

**FORTY-FIRST SESSION OF THE IPCC  
Nairobi, Kenya, 24-27 February 2015**

IPCC-XLI/Doc. 9, Rev.1  
(4.II.2015)  
Agenda Item: 5.4  
ENGLISH ONLY

**FUTURE WORK OF THE IPCC**

**Report of the Expert Meeting on potential studies of the IPCC Process -  
recommended principles to guide IPCC's engagement**

(Submitted by the IPCC Secretariat)

## FUTURE WORK OF THE IPCC

### Report of the Expert Meeting on potential studies of the IPCC Process - recommended principles to guide IPCC's engagement

The Panel at its 37<sup>th</sup> Session discussed the matter of potential studies of the IPCC process and it requested the Executive Committee to initiate an Expert Meeting which should produce a report that recommends principles to guide the IPCC's engagement with such research.

The IPCC Executive Committee addressed this issue at its 27<sup>th</sup>, 28<sup>th</sup>, 29<sup>th</sup>, 30<sup>th</sup>, 31<sup>st</sup> and 32<sup>nd</sup> meetings. It submitted to the 40<sup>th</sup> Session of the Panel the paper on the Scope of the IPCC Expert Meeting on Studies of the IPCC Process contained in **Annex 1**, advised on potential experts to be invited and on the draft programme.

The IPCC Executive Committee established a Scientific Steering Committee to assist in the preparation of the Expert Meeting. The Scientific Steering Committee consists of (listed alphabetically):

- Shardul Agrawala, CLA, Working Group III (India);
- Eduardo Calvo, Working Group II Vice-Chair (Peru);
- Renate Christ, Secretary of the IPCC;
- Cathy Johnson, UK Government representative, Co-Chair of the contact group at IPCC-37 (United Kingdom);
- Youba Sokona, Co-Chair Working Group III (Mali);
- Naomi Orestes, Harvard University (representing social scientists interested in conducting studies) (United States of America);
- Jongikhaya Witi, South Africa Government representative, Co-Chair of the contact group at IPCC-37 (South Africa);
- David Wratt, Working Group I Vice-Chair (New Zealand).

The Scientific Steering Committee met by teleconference on 6 October 2014 and on 8 January 2015 in order to consider the draft programme for the Expert Meeting as well as the list of experts to be recommended to the IPCC Chair to be invited to the Expert Meeting. The Expert Meeting on Potential Studies of the IPCC Process was held on 28-29 January 2015 at the headquarters of the World Meteorological Organization in Geneva. The programme of the Expert Meeting is contained in **Annex 2** and the list of participants is contained in **Annex 3**.

Below are the recommended principles from the Expert Meeting for the consideration of the Panel at its 41<sup>st</sup> Session. A full report of the Expert Meeting is provided in document IPCC-XLI/INF. 4.

#### **Principles to guide the IPCC's engagement in potential studies of the IPCC process as recommended by the Expert Meeting**

- (1) The IPCC should develop a decision pathway for consideration of requests from researchers for access to non-public IPCC materials or meetings. The pathway should ensure that the following information requirements are met, while acknowledging the needs of IPCC authors and the need of researchers for an efficient and timely decision process.

(2) Information required when submitting a request should include:

- a) Proposal of planned research.
- b) Letter of support from supervisor or institution, credentials of supervisor and institution (where applicable).
- c) Information about composition of research team.
- d) Credentials of researchers/research team, incl. CVs and publication lists.
- e) Description of type, timing and duration of access required.
- f) Justification of enhanced value from requested access to non-public materials or meetings.
- g) Consideration of ethical issues and data management.
- h) Description of the process by which the proposal has been or is being evaluated and mechanisms for quality assurance.
- i) Information about funding sources.
- j) Declaration of any potential conflict of interest.
- k) Anticipated benefit to the broader public interest.

(3) Evaluation criteria for requests

The IPCC may consider the information outlined in (2) in its decision pathway, along with:

- a) Benefit to broader public.
- b) Overall geographic balance and diversity of the research portfolio.
- c) Gender balance.
- d) Career stage balance.

