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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
First session**

Nairobi, 6 October 2022 and Bangkok, 30 January–3 February 2023*

Overview of existing rules and procedures of selected science-policy bodies

Note by the secretariat

The annex to the present note contains an overview of existing rules and procedures of selected science-policy bodies related to panel functions, which 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 may wish to consider, with a view to informing its future work. The annex has not been formally edited.

* The first 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 is being held in two parts. The first part of the session was held in Nairobi on 6 October 2022, while the second part, namely the resumed first session, will be held in person in Bangkok from 30 January to 3 February 2023.

Annex***Overview of existing rules and procedures of selected science-policy bodies****I. Introduction**

1. This document has been developed to provide an overview of the rules and procedures in place in other relevant science-policy institutions. It covers the rules of procedures under which the decision-making bodies of these platforms operate, the procedures in place for the completion of their functions as well as their financial rules. This document is intended to complement the comparative analysis of existing assessment structures (UNEP/SPP-CWP/OEWG.1/(II)/INF/5). Member States may find it helpful to consult this compendium when considering options for rules and procedures for the new panel, and either use some of these as examples, or highlight additional relevant examples not included in this document.

2. In most instances, the relevant procedures considered in this document are from the following five science-policy institutions:

- (a) Intergovernmental Panel on Climate Change (IPCC)
- (b) Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES)
- (c) International Resource Panel (IRP)
- (d) Global Environmental Outlook (GEO)
- (e) Assessment Panels of the Montreal Protocol on Substances that Deplete the Ozone Layer

3. For areas of work for which these five panels do not have specific rules and/or procedures that apply, the secretariat has turned to other organizations' rules and/or procedures for potential points of reference.

II. Rules of procedure for the decision-making body of the panel

4. UN Environment Assembly resolution 5/8 decides that "the ad hoc open-ended working group will prepare proposals for the science-policy panel to consider":

- (a) "Institutional design and governance of the panel" (paragraph 5(a))
- (b) "Rules of procedure and the operating principles governing the work of the panel" (paragraph 5(j)).

5. Based on experience in other fora, rules of procedure governing the decision-making body of the science-policy panel, and in particular its sessions/meetings, might relate to the following aspects (in addition to those more specialized rules or procedures identified in the following sections of this document):

- (a) Scope
- (b) Definitions of abbreviations and terms used in document
- (c) Venues, dates and notice of sessions
- (d) Members and observers
- (e) Admission of observers
- (f) Agenda
- (g) Representation, credentials and accreditation
- (h) Members and operation of the Bureau and/or equivalent structure(s)/institution(s)
- (i) Election of members of the Bureau and/or equivalent structure(s)/institution(s)

* The annex has not been formally edited.

- (j) Nominations
- (k) Subsidiary bodies
- (l) Conduct of business
- (m) Decision-making
- (n) Languages
- (o) Modifications to the rules of procedure

6. The below sections provide an overview of the different documents which include these rules of procedure for the IPCC, IPBES, IRP, GEO and the Montreal Protocol Assessment Panels.

A. IPCC

7. A 2-page document, entitled “[Principles Governing IPCC Work](#)”, lays out the infrastructure for the rules governing the IPCC, and points to several Appendixes with more detailed procedures. This document was: “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)”

8. The Appendixes specified in this document are:

- (a) Appendix A: Procedures for the preparation, review, acceptance, approval, adoption and publication of IPCC reports (discussed in Section II.B of this document)
- (b) Appendix B: Financial procedures for the IPCC (discussion of Section III of this document)
- (c) Appendix C: Procedures for the Election of the IPCC Bureau and Any Task Force Bureau

9. Appendix C was “Adopted by the Panel at the Twenty-Fifth Session (Mauritius, 26-28 April 2006), amended at the Thirty-Fifth Session (Geneva, 6-9 June 2012), Forty-First Session (Nairobi, 24-27 February 2015)” and sets out 38 rules.

10. Procedures are detailed relating to: Scope, Definitions, Representation and Credentials, Composition of the IPCC Bureau and Task Force Bureau, Terms of Appointment, Elections (general principles and voting procedures), Nominations, and Amendments and Suspension.

11. Appendix C also includes two annexes:

- (a) Annex A lists IPCC members grouped according to the six WMO regions, with a provision that it will be reviewed by the Secretariat as required to reflect any change in the membership.
- (b) Annex B lists the composition of the IPCC Bureau and Task Force Bureau, with a provision that it will be amended in line with relevant decisions of the Panel.

