

**THIRTY-SECOND SESSION OF THE IPCC  
Busan, 11-14 October 2010**

IPCC-XXXII/Doc. 12  
(14.IX.2010)  
Agenda Item: 4.2  
ENGLISH ONLY

**THE IPCC FIFTH ASSESSMENT REPORT (AR5)**

**Progress Report of Working Group III**

(Submitted by the Co-Chairs of Working Group III)

# **PROGRESS REPORT OF WORKING GROUP III FIFTH ASSESSMENT REPORT (AR5)**

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## **1. Background**

At the 28<sup>th</sup> Session of the IPCC (IPCC-XXVIII, 9-10 April 2008 Budapest), it was decided to carry out a Fifth Assessment Report to be finalized in 2014. An AR5 scoping meeting was held on 13-17 July 2009 in Venice. The resulting scoping documents of all three Working Groups were sent out for Government review and comments. The outline of Working Group III was adopted with a few amendments at the tenth Session of Working Group III (WGIII: 10<sup>th</sup>) and agreed by the 31<sup>st</sup> Session of the IPCC (both 26-29 October 2009, Bali) as laid out in WG-III: 10<sup>th</sup> /Doc.2 rev. / IPCC-XXXI/Doc. 21.<sup>1</sup> Subsequent to the Plenary Session in Bali, a full nomination process was carried out in accordance with the IPCC Principles and Procedures and the Working Group III Bureau selected Coordinating Lead Authors, Lead Authors and Review Editors for the report.

## **2. Milestones since IPCC-XXXI (26-29 October 2009, Bali)**

### **2.1 Selection Process of Authors and Review Editors**

Nominations for Coordinating Lead Authors (CLA), Lead Authors (LA) and Review Editors (RE) to contribute to the Fifth Assessment Report (AR5) of Working Group III (WGIII) were submitted by the IPCC focal points by 12 March 2010. The full list of nominations was distributed to the WGIII Bureau and the CVs of all experts were made accessible via a protected website. All nominations were reviewed in accordance with the IPCC procedures in order to select the expertise required, cover a range of views, and ensure geographical representation. For the purpose of implementing these criteria a range of indicators was used for assessing the CVs. This included, for example, whether candidates had a background in research or industry, the extent and impact of their publications and relevant affiliations. In addition, information about the primary expertise of candidates, as provided during the nomination process, was complemented by keywords extracted from the CVs, thus facilitating an easier allocation to specific chapter sections of the AR5 outline. The information gathered during this assessment was collated in a database in combination with the author specific details from the nomination process. Previous IPCC experience was also recorded with the aim to achieve an appropriate mixture of IPCC-experienced CLA, LA and RE and those new to the process, taking into account the crucial difference between the outlines of the Fourth Assessment Report (AR4) and AR5.

Based on this review, the Co-Chairs created a proposal for a “pool list”, identifying different candidates for the positions of CLA, LA and RE, which still contained an excess number of candidates for each chapter. The WGIII Bureau was then asked to comment on and amend the proposed pool list (i.e. add new names from the full nomination list, add completely new suggestions or delete existing ones). Based on the consolidated pool list the Co-Chairs then created a proposal for a “short list” that served as a basis for the final decisions during the WGIII Bureau Session (17-18 May 2010, Geneva). Over the course of one and a half days of very constructive discussions, the WGIII Bureau scrutinized the proposed shortlist chapter by chapter. For each chapter a CLA from a developing country (DC) or from a country with an economy in transition (EIT), and a CLA from an industrialized country (IC) were selected. LAs were chosen with a view to cover the necessary expertise, also taking into account regional and gender balance. For the REs, the same regional composition as for the CLA teams was applied, with Bureau Members complementing the selected experts where possible. Throughout the selection process, great emphasis was placed on choosing highly recognised individuals to ensure the necessary level of excellence that will be required for the upcoming assessment cycle.

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<sup>1</sup> The outline can be downloaded at <http://www.ipcc-wg3.de/files/WGIII-Outline-AR5.pdf>.