(4) Requirements for researchers conducting studies of the IPCC process

*Note: Researchers should minimize the demands on IPCC authors*

- a) Researchers must obtain appropriate informed consent from all subjects in the study.
- b) All identifying information will be kept confidential.
- c) The researchers may not intervene in IPCC deliberations.
- d) The researchers will only observe activities for which they have informed consent.
- e) IPCC will be provided draft publication ahead of submission, for prompt comment.
- f) IPCC will be provided any draft public relations documents (e.g., press releases) for prompt comment prior to their public dissemination.
- g) Researchers will not disclose their findings to the public, including the news media, prior to the publication of their study.
- h) Publication of studies will be embargoed until after the end of the assessment cycle, unless otherwise agreed to by the IPCC.
- i) Confidentiality of information and data to which researchers are granted access will be agreed during informed consent. Confidential information and data will be held in accordance with data protection requirements.
- j) 5 years after the completion of the assessment cycle, collected information will be shared with the IPCC for long term archiving.

- (5) The IPCC to consider developing a document and information management and conservation policy, which would apply to IPCC bodies and TSUs, taking into account:
- a) Organizational structure and institutional arrangements.
  - b) Materials such as document archives and data sets to be held by IPCC Secretariat and TSUs.
  - c) Limits of disclosure.
  - d) Time limits to confidentiality.

In doing so, the IPCC could explore those areas that may be insufficiently documented and consider ways to improve documentation.

Establishment of appropriate policy would allow IPCC to respond to potential studies requests in consistent and timely manner.

**Scope of IPCC Expert Meeting on studies of the IPCC process**  
(As submitted by the Executive Committee to IPCC-40)

Based on a request from the IPCC-37 and in line with section 7.1 on IPCC Workshops and Expert Meetings of Appendix A to the Principles Governing IPCC Work

**Background**

The IPCC is in many ways a unique institution. It has operated successfully for more than 25 years at the science policy interface. The role of the IPCC is to assess on a comprehensive, objective, open and transparent basis the scientific, technical and socio-economic information relevant to understanding the scientific basis of risk of human-induced climate change, its potential impacts and options for adaptation and mitigation. IPCC reports should be policy relevant but not policy prescriptive. IPCC reports provide a balanced assessment of what is known and what is not known. The process engages scientists in a manner that assures development of the report contents by the entire scientific community, while at the same time the procedures allow governments to trust the process and “own” the reports when they are complete.

The IPCC process is an attractive target for serious studies by social scientists from a range of disciplines. Potentially interesting and valuable studies might address history, organizational dynamics, sociology, political science, psychology, or a combination of these disciplines. At least three kinds of considerations motivate studies of the IPCC. One is that the institution combines importance with unique features. IPCC is simply different from all of the other entities that provide scientific information at the interface with policy. A second motivation is providing information to support improving the process. The ongoing evolution of technology for generating reports, geographic spread of authors, publishing technology, and stakeholder needs all point to the value of information to underlie future changes to the IPCC process. A third motivation is the historical and ongoing attacks on the IPCC, especially from organizations with concerns about the messages. High quality research on the IPCC process could potentially help address some of these criticisms and improve the depth of public understanding of the IPCC.

The IPCC has been the subject of several studies, ranging from historical narratives (Bolin 2007) to the psychology of risk communication (Budescu et al. 2009). None of the past studies has, however, used careful scholarly methods to study the inner workings of the IPCC process. There are a lot of first-person narratives based on the experiences of authors and country delegates, but there are no systematic studies based on observations in writing meetings and at approval sessions.

While there may be much to be gained from systematic studies of the IPCC process, there are also some important challenges that need to be addressed. Perhaps the most important of these is finding a way to open options for including observers into author meetings while also assuring that authors feel fully empowered to express their views and allow discussions to mature, without concern that some entity is looking over their shoulders. A second concern is assuring that the discussions in author teams are limited to authors and that embedding non-authors in the author meetings might distort the discussions or balance of the writing team. A third possible concern is whether the IPCC culture of openness and supportiveness is somehow threatened by embedding non-authors. A fourth is the status of documents to which the researchers are given access to by IPCC during their work, and the status of their own notes and documents on Lead Authors and other IPCC meetings or discussions with authors. Finally, the large number of authors makes it challenging to assure informed consent. The presence of non-authors in writing meetings, and perhaps at Bureau and Plenary meetings, should not come as a surprise to anyone.