12. Specific terms of reference have also been developed for the [IPCC Executive Committee](#) (adopted in 2011 by IPCC-33), the [IPCC Bureau](#), and the [IPCC Secretariat and the Technical Support Units](#) (adopted in 2012 by IPCC-35).

B. IPBES¹

13. The [Rules of procedure for sessions of the IPBES Plenary](#) have been adopted in Plenary in decisions IPBES-1/1 (January 2013) and IPBES-2/1 (December 2013).

14. Rules cover the following aspects: Scope, Definitions, Venues/dates/notice of sessions, Members and observers, Agenda, Representation/credentials/accreditations, Members and operation of the Bureau, Subsidiary bodies, Conduct of business, Decision-making, Languages, Modifications to the rules of procedure.

¹ Links to relevant IPBES documents are set to the PDF in English to automatically download. IPBES documents inventoried in this document are also grouped on the IPBES website at: <https://ipbes.net/documents-by-category/policies%20and%20procedures>

15. This document retains some unresolved text in brackets, notably relating to Members and observers and Members and operation of the Bureau.

16. These rules of procedure further complemented by elements of the document 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: [Functions, operating principles and institutional arrangements of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services](#)

C. IRP

17. [Policies and Procedures of the International Resource Panel](#) were approved at the Nineteenth Meeting of the International Resource Panel (Paris, 15-18 November 2016)

18. Policies and procedures are detailed relating to: Objective and Guiding Principles, Institutional Structure and Operational Arrangements, Organizational Structure, and Scientific Publications.

19. These Policies and Procedures also include five Annexes:

- (a) ANNEX 1. Definitions
- (b) ANNEX 2. Conflict of Interest Policy (discussed in Section II.D below)
- (c) ANNEX 3. Guidelines on External Expert Review Process (discussed in Section II.B. below)
- (d) ANNEX 4. Guidelines on the Use of Literature in IRP Publications (discussed in Section II.B below)
- (e) ANNEX 5. Protocol for Addressing Possible Errors in IRP Publications (discussed in Section II.F below).

D. GEO

20. [Intergovernmental and expert-led scientific assessment](#) procedures for UNEP's Seventh GEO (GEO-7) were approved at the GEO-7 inaugural meetings in Fall 2022.

21. Procedures are detailed relating to: Objective, functions and operational principles; Definitions and terminology; Governance and implementation structures; Overview of process for conducting comprehensive and thematic assessments; Requests, prioritization and planning of additional functions of the GEO process; Scoping and design of GEO comprehensive and thematic assessments; Nomination and selection of experts; Preparation of comprehensive and thematic assessments; Outreach and awareness raising; Assessment of confidence; Addressing possible errors following the publication of an assessment; and Conflict of interest.

22. Annex I to this document details Procedural guidance for interaction with authors.

23. These procedures provide for convening an Ad Hoc Open-Ended Meetings of Member States and an intergovernmental multi-stakeholder and expert meeting, and for these meetings to be governed by the rules of procedure of the UN Environment Assembly.

E. Montreal Protocol Assessment Panels

24. Three assessment panels currently serve the Montreal Protocol:

- (a) The Scientific Assessment Panel (SAP);
- (b) The Environmental Effects Assessment Panel (EEAP); and
- (c) The Technology and Economic Assessment Panel (TEAP).

25. [The terms of reference for the SAP and EEAP](#) are set out in Annex VI to the report of the first Meeting of the Parties (MOP-1) held in 1989. Specific details related to the scope of the 2022 Assessment for the SAP were decided by MOP-31 in 2019 and are set out in decision XXXI/21

26. The Terms of Reference of the TEAP and its technical options committees (TOCs) and temporary subsidiary bodies (TSBs) are detailed in an Annex to decision XXIV/8 (adopted in 2012). These terms provide that "The rules of procedure of the Montreal Protocol for committees and working groups will be followed in conducting the meetings of the TEAP/TOCs/TSBs, unless otherwise stated in these terms of reference for TEAP/TOCs/TSBs or other decisions approved by a Meeting of the Parties." They further specify that "No observers will be permitted at TEAP, TOC or

TSB meetings. However, anyone can present information to the TEAP/TOCs/TSBs with prior notice and can be heard personally if the TEAP/TOCs/TSBs consider it necessary.”

