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INTERGOVERNMENTAL PANEL ON climate change

THIRTY-FIFTH SESSION OF THE IPCC
Geneva, 6-9 June 2012

IPCC-XXXV/Doc. 13, Rev.1
(16.V.2012)
Agenda Item: 2
ENGLISH ONLY

DRAFT REPORT OF THE THIRTY-FOURTH SESSION

Kampala, Uganda, 18 -19 November 2011

(Submitted by the IPCC Secretariat)

IPCC Secretariat

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WMO UNEP

DRAFT REPORT OF THE 34TH SESSION OF THE IPCC
Kampala, Uganda, 18 – 19 November 2011

1. OPENING OF THE SESSION

Documents: IPCC-XXXIV/Doc.1, Rev.1, IPCC-XXXIV/Doc. 1, Rev.1, Add.1

The Chair of the IPCC, Mr Rajendra Pachauri, opened the 34th Session of the Intergovernmental Panel on Climate Change (IPCC-34) at 10:00 a.m. on 18 November 2011. In his opening statement, he expressed profound gratitude to the government of Uganda and to the government of Norway for their support of this meeting. He emphasized the significance of the meeting being held in Africa, given the findings related to climate change impacts and development challenges in the region.

He took note that 2011 had been an extremely productive and eventful period for the IPCC – with the completion of two Special Reports - the Special Report on Renewable Energy Sources and Climate Change Mitigation (SRREN) completed in May 2011 and the Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation (SREX). He spoke about how the reports would make important contributions to the wider debate, and would be presented at the United Nations Framework Convention on Climate Change (UNFCCC) Conference of the Parties (COP) in Durban, South Africa.

He noted that 2012 will see more ongoing progress towards the IPCC's Fifth Assessment Report (AR5) due for release in 2013/2014. He also spoke about the work carried out in 2011 and 2010 in implementing the recommendations from the Review by the InterAcademy Council (IAC) which has advanced substantially to strengthen the IPCC and equip the Panel to deal effectively with the challenges ahead. In this context, he highlighted the importance of developing a Communications Strategy. He also mentioned the importance of the work of the Task Force on Greenhouse Gas Inventories (TFI), in particular the preparation of the "2013 Supplement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories: Wetlands". He acknowledged the extremely valuable efforts made by the scientific community at large, and in particular IPCC authors for their work on the two IPCC Special Reports released in 2011.

The Norwegian Ambassador, Mr Thorbjørn Gaustadsæther, highlighted that the SREX is an important tool for understanding, taking actions, and making decisions on managing the risks of extreme events and disasters. He said the SREX would be presented to governments at the Durban UNFCCC meeting (COP17/CMP7) and would provide a good basis for them to take action. He thanked the Ugandan government for its hospitality and said Norway was pleased to have contributed to the organization of the meeting.

The UNEP representative, Mr Peter Gilruth, stressed the importance of the SREX, which provides also a foundation on which disaster risk reduction and the climate change communities can build stronger bridges, and can serve as a basis for environment and development work.

The UNFCCC representative, Mr Florin Vladu, updated the plenary on developments in the negotiating process, highlighting the achievements of the Cancun Agreements. He noted the comprehensive package to help developing nations deal with climate change, including Technology Mechanism, Adaptation Committee and the Green Climate Fund.

He mentioned that by setting the long-term global goal of limiting average global temperature warming below 2 degrees Celsius, governments have provided a strong signal to the private sector that they intend to move toward low-carbon economies.

However, he also noted that under the Kyoto Protocol negotiations there is still uncertainty on how the nature and status of emission reductions should be handled in the future. He said Durban needs to address both further commitments of developed countries under the Kyoto Protocol and the evolution of the mitigation framework under the Convention, while ensuring the differentiated participation of developing countries. He also noted that Durban will have an important role on building confidence in post-2012 climate financing. In closing, he expressed thanks to IPCC for its active involvement in the UNFCCC process and cooperation during UNFCCC sessions, workshops, briefings and numerous events, which contributed to making informed decisions, on a sound scientific and technical basis.

The WMO representative, Mr Jeremiah Lengoasa, noted that this has been a transformative year for the IPCC. He reaffirmed support for the work of the Panel and welcomed the AR5 preparations moving ahead as scheduled. He stressed that the AR5 will provide a strong basis for decision-making. He also highlighted the role of the WMO Global Framework for Climate Services, to be launched in the near future, to further assist in decision-making.

Ms Maria Mutagamba, Minister for Water and Environment, Uganda expressed her warm greetings from the people of Uganda. She said it was with great pride that Uganda continues to participate actively in the work of the IPCC and hosts this meeting, and thanked Norway, which co-funded the session. She said that Uganda has already started experiencing extreme weather events attributed to climate change such as severe droughts, floods and increased frequency of landslides. She also noted her country has adaptation policies in place, and underlined Uganda's early efforts under the Clean Development Mechanism. Finally, she noted the need to strengthen national meteorological and hydrological services in developing countries.

The Panel then observed a minute of silence for the untimely and sad passing away of Mr Mama Konate, UNFCCC SBSTA Chair.

The Chair introduced the provisional agenda as contained in the above-mentioned documents (attached as **Annex 1**).

2. APPROVAL OF THE DRAFT REPORT OF THE 33rd SESSION

Document: IPCC-XXXIV/Doc.2, Rev.1

The draft report of IPCC-33 was adopted with a minor editorial amendment (attached as **Annex 2** without its annexes).

Belgium noted the lack of reference in the report to the participation of media representatives in the Expert Meeting on Geo-engineering. The Chair explained that there is documentation provided on all expert meetings and the Panel may wish to return to that discussion under the respective agenda item.

3. ACCEPTANCE OF THE ACTIONS TAKEN AT THE JOINT SESSION OF WORKING GROUP I AND WORKING GROUP II ON THE SPECIAL REPORT ON MANAGING THE RISKS OF EXTREME EVENTS AND DISASTERS TO ADVANCE CLIMATE CHANGE ADAPTATION (SREX)

Document: IPCC-XXXIV/Doc.21

The IPCC Plenary formally accepted the actions taken at the first Joint Session of Working Groups I and II on the SREX. Delegations took the floor to express their strong appreciation to the WG I and II Co-Chairs and Authors and to all the others who had made possible this important achievement, and noted that the report will be of tremendous use by governments and other stakeholders, including the UNFCCC.

4. PREPARATION OF THE FIFTH ASSESSMENT REPORT (AR5)

Documents: IPCC-XXXIV/Doc.5, IPCC-XXXIV/Doc.6

Under agenda item 4.1 – Implementation of decisions by IPCC-32 on the Synthesis Report (SYR), the Panel considered the work plan for the preparation of the Synthesis Report. Also, under agenda item 4.2 – Overall schedule of preparation of the AR5 and its SYR, the Panel considered the updated overall schedule for the preparation of the AR5, which reflects adjustments of writing and review periods and the schedule for the preparation of the Synthesis Report.

The Chair introduced Mr Leo Meyer, the new Head of the TSU for the Synthesis Report who presented the work plan for the SYR (Document IPCC-XXXIV/Doc. 5) to the Panel. It contains management issues including the SYR TSU location, financing, schedule, and selection criteria for the SYR writing team. The Chair explained that the Panel will be consulted with regard to the outline of the SYR, if there is a need for further refinements.

Delegates expressed their gratitude for the selection of Mr Meyer. A compromise was required between concerns regarding sufficient time for government departments and stakeholders to review the second-order draft of the Synthesis Report, and the need for sufficient time for the CWT to consider the comments received. After some discussion, delegates expressed their support for a compromise solution to allow 7 weeks for the government/expert review of the draft SYR.

The proposal for a workshop on 'information relevant to Article 2 of the Convention', which could feed into the UNFCCC review of the adequacy of the Convention's ultimate goal, was discussed and delegates asked for clarification. The Chair explained that it was a response to a proposal from the UNFCCC and that the IPCC would have to see how this fits in with its own work.

A question was also raised about the selection process for the Core Writing Team (CWT) and the selection of review editors. The Secretary of the IPCC, Ms Renate Christ, provided clarification regarding the special procedures applicable to the SYR. Mr Leo Meyer noted the need for inclusion of the IPCC Vice-Chairs in the SYR writing team, since they have responsibilities related to cross-cutting issues. He also explained that the full team will come from the pool of experts already involved in the AR5.

In conclusion, there was no overall opposition to the proposals presented to the Panel, although no conclusion was reached on the proposal for a workshop on 'information relevant to Article 2 of the Convention'. The Panel accepted the proposed process regarding the composition, nomination and selection of the Core Writing Team for the AR5 Synthesis Report.

5. REVIEW OF THE IPCC PROCESSES AND PROCEDURES

Documents: IPCC-XXXIIV/Doc.8, Rev.1; IPCC-XXXIV/Doc.9; IPCC-XXXIV/Doc.9, Add. 1 IPCC-XXXIV/Doc.19; IPCC-XXXIV/Doc.20

Major IPCC decisions on this agenda item are contained in **Annex 3 and 4**. The following paragraphs summarize the prominent points of the final decisions on all of the relevant areas.

Conflict of Interest Policy:

The Panel at its 33rd Session decided to extend the mandate of the Task Group on Conflict of Interest Policy in order to develop proposals for Annexes to the Policy covering Implementation and the Disclosure Form. The Panel was invited to consider and adopt the document prepared by the Task Group (*IPCC-XXXIIV/Doc.8)*. The issue was first

addressed in the Plenary and then in several meetings of a contact group co-chaired by Mr Andrej Kranjc (Slovenia) and Mr Jongikhaya Witi (South Africa), with Mr Samuel Duffet (UK) as Rapporteur. The discussions focused on the draft Implementation Procedures prepared by the Task Group. It was noted that under the proposal there would be different procedures for the Bureaux members and non-Bureaux members.

In the final plenary, the Panel adopted the Implementation Procedures and Disclosure Form for the COI Policy with minor editorial corrections and decided that those procedures will apply, as soon as they are adopted, to individuals who are subject to the Conflict of Interest Policy (see **Annex 3**). The Secretary asked the plenary how the set of documents on COI should be integrated into IPCC regulations and suggested a paragraph be added that states these documents constitute an appendix to the Principles Governing IPCC Work. However, the Panel decided to leave them as stand-alone documents for now, as more consideration is needed before the documents are elevated to the level of principles.

Procedures:

During the plenary session on Friday the work of the Task Group on Procedures was introduced (also presented in *IPCC-XXXIV/Doc.9 and IPCC-XXXIV/Doc.9, Add. 1)* and was then further considered by a contact group co-chaired by Mr Eduardo Calvo (Peru) and Mr Øyvind Christerphersen (Norway), with Mr Arthur Petersen (Netherlands) as Rapporteur. The focus of discussions was on the finalization of revisions to Appendix A to the Principles Governing IPCC Work: Procedures for the Preparation, Review, Acceptance, Adoption, Approval and Publication of IPCC Reports, which started at IPCC-32.

Delegates thanked the Co-Chairs of the Task Group for their work and agreed with the proposed changes regarding: 1) IPCC guidance material, 2) the selection of participants to IPCC Workshops and IPCC Expert Meetings, and 3) matters relating to the transparency, quality and efficiency of the review process. They also agreed to continue current practices regarding expert reviews (whether they are named or anonymous), and regarding the submission of comments for the Summary for Policymakers approval sessions. After all the proposals were accepted by the Panel, one delegate flagged that there might be a need to further revise the procedures at a later point in time, and emphasized the need for consistent implementation and management across all teams.

The Panel adopted the revised Procedures “Appendix A to the Principles Governing IPCC Work - Procedures for the preparation, review, acceptance, adoption, approval and publication of IPCC Reports” with its Annexes 1, 2 and 3 in plenary on Saturday, completing the work of the Task Group on Procedures. The Panel’s decision on the IPCC Procedures and the revised Appendix A can be found in **Annex 4.**

Governance and Management:

At IPCC-33 the Panel established an Executive Committee and decided on many other relevant governance and management issues. However, it had extended the mandate of the Task Group on Governance and Management to IPCC-34 in order to finalize the following pending issues: (i) how the IPCC might participate in decisions on contract renewal, employment term limit, staff appraisal, and recruitment for senior staff; and (ii) Terms of Reference of the Secretariat and TSUs; while noting that the functions of the Secretariat were reviewed in 2008.

Since both Co-Chairs of the Task Group on Governance and Management, Mr David Warrilow (UK) and Mr Taha Zatari (Saudia Arabia) were unable to come to Kampala, the Panel agreed to postpone the consideration of the item until IPCC-35.

In this context, the timing of IPCC-35, and the possibility of holding two sessions in 2012 instead of one, was discussed. Several countries highlighted that the IPCC plenary should not coincide with the United Nations Conference on Sustainable Development (Rio+20).

Communication Strategy:

The item was introduced in plenary by the Secretary. She noted delays with hiring a senior communications manager. However, in response to the Panel's decision at the 33rd Session to request the Secretariat to elaborate an IPCC Communication Strategy for approval by the Panel at its 34th Session, the Secretariat asked a consultant with previous experience in IPCC communications to prepare the draft communications strategy.

The Consultant, Mr Charlie Methven, elaborated on the main points of the proposed strategy: 1. Flexible Global Reach and Understanding: the formalization of a Global Communications Group for the IPCC; 2. Accountability and Coherence: the creation of a Communications Steering Committee; 3. Consistency and Clarity: An IPCC Communications Guidelines Handbook; and 4. Building confidence and capacity across the IPCC: a rolling Media Training programme.

The Chair requested guidance from the Plenary on the major pillars of the draft strategy. Delegates thanked the Secretariat for undertaking the work, but expressed some concerns with the draft strategy. Delegates highlighted the important role of the Co-Chairs in IPCC communications which should be reflected in the IPCC's Communications Strategy.

The Chair suggested that a sub committee of the Executive Committee comprising representatives of the Working Groups and TFI (one member each per Working Group/TFI), the AR5 Synthesis Report TSU Head, the IPCC Secretary (and Senior Communication Manager as soon as recruited) and one Vice Chair would work together to come up with a communications strategy. Mr Jean-Pascal van Ypersele, IPCC Vice Chair, also suggested the creation of a new task group on outreach, so that governments can be involved in the future.

In terms of next steps, it was agreed that governments would be asked for their views on the current draft strategy, meanwhile the sub-committee of the Executive Committee would be set-up as outlined above. This sub-committee would draft a new strategy taking into consideration comments from governments received in writing, or made in Kampala, and submit a new draft strategy to the Executive Committee, as well as the Bureau, for consideration before a further revised strategy is submitted to IPCC-35 for approval. Governments would be given the opportunity to provide comments on the revised strategy before the next Session.

6. IPCC PROGRAM AND BUDGET AND ADOPTION OF THE REVISED "APPENDIX B TO THE PRINCIPLES GOVERNING IPCC WORK: FINANCIAL PROCEDURES FOR THE IPCC"

Documents: IPCC-XXXIV/Doc.3, Rev. 1, IPCC-XXXIV/Doc.4, Corr.1

The Secretary provided an overview of issues related to the IPCC Trust Fund Programme and Budget (*IPCC-XXXIV/Doc.3, Rev. 1).* She also invited the Panel to consider and approve changes required to Appendix B of the Principles Governing IPCC Work: Financial Procedures for the IPCC, following the adoption by WMO of the International Public Sector Accounting Standards (IPSAS (*IPCC-XXXIV/Doc.4)*. Both items were considered by the Financial Task Team (co-chaired by IPCC Vice Chair Mr Ismail A.R. El Gizouli (Sudan) and Mr Nicolas Beriot (France)).

The WMO representative provided further clarification on the International Public Sector Accounting Standards (IPSAS) and subsequent amendments of the financial regulations of WMO. The Secretary added that in several discussions with the WMO and the external auditors, the language in Appendix B was made fully consistent with legal requirements. In short, the Panel approved the revised "Appendix B to the Principles Governing IPCC Work: Financial Procedures for the IPCC" as contained in **Annex 5**. The Panel also requested the

Secretariat to simplify the language in the revised Appendix B document to improve clarity and readability to be presented for approval at a future session, but no later than the 37th Session of the IPCC.

Other key issues dealt with regarding the IPCC Program and Budget included: adjustment to the budget line "Translation/publication of SRREN", approved modifications to the 2012 budget proposal regarding number of DC/EIT journeys to the 3rd LA meeting on Wetlands Guidance, and the addition of a science meeting on Wetlands Guidance with required number of DC/EIT journeys. The Panel expressed its gratitude to the WMO and UNEP for their contributions to the IPCC Trust Fund and for financing one Secretariat position each, and to WMO for hosting the Secretariat. It also expressed its gratitude to governments for their generous contributions to the IPCC Trust Fund, with special thanks to governments which support the TSUs, and a number of IPCC activities, including data centres, meetings and outreach actions. The decision on programme and budget is contained in **Annex 6**.

7. MATTERS RELATED TO THE UNFCCC AND OTHER INTERNATIONAL BODIES

Documents: IPCC-XXXIV/INF.1

At IPCC-34, delegates were provided with document *XXXIV/INF.1* for their information.

An issue discussed in Kampala, in relation to the UNFCCC, was the mode and timing of the IPCC Chair address to the UNFCCC COP17/CMP7 meeting in Durban.

