

Decision IPCC/XLI-5. PRINCIPLES TO GUIDE IPCC`s ENGAGEMENT ON POTENTIAL STUDIES OF THE IPCC PROCESS

The Intergovernmental Panel on Climate Change approved the “Principles to guide the IPCC`s engagement in potential studies of the IPCC process” as recommended by the Expert Meeting on Potential Studies of the IPCC Process (28-29 January 2015, Geneva, Switzerland) and contained in Annex 1 to this Decision.

PRINCIPLES TO GUIDE IPCC` s ENGAGEMENT ON POTENTIAL STUDIES OF THE IPCC PROCESS

(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.