

**FORTY-FOURTH SESSION OF THE IPCC**  
**Bangkok, Thailand, 17 – 20 October 2016**

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Agenda Item: 6.1  
ENGLISH ONLY

**PROCEDURAL MATTERS**

**Review of the IPCC Conflict of Interest Policy**

(Submitted by the Secretary of the IPCC)

## **PROCEDURAL MATTERS**

### **Review of the IPCC Conflict of Interest (COI) Policy**

(Prepared by the sub-committee of the IPCC COI Committee  
established by the IPCC at its 43<sup>rd</sup> Session)

#### **Introduction**

In paragraph 1 of Decision IPCC/XLIII-3 on Procedural matters –review of the Conflict of Interests Policy, the IPCC decided “to establish a sub-committee of the Conflict of Interest (COI) Committee comprising the Chair of the COI Committee and the COI Committee members representing UNEP and WMO, as well as a representative of each Working Group Bureau and the Task Force Bureau, and serviced by the IPCC Secretariat, with the mandate to review the COI Policy and its implementation arrangements, and propose solutions for the problems and concerns outlined in document IPCC-XLIII/doc. 3, for the Panel’s consideration and decision at its 44<sup>th</sup> Session”.

In paragraph 2 of the same Decision the IPCC decided that “the mandate of the sub-committee has three elements:

- Revision of the COI disclosure form in order to solicit and ensure the provision of complete and relevant information;
- Consideration of the usefulness of expanding the scope of application of Rule 21 (d) of Appendix C to the Principles Governing IPCC Work, the Election Procedures, which requests that the COI disclosure form is accompanied by a curriculum vitae, to all COI disclosure form submission requests;
- Consideration of the advantages and disadvantages of changing the composition of the COI Committee, or any other measures to ensure continuous full and effective participation in its work and meetings”.

Finally, in paragraph 3 of the same Decision the IPCC decided “that the recommendations of the sub-committee would be reviewed by the IPCC Bureau first before their submission to the 44<sup>th</sup> Session of the IPCC”

#### **Process**

The sub-committee met four times, namely on 9 June, 15 July, 29 August and 12 September 2016. It received advice from the 52<sup>nd</sup> Session of the IPCC Bureau (Geneva, Switzerland, 18-19 August 2016) and, before finalizing its recommendations, also received comments in writing from one Bureau member and the government representatives from Germany and Switzerland, in response to a request to the Bureau for additional comments as suggested by the Chair of the sub-committee.

## Recommendations of the sub-committee

Based on the above-mentioned extensive consultation process the sub-committee is making the following recommendations:

1. In order to receive more detailed and specific information from individuals falling under the scope of the IPCC COI Policy, it is proposed to revise the COI form. This will make it easier for the COI Committee to make an informed decision on a potential conflict of interest. The revised form is contained in Annex 1.
2. It is proposed to attach a curriculum vitae (CV) to each COI form; the requirement is included in the revised form as contained in Annex 1.
3. With the view to facilitate the COI review process and to make it easier for the COI Committee to meet, it is proposed to downsize the Committee from the current 15 members (all elected Executive Committee members plus the legal experts from UNEP and WMO) to the following 8 members: Chair and Vice-Chair of the COI Committee, one Co-Chair from each of the Working Groups and the Task Force on Inventories, as well as the UNEP and WMO representatives. This means that the required quorum (two thirds of the members) can be reached when 6 members are present instead of the current 10 members. To reflect the proposal, paragraphs 3 and 19 of the Implementation Procedures of the IPCC COI Policy (hereafter: Implementation Procedures) and paragraph (a) of the Methods of Work of the COI Committee need to be amended.
4. Considering that the total annual costs for the COI Expert Advisory Group (EAG) of three consultants are CHF 15,000, and that in the context of the COI implementation there is no contentious issue which requires intervention of the EAG, it is proposed that it is more efficient and cost effective to discontinue the EAG and to hire a consultant when the need arises. The Implementation Procedures should be amended accordingly.
5. Finally, it is proposed to amend paragraph 7 of the Implementation Procedures to arrange that the COI forms of the professional staff of the Technical Support Unit for the Synthesis Report be evaluated by the IPCC COI Committee instead of the IPCC Bureau as is currently the case. This would make the procedure more efficient and less time consuming for the Bureau.