The Director of Global Climate Observing System (GCOS), Ms Carolin Richter, also provided a statement to the IPCC Plenary in Kampala. She informed the Plenary that the GCOS Secretariat will submit to the 36th Session of the SBSTA in June 2012, the timelines and milestones of the GCOS work plan. The GCOS work plan will address the progress and adequacy of global observing systems for climate; and a report is planned to be published in the time frame 2014/2015, building on the identification of needs for adaptation and services, informed by the identification of uncertainties by the IPCC Fifth Assessment Report.

8. FURTHER WORK TOWARDS ADOPTING REVISIONS TO "APPENDIX C OF THE PRINCIPLES GOVERNING IPCC WORK: RULES OF PROCEDURES FOR ELECTION OF THE IPCC BUREAU AND ANY TASK FORCE BUREAU"

Documents: IPCC-XXXIV/Doc.7

The Secretary invited delegates to consider this matter and to provide guidance on how provisions arising from the review of the IPCC processes and procedures are to be reflected in the revision of Appendix C to the Principles Governing IPCC Work. One delegate mentioned that there was no representative from Region V (South-West Pacific) on the WG III Bureau, and that the revised text leaves open the possibility that no one from Region V is on any WG Bureau. Another delegate mentioned that Region V does not have a representative on the Executive Committee and said that these issues should be a high priority when considering the revision of Appendix C. The Secretary said the Secretariat would distribute a revised text to governments, taking into consideration decisions taken at the 32nd, 33rd and 34th sessions, and would be requesting comments on this draft. The Secretariat would revise the document accordingly and submit it for consideration by the Panel at its 35th Session.

9. PROGRESS REPORTS

Documents: IPCC-XXXIV/Doc.10, IPCC-XXXIV/Doc.11; IPCC-XXXIV/Doc.12; IPCC-XXXIV/Doc.13; IPCC-XXXIV/Doc.14; IPCC-XXXIV/Doc.15; IPCC-XXXIV/Doc.16; IPCC-XXXIV/Doc.17; IPCC-XXXIV/Doc.18, Rev. 1

Co-chairs of the IPCC Working Groups I, II, III as well as the TFI were invited to present progress reports. The Working Group II Co-Chair Mr Vicente Barros (Argentina) spoke about a range of expert, regional expert and lead author meetings that have been held to support the AR5 writing process for the Working Group II contribution. TSU Head Ms Kristie Ebi discussed the chapter writing schedule (IPCC-XXXIV/Doc.10). Head of Working Group III TSU Mr Jan Minx highlighted numerous expert and lead author meetings supporting the process of preparing the Working Group III contribution to the AR5, and mentioned changes to the WGIII AR5 schedule and the writing process, which include a review of cross-chapter consistency and a policy to remove inactive authors (IPCC-XXXIV/Doc.18, Rev. 1). WG I Co-Chair Mr Thomas Stocker referred to relevant WG I expert meetings, including a Joint Expert Meeting in Lima, Peru, on Geoengineering in June 2011. He provided highlights on the second WGI Lead Author meeting held in Brest, France in July 2011 and spoke about the third Lead Author WGI meeting to be held in Marrakech, Morocco in April 2012. He also noted that the First Order Draft of the WGI contribution to the AR5 will become available for expert review on 16 December 2011 (IPCC-XXXIV/Doc.14).

IPCC Vice Chair Mr Hoesung Lee (Republic of Korea) discussed the coordination of cross-cutting themes for the AR5 SYR, highlighting that a questionnaire has been prepared and will be sent to the Working Groups to gain input into how the IPCC Vice-Chairs should best facilitate this process.
As for the Task Force on Greenhouse Gas Inventories (TFI), the TFB Co-Chair Ms Thelma Krug (Brazil) reviewed progress on the 2013 Supplement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories: Wetlands (2013 Wetlands Supplement) work programme (IPCC-XXXIV/Doc.12), and noted that a recent Lead Author meeting in Japan identified the scope and coverage of each chapter and addressed several cross-cutting and interacting issues. She said a zero-order draft is expected to be ready for the first science meeting next year. Ms Thelma Krug also highlighted ongoing expert meetings and the success of an open symposium hosted in Japan on 22 August 2011, which aimed to explain the purpose and achievement of the TFI to the public.

In absence of representatives of the Task Group on Data and Scenario Support for Impacts and Climate Analysis (TGICA), the Chair referred the plenary to the report of the Task Group contained in document IPCC-XXXIV/Doc. 13.

The IPCC Secretary presented a progress report (Document IPCC-XXXIV/Doc.16) on the IPCC Scholarship Programme which awarded its first round of scholarships in 2011. She expressed her thanks to the current donors (Prince Albert II of Monaco Foundation Young Researchers Scholarship Initiative, the Tallberg Foundation on behalf of Ms Gro Harlem Brundtland, Mr Fa Qing Chen, Aster Finance, and MCG Belgium on behalf of Mr J.P. van Ypersele) who made this first round possible. As for the continuation of the IPCC Scholarship Programme (SP), the Secretary stressed that while the Secretariat is able and willing to continue providing administrative services for the Scholarship Programme, the Secretariat does not have sufficient capacity for fundraising activities. She emphasized that lack of new donations, and guidance by the Panel to leave intact the initial funds from the Nobel Peace Prize, would prevent launching further calls for applications. She reported that the Secretariat has been in contact with the UN Foundation, who offered to conduct fundraising in the United States, and act as a fiduciary; both at a fee, but have no further capacity to offer.

Concerning a question raised by a delegate at the 33rd Session about the establishment of a separate fund for the Scholarship Programme, she explained that the Secretariat was advised by the WMO legal counsel that this would not be to the benefit of the programme, because of a number of privileges connected to keeping the fund within the WMO, as explained in Document IPCC-XXXIV/Doc.16.

The Chair underlined that the Programme had been launched with great success, highlighting many applications from least developed countries, and said guidance is needed from the plenary on how to keep the Programme going. He said given the number of applications, it would be desirable to award at least 40 to 50 scholarships a year. He therefore suggested continuing efforts to work with some entity, like the UNF, which would involve some cost. However, the US delegation expressed caution regarding this suggestion, as it might require a significant commitment from IPCC leadership and the Secretariat. He recalled that when the Programme was launched there was no expectation that this would become a major work stream. Belgium expressed interest in the opinion of the Board of Trustees to the Programme.

The Chair suggested developing a document for consideration by the Bureau and the Board of Trustees that would outline a set of options on further directions for the Programme, and ways to reduce the workload burden on the IPCC Secretariat. The document would be revised based on the input provided by the Bureau and submitted for consideration and guidance by the Panel at its 35th Session. One delegate suggested that an option the Bureau may wish to discuss is to allow the use of the initial funds. The Chair finally thanked the Secretariat for what has been achieved already, while he noted the IPCC should indeed focus on its assessment work and not deviate away from that.

10. OTHER BUSINESS

Documents: IPCC-XXXIV/INF.2

The Secretary provided some information to delegates on the outcome of the 16th WMO Congress related to the IPCC. She also noted that the WMO Congress has not agreed with an earlier proposal to convert the WMO in-cash contribution to the IPCC Trust Fund into an in-kind contribution.

Then the Secretary drew attention to Document *IPCC-XXXIV/INF.2* and a notification from UN Headquarters for information. The Secretariat was notified by the Office of the Legal Counsel/OLA of the United Nations Headquarters that the Republic of South Sudan was admitted as a new Member State by the United Nations General Assembly on 14 July 2011 upon the recommendation of the Security Council. This implies that South Sudan has also become a new Member of the IPCC, bringing the total of its Members to 195 countries.

Also, during the final plenary discussion on IPCC procedures, the EU asked for clarification about whether the EU could provide comments in the final review stage for the Summaries for Policymakers. The Co-Chair of the Task Group on Procedures confirmed that this was not discussed. The Chair suggested to record the issue in the meeting minutes and assured the EU that at a later stage this will be considered.

11. TIME AND PLACE OF THE NEXT SESSION

As for the place of the next session, the Secretary informed the plenary that Croatia has presented its offer to host the next session in Dubrovnik or elsewhere on the Adriatic Coast at a time to be determined, but in line with IPCC needs, as much as feasible. The Chair invited the representative of Croatia to provide further information.

12. CLOSING OF THE SESSION

The Chair expressed his appreciation to the Government and people of Uganda for their hospitality and excellent organization of the meeting.

The 34th Session of the IPCC closed at 4:45 p.m. on 19 November 2011.

13. PARTICIPANTS

The meeting was attended by 196 delegates from 99 national delegations, and 13 observers from 11 observer organizations, including 4 UN organizations (the list of participants is attached as **Annex 7**).

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INTERGOVERNMENTAL PANEL ON climate change

ANNEX 1

THIRTY-FOURTH SESSION OF THE IPCC
Kampala, 18-19 November 2011

IPCC-XXXIV/Doc. 1, Rev.1
(29.IX.2011)
Agenda Item: 1
ENGLISH ONLY

PROVISIONAL AGENDA

(Submitted by the IPCC Secretariat)

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WMO UNEP

PROVISIONAL AGENDA

1. OPENING OF THE SESSION

2. APPROVAL OF THE DRAFT REPORT OF THE 33rd SESSION

3. ACCEPTANCE OF THE ACTIONS TAKEN AT THE JOINT SESSION OF WORKING GROUP I AND WORKING GROUP II ON THE SPECIAL REPORT ON MANAGING THE RISKS OF EXTREME EVENTS AND DISASTERS TO ADVANCE CLIMATE CHANGE ADAPTATION (SREX)

4. PREPARATION OF THE FIFTH ASSESSMENT REPORT (AR5)

4.1. Implementation of decisions by IPCC-32 on the SYR
4.2. Overall schedule of preparation of the AR5 and its SYR

5. REVIEW OF THE IPCC PROCESSES AND PROCEDURES

5.1. Conflict of Interest Policy: Adoption of the Annexes to the IPCC Conflict of Interest Policy covering Implementation and Disclosure Form.
5.2. Procedures: Adoption of the revised "Appendix A to the Principles Governing IPCC Work: Procedures for the Preparation, Review, Acceptance, Adoption, Approval and Publication of IPCC Reports".
5.3. Governance and Management: (i) Consideration of the Terms of Reference of the Secretariat and Technical Support Units (TSUs); (ii) Review of how the IPCC may participate in decisions on contract renewal, employment term limit, staff appraisal, and recruitment for senior staff of the Secretariat.
5.4. Communications Strategy: Approval of the Communications Strategy.

***6.* ADOPTION OF THE REVISED "APPENDIX B TO THE PRINCIPLES GOVERNING IPCC WORK: FINANCIAL PROCEDURES FOR THE IPCC"**

7. MATTERS RELATED TO UNFCCC AND OTHER INTERNATIONAL BODIES

8. FURTHER WORK TOWARDS ADOPTING REVISIONS TO "APPENDIX C OF THE PRINCIPLES GOVERNING IPCC WORK: RULES OF PROCEDURES FOR THE ELECTION OF THE IPCC BUREAU AND ANY TASK FORCE BUREAU"

9. IPCC PROGRAMME AND BUDGET
9.1. Task Force on National Greenhouse Gas Inventories
9.2. Publication and translation of the SRREN

10. PROGRESS REPORTS

11. OTHER BUSINESS

12. TIME AND PLACE OF THE NEXT SESSION

13. CLOSING OF THE SESSION

ANNEX 2

THIRTY-FOURTH SESSION OF THE IPCC
Kampala, 18-19 November 2011

IPCC-XXXIV/Doc.2, Rev.1
(27.X.2011)
Agenda Item: 2
ENGLISH ONLY

DRAFT REPORT OF THE THIRTY-THIRD SESSION
Abu Dhabi, 10-13 May 2011

(Submitted by the IPCC Secretariat)

DRAFT REPORT OF THE 33rd SESSION OF THE IPCC
Abu Dhabi, United Arab Emirates, 10 - 13 May 2011

1. OPENING OF THE SESSION

Document: IPCC-XXXIII/Doc. 1; IPCC-XXXIII/Doc. 1, Add. 1

The Chair opened the 33rd Session of the Intergovernmental Panel on Climate Change (IPCC-33) at 10:00 a.m. on 10 May 2011. In his opening statement, he highlighted the achievement of the release of the Special Report on Renewable Energy Sources and Climate Change Mitigation (SRREN), as well as the importance of moving forward the implementation of the recommendations resulting from the review by the InterAcademy Council (IAC).

The representatives of WMO, UNEP, and UNFCCC delivered their statements. The WMO representative reported on the development of the Global Framework on Climate Services (GFCS) and on the upcoming XVI WMO Congress. He also stressed the fact that the IPCC would be strengthened by the implementation of the IAC recommendations. The UNEP representative referred to the important decisions that were in front of the meeting, and offered UNEP's support in their implementation. Finally, the UNFCCC representative reiterated the importance of IPCC assessment work for the UNFCCC, including the upcoming Special Reports, namely the Special Report on Renewable Energy Sources and Climate Change Mitigation (SRREN) and the Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation (SREX).

The Secretary introduced the provisional agenda as contained in the above-mentioned documents.

One delegation referred to the upcoming Congress of WMO and its agenda, which included an item (5.3) on IPCC. The delegation asked that the WMO document prepared for that agenda item be distributed to the meeting. The Chair requested the Secretariat to obtain the document from WMO and ensure its distribution and inclusion in the meeting agenda.

The provisional agenda was then adopted (attached as **Annex 1**).

2. APPROVAL OF THE DRAFT REPORT OF THE 32nd SESSION

Document: IPCC-XXXIII/Doc.8

The Secretary introduced the relevant document, which, she explained, reflected comments received from Governments and the decisions taken at IPCC-32. One delegation asked for a correction in paragraph 4.1, page 4, last sentence, which should refer to Annex 4. Another delegation asked that the relevant documents be mentioned at the start of each agenda item.

With these changes, the draft report was approved.

3. IPCC PROGRAMME AND BUDGET FOR 2011-2015

Documents: IPCC-XXXIII/Doc.2; IPCC-XXXIII/Doc.2, Add.1; IPCC-XXXIII/Doc.2, Add.2; IPCC-XXXIII/Doc.2, Add.3; IPCC-XXXIII/Doc.2, Add.3, Rev.1; IPCC-XXXIII/Doc.2, Add.4; IPCC-XXXIII/INF.2

The Secretary introduced the relevant documents. She explained that the 2010 Statement of Expenditures had not been finalized yet at WMO.
The Secretary expressed appreciation to the countries which had hosted IPCC events, and in particular to the Republic of Korea for hosting IPCC-32. She also urged delegations that were in receipt of IPCC Trust Fund support to carefully read and abide to the guidance contained in document IPCC-XXXIII/INF.2.

The Secretary reminded delegations that the Financial Task Team (FiTT) was an open-ended body. Its core members were Spain and Sudan (Co-Chairs), Maldives, New Zealand, Republic of Korea, and USA. She announced the decision of Ms C. Martinez, Focal Point of Spain, not to continue as FiTT Co-Chair. Mr N. Beriot, Focal Point of France, had kindly agreed to replace her in that function.

One delegation asked about the impact that recent managerial and administrative changes related to budgetary and IT matters among others at WMO would have on the work of IPCC. The WMO representative referred to the wider UN reform in which the WMO changes were inscribed, and in particular to the International Public Sector Accounting Standards (IPSAS), recently introduced in WMO, and to the Oracle system. He recognized the unusual situation of the IPCC Trust Fund and its status as a separate entity within WMO.

The FiTT held 4 meetings and developed draft decisions for the Panel on IPCC Trust Fund Programme and Budget. Upon recommendation of the FiTT, the Panel: approved the revised 2011 budget and approved that the proposed 2012 budget, include provisions for the establishment of two positions, of Legal and Outreach Officer and Press Officer ; and took note of the forecast budget for 2013 and the indicative budget for 2014 and 2015; approved the revised Terms of Reference for an external audit of the IPCC Trust Fund by the UK National Audit Office; invited Governments to contribute to the IPCC Trust Fund in order to ensure adequate resources for the needs of the IPCC especially in the preparatory process of the Fifth Assessment Report (AR5); and expressed its concern on the WMO proposal to change the nature of WMO contribution to the IPCC Trust Fund (refer also to section 9 and Annex 2). The Chair expressed gratitude to the Governments which had made contributions to the IPCC, and exhorted Member States to be as generous as possible with their support to the Panel.

4. ACCEPTANCE OF THE ACTIONS TAKEN AT THE 11th SESSION OF WORKING GROUP III ON THE SPECIAL REPORT ON RENEWABLE ENERGY SOURCES AND CLIMATE CHANGE MITIGATION (SRREN)

Documents: IPCC-XXXIII/Doc. 20

The Secretary referred to section 4.3 of the IPCC Procedures for the Preparation, Review, Acceptance, Adoption, Approval and Publication of IPCC Reports and reported that the Plenary meeting of Working Group (WG) III held on 5-8 May 2011 in Abu Dhabi had approved the Summary for Policymakers (SPM) of the Special Report on Renewable Energy Sources and Climate Change Mitigation (SRREN) and accepted the underlying report. In accordance with the IPCC procedures, the Report had to be accepted by the IPCC Plenary.

Upon invitation by the Chair, the meeting accepted the Report.