Finding a way to facilitate studies of the IPCC process while also recognizing the challenges is a subtle task. Following a discussion of the IPCC Panel at its 37<sup>th</sup> Session, the Panel requested the IPCC Executive Committee to initiate an Expert Meeting on studies of the IPCC process and to produce a report that recommends principles to guide the IPCC's engagement in such research.

### **Aim of Expert Meeting**

The specific aims should include:

- 1) Collecting perspectives on useful targets of study and research questions
- 2) Clarifying potential and real concerns about informed consent and other challenges
- 3) Suggesting processes and guidelines for decision by the IPCC Panel on whether to accept particular future requests for studies of the IPCC process that involve embedding non-authors in writing team meetings or in other IPCC activities.
- 4) Suggesting guidelines for undertaking such studies.
- 5) To inform the work of the Task Group on the Future Work of IPCC.

### **Scientific Steering Committee**

The Scientific Steering Committee will meet by phone to consider the list of experts drafted by the Secretariat and to be recommended to the IPCC Chair for decision and the draft agenda for the meeting prepared by the Secretariat. The Scientific Steering Committee will consist of (listed alphabetically).

Shardul Agrawala	CLA, WGIII	(India)
Eduardo Calvo	WGII Vice-Chair	(Peru)
Renate Christ	Secretary of the IPCC	(IPCC)
Cathy Johnson	UK Government representative Co-Chair of the contact group at P37	(UK)
Youba Sokona	Co-Chair WGIII	(Mali)
Naomi Oreskes	Harvard University (representing social scientists interested in conducting studies)	(USA)
Jongikhaya Witi	South Africa Government representative Co-Chair of the contact group at P37	(South Africa)
David Wratt	WGI Vice -Chair	(New Zealand)

### **Product**

The primary product of the Expert Meeting will be a report that recommends principles to guide the IPCC's engagement in potential studies of the IPCC process, for consideration by the IPCC Panel. The report of the meeting will explain the motivation behind the suggestions. The suggested guidelines and the report of the meeting will be available on the internet and in printed form. The outcomes will be available in time to inform the work of the Task Group on the Future of the IPCC.

## **Timetable and Location**

(Amended in the light of discussions at the Executive Committee on 18 September 2014)

The meeting will be held in Geneva in February 2015

### 2014

1 August	Nominations from the Executive Committee and Working Group/Task Force Bureaux
6 October	Meeting of the Scientific Steering Committee

### 2015

February	Expert Meeting in Geneva
April	Draft suggested guidelines and meeting report
June	Final suggested guidelines and meeting report
IPCC-42	Consideration of the Expert Meeting suggestions by the Panel

## **Participants**

The Panel requested a meeting of 40 participants (IPCC-37 report). Participants should include IPCC authors, country delegates, Executive Committee, Working Group and Technical Support Unit members, experts with published research in the field, and social scientists potentially interested in proposing studies of the IPCC process.

Participants should be suggested by Executive Committee, as well as Working Group/Task Force Bureaux through their respective Co-Chairs.

## **Financial Resources**

Funds required will include participant support for up to 16 experts eligible for support from the IPCC Trust Fund (confirm details), plus funds for facilitating a meeting at WMO Headquarters.

## **References**

Bolin, B. 2007. A history of the science and politics of climate change: the role of the Intergovernmental Panel on Climate Change. Cambridge University Press, Cambridge, UK; New York.

Budescu, D., S. Broomell, and H. Por. 2009. Improving communication of uncertainty in the reports of the intergovernmental panel on climate change. *Psychological Science* 20:299.

**IPCC EXPERT MEETING ON POTENTIAL STUDIES OF THE IPCC PROCESS**

**Venue: World Meteorological Organization, Geneva, Switzerland**

**28-29 January 2015**

**PROGRAMME**

**DAY 1 (28 January)**

08h30

*Registration*

09h00

*Welcome*

Youba Sokona, IPCC Co-Chair, Working Group III (Chair of the Expert Meeting)