The TSUs of the other WGs were consulted early in the process to discuss and avoid overlaps in the author slates while following the idea of introducing cross-WG bridge authors. The latter aspect entails that LAs of one WG are also marked to serve as Contributing Authors (CAs) in another WG as required. It can be seen as a positive development for improving cross-WG coherence that a significant number of authors has been nominated and is qualified for participation in more than one WG.

Based on the agreed author slate, invitations to CLAs, LAs and REs were sent out after the forty-first Bureau Session (BUR-XLI, 19-20 May 2010, Geneva). Unfortunately, a number of regrets were received and replacements for these experts had to be found. All new authors were selected according to the expertise that needed to be replaced, taking regional and gender aspects as much as possible into consideration. At present, there is still one position of a trade expert that remains to be filled in Chapter 15 on “Regional and Sub-national Policies and Institutions”. In addition, the WGIII Bureau agreed in Geneva to keep 3 positions vacant in Chapter 12 “Human Settlements, Infrastructure and Spatial Planning”. These will be filled once the detailed outline of this chapter is agreed based on the Expert Meeting on “Human Settlements and Infrastructure” which will take place on 22-24 March 2011 (see table 3 below). The current list of authors is provided as an information document to this Plenary Session.<sup>2</sup>

## 2.2 Statistics on Nominations and Selected Author Teams

WG III received 1008 Government/Organization nominations for CLA, LA and RE to contribute to the AR5 of the IPCC. In total, experts from 70 different countries were nominated. Table 1 shows the distribution of official nominations within the six WMO regions<sup>3</sup>.

**Table 1** WGIII AR5 official author nominations according to WMO region and region type (DC – Developing Country, EIT – Countries with Economies in Transition and IC – Industrialised Country).

<b>WMO Region</b>	<b>Absolute Numbers</b>	<b>Percentage %</b>
I – Africa	38	4%
II – Asia	237	24%
III - South America	61	6%
IV - North America, Central America and the Caribbean	319	32%
V - South-West Pacific	31	3%
VI – Europe	322	32%
<b>TOTAL</b>	<b>1008</b>	
<b>RegionType</b>		
DC	291	29%
EIT	13	1%
IC	704	70%
<b>TOTAL</b>	<b>1008</b>	

<sup>2</sup> The list can also be downloaded at <http://www.ipcc-wg3.de/files/WGIII-AR5-Author-Nominations.pdf>. It shows the expert’s country of residence. For the non-DC/EIT-countries this coincides, with few exceptions, with the location of the supporting entity.

<sup>3</sup> The distribution is based on the nominee’s citizenship. For the countries comprising each region refer to [http://www.wmo.int/pages/members/index\\_en.html](http://www.wmo.int/pages/members/index_en.html) and for a listing of EIT countries please refer to [http://www.oecd.org/document/53/0,3343,en\\_2649\\_34361\\_2346101\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/53/0,3343,en_2649_34361_2346101_1_1_1_1,00.html)

From the large pool of nominations, the total number of experts selected to participate in the AR5 will be 271. Considering the 4 vacant author positions that still remain to be filled, a total of 267 experts from 63 different countries has been selected so far. More than three quarters of these nominations were received through the IPCC focal points, while the remaining part of 23% was nominated by the WGIII Bureau to fill in missing expertise and/or account for regional balance.

The following Table 2 shows the respective share of selected experts from the different WMO-regions and region types, i.e. developing countries (DC), countries with economies in transition (EIT) and industrialised countries (IC). Here, the share between IC and DC/EIT countries deserves special attention, as WGIII achieved a 46% participation of experts from DC/EIT countries. Also, a comparison between the total numbers of experts nominated and selected shows that the final selection of experts exhibits a higher share of experts from DC/EIT countries than received through the official nomination process, i.e. 46% compared to 30%, respectively.

**Table 2** WGIII AR5 author selection analysed according to WMO region and region type (DC – developing country, EIT – country with economy in transition and IC – industrialised country).