## Suggested action

In view of the above, the Panel may wish to consider and accept the following recommendations of the COI sub-committee and to that end decide to:

1. Adopt and replace Annex B to the COI Policy by the revised COI disclosure form as contained in Annex 1, which includes the request that COI disclosure forms should be submitted together with a CV.
2. Amend paragraphs 3 and 19 of the Implementation Procedures, as well as paragraph (a) of the Methods of Work of the COI Committee, to reflect that the COI Committee is composed of the Chair and Vice-Chair of the COI Committee, one Co-Chair from each of the Working Groups and the Task Force on Inventories, as well as two additional members with appropriate legal expertise from UNEP and WMO, appointed by those organizations.
3. Delete paragraphs 23 and 24 of the Implementation Procedures on the COI Expert Advisory Group, as well as the reference to the EAG in paragraphs 3, 4, 10, and 17 of the Implementation Procedures.
4. Replace the words "IPCC Bureau" in paragraph 7 of the Implementation Procedures by "COI Committee".

## DRAFT REVISED COI DISCLOSURE FORM

NAME:

ADDRESS:

E-MAIL ADDRESS:

TELEPHONE:

CURRENT EMPLOYER:

FUNCTION/ROLE IN IPCC:

**NOTE:** You have been invited to serve on the IPCC because of your professional standing and expertise. As outlined in the IPCC Conflict of Interest Policy, the role of the IPCC demands that it pay special attention to issues of independence and potential bias in order to maintain the integrity of, and public confidence in, its products and processes. It is essential that the work of the IPCC is not compromised by any conflict of interest for those who execute it. In view of this, disclosure of certain circumstances is necessary to ensure that the work of the IPCC is not compromised by conflicts of interest. In filling out this form, therefore, we rely on your professionalism, common sense, and honesty.

These arrangements and disclosure of interests are required as a matter of due diligence, to ensure appropriate assurance for the IPCC in matters of conflict of interest, professional and scientific integrity, and to protect the IPCC and participants from reputational risk.

This declaration of interests, and disclosure of conflicts of interest or potential conflicts of interest, is required under the IPCC Conflict of Interest Policy and Implementation Procedures.

You should disclose interests that could: i) significantly impair your objectivity in carrying out your duties and responsibilities for the IPCC, or ii) create an unfair advantage for you or any person or organization; and which could result in your securing a direct and material gain through outcomes in an IPCC product. For the purposes of this policy, circumstances that could lead a reasonable person to question your objectivity, or whether an unfair advantage has been created, constitute a potential conflict of interest and should be disclosed in this form.

You must also declare any relevant interests of parties with whom you have current contractual relationships or substantial common interests and which could be perceived as unduly influencing, or likely to unduly influence, your judgement (for example your employer(s), close professional associates, your administrative unit or department, sponsoring or funding entities).

A **brief** description of details should be provided in relation to any question below. You should aim to provide sufficient and explicit information to allow the IPCC to form a view on whether the circumstances disclosed give rise to an actual or potential conflict of interest. If in doubt about whether an interest should be disclosed, individuals are encouraged to disclose that information.

Please **sign** and **date** this form on the last page, and return the form to the Secretary of the IPCC with a **Curriculum Vitae** and information supporting these disclosures where applicable. **Retain a copy for your records.**

You must promptly inform the IPCC Secretariat if there is any change in this information prior to or during the course of your work or meetings for the IPCC. This form and the declarations contained therein must be completed before participation in the IPCC activity can be confirmed.

Answering “Yes” to a question on this form and making declarations and information available does not automatically or necessarily disqualify you from participation or involvement in the IPCC activities. There is an expectation that many participants will have information to make available in support of these disclosures. Your answers will be reviewed in accordance with the provisions specified in the IPCC COI Policy.

### 1. APPOINTMENTS AND ACTIVITY

Do you hold any position or appointment, or any business or professional relationships (whether commercial or non-financial) with other bodies related to climate science, such as the UNFCCC or others? Yes No

**Details:**

### 2. EMPLOYMENT AND CONSULTING

Do you receive any remuneration from a commercial entity or other organization with an interest related to the subject of the IPCC work in which you are engaged?

Employment or consulting, including services as a technical or other adviser Yes No

**Details:**

### 3. RESEARCH SUPPORT

Do you or your research unit receive financial support from any commercial entity or other organization with an interest related to the subject of the IPCC work?

Research support, including grants, collaborations, sponsorships, other funding Yes No

**Details:**

Non-financial support valued collectively in excess of US\$10,000 per year or equivalent (include the value of premises, equipment, facilities, assistants, paid travel, etc.) Yes No

**Details:**

Support, including honoraria, for being on a speakers’ panel, giving speeches or training for a commercial entity or other organization with an interest related to the subject of the IPCC work?