The WG III Co-Chairs highlighted some of the main findings of the SRREN, and voiced their gratitude to authors, reviewers and Governments.

Delegations took the floor to express their strong appreciation to the WG III Co-Chairs and Authors and to all the others who had made possible this important achievement.

5. REVIEW OF THE IPCC PROCESSES AND PROCEDURES

Documents: IPCC-XXXIII/Doc.9; IPCC-XXXIII/INF. 1; IPCC-XXXIII/INF.4
5.1. Procedures: IPCC-XXXIII/Doc.12; IPCC-XXXIII/Doc.12, Add.1; IPCC-XXXIII/Doc.12, Add. 2; IPCC-XXXIII/Doc.12, Add.3
5.2. Governance and Management: IPCC-XXXIII/Doc.10, IPCC XXXIII/Doc.10, Add.1
5.3. Conflict of Interest Policy: IPCC-XXXIII/Doc.11, IPCC-XXXIII/Doc.11, Add.1
5.4. Communications Strategy: IPCC-XXXIII/Doc.13

The Secretary recalled the establishment of Task Groups (TGs) process as described in document IPCC-XXXIII/Doc.9. She thanked the Government of Germany for the support it had provided to meet some of the travel costs related to the work of the TGs. She also referred the Panel to document IPCC-XXXII/Doc.18 (see Item 7 below), which was not considered at the time of IPCC-32 and would be revised subject to relevant decisions at this session.

The Co-Chairs of the TGs delivered brief presentations to the Panel on the work accomplished by the TGs to date. Upon the Chair's recommendation, the Panel then established Contact Groups (CGs) to further develop the recommendations of theTGs. The CGs were open-ended and chaired by the same countries as that co-chaired the TGs. The Panel agreed that a maximum of 2 CGs would meet at any time to ensure the highest possible participation of all delegations. The CGs reported to Plenary regularly during the session on their progress.

During the general discussion on this agenda item, one delegation expressed the view that the meeting had the following 3 priorities: (1) to accept the SRREN; (2) to move forward the reform process of IPCC. For this purpose, the delegation recommended that the mandate of the TGs be extended as necessary; and (3) to ensure that the preparatory process of AR5 and its Synthesis Report (SYR) was developing in time for the mandated review, and in coordination with the UNFCCC process.

The IPCC decisions on this agenda item are contained in **Annex 2**. The following paragraphs summarize the salient points of the final decisions.

Procedures: The Panel decided on the revisions to be made to several sections of Appendix A of the "Principles Governing IPCC Work". It also decided that the mandate of the Task Group on Procedures, as established at IPCC-32, would be extended to IPCC-34 in order to develop revised procedures reflecting the decisions taken at IPCC-33. This revision should also take into account language consistency, editorial improvement, and legal consistency. This work should be carried out in consultation with the IPCC Secretariat. The Panel agreed to consider the resource implications of its procedural decisions.

It was decided that the TG may also consider, taking note of the deliberations during IPCC-33, the following matters: (i) proposals to address relevant inconsistencies in current procedures; (ii) selection of participants to IPCC workshops and expert meetings;
(iii) matters relating to the transparency, quality and efficiency of the review process; (iv) anonymous expert review; and (v) Summary for Policymaker approval sessions.

Governance and Management: The Panel decided to establish an Executive Committee and agreed on its purpose, terms of reference, composition, and operation modalities; defined the length of term of the IPCC Chair, Vice-Chairs, and WGs and TFI Co-Chairs; decided that the Head of the IPCC Secretariat should continue to be an appointed position, and not elected, in keeping with UN practice; decided that the functions of the Head of Secretariat remain largely as presently defined and approved the Terms of Reference of the Bureau.

The Panel also decided that the mandate of the TG on Governance and Management , as established at IPCC-32, would be extended to IPCC-34 in order to finalize the following pending issues: (i) how the IPCC might participate in decisions on contract renewal, employment term limit, staff appraisal, and recruitment for senior staff; (ii) the Panel decided to elaborate Terms of Reference of the Secretariat and TSUs for consideration at the 34th Session of the IPCC; while noting that the functions of the Secretariat were reviewed in 2008.

***Conflict of Interest (COI) Policy*:** The Panel decided to adopt the COI Policy and to work towards early implementation of the Policy with a view to bringing all those covered by the Policy within its remit as early as possible during the Fifth Assessment cycle and no later than IPCC-35. In its decision, the Panel also addressed the transition of all three Working Groups and the TFI from the interim COI Policies to the approved COI Policy.

The Panel extended the mandate of the Task Group on Conflict of Interest Policy in order to develop proposals for Annexes to the Policy covering Implementation and the Disclosure Form with a view to adopting a decision at the IPCC 34th Session.

The delegation of Peru requested that the Panel report reflect their opposition to the sentence “no later than IPCC-35” in the 3rd operative paragraph of the decision. However, they would not block the approval of the decision.

The delegation of the USA requested that the report of the Panel reflect the fact that parties raised the issue of which structure within the IPCC would be responsible for overseeing the implementation of the COI Policy. One delegation requested that this matter be addressed at the next session to provide appropriate oversight of the policy.

Communication Strategy: The Panel accepted the “Guidance on IPCC Communications Strategy” and requested the Secretariat to elaborate an IPCC Communication Strategy in line with this Guidance for approval by the Panel at its 34th Session.

During the first meeting, one delegation alerted the participants of the increased media attention to be expected after IPCC-33 and requested information on the status of the recruitment of the IPCC Information and Communication Manager. The Secretary reported that there had been tremendous response to the vacancy announcement, and that submissions had been reviewed in order to complete shortlist of suitable candidate and proceed with interviews, in accordance with WMO practice and rules. The Secretary expressed gratitude to UNEP for providing support in the field of information and communications in the absence of the senior expert in the Secretariat.

Delegations stressed the importance of all 6 UN languages for the work of IPCC.

The proposed initiative to open the up-coming Expert Meeting on Geoengineering to selected accredited media representatives, under Chatham House rules and with specific guidelines was discussed. While several delegations expressed their support for ensuring the transparency of IPCC work, they also called for a cautious approach and for clear procedural guidance. The Chair noted that he and the WG Co-Chairs would reflect on the Panel's views and act on them accordingly.

In concluding the agenda item, the Chair made it clear that the three TGs might involve the participation of other countries, in addition to those that had participated in their work after IPCC-32.

6. ADMISSION OF OBSERVER ORGANIZATIONS

Documents: IPCC-XXXIII/Doc.5 ; IPCC-XXXIII/Doc.5, Rev.1

The Chair introduced and welcomed the newly appointed Deputy Secretary. The latter introduced the relevant document. The revised list of Observer Organizations was approved without comments from delegations. The following seven organizations were admitted:

No.	Name of organization	Relevance to IPCC	Observer of UNFCCC	Date of Application	Secretariat's Proposal
Observer entity - new application (1)					
1	Environmental Quality Authority (EQA) of the Palestinian National Authority (PNA)	Y	Y	L 01/02/11	Y
IGOs - new application (1)					
1	African Union Commission (AUC)	Y	Y	E 21/01/11	Y
NGOs - new applications (5)					
1	International Centre for Trade and Sustainable Development (ICTSD)	Y	Y	L 09/08/10	Y
2	Many Strong Voices (MSV)	Y	N	E 12/01/11 L 15/02/11	Y
3	The Nature Conservancy (TNC)	Y	Y	E 02/03/11 L 10/03/11	Y
4	Organisation of Development and Human Rights of Cameroon (GICAR-CAM)	Y	N	L 15/09/09	Y
5	Institute of Energy Policy and Research, Universiti Tenaga Nasional (UNITEN), Malaysia	Y	N	L 03/09/09	Y

7. RULES OF PROCEDURES FOR THE ELECTION OF THE IPCC BUREAU AND ANY TASK FORCE BUREAU

Document: IPCC-XXXII/Doc. 18

The Panel agreed to take up the discussion on this matter in the relevant CG and to consider revisions to Appendix A of the Principles Governing IPCC Work at a future session.

8. ACTIVITIES OF THE TASK FORCE ON NATIONAL GREENHOUSE GAS INVENTORIES

Documents: IPCC-XXXIII/Doc.7

The Task Force on National Greenhouse Gas Inventories (TFI) Co-Chair introduced a proposal for a "2013 Supplement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories: Wetlands" for the Panel's approval.

In the ensuing discussion, delegations supported this initiative and expressed appreciation for the proposal. One delegation recommended that subjects be streamlined and methodology be consistent across the categories addressed. Another delegation requested that the outline for the Supplement more clearly focus on estimating the impact of anthropogenic disturbances to wetlands. The TFI Co-Chairs emphasized that the work would aim at filling gaps existing in methodologies and that it would develop in close collaboration with UNFCCC. They also confirmed that the work would be followed by updated emission factors as provided by new scientific findings.

With these comments the Panel approved the proposal.

9. MATTERS RELATED TO THE UNFCCC AND OTHER INTERNATIONAL BODIES

Documents: IPCC-XXXIII/Doc.18; IPCC-XXXIII/INF. 3; IPCC-XXXIII/INF. 5

The Secretary of the IPCC introduced the document IPCC-XXXIII/Doc.18. The UNFCCC representative referred to the fact that UNFCCC Secretariat had received a mandate in Cancun to conduct a periodical review of the adequacy of the long-term global goal to maintain the global warming under 2^{o}C. He explained that the initial discussion among UNFCCC Parties showed the importance that they attached to AR5 as basis for this review. Cooperative action with IPCC was therefore of great importance. The UNFCCC representative voiced concern about the short time available between the approval of AR5 and the Conference of the Parties (COP) at the end of 2015. Thus, the UNFCCC representative expressed his hope that AR5 be finalized by June 2014. In response, it was clarified that the three WGs' main findings will indeed be ready at that time.

Delegations that took the floor stressed that UNFCCC is a crucial "client" of IPCC and that efforts should be made to find the best solution to match the schedule of work of the two partners. The Chair stressed that it was impossible at this stage to change the timetable of AR5. However, it was agreed that IPCC would make all possible efforts to meet the needs of the UNFCCC as described in document IPCC-XXXIII/Doc.18. One delegation referred to the existing ad hoc Working Groups and to the need for IPCC to participate meaningfully in their work.

It was agreed that the Secretary would undertake discussions with the UNFCCC Secretariat on this matter in the upcoming Subsidiary Body for Scientific and Technological Advice (SBSTA) and Subsidiary Body for Implementation (SBI) meetings in Bonn. The Chair indicated he would issue a communiqué to the UNFCCC to share the Panel's views on the UNFCCC's request and to initiate a dialogue on how the two bodies can coordinate their work. Delegations also recommended to look into the possibility of holding a joint UNFCCC/IPCC expert workshop in mid-2014 – on that occasion, the 3 WGs would present the main findings of their work. In this regard, one delegation recommended that the AR5-related communication and outreach strategy be shaped together with UNFCCC in order to ensure that the UNFCCC process was fully informed of the results of the work of the 3 WGs.

The Secretary reported on her participation in the 26th session of the UNEP Governing Council/Global Ministerial Environment Forum (GC/GMEF) held in Nairobi from 21-24 February 2011. The UNEP representative described how the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) process was now looking at IPCC as a model to organize its own work. He invited delegates to liaise with their colleagues dealing with IPBES in order to share lessons learnt from the IPCC experience.

In response to a delegation's request, document IPCC-XXXIII/INF.5 had been distributed to the Panel. The Secretary introduced the document and its main components. Delegations expressed their strong concern at WMO proposal that its cash contribution to the IPCC Trust Fund be converted in the provision of an additional professional position in the IPCC Secretariat. One delegation highlighted that the cash contribution would be insufficient to fully cover the costs of such a position, and therefore additional Trust Fund resources would need to be shifted for that purpose. In addition, it was felt that IPCC's flexibility in dealing with resources would be severely hampered if WMO decided to go ahead with its proposal.

Most delegations that took the floor referred to the mutually beneficial relationship between WMO and IPCC, but did not support the proposal of changing the nature of WMO's contribution to the IPCC Trust Fund. One delegation invited the Chair to express to WMO the need for reassurance that the good working conditions allowed by WMO to the IPCC and its Secretariat would continue unimpaired. It was also mentioned that strengthening the Secretariat's scientific capacity was not recognized as a priority by the IAC review or by the Panel itself. This was also the opinion of the Co-Chair of WG I who took the floor, noting that this was intended to be a position for a physical scientist.

Delegations also expressed their views that the proposed preparation of a Special Report to assess the available scientific literature on sector-oriented climate services as a contribution to the Global Framework of Climate Services (GFCS) was outside the remit of IPCC, and in any case difficult to develop with the current heavy programme of work.

The WMO representative reiterated the justification for the proposals contained in document IPCC-XXXIII/INF. 5.

Finally, the Chair said that he would report to the WMO Congress the positions expressed by the Panel on the proposals in front of them.

10. PROGRESS REPORTS

Documents:
10.1. IPCC-XXXIII/Doc.3; IPCC-XXXIII/Doc.15; IPCC-XXXIII/Doc.16
10.2. IPCC-XXXIII/Doc.17
10.3. IPCC-XXXIII/Doc.19
10.4. IPCC-XXXIII/Doc.4
10.5. IPCC-XXXIII/Doc.14
10.6. IPCC-XXXIII/Doc.6, Corr.1

Progress reports as described in the above-mentioned documents were summarized by the Co-Chairs of the relevant WGs and TFI.

On the Task Group on Data and Scenario Support for Impact and Climate Analysis (TGICA), delegations were informed that the Co-Chairs had stepped down, and that a process to identify interim Co-Chair-Elects was underway

The Secretary reported on the IPCC Scholarship Programme (SP). Several delegations expressed appreciation at the work done so far, and acknowledged the complexity of managing the Programme. The Chair informed the meeting that various options for the future management of the Programme were being explored, and that encouraging discussions were taking place with the UN Foundation. The Chair indicated he would continue this dialogue. One delegation requested information about the legal nature of the SP Trust Fund.

With regard to the progress report on outreach and communications, one delegation requested that IPCC national Focal Points (FPs) be provided with IPCC outreach material. The Secretary stated that the Secretariat will inform FPs when new materials are available and that delegations can send a request to the Secretariat to receive copies.

11. OTHER BUSINESS

There was no other business discussed.

12. TIME AND PLACE OF THE NEXT SESSION

The Secretary informed the meeting that the 1st joint Session of IPCC Working Groups I and II to approve and accept the IPCC Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation was scheduled to be held from 14-17 November 2011. The 34th Session of the IPCC would be held immediately after, on 18-19 November 2011. Unforeseen circumstances had made it impossible to confirm the venue of these meetings, which would be in any case in a country in East Africa. The Secretariat would inform FPs as soon as possible.

13. CLOSING OF THE SESSION

The Chair expressed his appreciation to the Government and people of the United Arab Emirates for their generous hospitality, to the event management company (REED Exhibitions), to the venue management company (ADNEC), and to all the individuals who had so efficiently supported the meeting. He thanked delegations for their commitment and achievements during the previous days, and the Secretariat for its hard work in organizing and servicing the meeting.

The 33rd Session of the IPCC closed at 06:30 p.m. on 13 May 2011.

14. PARTICIPANTS

The meeting was attended by more that 350 participants, 117 national delegations, 6 UN observer organizations, and 5 other observer organizations (the list of participants is attached as **Annex 3**).

ANNEX 3

IPCC 34th Session, 18-19 November 2011, Kampala, Uganda

DECISIONS TAKEN WITH RESPECT TO THE REVIEW OF IPCC PROCESSES AND PROCEDURES

CONFLICT OF INTEREST POLICY

Decision

Recalling the Decision of the Panel at its 33rd Session, 10-13 May 2011, Abu Dhabi, United Arab Emirates, to adopt the "IPCC Conflict of Interest Policy" as annexed to this Decision;

Recalling the Decision of the Panel at its 33rd Session, 10-13 May 2011, Abu Dhabi, United Arab Emirates, to extend the mandate of the Task Group on Conflict of Interest Policy to develop proposals for Annexes to the Policy covering Implementation Procedures and the Disclosure Form with a view to adopting a Decision at the IPCC 34th Session;

Recalling that the Working Groups and Task Force Bureaux have adopted interim arrangements for dealing with conflict of interest issues and that those arrangements are broadly consistent with the IPCC Conflict of Interest Policy;

At its 34th Session, the Panel:

1. *Adopted* the Conflict of Interest Implementation Procedures contained in the attached Annex A to the Conflict of Interest Policy and decided that those procedures will apply, as soon as they are adopted, to individuals who are subject to the Conflict of Interest Policy.

2. *Decided* to establish a Conflict of Interest Committee ("the COI Committee") comprising all elected members of the Executive Committee and two additional members with appropriate legal expertise from UNEP and WMO, appointed by those organisations.

3. *Also decided* to establish an Expert Advisory Group on Conflict of Interest.

4. *Noted* that the Working Groups and Task Force Bureaux have adopted interim arrangements for dealing with conflict of interest issues and that those arrangements are broadly consistent with the Conflict of Interest Policy.

5. *Decided* that, in order to ensure a smooth transition, the existing interim arrangements will continue to operate, in respect of individuals who are not Bureau members, until the Executive Committee decides that the implementation procedures apply to those individuals.

