in the COI Committee. The Committee will decide upon its method of working and apply it on an interim basis until the Panel plenary agrees it.
18. The COI Committee should submit a report on its activities to the Panel plenary at least four weeks before each session. Issues of confidentiality will be addressed by the COI Committee as early as possible.
19. The COI Committee may meet by teleconference and conduct its work by electronic means. If a physical meeting is needed, it will be held before or after regular Bureau meetings.

### **Appendix B**

#### **CONFLICT OF INTEREST DISCLOSURE FORM (“COI FORM”) FOR THE SCIENCE-POLICY PANEL]**

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