Yes No

**Details:**

### 4. INVESTMENT INTERESTS

Do you have investments in any commercial entity with an interest related to the subject of the IPCC work? (Please also include indirect investments such as a trust or holding company. You may exclude mutual funds, pension funds or similar investments that are broadly diversified and over which you exercise no control.)

Stocks, bonds, stock options, other securities (e.g. short sales) Yes No

**Details:**

Commercial business interests (eg, ownership, partnerships, joint ventures, board memberships, controlling interests)

Yes No

**Details:**

## 5. INTELLECTUAL PROPERTY

Do you own any intellectual property rights that might be affected by the IPCC work?

Patents, trademarks or copyrights (including pending applications)

Yes No

**Details:**

Proprietary knowledge in a technology or process being used for commercial purposes

Yes No

**Details:**

## 6. PUBLIC STATEMENTS AND POSITIONS

As part of a regulatory, legislative or judicial process, are you providing any expert opinion or testimony, related to the subject of the IPCC work, for a commercial entity or other organization?

Yes No

**Details:**

Do you hold an office or appointment, paid or unpaid, where you represent interests or defend a position related to the IPCC work?

Yes No

**Details:**

## 7. NON-FINANCIAL INTERESTS

Are you engaged in any professional or other activities which outside parties could consider might represent or give rise to a conflict of interest, or the perception of a conflict of interest with regard to your IPCC service?

Yes No

**Details:**

Are you involved in any:

- Senior editorial role or assignment?

Yes No

**Details:**

- Official function in a government agency or international organization?

Yes No

**Details:**

- Advisory committee associated with a public or private sector organization?

Yes No

**Details:**

Are you a:

- Board member of a public or private sector organization?

Yes No

**Details:**

- Board member of a non-profit organization? Yes No

**Details:**

- Board member of an advocacy group? Yes No

**Details:**

**8. FINANCIAL INTERESTS**

Do you hold any financial interests which outside parties could consider might represent or give rise to a conflict of interest, or the perception of a conflict of interest with regard to your IPCC service?

Yes No

**Details:**

**9. ADDITIONAL INFORMATION**

If not already disclosed above, are you aware of any aspect of your work for the IPCC that will enable you to obtain access to proprietary information or create for you a competitive advantage in your professional, financial or business dealings?

Yes No

**Details:**

To your knowledge, could the outcome of your work for the IPCC adversely affect the interests of any other persons or entities with whom you have substantial common personal, professional, financial or business interests (such as your adult children or siblings, close professional colleagues, administrative unit or department)?

Yes No

**Details:**

Which organisation is covering, partly or in full, your IPCC related travel costs?

**Details:**

Are you receiving any payments (other than for travel costs) or honoraria for speaking publicly on the subject of the IPCC work in which you are engaged?

Yes No

**Details:**

Is there any other aspect of your background or present circumstances not addressed above that you consider might be perceived as affecting your objectivity or independence?

Yes No

**Details:**

## **REMINDER**

“Yes” responses do not necessarily affect or prevent your participation in IPCC activities. Answering “Yes” to a question on this form does not automatically or necessarily disqualify you from participation or involvement in IPCC activities but should be accompanied by sufficient and detailed information to allow the IPCC to form a view on whether the circumstances disclosed could give rise to an actual or potential conflict of interest. Details should be provided even if your answer is ‘No’.

## **DECLARATION**

I hereby declare that the information in and accompanying this disclosure is true and complete to the best of my knowledge and belief. I declare that I have disclosed all associations required for disclosure under the IPCC Conflict of Interest Policy; and that, except as declared, I do not consider that any of the associations present a conflict of interest.

Should there be any change to the above information and declaration, I will promptly notify the IPCC Secretariat and complete a new declaration of interest form that describes the changes. This includes any change that occurs before or during my work with the IPCC and through the period of my engagement up to finalization or publication of results, or completion of the activity concerned.

I understand that information about my interests will be held by the IPCC for a period of five years after the end of the assessment cycle during which I contributed, after which the information will be destroyed. Subject to requirement to notify the existence of a conflict of interest to others under paragraph 6 of the Implementation Procedures, I understand that these forms will be considered confidential and will be reviewed in accordance with the COI Implementation Procedures.

I hereby declare that I will comply with the IPCC COI Policy and Implementation Procedures.

**Name:**

**Signature:**

**Date:**