6. *Invited* the Secretary-General of the World Meteorological Organization (WMO) and the Executive Director of the United Nations Environment Programme (UNEP) to select members of the Expert Advisory Group on Conflict of Interest ("the COI Expert Advisory Group"), and to facilitate the establishment of the COI Committee as soon as possible.

7. *Requested* IPCC and Task Force Bureaux Members to submit to the Secretariat a Conflict of Interest Form (as contained in Annex B to the Conflict of Interest Policy) within three months after the adoption of the Implementation Procedures for consideration in accordance with the relevant parts of those procedures.

8. *Decided* to receive a report on the operation of the COI Expert Advisory Group and the COI Committee, within twelve months of their establishment, and to review their operations as appropriate, within twelve months after the next bureaux election(s).

9. *Noted* that the COI Committee will develop its own methods of working and apply those on an interim basis pending approval by the Panel and decided that the COI Committee should, within twelve months of its establishment, submit its methods of working to the Panel for its approval.

IPCC 33rd SESSION, 10-13 May 2011, ABU DHABI

DECISIONS TAKEN WITH RESPECT TO THE REVIEW OF IPCC PROCESSES AND PROCEDURES

CONFLICT OF INTEREST POLICY

Decision

Recalling the recommendation of the InterAcademy Council (IAC) on IPCC Conflict of Interest Policy that the IPCC should "develop and adopt a rigorous conflict of interest policy that applies to all individuals directly involved in the preparation of IPCC reports, including senior IPCC leadership (IPCC Chair and Vice Chairs), authors with responsibilities for report content (i.e., Working Group Co-Chairs, Coordinating Lead Authors, and Lead Authors), Review Editors, and technical staff directly involved in report preparation (e.g., staff of the Technical Support Units and the IPCC Secretariat)" and recalling the decisions taken at the 32nd Session.

At its 33rd Session, the Panel:

Adopted the "*IPCC Conflict of Interest Policy*" as provided in Appendix 1 to this decision;

Extended the mandate of the Task Group on Conflict of Interest Policy in order to develop proposals for Annexes to the COI Policy covering Implementation and the Disclosure Form with a view to adopting a decision at the IPCC 34th Session;

Decided to work towards early implementation of the COI Policy with a view to bringing all those covered by the COI Policy within its remit as early as possible during the Fifth Assessment cycle and no later than the IPCC 35th Session.

Noting that Working Groups I and II, and the Task Force on National Greenhouse Gas Inventories (TFI), have implemented, and Working Group III is in the process of designing, interim Conflict of Interest Policies that are broadly consistent with the IPCC Conflict of Interest Policy at Appendix 1, the Panel:

invited the Task Group to consult the Working Groups and the TFI in developing proposals for Annexes on Implementation and the Disclosure Form;

invited the Task Group to develop proposals for Implementation and smooth transition of all three Working Groups and the TFI to the approved IPCC conflict of interest policy designing the details to the needs of each.

The Panel *invited* the Working Groups and the TFI, in taking forward their activities under the Fifth Assessment cycle, to take note of the Conflict of Interest Policy at Appendix 1 and ensure, as far as possible, that their actions are consistent with the Conflict of Interest Policy at Appendix 1.

APPENDIX 1

IPCC CONFLICT OF INTEREST POLICY

Purpose of the Policy

1. The role of the IPCC as stated in paragraph 2 of the Principles Governing IPCC Work 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 neutral with respect to policy, although they may need to deal objectively with scientific, technical and socio-economic factors relevant to the application of particular policies.

2. The role of the IPCC demands that it pay special attention to issues of independence and 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.

3. The overall purpose of this policy is to protect the legitimacy, integrity, trust, and credibility of the IPCC and of those directly involved in the preparation of reports, and its activities. This policy is principles-based and does not provide an exhaustive list of criteria for the identification of such conflicts. The Panel recognizes the commitment and dedication of those who participate in IPCC activities. The policy should maintain the balance between the need to minimise the reporting burden, and to ensure the integrity of the IPCC process. In this way, it seeks to encourage participation and to ensure that the representativeness and geographic balance of the Panel is not impaired whilst continuing to build and maintain public trust.

4. The IPCC Conflict of Interest Policy is designed to ensure that conflicts of interest are identified, communicated to the relevant parties, and managed to avoid any adverse impact on IPCC balance, products and processes, thereby protecting the individual, the IPCC, and the public interest. The individual and the IPCC should not be placed in a situation that could lead a reasonable person to question, and perhaps discount or dismiss, the work of the IPCC simply because of the existence of a conflict of interest.

5. Identifying a potential conflict of interest does not automatically mean that a conflict of interest exists – the purpose of the policy is to enable individuals to provide the relevant information necessary for each particular situation to be evaluated.

Scope of the Policy

6. This policy applies to senior IPCC leadership (the IPCC Chair, Vice Chairs, Working Group and Task Force Co-Chairs), other members of the IPCC Bureau and members of the Task Force Bureau, authors with responsibilities for report content (Coordinating Lead Authors, Lead Authors), Review Editors and the professional staff of the Technical Support Units (TSUs).

7. The policy applies to the development of all IPCC products including but not limited to: assessment reports; special reports; methodology reports and technical papers.

8. The professional staff members of the IPCC Secretariat are employees of WMO and/or UNEP and are subject to their disclosure and ethics policies, which include conflict of interest.

9. The policy will be executed to reflect the various roles, responsibilities and levels of authority, of participants in the IPCC process. In particular, consideration should be given to whether responsibility is held at an individual level or shared within a team; to the level of influence held over the content of IPCC products.

10. The application of the conflict of interest policy to those elected to positions within the IPCC should reflect their specific responsibilities.

Conflict of Interest

11. A “conflict of interest” refers to any current professional, financial or other interest which could: i) significantly impair the individual’s objectivity in carrying out his or her duties and responsibilities for the IPCC, or ii) create an unfair advantage for any person or organization. For the purposes of this policy, circumstances that could lead a reasonable person to question an individual’s objectivity, or whether an unfair advantage has been created, constitute a potential conflict of interest. These potential conflicts are subject to disclosure.

12. Conflict of interest policies in scientific assessment bodies typically make a distinction between “conflict of interest” and “bias,” which refers to a point of view or perspective that is strongly held regarding a particular issue or set of issues. In the case of author and review teams, bias can and should be managed through the selection of a balance of perspectives. For example, it is expected that IPCC author teams will include individuals with different perspectives and affiliations. Those involved in selecting authors will need to strive for an author team composition that reflects a balance of expertise and perspectives, such that IPCC products are comprehensive, objective, and neutral with respect to policy. In selecting these individuals, care must be taken to ensure that biases can be balanced where they exist. In contrast, conflict of interest exists where an individual could secure a direct and material gain through outcomes in an IPCC product. Holding a view that one believes to be correct, but that one does not stand to gain from personally is not a conflict of interest.

13. The conflict of interest requirements in this policy are not designed to include an assessment of one's behaviour or character or one's ability to act objectively despite the conflict of interest.

14. This policy applies only to current conflicts of interest. It does not apply to past interests that have expired, no longer exist, and cannot reasonably affect current behaviour. Nor does it apply to possible interests that may arise in the future but that do not currently exist, as such interests are inherently speculative and uncertain. For example, a pending application for a particular job is a current interest, but the mere possibility that one might apply for such a job in the future is not a current interest.

15. Professional and other non-financial interests need to be disclosed only if they are significant and relevant. If in doubt about whether an interest should be disclosed, individuals are encouraged to seek advice from the appropriate IPCC body as defined in Annex A. Significant and relevant interests may include, but are not limited to, senior editorial roles, advisory committees associated with private sector organizations, and memberships on boards of non-profit or advocacy groups. However, not all such associations necessarily constitute a conflict of interest.

16. Financial interests need to be disclosed only if they are significant and relevant. These may include, but are not limited to, the following kinds of financial interests: employment relationships; consulting relationships; financial investments; intellectual property interests; and commercial interests and sources of private-sector research support. Individuals should also disclose significant and relevant financial interests of any person with whom the individual has a substantial business or relevant shared interest. If in doubt about whether an interest should be disclosed, individuals are encouraged to seek advice from the appropriate IPCC body as defined in Annex A "Implementation".

17. To prevent situations in which a conflict of interest may arise, individuals directly involved in or leading the preparation of IPCC reports should avoid being in a position to approve, adopt, or accept on behalf of any government the text in which he/she was directly involved.

IMPLEMENTATION PROCEDURES PREPARED BY THE CONFLICT OF INTEREST TASK GROUP

Annex A: Implementation Procedures

This annex sets out the procedures for implementing the IPCC Conflict of Interest Policy ("**the COI Policy**") which is contained in Appendix 1 to the Decision in relation to Conflicts of Interest adopted by the IPCC Panel at the IPCC's 33rd session.

1. These Implementation Procedures are designed to ensure that conflicts of interest are identified, communicated to the relevant parties and managed to avoid any adverse impact on IPCC balance, products and processes and also to protect the individual, the IPCC and the public interest.

2. These Implementation Procedures apply to all conflicts of interest as defined in paragraph 11 of the COI Policy and apply to the individuals listed in paragraph 6 of that policy. Compliance with the COI Policy and Implementation Procedures is mandatory. An individual cannot participate in the IPCC's work where he or she has not complied with the COI Policy and Implementation Procedures. Where a conflict of interest is identified, a person may only proceed to participate in IPCC activities if action is undertaken that resolves the conflict or the individual is an IPCC author subject to the provisions in paragraph 6 of these procedures.

IPCC and Task Force Bureaux Members: Review process prior to appointment

3. The Conflict of Interest Disclosure Form ("the COI Form") contained in Annex B to the COI Policy will be submitted to the Secretariat in respect of each nominee for election to the IPCC Bureau or Task Force Bureau. The COI Committee (composed of the elected members of the Executive Committee and two additional members with appropriate legal expertise from UNEP and/or WMO, appointed by those organizations) will review the COI Forms and may request advice from the Expert Advisory Group on Conflicts of Interest ("the COI Expert Advisory Group"). Where the COI Committee determines that a nominee for Bureau membership has a conflict of interest that cannot be resolved, the individual will not be eligible for election to the Bureau. The process above will also apply in respect of candidates for election to the IPCC or Task Force Bureaux who are nominated during the course of the IPCC session during which the relevant election is due to be held.

IPCC and Task Force Bureaux Members: Review process after appointment

4. All IPCC Bureau and Task Force Bureau members will inform the Secretariat annually of any changes in the information provided in their previously submitted COI Form. The COI Committee will review the updated information, determine whether the relevant IPCC or Task Force Bureau member has a conflict of interest that cannot be resolved and determine what further action is necessary in accordance with the COI Policy. The COI Committee may seek advice from the COI Expert Advisory Group.

CLAs, LAs and REs and TSUs: Review Process prior to appointment

5. Before an individual is appointed as a Coordinating Lead Author (CLA), Lead Author (LA) and Review Editor (RE), the relevant Working Group Bureau or Task Force Bureau will request the individual to complete a COI Form which will be submitted to the relevant TSU. The relevant Working Group Bureau or Task Force Bureau will then evaluate the form to determine whether the individual has a conflict of interest that cannot be resolved.

6. In exceptional circumstances, a conflict of interest on the part of an IPCC author which cannot be resolved may be tolerated where the individual is deemed to provide a unique contribution to an IPCC product and where it is determined that the conflict can be managed such that it will not have an adverse impact on the relevant IPCC report. The relevant Working Group Bureau or Task Force Bureau should refer such cases to the COI Committee for it to determine. In such cases, the COI Committee will publicly disclose the conflict and the reasons for determining that the individual may continue to contribute to the IPCC's work in spite of the conflict.

7. Candidates for the professional staff of TSUs should, prior to their appointment, submit a COI Form to the relevant Working Group or Task Force Co-Chairs for evaluation by the relevant Working Group or Task Force Bureaux. In the case of the professional staff of the TSU for the Synthesis Report, the COI Form should be submitted to the IPCC Chair and evaluated by the IPCC Bureau.

CLAs, LAs and REs and TSUs: Review process after appointment

8. All CLAs, LAs and REs will inform the relevant TSU annually of any changes in the information provided in their previously submitted COI Form. The professional staff of TSUs inform the relevant Working Group or Task Force Co-Chairs, or in the case of the Synthesis Report the IPCC Chair, of any changes. The relevant Working Group or Task Force Bureau will evaluate the revised information in accordance with the procedure for reviewing conflicts of interest issues prior to appointment.

9. CLAs, LAs and REs may request that the COI Committee reviews the determination by the Working Group Bureau or Task Force Bureaux. They will be bound by the relevant Bureaux decision pending the outcome of the review.

10. The Working Group and Task Force Bureau may seek advice on conflict of interest issues from the COI Expert Advisory Group and may refer issues to the COI Committee for it to determine.

11. The Working Group and Task Force Bureau should submit an annual report to the COI Committee in relation to its consideration of conflict of interest issues.

Principles for Considering Conflict of Interest Issues

12. All of the bodies involved in advising on and deciding conflict of interest issues in respect of individuals under the COI Policy should consult the relevant individual where the body has concerns about a potential conflict of interest and/or where it requires clarification of any matters arising out of a COI Form and should ensure that the relevant individuals and, where appropriate the IPCC Panel member which nominated the relevant individual, have an opportunity to discuss any concerns about a potential conflict of interest.

13. Where the COI Committee has determined that an individual has a conflict of interest that cannot be resolved, the relevant individual may request an IPCC Bureau review of the COI Committee's determination. The IPCC Bureau will review the determination at the first session following the request. The individual will be bound by the determination of the COI Committee pending the outcome of the review.

14. When considering whether an individual has a conflict of interest, the relevant body will, in consultation with the individual, explore options for resolving the conflict. Individuals might, for example, resolve a conflict of interest by divesting themselves of the particular financial or other interests which gave rise to the potential conflict or by recusing themselves from discussions or decision-making processes in respect of which they have a relevant conflict.

15. Members of the bodies which are involved in considering conflict of interest issues may not consider cases involving themselves and will recuse themselves in the event that the relevant body considers a potential conflict interest concerning themselves.

Processing and Storage of Information

16. All COI Forms in respect of IPCC and Task Force Bureau members will be submitted to the Secretariat. All other COI Forms will be submitted to the relevant TSU, or for the TSU professional staff, to the relevant Working Group or Task Force Co-Chairs or to the IPCC Chair in the case of the Synthesis Report.

17. All COI Forms and any records of the deliberations of the COI Expert Advisory Group, deliberations and/or decisions of the COI Committee in relation to conflict of interest issues in respect of specific individuals and any information disclosed by individuals for the purposes of the COI Policy will be transferred to the Secretariat after they have been reviewed and will be securely archived by the Secretariat and retained for a period of five years after the end of the assessment cycle during which the relevant individual 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 above, the information referred to above will be considered confidential and will not be used for any purpose other than consideration of conflict of interest issues under these Implementation Procedures without the express consent of the individual providing the information.

The COI Committee

18. A Committee on Conflicts of Interest ("the COI Committee") will be established for the purpose of:-

    a) determining whether members of the IPCC Bureau, and Task Force Bureau have conflicts of interest;
    b) determining conflict of interests cases referred to it by the Working Group or Task Force Bureaux;
    c) reviewing the Working Group or Task Force Bureaux decisions in respect of conflict of interest issues.

19. The COI Committee will comprise of all elected members of the Executive Committee and two additional members with appropriate legal expertise from UNEP and WMO, appointed by those organizations.

20. The COI Committee will elect a Chair at its first meeting.

21. The members of the COI Committee are expected to reach consensus. If, exceptionally on matters of particular urgency, consensus is not possible, the COI Committee Chair may take the final decision, having regard to the weight of opinion in the COI Committee. The Committee will decide upon its method of working and apply it on an interim basis until the IPCC Panel agrees it.

22. The COI Committee should submit a report on its activities to the IPCC Panel at least four weeks before each session. Issues of confidentiality will be addressed by the COI Committee as early as possible.

The COI Expert Advisory Group

23. An Expert Advisory Group on Conflicts of Interest is established. It will have the following functions on request:

    a) review COI Forms and advise on COI issues in respect of current IPCC Bureau Members and individuals who have been nominated for election to the IPCC Bureau;

    b) provide advice on conflict of interest issues to the Working Group and Task Force Bureaux and the COI Committee;

    c) provide guidance in relation to conflict of interest issues to individuals who are currently subject to the COI Policy or are likely to become subject to it.

24. The COI Expert Advisory Group will consist of three individuals with experience in matters related to conflict of interest issues, including one or more individuals with expertise related to expert assessments. Members of the Group will be jointly selected by the Secretary-General of the World Meteorological Organization (WMO) and the Executive Director of the United Nations Environment Programme (UNEP).

Annex B: Conflict of Interest Disclosure Form ("COI Form")

CONFIDENTIAL

CONFLICT OF INTEREST DISCLOSURE

NAME: _____ TELEPHONE: _____

ADDRESS: _____

_____

EMAIL ADDRESS: _____

CURRENT EMPLOYER: _____

FUNCTION IN IPCC: _____

Please **sign** and **date** this form on the last page, and return the form to the Secretary of the IPCC. **Retain a copy for your records**.