III. Procedures for completion of panel functions

27. This section provides an overview of procedures for the completion of panel functions, taking into account requirements set out in UN Environment Assembly resolution 5/8, notably, that the ad hoc open-ended working group will prepare proposals for the science-policy panel to consider:

- (a) “Processes for determining and executing the work programme of the panel” (paragraph 5(e));
- (b) “Arrangements for identifying and engaging with experts to contribute to the work of the panel” (paragraph 5(f));
- (c) “Procedures for the review and adoption of reports and assessments produced by the panel” (paragraph 5(g)); and,
- (d) “Options for voluntary financing of the work of the panel” (paragraph 5(i)).

28. Resolution 5/8 also decides that the ad hoc open-ended working group should take into account the need to ensure that the panel:

- (a) “Has procedures that seek to ensure that the work of the panel is transparent and impartial and that it can produce reports and assessments that are credible and scientifically robust” (paragraph 6(c));
- (b) “Has the ability to address potential conflicts of interest and safeguard commercially sensitive information” (paragraph 6(f)); and,
- (c) “Has the flexibility to respond, to the extent possible, to the needs identified by stakeholders and agreed to by its member Governments” (paragraph 6(g)).

29. The sections that follow therefore consider:

- (a) Procedures for receiving and prioritizing requests put to the panel (paragraph 5(e))
- (b) Procedures for the preparation of panel deliverables (paragraph 5(f) and (g) and 6(c))
- (c) Procedures for horizon scanning (paragraph 5(g) and 6(c))
- (d) Conflict of interest policy (paragraph 6(f))
- (e) Procedures to safeguard commercially sensitive information (paragraph 6(f))
- (f) Financial procedures for the panel (paragraph 5(i))

A. Procedures for receiving and prioritizing requests put to the Panel

1. IPCC

30. “For the period of the Fourth and Fifth Assessments, the Panel adopted [a framework and set of criteria](#) for establishing priorities for Special Reports, Methodology Reports and Technical Papers. The aim is to ensure efficient use of resources while addressing user needs. This framework is to be applied in accordance with the Principles Governing IPCC Work and is meant to guide, but not prescribe, future decisions by the Panel regarding its work programme. Decisions whether to initiate a new report will be considered on a case by case basis. The framework is reviewed after every assessment cycle and is, therefore, not part of Appendix A to the Principles Governing IPCC Work.”²

2. IPBES

31. IPBES’ [Procedure for Receiving and Prioritizing Requests Put to the Platform](#) was adopted by the first session of the IPBES Plenary, held from 21 – 26 January 2013. The opening paragraph of this document notes “This procedure is intended to guide the process for receiving and prioritizing requests put to the Platform and is to be applied in accordance with other rules and procedures of the Platform. This procedure is not intended to prescribe future decisions by the Platform regarding its work programme.”

² <https://www.ipcc.ch/documentation/procedures/>

3. IRP

32. [Policies and Procedures of the International Resource Panel](#) introduced above do detail some responsibilities related to prioritization of work:

- (a) Specific roles of the Steering Committee include, in paragraph 52,
- (b) “Provide input and recommendations for the strategic planning exercise and review and approve the Work Programme including the strategic direction and priorities for the corresponding work cycle.
- (c) Request the preparation of scientific studies and assessments that are not included in the Work Programme.
- (d) Consider and approve the requests for IRP scientific studies and assessments from intergovernmental bodies and other institutions, based on the strategic direction, technical capability and available resources.”

33. This prioritizing falls under “scoping exercise and work programme” process for the Panel’s work:

34. “Scoping Exercise and Work Programme. A strategic planning exercise is conducted by the IRP every 4 years to define the strategy and priority areas of the IRP. As part of this exercise, public consultations may be organized to capture views from external public or private stakeholders. As a result of this exercise, the Secretariat, based on inputs from the Panel and Steering Committee and public consultations will develop a Work Programme with the strategic direction, priority areas and description of potential scientific studies and assessments of the IRP in the corresponding cycle. The Work Programme is submitted to the Panel for input and recommendations and to the Steering Committee for approval.” (paragraph 73(a)).

4. GEO

35. The [agreed procedures for GEO-7](#) include a procedure for requests, prioritization and planning of additional functions of the GEO process (Section 6, p.11) and sets out steps for defining GEO assessment and the information and human and financial requirements needed for its preparation (Section 7, p.12-13).