<b>WMO Region</b>	<b>Absolute Numbers</b>	<b>Percentage %</b>
I – Africa	27	10
II – Asia	52	19
III - South America	24	9
IV - North America, Central America and the Caribbean	68	25
V - South-West Pacific	10	4
VI – Europe	86	32
<b>TOTAL</b>	<b>267</b>	
<b>RegionType</b>		
DC	117	44%
EIT	6	2%
IC	144	54%
<b>TOTAL</b>	<b>267</b>	
<b>AR5 Expert Nominations</b>		
Total	1008	100%
DC/EIT	304	30%
Female	185	18%
New	888	88%
<b>AR5 Expert Selection</b>		
Total	267	100%
DC/EIT	123	46%
Female	47	18%
New	193	72%

When comparing the statistics of the nominations with the final author slate, the share of female experts remained constant (18%), whereas the share of experts new to the IPCC process decreased. However, it remained on a high level with 72% of the experts selected for the AR5 not having participated as CLA, LA or RE in the previous assessment cycle (AR4) or in the Special Report on Renewable Energy and Climate Change Mitigation that will be published in 2011.

The average size of the author teams is about 15 authors per chapter. This size is determined by both the breadth of expertise required, in particular for Chapters 5-12, and the detail of regional information deemed necessary, as for Chapters 13-16. This is partly due to the fact that in comparison to the AR4, a number of new aspects have been introduced to the WGIII outline such as human settlements and infrastructure, and several chapters on policies, institutions and finance.

### 2.3 Expert Meetings since IPCC-XXXI

The joint WGII/III EM on “Human Settlement, Water, Energy and Transport Infrastructure – Mitigation and Adaptation Strategies” was originally scheduled for April 2010. However, it had to be postponed on a very short notice due to the volcanic ash cloud caused by the Eyjafjalla Glacier in southern Iceland that led to major disruptions of air traffic at that time and made it impossible for the majority of the participants to join the meeting. The Cross-WG Meetings on “Consistent Evaluation of Uncertainties and Risks” and on “UNFCCC Article 2” will be reported upon under separate cover.

### 3. Upcoming Expert & Lead Author Meetings

A number of Expert Meetings (EM) that feed into the AR5 assessment cycle has been approved by the last Plenary Session in Bali (IPCC-XXXI/Doc.10). Most of them have a cross working group focus and show the close cooperation among the WGs and WG TSUs. Table 3 lists the upcoming AR5 WGIII-related meetings until the end of 2011.<sup>4</sup> The Lead Author (LA) meetings of the AR5 assessment cycle, too, have been approved by the last Plenary Session in Bali (WG-III :10<sup>th</sup> /Doc.3).

**Table 3** WGIII AR5-related upcoming meetings until end of 2011.

Event	Date
Workshop on Socioeconomic Scenarios for Climate Change Impact and Response Assessment (jointly with WGII) – Berlin, Germany	1-3 November 2010
EM on Human Settlements & Infrastructure (jointly with WGII)* – Kolkata, India	22-24 March 2011
EM1 Scenarios – Seoul, South Korea	3-4 May 2011
Lead Author Meeting 1 – Seoul, South Korea	5-8 May 2011
EM on Geoengineering (jointly with WGI & II) – Peru (TBD)	20-21 June 2011 (TBD)
EM on Economics, Costing & Ethics (jointly with WGII) – Peru (exact location TBD)	22-24 June 2011

\*postponed from April 2010 because of major air traffic disruptions due to a volcanic ash cloud at that time.

Some of the meetings listed in Table 3 differ from the forecast budget presented at IPCC-XXXI. The postponed joint WGII/III expert meeting on Human Settlements is now scheduled in the financial year 2011. Secondly, the Co-Chairs of all three working groups are presenting a joint proposal for an expert meeting on geoengineering to this Plenary Session that would be held in mid-2011. Thirdly, the success in improving DC/EIT-participation (see section 2) has implications for the budget as well. All these changes are detailed in the budget document (IPCC-XXXII/Doc. 3) provided to this Plenary Session.

<sup>4</sup> The full WGIII work plan can be downloaded at <http://www.ipcc-wg3.de/meetings>.