IPCC Disclosure of Relevant Interests Form

NOTE: You have been invited to serve on the IPCC because of your professional standing and expertise. As outlined in the IPCC's Conflict of Interest policy, the role of the IPCC demands that it pay special attention to issues of independence and 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 IPCC is not compromised by conflicts of interest. In filling out this form, we rely on your professionalism, common sense, and honesty.

The IPCC is not asking for comprehensive lists of activities under each heading below, only current interests that are significant and relevant to your role within the IPCC. 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. Disclosure of an interest on this form does not automatically mean that a conflict is present or that you will be unable to perform your designated role with the IPCC. If in doubt about whether an interest should be disclosed, individuals are encouraged to disclose that information.

Name:
Role in IPCC:

Do you have any significant and relevant professional activities that might be considered conflicts of interest? ___ Yes ____ No (if yes, give details below)

(Please list current, significant, and relevant professional and other non-financial interests which could be interpreted as i) significantly impairing your objectivity in carrying out your duties and responsibilities for the IPCC, or ii) creating an unfair advantage for you or any person or organisation. This might include, but is not limited to, membership on the boards of advocacy groups.

Do you have any significant and relevant financial interests in the subject matter of the work in which you will be involved, which might be considered conflicts of interest? ___ Yes ____ No (if yes, give details below)

(Please list current, significant, and relevant financial interests which could be interpreted as i) significantly impairing your objectivity in carrying out your duties and responsibilities for the IPCC, or ii) creating an unfair advantage for you or any person or organization. These may include employment relationships, consulting relationships, financial investments, intellectual property interests and commercial interests and sources of private-sector research support. *Nota bene*: typically, financial interests under US$10,000 would not be considered significant).

Is there anything else that could affect your objectivity or independence in the work in which you will be involved? ___ Yes ____ No (if yes give details below)

I hereby declare to the best of my knowledge that the disclosed information is complete and correct. During the course of work on the AR5, I will inform you immediately of any change in my circumstances.

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 the Implementation Procedures.

Signature:

Date:

ANNEX 4

IPCC 34th Session, 18-19 November 2011, Kampala, Uganda

DECISIONS TAKEN WITH RESPECT TO THE REVIEW OF IPCC PROCESSES AND PROCEDURES

PROCEDURES

Table of Contents

PART 1

1. Introduction

The document presented here contains the decisions by the Panel based on consideration of the proposal of the IPCC Task Group on Procedures to the IPCC 34th Session and building on the decisions of IPCC 32nd and 33rd Sessions.

The Task Group on Procedures was established at the 32nd Session of the IPCC, held 10-14 October 2010 in Busan, Republic of Korea and extended at the 33rd Session of the IPCC, held 10-13 May 2011 in Abu Dhabi. The Task Group on Procedures relates to Appendix A to the Principles Governing IPCC Work (Procedures for the preparation, review, acceptance, adoption, approval and publication of IPCC Reports) and its Annexes, hereafter called 'Procedures'.

Membership of the Task Group on Procedures was open to all IPCC members (see Appendix 2 of IPCC-XXXIV/Doc. 9 for its membership for this mandate period). The Task Group on Procedures held four teleconferences in the period 16 August–11 October 2011. It developed a first draft of its work plan and zero-order draft of the revised procedures on 18 August 2011 for review by the Executive Committee and a final draft of its work plan on 12 September 2011 for review by the IPCC Bureau and Executive Committee.

Taking into account the comments received from the Executive Committee and the IPCC Bureau, the Task Group on Procedures developed a proposal for consideration by the 34th session of the IPCC in Kampala, Uganda, 18-19 November 2011.

This document is divided into two parts.

Part 1 contains the IPCC-34 decisions with respect to the Procedures (see Sections 2–6).

Part 2 contains the revised Procedures appendix.

2. IPCC guidance material

At its 33rd Session, the Panel noted that some IPCC guidance material now plays a significant role in the processes of IPCC and that there is a need for transparency related to the development of such material. The IAC Review has elevated the importance of such guidance.

The Panel noted that some of this material has until this point not been classified or has been classified as IPCC supporting material.

The Task Group for Procedures considered the option of introducing a separate class of IPCC material for IPCC guidance material, but decided against it, since the present procedures with only minor adjustment can indeed include guidance material as a sub-category of IPCC supporting material.

The Panel noted furthermore that the work of the IPCC Task Group on Data and Scenario Support for Impacts and Climate Analysis (TGICA) is not explicitly covered in the procedures and found it desirable to clarify this in the future.

The Panel decided that guidance material (guidance notes and guidance documents) is a category of IPCC supporting material aimed to guide and assist in the preparation of comprehensive and scientifically sound IPCC Reports and Technical Papers. Guidance notes and documents are usually the responsibility of Working Group Bureaux, TF Bureau or IPCC Chair as appropriate, but may also be commissioned by the Panel, the IPCC Executive Committee or the IPCC Bureau. Guidance notes and documents are developed and finalized by the relevant Working Group Bureaux, Task Force Bureau or the IPCC Chair. The Executive Committee will oversee the consistency of these materials. Guidance notes and documents should be accessible together with the principles and procedures and published.

The text at the beginning of Chapter 6 (IPCC Supporting Material) in the procedures appendix has been changed accordingly:

Supporting material consists of three categories:

(i) published reports and proceedings from Workshops and Expert Meetings within the scope of the IPCC work programme that have IPCC recognition,
(ii) material, including databases and software, commissioned by Working Groups, or by the Bureau of the Task Force on National Greenhouse Gas Inventories in support of the assessment or methodology development process which IPCC decides should have wide dissemination, and
(iii) guidance material (guidance notes and guidance documents) that guides and assists in the preparation of comprehensive and scientifically sound IPCC Reports and Technical Papers.

Procedures for the recognition of Workshops and Expert Meetings are given in Sections 6.1 and 6.2; procedures for guidance material are given in Section 6.3. Arrangements for publication of supporting material should be agreed as part of the process of IPCC recognition or commissioned by Working Groups/the Task Force Bureau to prepare specific supporting material. All supporting material of categories (i) and (ii) should be formally and prominently described on the front and other introductory covers as:

> "Supporting material prepared for consideration by the Intergovernmental Panel on Climate Change. This supporting material has not been subject to formal IPCC review processes."

3. Selection of participants to IPCC Workshops and Expert Meetings

The issue of the selection of participants to IPCC Workshops and Expert Meetings was raised during the discussions of the Task Group on Procedures under its previous mandate in Geneva, February 2011, and addressed by some government comments in submissions before the Plenary IPCC-33 in Abu Dhabi, May 2011 (see IPCC-XXXIII/INF.1). The Task Group noted that the IAC recommendations about transparency in the process and criteria for selecting participants for scoping meetings and the recommendation about criteria and processes for selecting authors also is relevant to the selection of participants for IPCC Workshops and Expert Meetings. Draft decision text was discussed in Abu Dhabi, but it was decided that some elaboration on the distinction between Workshops and Expert Meetings was required.

The Task Group on Procedures under its extended mandate discussed this distinction. It noted that in the past, Workshops generally required nominations of experts through government focal points, and, as appropriate, participating organizations and stakeholders. It also noted a comment from the IPCC Bureau that Workshops or Expert Meetings could create opportunities for outreach meetings with a view to contributing to capacity building including in developing countries and economies in transition.

The Panel decided:

An *IPCC Expert Meeting* focuses on a specific topic bringing together a limited number of relevant experts. The relevant Working Group/Task Force Bureaux, or the IPCC Chair, will identify and select participants to Expert Meetings.

An *IPCC Workshop* considers cross-cutting or complex topics requiring input from a broad community of experts. It requires nominations by Government Focal Points and, as appropriate, participating organizations. The relevant Working Group/Task Force Bureaux, or the IPCC Chair, may also nominate experts and will select the participants to the Workshop.

Proposals for IPCC Workshops or Expert Meetings will be submitted to the Panel for its decision through the relevant Working Group/Task Force Bureaux, or the IPCC Chair. The proposals will include descriptions of the topic or topics, and clarify the choice for an Expert meeting or a Workshop.

The composition of participants to Expert Meetings and Workshops shall aim to reflect:
- The relevant range of scientific, technical and socio-economic views and expertise,
- Geographical representation as appropriate,
- A mixture of experts with and without previous experience in IPCC,
- Gender balance.

The relevant Working Group/Task Force Bureaux, or the IPCC Chair, may install a Scientific Steering Committee to assist them in organizing these meetings, taking into account the criteria mentioned above.

Government Focal Points should be notified of the list of invited participants to an Expert Meeting or Workshop at the earliest opportunity after the selection has taken place.

The relevant Working Group/Task Force Bureaux, or the IPCC Chair, will convene the Expert Meeting or Workshop and report to the IPCC Bureau and Panel on the selection process, including a description of how the selection criteria and any other considerations for participation have been applied.

4. Matters relating to the transparency, quality and efficiency of the review process

Review Editors

At its 33rd Session, the Panel decided to request the Bureaux of Working Group I, II and III and TFI to develop and agree an additional guidance document that fully responds to the IAC recommendations on the role of Review Editors[1] in time for implementation in the AR5 assessment process. The Working Group/TFI Bureaux were asked to consider the guidance document "Role of Review Editors"[2] The Panel decided furthermore that the Panel may subsequently revise the Procedures as required at a future session. The Co-chairs submitted their IPCC Guidance Note on Review Editors to IPCC-34 for consideration by the Panel.

The Panel welcomed the revised Guidance Note on Review Editors and found that the recommendations of the InterAcademy Council on the Review Editors have been taken adequately into account. The Panel encouraged the implementation of this revised guidance note in the AR5 assessment process, and invited the Working Group Co-chairs to monitor implementation in their Working Group progress reports.

Furthermore, in order to bring the procedures in line with current practice, the Task Group on Procedures proposed to expand the maximum number of Review Editors per chapter to four (the need for this expansion derives from the increased workload for Review Editors also flagged by the IAC).

[1] Recommendations by the InterAdemy Council:
- The IPCC should adopt a more targeted and effective process for responding to reviewer comments. In such a process, Review Editors would prepare a written summary of the most significant issues raised by reviewers shortly after review comments have been received.Authors would be required to provide detailed written responses to the most significant review issues identified by the Review Editors, abbreviated responses to all non-editorial comments, and no written responses to editorial comments.
- The IPCC should encourage Review Editors to fully exercise their authority to ensure that reviewers' comments are adequately considered by the authors and that genuine controversies are adequately reflected in the report.

[2] General Guidance on the Role of Review Editors, Decisions taken at 32nd Session of the IPCC, appendix 3.

The Panel decided:

To help ensure that Reports provide a balanced and complete assessment of current information, each Working Group/Task Force Bureau should normally select two to four Review Editors per chapter (including the executive summaries) and per technical summary of each Report.

Open invitation for expert reviewers

According to the original procedures text, governments were invited to nominate expert reviewers. For AR5, however, a conscious decision has been made by the Working Groups to continue the practice developed in AR4 to openly invite experts to sign up as expert reviewers through the websites of the respective WGs. Indeed, recently, Working Group I announced the review of its First Order Draft from 16 December 2011 to 10 February 2012. The Panel agreed with this new procedure.

The Panel decided:

First and second order draft Reports should be circulated by Working Group/Task Force Bureau Co-Chairs for review. The Working Group/Task Force Bureaux shall seek the participation of reviewers encompassing the range of scientific, technical and socio-economic views, expertise, and geographical representation and shall actively undertake to promote and invite as wide a group of experts as possible. This includes experts nominated as Coordinating Lead Authors, Lead Authors, Review Editors or Contributing Authors as included in lists maintained by the IPCC. Government Focal Points should be notified of the commencement of this process.

5. Anonymous expert review

The Task Group on Procedures further considered anonymous expert review as required by their mandate from IPCC-33, with a view to conclude this matter by IPCC-34, given the fact that the first expert review of an AR5 report (of WG I) is due in December 2011.

At the 44th IPCC Bureau Meeting (23 September 2011) the Co-chairs of the 3 Working Groups submitted the view that IPCC expert reviews for the AR5 reports should not be anonymous. In addition, the IPCC Executive Committee (third meeting, 23 September 2011) advised the Task Group on Procedures that 'a uniform procedure of open reviews be followed at least across the three Working Groups. While recognizing that the TFI has been following an anonymous review process, they were requested by the Executive Committee to reconsider this issue'.
The Task Group on Procedures noted that current procedures are silent on this issue, allowing the current Co-chairs of the Working Groups or Task Force on Inventories to proceed with either named or anonymous expert reviews. Given the messages from the WG cochairs and the IPCC Executive Committee, the Task Group felt, on the one hand, that there is currently no consensus for amending the procedures prescribing anonymous or named expert reviews. On the other hand, the Task Group on Procedures also wished not to preclude a different approach in future assessment cycles. For future reference, the Task Group on Procedures had prepared documentation on past experiences with anonymous review and arguments in favour or against an open or anonymous expert review (Appendix 3 of IPCC-XXXIV/Doc. 9).

The Panel decided:

- not to amend the IPCC Procedures with respect to the anonymity or non-anonymity of expert reviews;
- not to preclude a different approach in future;
- to include Appendix 3 of IPCC-XXXIV/Doc. 9 in an Annex to the Report of IPCC-34.

The Panel noted that the procedures do not prescribe Working Groups and the Task Force on National Greenhouse Gas Inventories to use either anonymous or named expert review.

6. Summary for Policymakers approval sessions

At its 33rd Session, the Panel decided that the existing procedures should be amended to clarify the current practices related to submitting written comments prior to the plenary approval session.

The Panel decided: The first review of the Summaries for Policymakers will take place during the same time period as the Expert Government Review of the Second Order Draft of the full report. The final draft of the Summaries for Policymakers prepared by the respective Working Groups and Overview Chapters of Methodology Report related to National Greenhouse Gas Inventories will be circulated for a final government distribution and for a government round of written comments in preparation of the Session of the Working Group(s) that approves it or Session of the Panel that adopts it.

In addition, the Task Group on Procedures discussed two suggestions for improvement of the SPM approval session submitted by a Task Group member.

The first suggestion concerned the desirability of a prompt establishment of contact groups. The importance of such prompt establishment was shared among the members. However, it was not found that a change to the procedures would solve a problem of late establishment of contact groups. It is more a matter of efficient execution of their tasks by the chairs.

The second suggestion concerned the desirability to have balanced press releases. Again, this concern was shared among the members. It was not found feasible, however, to have the plenary approve the SPM press release, as proposed by a Task Group member. Again this is a matter of a proper execution of a communication strategy that emphasizes the importance of balance in all communications. The Secretariat has informed the Task Group on Procedures that this issue will be taken up in the development and implementation of the IPCC's communication strategy. No changes in the procedures are presently proposed for ensuring balanced press releases.

7. Decision to adopt the revised Procedures appendix

The revised appendix incorporates the relevant IPCC-33 and IPCC-34 decisions and reflects non-substantive changes to remove inconsistencies and include editorial improvements.

The Panel decided to adopt the revised Procedures appendix.

PART 2

Explanatory Note

This 2nd part of the IPCC-34 Procedures decisions document contains the revised Appendix A to the Principles Governing IPCC Work.

The new Appendix A includes:

(i) Revisions that have already been agreed at IPCC-33 (see http://www.ipcc.ch/meetings/session33/ipcc_p33_decisions_taken_procedures.pdf).
(ii) Revisions that follow from the decisions at IPCC-34 (see part 1 of this document).
(iii) Editorial changes: inconsistencies have been removed and the text has been editorially improved, mainly through a restructuring of section 4.

Furthermore, typos have been corrected and section numberings have been adjusted.

Appendix A to the Principles Governing IPCC Work

PROCEDURES FOR THE PREPARATION, REVIEW, ACCEPTANCE, ADOPTION, APPROVAL AND PUBLICATION OF IPCC REPORTS

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) and Thirty-Fourth Session (Kampala, 18-19 November 2011)

CONTENTS

1. INTRODUCTION

This revised Appendix to the Principles Governing IPCC Work contains the procedures for the preparation, review, acceptance, adoption, approval and publication of IPCC reports and other materials relevant to methodologies. These Procedures for the Preparation, Review, Acceptance, Adoption, Approval and Publication of IPCC Reports were adopted at the Fifteenth Session of the IPCC (San Jose, 15-18 April 1999) and 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) and Thirty-Fourth Session (Kampala, 18-19 November 2011).

2. DEFINITIONS

The definitions of terms used in this document are as follows:

"acceptance" of IPCC Reports at a Session of the Working Group or Panel signifies that the material has not been subject to line by line discussion and agreement, but nevertheless presents a comprehensive, objective and balanced view of the subject matter.

"adoption" of IPCC Reports is a process of endorsement section by section (and not line by line) used for the longer report of the Synthesis Report as described in section 4.4 and for Overview Chapters of Methodology Reports.

"approval" of IPCC Summaries for Policymakers signifies that the material has been subject to detailed, line by line discussion and agreement.

"Assessment Reports" are published materials composed of the full scientific and technical assessment of climate change, generally in three volumes, one for each of the Working Groups of the IPCC. Each of the volumes may be composed of two or more sections including: (a) a Summary

for Policymakers (b) an optional technical summary and (c) individual chapters and their executive summaries.