5. Montreal Protocol Assessment Panels

36. These panels prepare quadrennial reports for parties, and parties will typically provide targeted guidance on the scope of these assessments (for example decision XXXI/2 agreed in 2019 specifies the content of the assessment reports that will be taken up by parties in 2023).

37. The TEAP’s TOCs and subsidiary bodies may be called upon to undertake work related to specific decisions by parties on a more regular basis. As specified under [decision XXIV/8 updating the TEAP’s terms of reference](#):

38. “To carry out its work programme, technical options committees (TOCs) are established and agreed to by a decision of the parties. TEAP may also establish temporary subsidiary bodies (TSBs), as needed. These bodies *generally* will not last for more than one year and are aimed at responding to specific requests made by the parties.”

B. Procedures for the preparation of panel deliverables, notably assessments

1. IPCC

39. The IPCC regularly updates [Appendix A: Procedures for the preparation, review, acceptance, approval, adoption and publication of IPCC reports](#). It was “adopted at the Fifteenth Session (San Jose, 15-18 April 1999) amended at the Twentieth Session (Paris, 19-21 February 2003), Twenty-First Session (Vienna, 3 and 6-7 November 2003), Twenty-Ninth Session (Geneva, 31 August-4 September 2008), Thirty-Third Session (Abu Dhabi, 10-13 May 2011), Thirty-Fourth Session (Kampala, 18-19 November 2011), Thirty-Fifth Session (Geneva, 6-9 June 2012) and the Thirty-Seventh Session (Batumi, 14-18 October 2013).”

40. This document includes three annexes:

- (a) Annex 1: Tasks and responsibilities for lead authors, coordinating lead authors, contributing authors, expert reviewers and review editors of IPCC reports and government focal points

- (b) Annex 2: Procedure on the use of literature in IPCC reports
- (c) Annex 3: IPCC protocol for addressing possible errors in IPCC assessment reports, synthesis reports, special reports and methodology reports

2. IPBES

41. In Decision IPBES-3/3 (2015), IPBES adopted [Procedures for the preparation of Platform deliverables](#).
42. This document includes three appendixes:
- (a) Appendix I: Tasks and responsibilities of report co-chairs, coordinating lead authors, lead authors,
 - (b) contributing authors, review editors and expert reviewers of Platform reports and other
 - (c) deliverables and of government-designated national focal points
 - (d) Appendix II: Procedure on the use of literature in the reports of the Platform
 - (e) Appendix III: Procedure for the recognition and incorporation of indigenous and local knowledge (to be developed)
43. Section 3.10 of the procedures addresses error correction.

3. IRP

44. Several of the annexes to the Policies and Procedures of the International Resource Panel relate to the preparation of panel deliverables, notably:
- (a) Annex 3: [Guidelines on External Expert Review Process](#)
 - (b) Annex 4: [Guidelines on the Use of Literature in IRP Publications](#)
 - (c) Annex 5: Protocol for Addressing Possible Errors in IRP Publications (not available online)

4. GEO

45. The [GEO-7 procedures](#) specify how to nominate and select experts (Section 8) and the preparation of comprehensive and thematic assessments (Section 9). These procedures also detail procedures for qualitative and quantitative assessments of confidence (Section 11) and how to address possible errors following publication of an assessment (Section 12).

5. Montreal Protocol Assessment Panels

46. Details on the preparation of assessments are set out in the [terms of reference](#) for the Assessment Panels agreed by parties at their first meeting.

C. Procedures for horizon scanning

47. Since neither IPCC, IPBES nor IRP include procedures for horizon scanning, this section identifies existing procedures for horizon scanning identified while preparing UNEP/SPP-CWP/OEWG.1/(II)/INF/5.

1. Food and Agriculture Organization

48. The introduction to [Thinking about the Future of Food Safety – A Foresight Report](#), published in 2022, introduces the foresight approach, including horizon scanning,

2. World Health Organization

49. [Foresight approaches in global public health: a practical guide for WHO staff](#), published in 2022, includes a quick guide to using foresight in addition to providing several practical examples as illustrations.