09h05

*Introduction - The purpose and scope of the Expert Meeting*

Renate Christ, Secretary of the IPCC

**SESSION 1 - Panel discussion - Why study science processes, and how?**

Moderator: Eduardo Calvo, Universidad Nacional Mayor de San Marcos, Peru

09h20

*Why and how social scientists study science processes?*

Yulia Yamineva, University of Eastern Finland

09h35

*How social scientific researchers protect their subjects?*

Martin Mahony, University of East Anglia

09h50

*Why study the IPCC?*

Naomi Oreskes, Harvard University

10h05

*What kind of studies and research questions on the IPCC might be expected?*

Michael Oppenheimer, Princeton University

10h20

*Panel discussion (also taking questions from the floor)*

11h00

Break

**SESSION 2 - Legal and administrative aspects**

11h30

*IPCC rules and procedures*

Renate Christ, Secretary, IPCC



11h45

*The Aarhus Convention: National and international obligations on public access to information*

Ella Behlyarova, Secretary of the Aarhus Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters

12h00

*Implementing Principle 10 of the Rio Declaration, in particular regarding access to information in international institutions*

Sophie Schlingemann, Legal and Liaison Officer, IPCC Secretariat

12h15

*Discussion*

13h00 – 14h30

Lunch

### **SESSION 3: The IPCC process and information**

14h30

*Access to information held by the TSUs and access to information from Plenaries, Working Group Meetings, Expert Meetings, Workshops, Author's meetings*

Joint presentation by the Heads of the five Technical Support Units

14h45

*Information held by the IPCC Secretariat and its accessibility*

Jonathan Lynn, Head Communications and Media Relations, IPCC Secretariat

15h00

*Discussion*

15h30

Break

### **SESSION 4: Concerns, Challenges and Opportunities**

16h00

*IPCC Author Perspective*

John Church, Commonwealth Scientific and Industrial Research Organization, author WG I

16h15

*IPCC Author Perspective*

Pauline Dube, University of Botswana, author WG II

16h30

*IPCC Author Perspective*

Jacob Mulugetta, University College London, author WG III

16h45

*IPCC Country Focal Point Perspective*

Jose Romero, Switzerland

17h00

*IPCC Country Focal Point Perspective*

Khalid Mohamed Abuleif, Saudi Arabia

17h15

Discussion: *Open discussion on concerns, challenges and opportunities from the Authors and National Focal Points perspective*

18h00

*Closing of day 1*

## **DAY 2 (29 January)**

08h30

Drafting Group, Breakout Groups Facilitators and Rapporteurs meet to discuss structure for Report/Recommendations and outputs needed from Breakout Groups.

09h00

*Summary of Day 1 and Introduction to Day 2*

Youba Sokona (Chair)

09h15

**SESSION 5: BREAK-OUT GROUPS** (in parallel)

**Break-out Group 1:** *Guidelines covering author and studier requirements in studies of IPCC assessment and consensus-building processes.*

*Chair: David Wratt, National Institute of Water and Atmospheric Research, New Zealand*

**Break-out Group 2:** *Guidelines regarding studies requiring access to information and data held by the IPCC, including the Secretariat, the Technical Support Units, author home institutions, and National Focal Points.*

*Chair: Catherine Johnson, Department of Energy and Climate Change, United Kingdom*

11h00

Break

11h30

*Break-out groups (continued, in parallel)*

**Break-out Group 1:** *Guidelines covering author and studier requirements in studies of IPCC assessment and consensus-building processes*

**Break-out Group 2:** *Guidelines regarding studies requiring access to information and data held by the IPCC, including the Secretariat, the Technical Support Units, author home institutions, and National Focal Points*

13h00 – 14.30

Lunch

## **SESSION 6: GUIDELINES AND REPORT**

14h30

*Report back from Break-out Group 1*

Introduction and open discussion

14h50

*Report back from Break-out Group 2*

Introduction and open discussion

15h10

Agreement on recommended principles to guide the IPCC engagement with such research for consideration by the Panel. Agree on general structure and content of the report of the meeting which will be finalized by the Scientific Steering Committee.