"Members of the IPCC" are countries who are Members of WMO and/or UNEP.

"Methodology Reports" are published materials, which provide practical guidelines for the preparation of greenhouse gas inventories. Such reports may be composed of two or more sections including: (a) an Overview Chapter, which broadly describes the background, structure and major features of the report, (b) individual chapters and (c) technical Annexes.

"Reports" refer to the main IPCC materials (including Assessment, Synthesis, Methodology and Special Reports and their Summaries for Policy Makers and Overview Chapters).

"Session of a Working Group" refers to a series of meetings at the plenary level of the governmental representatives to a Working Group of the IPCC.

"Session of the Bureau" refers to a series of meetings of the elected members of the IPCC Bureau who may be accompanied by a representative of their government.

"***Task Force Bureau"*** refers to the elected members of the Bureau of the Task Force on National Greenhouse Gas Inventories. It is chaired by two Co-chairs, referred to in the following as Task Force Bureau Co-chairs.

"Session of the Panel" refers to a series of meetings at the plenary level of the governmental representatives to the IPCC.

"Special Report" is an assessment of a specific issue and generally follows the same structure as a volume of an Assessment Report.

"Summary for Policymakers" is a component of a Report, such as an Assessment, Special or Synthesis Report, which provides a policy-relevant but policy-neutral summary of that Report.

"Supporting Material" consists of three categories: (1) Workshop proceedings and material from Expert Meetings which are either commissioned or supported by the IPCC, (2) software or databases to facilitate the use of the IPCC Methodology Reports, and (3) guidance material (guidance notes and guidance documents) to guide and assist in the preparation of comprehensive and scientifically sound IPCC Reports and Technical Papers.

"Synthesis Reports" synthesise and integrate materials contained within the Assessment Reports and Special Reports and are written in a non-technical style suitable for policymakers and address a broad-range of policyrelevant but policy-neutral questions. They are composed of two sections as follows: (a) a Summary for Policymakers and (b) a longer report.

"Technical Papers" are based on the material already in the Assessment Reports and Special Reports and are prepared on topics for which an objective international scientific/technical perspective is deemed essential.

"Working Group Bureau" refers to the elected members of the Bureau of a Working Group. It is chaired by Co-chairs, referred to as "Working Group Bureau Co-chairs".

3. IPCC MATERIAL

There are three main classes of IPCC material, each of which is defined in Section 2.

A. IPCC Reports (which include Assessment, Synthesis and Special Reports and their Summaries for Policymakers and Methodology Reports)
B. Technical Papers
C. Supporting Material

The different classes of material are subject as appropriate to different levels of formal endorsement. These levels are described in terms of acceptance, adoption and approval as defined in Section 2.

The different levels of endorsement for the different classes of IPCC material are as follows:

B. In general, IPCC Reports are accepted by the appropriate Working Group. Reports prepared by the Task Force on National Greenhouse Gas Inventories are accepted by the Panel. Summaries for Policymakers are approved by the appropriate Working Groups (Section 4.2)

and subsequently accepted by the Panel (Section 4.4). Overview chapters of Methodology Reports are adopted, section by section, by the appropriate Working Group or in case of reports prepared by the Task Force on National Greenhouse Gas Inventories by the Panel (Section 4.4). In the case of the Synthesis Report the Panel adopts the underlying Report, section by section, and approves the Summary for Policymakers. The definition of the terms “acceptance”, “adoption” and "approval" will be included in the IPCC published Reports (Section 4.6).

C. Technical Papers are not accepted, approved or adopted by the Working Groups or the Panel but are finalised in consultation with the Bureau (Section 5).

D. Supporting Materials are not accepted, approved or adopted (Section 6).

4. ASSESSMENT REPORTS, SYNTHESIS REPORTS, SPECIAL REPORTS AND METHODOLOGY REPORTS

4.1 Convening a Scoping Meeting to Prepare Report Outline

Each IPCC Assessment Report, Special Report, Methodology Report and Synthesis Report, as defined in section 2 of Appendix A to the Principles Governing IPCC work, should be preceded by a scoping meeting that develops its draft outline (and explanatory notes as appropriate). Nominations for participation will be solicited from governments Focal Points, participating organizations, and Bureau members. Participants should be selected by the relevant respective Working Group Bureau / Task Force Bureau and, in case of the Synthesis Report, by the IPCC Chair in consultation with the Working Group Co-Chairs. In selecting Scoping Meeting participants, consideration should be given to the following criteria: scientific, technical and socio-economic expertise, including the range of views; geographical representation; a mixture of experts with and without previous experience in IPCC; gender balance; experts with a background from relevant stakeholder and user groups, including governments. The Working Group/Task Force Bureau and, in the case of the Synthesis Report, the IPCC Chair will report to the Panel on the selection process including a description of how the selection criteria for participation and any other considerations have been applied, and including a list of participants.

Based on the report of the scoping meeting the Panel will decide whether to prepare a report and agree on its scope, outline, and the work plan including schedule and budget.

4.2 General Procedures for Preparing IPCC Reports

In Assessment Reports, Synthesis Reports, and Special Reports, Coordinating Lead Authors (CLAs), Lead Authors (LAs), and Review Editors (REs) of chapter teams are required to consider the range of scientific, technical and socio-economic views, expressed in balanced assessments. Authors should use calibrated uncertainty language that expresses the diversity of the scientifically and technically valid evidence, based mainly on the strength of the evidence and the level of agreement in the scientific, technical, and socio-economic literature. The IPCC guidance notes on addressing uncertainties are available on the IPCC website[3] and should be considered as an Addendum to this document.

The review process generally takes place in three stages: expert review of IPCC Reports, government/expert review of IPCC Reports, government review of the Summaries for Policymakers, Overview Chapters and/or the Synthesis Report. Working Group/Task Force Bureau Co-Chairs should aim to avoid (or at least minimise) the overlap of government review periods for different IPCC Reports and with Sessions of the Conference of Parties of the United Nations Framework Convention of Climate Change and its subsidiary bodies.

[3] http://www.ipcc.ch/pdf/supporting-material/uncertainty-guidance-note.pdf

Expert review should normally be eight weeks, but not less than six weeks, except to the extent decided by the Panel. Government and government/expert reviews should not be less than eight weeks, except to the extent decided by the Panel.

The drafts of IPCC Reports and Technical Papers which have been submitted for formal expert and/or government review, the expert and government review comments, and the author responses to those comments will be made available on the IPCC website as soon as possible after the acceptance by the Panel and the finalisation of the report. The IPCC considers its draft reports, prior to acceptance, to be pre-decisional, provided in confidence to reviewers, and not for public distribution, quotation or citation.

4.3 Preparation of Reports by the Working Groups and the Task Force on National Greenhouse Gas Inventories

It is essential that Working Group and Task Force on National Greenhouse Gas Inventories work programmes allow enough time in their schedules, according to procedures, for a full review by experts and governments and for the acceptance of the report. The Working Group/Task Force Bureau Co-Chairs are responsible for implementing the work programme and ensuring that proper review of the material occurs in a timely manner.

To ensure proper preparation and review, the following steps should be undertaken:

1. Compilation of lists of Potential Coordinating Lead Authors, Lead Authors, Contributing Authors, Review Editors and of Government Focal Points.
2. Selection of Coordinating Lead Authors, Lead Authors and Review Editors.
3. Preparation of draft Report.
4. Review.
   a. First review (by experts).
   b. Second review (by governments and experts).
5. Preparation of final draft Report.
6. Acceptance of Report at a Session of the Working Group(s) or the Panel respectively.

4.3.1 Compilation of Lists of Potential Coordinating Lead Authors, Lead Authors, Contributing Authors, Review Editors and of Government Focal Points

At the request of Working Group/Task Force Bureau Co-Chairs through their respective Working Group/Task Force Bureau, and the IPCC Secretariat, governments, and participating organisations and the Working Group/Task Force Bureaux should identify appropriate experts for each area in the Report who can act as potential Coordinating Lead Authors, Lead Authors, Contributing Authors or Review Editors. To facilitate the identification of experts and later review by governments, governments should also designate their respective Focal Points. IPCC Bureau Members and Members of the Task Force Bureau should contribute where necessary to identifying appropriate Coordinating Lead Authors, Lead Authors, Contributing Authors, and Review Editors in cooperation with the Government Focal Points within their region to ensure an appropriate representation of experts from developing and developed countries and countries with economies in transition.
These should be assembled into lists available to all IPCC Members and maintained by the IPCC Secretariat. The tasks and responsibilities of Coordinating Lead Authors, Lead Authors, Contributing Authors, Review Editors and government Focal Points are outlined in Annex 1.

4.3.2 Selection of Coordinating Lead Authors, Lead Authors and Review Editors

Coordinating Lead Authors, Lead Authors and Review Editors are selected by the relevant Working Group/Task Force Bureau, under general guidance and review provided by the Session of the Working Group or, in case of reports prepared by the Task Force on National Greenhouse Gas Inventories, the Panel, from those experts cited in the lists provided by governments and participating organisations, and other experts as appropriate, known through their publications and works. The composition of the group of Coordinating Lead Authors and Lead Authors for a chapter, a report or its summary shall aim to reflect:

- the range of scientific, technical and socio-economic views and expertise;
- geographical representation (ensuring appropriate representation of experts from developing and developed countries and countries with economies in transition); there should be at least one and normally two or more from developing countries;
- A mixture of experts with and without previous experience in IPCC;
- Gender balance.

The Working Group/Task Force Bureau will report to the Panel on the selection process and the extent to which the aims were achieved. The IPCC should make every effort to engage experts from the region on the author teams of chapters addressing specific regions, but should also engage experts from countries outside of the region when they can provide an essential contribution to the assessment.

The Coordinating Lead Authors and Lead Authors selected by the Working Group/Task Force Bureau may enlist other experts as Contributing Authors to assist with the work.

At the earliest opportunity, the IPCC Secretariat should inform all governments and participating organisations who the Coordinating Lead Authors, Lead Authors and Review Editors are for different chapters and indicate the general content area that the person will contribute to the chapter.

4.3.3 Preparation of Draft Report

Preparation of the first draft of a Report should be undertaken by Coordinating Lead Authors and Lead Authors. Experts who wish to contribute material for consideration in the first draft should submit it directly to the Lead Authors. Contributions should be supported as far as possible with references from the peer-reviewed and internationally available literature, and with copies of any unpublished material cited. Clear indications of how to access the latter should be included in the contributions. For material available in electronic format only, a hard copy should be archived and the location where such material may be accessed should be cited.

Lead Authors will work on the basis of these contributions, the peer-reviewed and internationally-available literature, including manuscripts that can be made available for IPCC review and selected non-peer review literature according to Annex 2 and IPCC Supporting Material (see section 6). Material which is not published but which is available to experts and reviewers may be included provided that its inclusion is fully justified in the context of the IPCC assessment process (see Annex 2).

In preparing the first draft, and at subsequent stages of revision after review, Lead Authors should clearly identify disparate views for which there is significant scientific or technical support, together with the relevant arguments. Technical summaries provided will be prepared under the leadership of the Working Group/Task Force Bureaux.

4.3.4 Review

Three principles governing the review should be borne in mind. First, the best possible scientific and technical advice should be included so that the IPCC Reports represent the latest scientific, technical and socio-economic findings and are as comprehensive as possible. Secondly, a wide circulation process, ensuring representation of independent experts (i.e. experts not involved in the

preparation of that particular chapter) from developing and developed countries and countries with economies in transition should aim to involve as many experts as possible in the IPCC process. Thirdly, the review process should be objective, open and transparent.

Working Group/TFI Co-chairs should arrange a comprehensive review of reports in each review phase, seeking to ensure complete coverage of all content. Those parts of a Working Group report that are crosscutting with other Working Group reports should be crosschecked through the relevant Authors and Co-chairs of that other working Group.

To help ensure that Reports provide a balanced and complete assessment of current information, each Working Group/Task Force Bureau should normally select two to four Review Editors per chapter (including the executive summaries) and per technical summary of each Report.

To help ensure that Reports provide a balanced and complete assessment of current information, each Working Group/Task Force Bureau should normally select two Review Editors per chapter (including the executive summaries) and per technical summary of each Report.

Review Editors should normally consist of a member of the Working Group/Task Force Bureau, and an independent expert based on the lists provided by governments and participating organisations. Review Editors should not be involved in the preparation or review of material for which they are an editor. In selecting Review Editors, the Bureaux should select from developed and developing countries and from countries with economies in transition, and should aim for a balanced representation of scientific, technical, and socio-economic views.

4.3.4.1 First Review (by Experts)

First order draft Reports should be circulated by Working Group/Task Force Bureau Co-Chairs for review. The Working Group/Task Force Bureaux shall seek the participation of reviewers encompassing the range of scientific, technical and socio-economic views, expertise, and geographical representation and shall actively undertake to promote and invite as wide a group of experts as possible. This includes experts nominated as Coordinating Lead Authors, Lead Authors, Review Editors or Contributing Authors as included in lists maintained by the IPCC. Government Focal Points should be notified of the commencement of this process.

The first draft Reports should be sent to Government Focal Points, for information, along with a list of those to whom the Report has been sent for review in that country.

The Working Group/Task Force Bureau Co-Chairs should make available to reviewers on request during the review process specific material referenced in the document being reviewed, which is not available in the international published literature.

Expert reviewers should provide the comments to the appropriate Lead Authors through the relevant Working Group/Task Force Bureau Co-Chairs with a copy, if required, to their Government Focal Point.

Coordinating Lead Authors, in consultation with the Review Editors and in coordination with the respective Working Group/Task Force Bureau Co-Chairs and the IPCC Secretariat, are encouraged to supplement the draft revision process by organising a wider meeting with principal Contributing Authors and expert reviewers, if time and funding permit, in order to pay special attention to particular points of assessment or areas of major differences.

4.3.4.2 Second Review (by Governments and Experts)

A revised draft should be distributed by the appropriate Working Group/Task Force Bureau Co-chairs or through the IPCC Secretariat to governments through the designated Government Focal Points, and to all the coordinating lead authors, lead authors and contributing authors and expert reviewers. The Working Group/Task Force Bureaux shall seek the participation of reviewers

encompassing the range of scientific, technical and socio-economic views, expertise, and geographical representation and shall actively undertake to promote and invite as wide a group of experts as possible. This includes experts nominated as Coordinating Lead Authors, Lead Authors, Review Editors or Contributing Authors as included in lists maintained by the IPCC. Government Focal Points should be notified of the commencement of this process.

Governments should send one integrated set of comments for each Report to the appropriate Working Group/Task Force Bureau Co-chairs through their Government Focal Points.

Non-government reviewers should send their further comments to the appropriate Working Group/Task Force Bureau Co-Chairs with a copy to their appropriate Government Focal Point.

4.3.5 Preparation of Final Draft Report

Preparation of a final draft Report taking into account government and expert comments for submission to a Session of a Working Group or, in case of a report prepared by the Task Force on National Greenhouse Gas Inventories, of the Panel for acceptance should be undertaken by Coordinating Lead Authors and Lead Authors in consultation with the Review Editors. If necessary, and timing and funding permitting, a wider meeting with principal Contributing Authors and expert and government reviewers is encouraged in order to pay special attention to particular points of assessment or areas of major differences. It is important that Reports describe different (possibly controversial) scientific, technical, and socio-economic views on a subject, particularly if they are relevant to the policy debate. The final draft should credit all Coordinating Lead Authors, Lead Authors, Contributing Authors, reviewers and Review Editors by name and affiliation (at the end of the Report).

4.4 Preparation, Approval and Acceptance of Summaries for Policymakers and Adoption of Overview Chapters of Methodology Reports Related to National Greenhouse Gas Inventories

Summary sections of Reports approved by the Working Groups and accepted by the Panel will principally be the Summaries for Policymakers, prepared by the respective Working Groups of their full scientific, technical and socio-economic assessments, and Summaries for Policymakers of Special Reports prepared by the Working Groups. The Summaries for Policymakers should be subject to simultaneous review by both experts and governments, a government round of written comments of the revised draft before the approval Session and to a final line by line approval by a Session of the Working Group. Responsibility for preparing first drafts and revised drafts of Summaries for Policymakers, lies with the respective Working Group Co-Chairs. The Summaries for Policymakers should be prepared concurrently with the preparation of the main Reports.

The first review of the Summaries for Policymakers will take place during the same time period as the Expert Government Review of the Second Order Draft of the full report. The final draft of the Summaries for Policymakers prepared by the respective Working Groups and Overview Chapters of Methodology Report related to National Greenhouse Gas Inventories will be circulated for a final government round of written comments in preparation of the Session of the Working Group(s) that approves it or Session of the Panel that adopts it.

Approval of the Summary for Policymakers at the Session of the Working Group, signifies that it is consistent with the factual material contained in the full scientific, technical and socioeconomic assessment or Special Report accepted by the Working Group. Coordinating Lead Authors should be consulted in order to ensure that the Summary for Policymakers is fully consistent with the findings in the main report. These Summaries for Policymakers should be formally and prominently described as:

"A Report of (Working Group X of) the Intergovernmental Panel on Climate Change."