D. Conflict of interest policy

50. UNEA Resolution 5/8 provides that the ad hoc open-ended working group should take into account the need to ensure that the panel: “Has the ability to address potential conflicts of interest and safeguard commercially sensitive information” (paragraph 6(f)). These two items are addressed separately in this document since the panels reviewed do have examples of the former but not of the latter.

1. IPCC

51. IPCC’s [Conflict of Interest Policy](#) was approved at the Thirty-Fourth Session (Kampala, Uganda, 18-19 November 2011); amended at the Fortieth Session (Copenhagen, Denmark, 27–31 October 2014); and the Forty-Fourth Session (Decision IPCC/XLIV-3, Bangkok, Thailand, 17-20 October 2016).

52. Annex A to the document sets out the procedures for implementing the IPCC Conflict of Interest Policy. “The Conflict of Interest Policy is overseen by a COI Committee that comprises all elected members of the Executive Committee and two additional members with appropriate legal expertise appointed by the WMO and UNEP. The Panel approved the [Methods of Work](#) of the COI Committee during its 35th Session (Geneva, June 2012) and amended it at its 44th Session (Bangkok, October 2016)” The approved IPCC Conflict of Interest Policy is available in all UN languages [here](#).

2. IPBES

53. IPBES’ [Conflict of interest policy and implementation procedures](#) were adopted in decision IPBES-3/3 (2015).

54. The policy explains the purpose and scope of the policy (including defining conflict of interest and bias), and the implementation procedures set out 10 rules to “designed to ensure that relevant interests are identified and then disclosed to the Committee on Conflicts of Interest, which will identify potential and real conflicts of interest and manage them in order to avoid any adverse impact on the Platform and its deliverables while protecting the person or persons concerned and the public interest.”(rule 1)

3. IRP

55. Annex 2 of the IRP’s Policies and Procedures of the International Resource Panel set out the Panel’s Conflict of Interest Policy. It is not available online.

4. GEO

56. The [GEO-7 procedures](#) include a section on conflict of interest (Section 13, p.21-22) and includes a link to a conflict of interest declaration form.

5. Montreal Protocol Assessment Panels

57. The TEAP terms of reference include a Code of Conduct “that must be followed by the members of TEAP, the TOCs and the TSBs”. This Code is “intended to protect Members of TEAP, the TOCs and the TSBs from conflicts of interest in their participation.” Members’ Disclosure of Interest Declaration are posted on the [TEAP website](#).

E. Procedures to safeguard commercially sensitive information

58. UNEA resolution 5/8 provides that the ad hoc open-ended working group should take into account the need to ensure that the panel: “Has the ability to address potential conflicts of interest and safeguard commercially sensitive information” (paragraph 6(f)). These two items are addressed separately in this document since the panels reviewed do not have examples of the latter.

59. The secretariat has identified the following procedure to safeguard commercially sensitive information.

1. Stockholm Convention on Persistent Organic Pollutants (POPs)

60. At their second meeting, the POPs Review Committee drafted a “[Code of Practice for the treatment of confidential information in the POPRC](#)”. POPRC forward this draft to parties and it was adopted by the Conference of the Parties in Decision 3/9 in 2007.

F. Financial procedures for the panel

61. UNEA resolution 5/8 provides that the ad hoc open-ended working group will prepare proposals for the science-policy panel to consider: “Options for voluntary financing of the work of the panel” (paragraph 5(i)) and that it “Is cost-effective, with the leanest structure consistent with achieving the highest impact” (paragraph 6(h)).

62. Since IPCC and IPBES are both stand-alone intergovernmental science-policy panels, their financial procedures detail operation and funding of a Trust Fund and what falls under the institution’s resources. Since IRP, GEO and the Montreal Protocol Assessment Panels are subsidiary bodies, their financial procedures/rules are not detailed here.

1. IPCC

63. “The IPCC is funded by regular contributions from its parent organizations WMO and UNEP, and voluntary contributions from its member governments and the UNFCCC.”³

64. Appendix B to the Principles Governing IPCC work set out the [Financial procedures for the IPCC](#), they were adopted at the Twelfth Session of the IPCC (Mexico City, 11-13 September 1996) and revised at the Thirty Fourth Session of the IPCC (Kampala, 18-19 November 2011).

2. IPBES

65. IPBES’ [Financial procedures](#) have been adopted by the Plenary in decisions IPBES2/7 (2013) and IPBES-3/2 (2015).

³ <https://www.ipcc.ch/documentation/procedures/>