17h50

*Closing Remarks and Next Steps*

Youba Sokona (Chair)

18h00

End of Meeting

Expert Meeting on Potential Studies of the IPCC Process  
List of Participants

Last name	First name	Nationality	Organization
<b>Chairperson</b>			
SOKONA	Youba	Mali	South Centre, IPCC Co-chair, WGIII
<b>Experts</b>			
BARRETT	Ko	USA	National Oceanic and Atmospheric Administration
BECK	Silke	Germany	Helmholtz Centre for Environmental Research (UFZ)
BEHLYAROVA	Ella	(United Nations)	Aarhus Convention Secretariat
BOYKOFF	Max	USA	Center for Science and Technology Policy Research, University of Colorado-Boulder
CALVO	Eduardo	Peru	Universidad Nacional Mayor de San Marcos (UNMSM)
CHRIST	Renate	(United Nations)	Secretary of the IPCC
CHURCH	John	Australia	Commonwealth Scientific and Industrial Research Organisation (CSIRO)
DAHAN	Amy	France	Centre National de la Recherche Scientifique (CNRS)
DEWACHI	Omar	Lebanon	American University of Beirut
DUBE	Pauline	Botswana	University of Botswana
EL-HANI	Charbel	Brazil	Institute of Biology, Federal University of Bahia
FLACHSLAND	Christian	Germany	Mercator Research Institute on Global Commons and Climate Change
GEORGIS-WOLDE	Tsegay	Ethiopia	Institute of Arctic and Alpine Research, University of Colorado
HERNANDEZ-PEDRAZA	Gladys	Cuba	Centre for World Economy Studies (CIEM)
HIJIOKA	Yasuaki	Japan	National Institute for Environmental Studies, Japan
HIRAISHI	Taka	Japan	IPCC CO-Chair, TFB
HOWE	Josh	USA	Reed College
IGNON	Lance	USA	Citizen Group Communications
IVANOVA BONCHEVA	Antonina	Mexico	IPCC Vice-chair, WGIII
JOHNSON	Cathy	United Kingdom	Department of Energy and Climate Change (DECC), United Kingdom
KOHLER	Pia	Switzerland	Williams College, Center for Environmental Studies, United States of America
KOWARSCH	Martin	Germany	Mercator Research Institute on Global Commons and Climate Change
KRUG	Thelma	Brazil	IPCC Co-chair, TFB
LEMOS	Maria Carmen	USA/Brazil	School of Natural Resources and Environment, University of Michigan
MAHONY	Martin	United Kingdom	King's College London
MATHUR	Ritu	India	The Earth Research Institute (TERI)
MOHAMED ABULEIF	Khalid	Saudi Arabia	Ministry of Petroleum and Mineral
MORENO	Jose	Spain	University of Castilla-La Mancha
MULUGETTA	Yacob	Ethiopia	University College London
OKEREKE	Chukwumerije	Rwanda	University of Reading
OPPENHEIMER (webex)	Michael	USA	Princeton University
O'REILLY	Jessica	USA	College of St. Benedict, St. John's University, Minnesota
ORESKE	Naomie	USA	Department of the History of Science, Harvard University
PAN	Jiahua	China	Chinese Academy of Social Sciences Institute of Urban Development and Environment
PAZ-CASTRO	Luis	Cuba	Institute of Meteorology (INSMET)
PICHS MADRUGA	Ramón	Cuba	IPCC Co-chair, WGIII
PRATHER	Michael	USA	Department of Earth System Science, University of California
ROMERO	José	Switzerland	Federal Office for the Environment (BAFU / FOEN)
ROMERO-LANKAO	Patricia	Mexico	National Center for Atmospheric Research
SKEA	Jim	United Kingdom	Imperial College London & UK Energy Research Centre (UKERC)
VAN YPERSELE	Jean-Pascal	Belgium	Vice-chair of the IPCC
WRATT	David	New Zealand	National Institute of Water and Atmospheric Research (NIWA)
YAMINEVA	Yulia	Russian Federation	University of Eastern Finland
ZATARI	Taha	Saudi Arabia	Ministry of Petroleum and Mineral
ZWIERS	Francis	Canada	University of Victoria, Canada
<b>IPCC Secretariat / TSU</b>			
Last name	First name		Organization
MARTIN-NOVELLA	Carlos		Deputy Secretary of the IPCC
LYNN	Jonathan		IPCC Secretariat
SCHLINGEMANN	Sophie		IPCC Secretariat
PLATTNER	Gian-Kasper		Head, TSU WGI
TIGNOR	Melinda		TSU WGI
DOKKEN	Dave		Head, TSU WGII
MACH	Katharine		TSU WGII
FARAHANI	Ellie		TSU WGIII
MEYER	Leo		Head, TSU SYR
TANABE	Kiyoto		Head, TSU TFI (support with preparations)