For a Summary for Policymakers approved by a Working Group to be endorsed as an IPCC Report, it must be accepted at a Session of the Panel. Because the Working Group approval process is open to all governments, Working Group approval of a Summary for Policymakers means that the Panel cannot change it. However, it is necessary for the Panel to review the Report at a Session, note any substantial disagreements, (in accordance with Principle 10 of the Principles Governing IPCC Work) and formally accept it.

Overview Chapters of Methodology Reports related to National Greenhouse Gas Inventories will be adopted section by section by the Panel. The Overview Chapters should be subject to simultaneous review by both experts and governments. Responsibility for preparing first drafts and revised drafts

lies with the respective Task Force Bureau Co-Chairs. The Overview Chapters should be prepared concurrently with the preparation of the main Reports.

4.5 Acceptance of Reports

Reports presented for acceptance at Sessions of the Working Groups, or in case of reports prepared by the Task Force on National Greenhouse Gas Inventories reports presented for acceptance by the Panel, are the full scientific, technical and socio-economic Assessment Reports of the Working Groups, Special Reports and Methodology Reports, that is, the IPCC Guidelines for National Greenhouse Gas Inventories or the IPCC Technical Guidelines for Assessing Climate Change Impacts and Adaptations.
The subject matter of these Reports shall conform to the terms of reference of the relevant Working Groups, or the Task Force on National Greenhouse Gas Inventories and to the work plan approved by the Panel.

Reports to be accepted by the Working Groups, and reports prepared by the Task Force on National Greenhouse Gas Inventories will undergo expert and government/expert reviews. The purpose of these reviews is to ensure that the Reports present a comprehensive, objective, and balanced view of the areas they cover. While the large volume and technical detail of this material places practical limitations upon the extent to which changes to these Reports will normally be made at Sessions of Working Groups or the Panel, "acceptance" signifies the view of the Working Group or the Panel that this purpose has been achieved. The content of the authored chapters is the responsibility of the Lead Authors, subject to Working Group or Panel acceptance. Changes (other than grammatical or minor editorial changes) made after acceptance by the Working Group or the Panel shall be those necessary to ensure consistency with the Summary for Policymakers or the Overview Chapter. These changes shall be identified by the Lead Authors in writing and made available to the Panel at the time it is asked to accept the Summary for Policymakers, in case of reports prepared by the Task Force on National Greenhouse Gas Inventories by the end of the session of the Panel which adopts/accepts the report.

Reports accepted by Working Groups, or prepared by the Task Force on National Greenhouse Gas Inventories should be formally and prominently described on the front and other introductory covers as:

> "A report accepted by Working Group X of the IPCC (OR, a report prepared by the Task Force on National Greenhouse Gas Inventories of the IPCC and accepted by the Panel) but not approved in detail."

4.6 Reports Approved and Adopted by the Panel

Reports approved and adopted by the Panel will be the Synthesis Report of the Assessment Reports and other Reports as decided by the Panel whereby Section 4.4 applies *mutatis mutandis*.

4.6.1 The Synthesis Report

The Synthesis Report will synthesise and integrate materials contained within the Assessment Reports and Special Reports and should be written in a non-technical style suitable for policymakers and address a broad range of policy-relevant but policy-neutral questions approved by the Panel. The Synthesis Report is composed of two sections as follows: (a) a Summary for Policymakers and (b) a longer report. The IPCC Chair will lead a writing team whose composition is agreed by the Bureau, noting the need to aim for the range of scientific, technical and socio-economic views, expertise and geographical representation. An approval and adoption procedure will allow Sessions of the Panel to approve the SPM line by line and to ensure that the SPM and the longer report of the Synthesis Report are consistent, and the Synthesis Report is consistent with the underlying Assessment Reports and Special Reports from which the information has been synthesised and integrated. This approach will take 5-7 working days of a Session of the Panel.

Step 1: The longer report (30-50 pages) and the SPM (5-10 pages) of the Synthesis Report are prepared by the writing team.

Step 2: The longer report and the SPM of the Synthesis Report undergo simultaneous expert/government review.

Step 3: The longer report and the SPM of the Synthesis Report are then revised by Lead Authors, with the assistance of the Review Editors.

Step 4: The revised drafts of the longer report and the SPM of the Synthesis Report are submitted to Governments and participating organisations eight weeks before the Session of the Panel.

Step 5: The longer report and the SPM of the Synthesis Report are both tabled for discussion in the Session of the Panel:

- The Session of the Panel will first provisionally approve the SPM line by line.

- The Session of the Panel will review and adopt the longer report of the Synthesis Report, section by section, i.e. roughly one page or less at a time. The review and adoption process for the longer report of the Synthesis Report should be accomplished in the following manner:

    - When changes in the longer report of the Synthesis Report are required either to conform it to the SPM or to ensure consistency with the underlying Assessment Reports, the Panel and authors will note where changes are required in the longer report of the Synthesis Report to ensure consistency in tone and content. The authors of the longer report of the Synthesis Report will then make changes in the longer report of the Synthesis Report. Those Bureau members who are not authors will act as Review Editors to ensure that these documents are consistent and follow the directions of the Session of the Panel.

    - The longer report of the Synthesis Report is then brought back to the Session of the Panel for the review and adoption of the revised sections, section by section. If inconsistencies are still identified by the Panel, the longer report of the Synthesis Report is further refined by the Authors with the Assistance of the Review Editors for review and adoption by the Panel. This process is conducted section by section, not line by line.

- The final text of the longer report of the Synthesis Report will be adopted and the SPM approved by the Session of the Panel.

The Report consisting of the longer report and the SPM of the Synthesis Report is an IPCC Report and should be formally and prominently described as:

"A Report of the Intergovernmental Panel on Climate Change."

4.7 Addressing Possible Errors in Assessments Reports, Synthesis Reports, Special Reports and Methodology Reports

The procedures to be followed for investigating possible errors in an Assessment Report, Synthesis Report, Special Report or Methodology Report and, if appropriate, implementing its correction are defined in the IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology reports (see Annex 3).

5. TECHNICAL PAPERS

IPCC Technical Papers are prepared on topics for which an objective, international scientific/technical perspective is deemed essential. They:

a. are based on the material already in the IPCC Assessment Reports, Special Reports or Methodology Reports;

b. are initiated: (i) in response to a formal request from the Conference of the Parties to the UN Framework Convention on Climate Change or its subsidiary bodies and agreed by the IPCC Bureau; or (ii) as decided by the Panel;

c. are prepared by a team of Lead Authors, including a Coordinating Lead Author, selected by the Working Group/Task Force Bureaux in accordance with the provisions of Sections 4.3.1 and 4.3.2 for the selection of Lead Authors and Coordinating Lead Authors;

d. are submitted in draft form for simultaneous expert and government review with circulation to expert reviewers and Government Focal Points in accordance with Section 4.3.4.1 at least four weeks before the comments are due;

e. are revised by the Lead Authors based upon the comments received in the step above, and with assistance from at least two Review Editors per entire technical paper who are selected as per the procedures for selecting Review Editors for Assessment Reports, Synthesis Reports, Special Reports and Methodology Reports in section 4.3.2 of this Appendix and carry out the roles listed in section 5 of Annex 1;

f. are submitted for final government review at least four weeks before the comments are due;

g. are finalised by the Lead Authors, in consultation with the IPCC Bureau which functions in the role of an Editorial Board, based on the comments received; and,

h. if necessary, as determined by the IPCC Bureau, would include in a footnote differing views, based on comments made during final government review, not otherwise adequately reflected in the paper.

The following Guidelines should be used in interpreting requirement (a) above: The scientific, technical and socio-economic information in Technical Papers must be derived from:

(a) The text of IPCC Assessment Reports and Special Reports and the portions of material in cited studies that were relied upon in these Reports.

(b) Relevant models with their assumptions, and scenarios based on socio-economic assumptions, as they were used to provide information in those IPCC Reports, as well as emission profiles for sensitivity studies, if the basis of their construction and use is fully explained in the Technical Paper.

The Technical Papers must reflect the balance and objectivity of those Reports and support and/or explain the conclusions contained in those Reports.

Information in the Technical Papers should be referenced as far as possible to the subsection of the relevant IPCC Reports and related material.

Such Technical Papers are then made available to the Conference of the Parties or its subsidiary bodies, in response to its request, and thereafter publicly. If initiated by the Panel, Technical Papers are made available publicly. In either case, IPCC Technical Papers prominently should state in the beginning:

"This is a Technical Paper of the Intergovernmental Panel on Climate Change prepared in response to a request from (the Conference of the Parties to) / (a subsidiary body of) the United Nations Framework Convention on Climate Change / (decision of the Panel). The material herein has undergone expert and government review but has not been considered by the Panel for formal acceptance or approval."

6. IPCC SUPPORTING MATERIAL

Supporting material consists of three categories:

(i) published reports and proceedings from Workshops and Expert Meetings within the scope of the IPCC work programme that have IPCC recognition,
(ii) material, including databases and software, commissioned by Working Groups, or by the Bureau of the Task Force on National Greenhouse Gas Inventories in support of the assessment or methodology development process which IPCC decides should have wide dissemination, and
(iii) guidance material (guidance notes and guidance documents) that guides and assists in the preparation of comprehensive and scientifically sound IPCC Reports and Technical Papers.

Procedures for the recognition of Workshops and Expert Meetings are given in Sections 6.1 and 6.2; procedures for guidance material are given in Section 6.3. Arrangements for publication of supporting material should be agreed as part of the process of IPCC recognition or commissioned by Working Groups/the Task Force Bureau to prepare specific supporting material. All supporting material of categories (i) and (ii) should be formally and prominently described on the front and other introductory covers as:

> "Supporting material prepared for consideration by the Intergovernmental Panel on Climate Change. This supporting material has not been subject to formal IPCC review processes."

6.1 Workshops and Expert Meetings

IPCC Workshops and Expert Meetings are those that have been agreed upon in advance by an IPCC Working Group, or by the Panel as useful or necessary for the completion of the work plan of a Working Group, the Task Force on National Greenhouse Gas Inventories or a task of the IPCC. Only such activities may be designated as "IPCC" Workshops or Expert Meetings. Their funding should include full and complete provision for participation of experts from developing countries and countries with economies in transition.

An *IPCC Expert Meeting* focuses on a specific topic bringing together a limited number of relevant experts. The relevant Working Group/Task Force Bureaux, or the IPCC Chair, will identify and select participants to Expert Meetings.

An *IPCC Workshop* considers cross-cutting or complex topics requiring input from a broad community of experts. It requires nominations by Government Focal Points and, as appropriate, participating organizations. The relevant Working Group/Task Force Bureaux, or the IPCC Chair, may also nominate experts and will select the participants to the Workshop.

Proposals for IPCC Workshops or Expert Meetings will be submitted to the Panel for its decision through the relevant Working Group/Task Force Bureaux, or the IPCC Chair. The proposals will include descriptions of the topic or topics, and clarify the choice for an Expert meeting or a Workshop.

The composition of participants to Expert Meetings and Workshops shall aim to reflect:
- The relevant range of scientific, technical and socio-economic views and expertise,
- Geographical representation as appropriate,
- A mixture of experts with and without previous experience in IPCC,
- Gender balance.

The relevant Working Group/Task Force Bureaux, or the IPCC Chair, may install a Scientific Steering Committee to assist them in organizing these meetings, taking into account the criteria mentioned above.

Government Focal Points should be notified of the list of invited participants to an Expert Meeting or Workshop at the earliest opportunity after the selection has taken place.

The relevant Working Group/Task Force Bureaux, or the IPCC Chair, will convene the Expert Meeting or Workshop and report to the IPCC Bureau and Panel on the selection process, including a description of how the selection criteria and any other considerations for participation have been applied.

The proceedings of IPCC Workshops and Expert Meetings should normally be published summarising the range of views presented at the meeting. Such proceedings should:

- include a full list of participants;
- indicate when and by whom they were prepared;
- indicate whether and by whom they were reviewed prior to publication;
- acknowledge all sources of funding and other support;
- indicate prominently at the beginning of the document that the activity was held pursuant to a decision of the relevant Working Group or the Panel but that such decision does not imply Working Group or Panel endorsement or approval of the proceedings or any recommendations or conclusions contained therein.

6.2 Co-sponsored Workshops and Expert Meetings

IPCC co-sponsorship may be extended to other Workshops or Expert Meetings if the IPCC Chair, as well as the Co-Chairs of the relevant Working Group/Task Force Bureau determine in advance that the activity will be useful to the work of the IPCC. IPCC co-sponsorship of such an activity does not convey any obligation by the IPCC to provide financial or other support. In considering whether to extend IPCC co-sponsorship, the following factors should be taken into account:

- whether full funding for the activity will be available from sources other than the IPCC;
- whether the activity will be open to government experts as well as experts from nongovernmental
  organisations participating in the work of the IPCC;
- whether provision will be made for participation of experts from developing countries and countries with economies in transition;
- whether the proceedings will be published and made available to the IPCC in a time frame relevant to its work;
- whether the proceedings will:
    - include a full list of participants;
    - indicate when and by whom they were prepared;
    - indicate whether and by whom they were reviewed prior to publication;
    - specify all sources of funding and other support;
    - prominently display the following disclaimer at the beginning of the document:

      "IPCC co-sponsorship does not imply IPCC endorsement or approval of these proceedings or any recommendations or conclusions contained herein. Neither the papers presented at the Workshop/Expert Meeting nor the report of its proceedings have been subjected to IPCC review."

6.3 Guidance material

Guidance material (guidance notes and guidance documents) is material to guide and assist authors in the preparation of comprehensive and scientifically sound IPCC Reports and Technical Papers. Guidance notes and documents are usually the responsibility of Working Group Bureaux, TF Bureau or IPCC Chair as appropriate, but may also be commissioned by the Panel, the IPCC Executive Committee or the IPCC Bureau. Guidance notes and documents are developed and finalized by the relevant Working Group Bureaux, Task Force Bureau or the IPCC Chair. The Executive Committee will oversee the consistency of these materials. Guidance notes and documents should be accessible together with the principles and procedures and published.

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

1. LEAD AUTHORS

Function:

To be responsible for the production of designated sections addressing items of the work programme on the basis of the best scientific, technical and socio-economic information available.

Comment:

Lead Authors will typically work as small groups which have responsibility for ensuring that the various components of their sections are brought together on time, are of uniformly high quality and conform to any overall standards of style set for the document as a whole.

The task of Lead Authors is a demanding one and in recognition of this the names of Lead Authors will appear prominently in the final Report. During the final stages of Report preparation, when the workload is often particularly heavy and when Lead Authors are heavily dependent upon each other to read and edit material, and to agree to changes promptly, it is essential that the work should be accorded the highest priority.

The essence of the Lead Authors' task is synthesis of material drawn from available literature as defined in Section 4.2. Lead Authors, in conjunction with Review Editors, are also required to take account of expert and government review comments when revising text. Lead Authors may not necessarily write original text themselves, but they must have the proven ability to develop text that is scientifically, technically and socio-economically sound and that faithfully represents, to the extent that this is possible, contributions by a wide variety of experts. The ability to work to deadlines is also a necessary practical requirement. Lead Authors are required to record in the Report views which cannot be reconciled with a consensus view but which are nonetheless scientifically or technically valid.

Lead Authors may convene meetings with Contributing Authors, as appropriate, in the preparations of their sections or to discuss expert or government review comments and to suggest any Workshops or Expert Meetings in their relevant areas to the Working Group/Task Force Bureau Co-Chairs. The names of all Lead Authors will be acknowledged in the Reports.

2. COORDINATING LEAD AUTHORS

Function:

To take overall responsibility for coordinating major sections of a Report.

Comment:

Coordinating Lead Authors will be Lead Authors with the added responsibility of ensuring that major sections of the Report are completed to a high standard, are collated and delivered to the Working Group/Task Force Bureau Co-Chairs in a timely manner and conform to any overall standards of style set for the document.

Coordinating Lead Authors will play a leading role in ensuring that any crosscutting scientific or technical issues which may involve several sections of a Report are addressed in a complete and coherent manner and reflect the latest information available.

The skills and resources required of Coordinating Lead Authors are those required of Lead Authors with the additional organisational skills needed to coordinate a section of a Report. The names of all Coordinating Lead Authors will be acknowledged in the Reports.

3. CONTRIBUTING AUTHORS

Function:

To prepare technical information in the form of text, graphs or data for assimilation by the Lead Authors into the draft section.

Comment:

Input from a wide range of contributors is a key element in the success of IPCC assessments, and the names of all contributors will be acknowledged in the Reports. Contributions are sometimes solicited by Lead Authors but unprompted contributions are encouraged.

Contributions should be supported as far as possible with references from the peer reviewed and internationally available literature, and with copies of any unpublished material cited; clear indications of how to access the latter should be included in the contributions. For material available in electronic format only, the location where such material may be accessed should be cited.

Contributed material may be edited, merged and if necessary, amended, in the course of developing the overall draft text.

4. EXPERT REVIEWERS

Function:

To comment on the accuracy and completeness of the scientific/technical/socio-economic content and the overall scientific/technical/socio-economic balance of the drafts.

Comment:

Expert reviewers will comment on the text according to their own knowledge and experience.

5. REVIEW EDITORS

Function:

Review Editors will assist the Working Group/Task Force Bureaux in identifying reviewers for the expert review process, ensure that all substantive expert and government review comments are afforded appropriate consideration, advise lead authors on how to handle contentious/controversial issues and ensure genuine controversies are reflected adequately in the text of the Report.

Comment:

There will be two to four Review Editors per chapter (including their executive summaries) and per technical summary. In order to carry out these tasks, Review Editors will need to have a broad understanding of the wider scientific and technical issues being addressed. The workload will be particularly heavy during the final stages of the Report preparation. This includes attending those meetings where writing teams are considering the results of the two review rounds. Review Editors are not actively engaged in drafting Reports and cannot serve as reviewers of those chapters of which they are Authors. Review Editors can be members of a Working Group/Task Force Bureau or outside experts agreed by the Working Group/Task Force Bureau.

Although responsibility for the final text remains with the Lead Authors, Review Editors will need to ensure that where significant differences of opinion on scientific issues remain, such differences are described in an annex to the Report. Review Editors must submit a written report to the Working Group Sessions or the Panel and where appropriate, will be requested to attend Sessions of the Working Group and of the IPCC to communicate their findings from the review process and to assist in finalising the Summary for Policymakers, Overview

Chapters of Methodology Reports and Synthesis Reports. The names of all Review Editors will be acknowledged in the Reports.

6. GOVERNMENT FOCAL POINTS

Function:

To prepare and update the list of national experts as required to help implement the IPCC work programme, and to arrange the provision of integrated comments on the accuracy and completeness of the scientific and/or technical content and the overall scientific and/or technical balance of the drafts.

Comment:

Government review will typically be carried out within and between a number of Departments and Ministries. For administrative convenience, each government and participating organisation should designate one Focal Point for all IPCC activities, provide full information on this Focal Point to the IPCC Secretariat and notify the Secretariat of any changes in this information. The Focal Point should liaise with the IPCC Secretariat regarding the logistics of the review process(es) of particular importance is the full exchange of information.

ANNEX 2

PROCEDURE ON THE USE OF LITERATURE IN IPCC REPORTS

This annex is provided to ensure that the IPCC process for the use of literature is open and transparent. In the assessment process, emphasis is to be placed on the assurance of the quality of all cited literature. Priority should be given to peer-reviewed scientific, technical and socio-economic literature if available.

It is recognized that other sources provide crucial information for IPCC Reports. These sources may include reports from governments, industry, and research institutions, international and other organizations, or conference proceedings. Use of this literature brings with it an extra responsibility for the author teams to ensure the quality and validity of cited sources and information[4]. In general, newspapers and magazines are not valid sources of scientific information. Blogs, social networking sites, and broadcast media are not acceptable sources of information for IPCC Reports. Personal communications of scientific results are also not acceptable sources.

The following additional procedures are specified:

1. Responsibilities of Coordinating, Lead and Contributing Authors
The Coordinating Lead Authors will ensure that all sources are selected and used in accordance with the procedures in this Annex.

The author team is required to critically assess information they would like to include from any source. Each chapter team should review the quality and validity of each source before incorporating information into an IPCC Report. Authors who wish to include information that is not publicly or commercially available are required to send the full reference and a copy, preferably electronically, to the relevant Technical Support Unit. For any source written in a language other than English, an executive summary or abstract in English is required.

These procedures also apply to papers undergoing the publication process in peer-reviewed journals at the time of the government or expert review.

All sources will be integrated into the reference section of the IPCC Report.

2. Responsibilities of the Review Editors
The Review Editors will support and provide guidance to the author team in ensuring the consistent application of the procedures in this Annex.

3. Responsibilities of the Working Group /Task Force Bureau Co-Chairs
For sources that are not publicly or commercially available, the Working Group/Task Force Bureau Co-Chairs coordinating the Report will make these sources available to reviewers who request them during the review process.

4. Responsibilities of the IPCC Secretariat
For sources that are not publicly or commercially available, the IPCC Secretariat will store these sources after publication of an IPCC report, in order to support the “IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports”.

[4] see IPCC-XXXII/INF.4, Notes on the Informal Task Group on Procedures, containing general guidance on the use of literature in IPCC, page 7, section 2.

ANNEX 3

IPCC PROTOCOL FOR ADDRESSING POSSIBLE ERRORS IN IPCC ASSESSMENT REPORTS, SYNTHESIS REPORTS, SPECIAL REPORTS AND METHODOLOGY REPORTS

Adopted by the Panel at its 33rd Session in Abu Dhabi, 10-13 May 2011

Preamble

At its 32nd Session (October 2010), the IPCC Panel noted the proposed protocol for addressing errors in previous assessment reports (IPCC-XXXII/INF.8). The Panel tasked the IPCC Chairman, the IPCC Vice-Chairs, the Co-Chairs of Working Groups I, II and III and the Task Force on Inventories to take any necessary steps to ensure that this protocol is finalised and then used for evaluation of potential errors and developing errata as appropriate. The protocol is presented below.

This protocol is intended to be used only to correct errors that could have been avoided in the context of the information available at the time the report was written. Its use should be reserved for errors of fact or accuracy. The protocol cannot be used to make changes that reflect new knowledge or scientific information that became available only after the literature cut-off date for the report in question. It cannot be used to propose the consideration of additional sources not cited in the existing assessment, unless directly relevant to an error of fact or accuracy. It must also not be invoked to reflect a difference in opinion compared with an author team or a new interpretation of knowledge or scientific information.

This protocol is intended to address the full range of possible errors from typographical errors through complicated issues of sourcing, interpretation, analysis, or assessment, arising from the previously mentioned errors of fact or accuracy.

Responsibility for implementing the error correction protocol rests with the current Co-Chairs of the relevant Working Group or Task Force product containing the alleged error. If the error is in a Synthesis Report, responsibility rests with the current IPCC Chairman. In all cases, the relevant Coordinating Lead Authors and Co-Chairs of the report containing the alleged error or, in the case of the Synthesis Report, the IPCC Chairman and relevant Working Group Co-Chairs at the time of that assessment, will be kept informed of the evaluation and participate as appropriate.

The protocol is presented as a decision tree, which is based on a set of underlying principles. The procedure to be followed for investigating the claimed error and, if appropriate, implementing its correction depends on the location of the claimed error, i.e., whether it resides in a Chapter or the Technical Summary of a Working Group Contribution to an Assessment Report or of a Special Report, or in a Methodology Report, in the Summary for Policymakers of a Working Group Contribution or of a Special Report, or in the Overview Chapter of a Methodology Report, or in a Synthesis Report.

IPCC Protocol for Addressing Errors
in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports

Principles underlying this protocol for handling errors:

1. This protocol is intended to be used only to correct errors that could have been avoided in the context of the information available at the time the report was written.

2. The IPCC Secretariat is the entry point for all error reporting.

3. The IPCC Secretariat maintains an internal error tracking system. Entries are made in consultation with the current Co-Chairs of the relevant Working Group (WG) or Task Force (TF) or in case of an error in a Synthesis Report in consultation with the current IPCC Chairman. This system informs the leadership of IPCC and the Technical Support Units (TSUs), via a protected website, about the current status of all active error handling processes.

4. To the extent possible, corrections should be based on consensus, consistent with the IPCC principles that form the foundation for the underlying reports.

5. Responsibility for decisions at steps during the process is with the current WG or TF Bureau of the WG or TF product in which the alleged error resides. If the error is in a Synthesis Report, responsibility rests with the current IPCC Bureau.

6. Responsibility for implementation is with the current Co-Chairs of the WG or TF product in which the alleged error resides. If the error is in a Synthesis Report, responsibility rests with the current IPCC Chairman.

7. Original authors (Coordinating Lead Authors (CLAs), and Lead Authors (LAs) if necessary) must be involved as appropriate. Communication with them is via the current Co-Chairs of the relevant WG or TF (the IPCC Chairman in the case of the Synthesis Report). If any of the individuals identified as playing leading roles on behalf of author teams of previous reports are not available, then the current Co-Chairs of the WG or TF (the IPCC Chairman in the case of the Synthesis Report) will identify an individual or individuals best qualified to take over those roles.

8. For alleged errors regarding the previous assessment cycles, the previous Co-Chairs of the relevant WG or TF and the previous IPCC Chairman need to be kept informed and may be consulted as appropriate.

9. Handling of alleged errors must be coordinated across Chapters, Executive Summaries of Chapters, Technical Summaries of WG Contributions, Summaries for Policymakers for Working Groups, Synthesis Reports, Summaries for Policymakers for Synthesis Reports, and Overview Chapters of Methodology Reports.

10. At the start of the process, the claimant is informed by the IPCC Secretariat about the next steps in a general way, and referred to this "IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports". The claimant will again be informed at the conclusion of the process.

11. Errata are posted on the IPCC and WG or TF websites after the conclusion of the process. A short explanatory statement about the error may also be posted.

Section 1: If the alleged error is in a Working Group Contribution or Special Report (Chapter or Technical Summary) or in a Methodology Report, start here. Otherwise, go to Section 2.

For all alleged errors, it is essential to evaluate the possibility of consequences for the Summary for Policymakers of a WG Contribution to an Assessment Report, for the Summary for Policymakers of a Special Report, for the Overview Chapter of a Methodology Report, *or for a Synthesis Report.*

Note: This section describes the procedure that is followed to address errors in a Working Group Contribution or a Special Report (Chapter or Technical Summary) or in a Methodology Report. *Figure 1 provides an overview of the protocol for section 1.*

Step 1:
An alleged error is reported to the IPCC Secretariat. If received elsewhere, it is passed to the IPCC Secretariat. A new entry is made in the internal error tracking system.

Step 2:
The IPCC Secretariat forwards the claim to the current Co-Chairs of the relevant WG (or TF). The IPCC Secretariat acknowledges receipt to the claimant, providing information about the next steps in a general way, and refers the claimant to the "IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports".

Step 3:
The current WG or TF Co-Chairs and relevant Bureau decide whether action on the claim is warranted. They may consult previous Co-Chairs or CLAs of the relevant chapter. The condition for further processing is that one or more of the relevant current WG or TF Co-Chairs and relevant Bureau find that action is warranted.

If consensus is reached that action is not warranted, the IPCC Secretariat informs the claimant and closes the case.

If no consensus is reached or if the consensus is reached that action is warranted, the current WG or TF Co-Chairs consult the CLAs (or LAs if necessary) of the chapter.

If the CLAs of the chapter with the alleged error agree that there is an error, continue with step 4A.

If the CLAs of the chapter with the alleged error do not agree that there is an error, continue with step 4B.

Step 4A: *(for cases where the authors agree that there is an error)*
For typographical errors, decisions on and posting of errata are handled by the current Technical Support Unit of the relevant WG or TF under the supervision of its Co-Chairs. The CLAs of the relevant chapters and WG or TF Bureau are informed. The IPCC Secretariat is informed, posts the errata, and closes the case.

Otherwise, go to step 5A.

Step 5A: *(for cases where the authors agree that there is an error)*
The current WG or TF Co-chairs and CLAs (and LAs if necessary) of the chapter with the alleged error evaluate the error and decide whether the correction requires expertise beyond the author team.

If the author team has the appropriate expertise to construct an erratum, then one is constructed by the CLAs and submitted to the current WG or TF Bureau for approval. Following approval, the Secretariat informs the claimant and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If further expertise is required, then the relevant Co-Chairs and WG or TF Bureau appoint a Review Team containing, as a minimum, two experts who were not involved in drafting the chapter, plus at least one CLA or LA from the chapter with the error, and charges that Review Team with proposing, within one month's time, an erratum statement. The Co-Chairs then submit this to the relevant WG or TF Bureau for approval. Following approval, the Secretariat informs the claimant and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If the authors, Review Team, and WG or TF Bureau fail to reach consensus on an erratum statement, then the WG or TF Co-Chairs inform the Executive Committee of the disagreement, and they ask the IPCC Chairman to appoint,

within one month, an Independent Review Committee. This committee should consist of at least three experts not involved in drafting the chapter with the alleged error and not involved as a Bureau Member, CLA, or LA on the assessment with the alleged error or the current assessment. The Independent Review Committee, after consultation with the authors, the Review Team, the Co-Chairs, and the WG or TF Bureau, is tasked to propose a revised erratum. If consensus is now reached with the authors, the Co-Chairs then submit this to the relevant WG or TF Bureau for approval. Following approval, the Secretariat informs the claimant, and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If the current WG or TF Co-Chairs, the WG or TF Bureau and the relevant CLAs still cannot come to consensus, the current WG or TF Co-Chairs and the IPCC Chairman draft a "Contested Erratum" statement, signed by the IPCC Chairman. This is posted on the IPCC and WG or TF erratum websites. This statement reports the claimed error, and explains that issues have been raised but these cannot be resolved before this matter is reassessed in the present or next cycle. The IPCC Chairman and relevant WG or TF Co-Chairs decide on a communications strategy if needed. The case is then closed.

Step 4B: *(for cases where the authors do not agree that there is an error)*
The WG or TF Co-Chairs inform the Executive Committee of the disagreement. The CLAs of the chapter with the alleged error provide the WG or TF Co-Chairs with a brief document explaining why the text in question does not contain an error. The WG or TF Co-Chairs then appoint, within two weeks, an Initial Review Group of two Bureau members and at least one CLA or LA from the current assessment if available, otherwise at least one expert who was not involved in drafting the chapter. The Initial Review Group is tasked to analyze the text in question and decide if they agree with the CLAs of the chapter with the alleged error. The response from the Initial Review Group is due in two weeks.

If the Initial Review Group agrees that there was no error, then the WG or TF Co-Chairs inform the relevant CLAs and task them with preparing, within two weeks, a brief document explaining why the text in question was in fact not an error. The current WG or TF Co-Chairs submit the document to the current WG or TF Bureau for approval. After approval by the WG or TF Bureau, the IPCC Secretariat informs the claimant, and the case is closed.

If the Initial Review Group finds there is an error, the WG or TF Bureau considers the report from the Initial Review Group, as well as from the authors, and aims to find consensus with the authors and the Initial Review Group on the development of an erratum.

If consensus is reached, the CLAs, in consultation with the Initial Review Group, develop an erratum statement, which is submitted to the WG or TF Bureau for approval. Following approval, the IPCC Secretariat informs the Executive Committee and the claimant, and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If consensus is not reached continue with step 5B.

Step 5B: *(for cases where the authors do not agree that there is an error)*
The WG or TF Co-Chairs inform the Executive Committee of the disagreement, and they ask the current IPCC Chairman to appoint, within one month, an Independent Review Committee. This committee should consist of at least three experts not involved in drafting the chapter with the alleged error and not involved as a Bureau Member, CLA, or LA on the assessment with the alleged error or the current assessment. The Independent Review Committee is tasked to evaluate the alleged error.

If the Independent Review Committee agrees there is no error, they prepare, within two weeks, a brief document explaining why the text in question was in fact not an error. The current WG or TF Co-Chairs submit the document to the current WG or TF Bureau for approval. After approval by the current WG or TF Bureau, the IPCC Secretariat informs the claimant, and the case is closed.

If the Independent Review Committee finds there is an error, they are tasked with providing, within one month, a proposed course of action. The WG or TF Bureau informs the relevant CLAs about the proposed action and, if agreement is found with them that there is an error and how to handle it, the authors develop an erratum statement, which is submitted to the WG or TF Bureau for approval. Following approval, the IPCC Secretariat informs the Executive Committee and the claimant, and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If the current WG or TF Co-Chairs, the WG or TF Bureau and the relevant CLAs still cannot come to consensus, the current WG or TF Co-Chairs and the IPCC Chairman draft a "Contested Erratum" statement, signed by the IPCC Chairman. This is posted on the IPCC and WG or TF erratum websites. This statement reports the claimed error, and explains that issues have been raised but these cannot be resolved before this matter is reassessed in the present or next cycle. The IPCC Chairman and relevant WG or TF Co-Chairs decide on a communications strategy if needed. The case is then closed.

Note: before posting any erratum, the WG or TF Co-Chairs should evaluate possible consequences of the erratum for the Summary for Policymakers, Overview Chapter or Synthesis Report. If there are consequences, the relevant process in Sections 2 and/or 3 of this protocol needs to occur after the process in Section 1.

Section 2:

If the alleged error is in the Summary for Policymakers of a Working Group Contribution or of a Special Report, or in the Overview Chapter of a Methodology Report, start here. If it is in a Synthesis Report, go to Section 3.

Note: For errors in the Summary for Policymakers or Overview Chapter that arise from an underlying Chapter or the Technical Summary of a WG Contribution or of a Special Report or in a Methodology Report*, the error evaluation and correction process described in Section 1 of this protocol must be completed first to address the error in the underlying Chapter and/or Technical Summary or in* a Methodology Report.

Step 1:
An alleged error is reported to the IPCC Secretariat. If received elsewhere, it is passed to the IPCC Secretariat. A new entry is made in the internal error tracking system.

Step 2:
The IPCC Secretariat forwards the claim to the current Co-Chairs of the relevant WG or TF. The IPCC Secretariat acknowledges receipt to the claimant, providing information about the next steps in a general way, and refers the claimant to the "IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports".

Step 3:
The current WG or TF Co-Chairs and relevant Bureau decide whether action on the claim is warranted. They may consult previous Co-Chairs or CLAs of the relevant chapter. The condition for further processing is that one or more of the relevant current WG or TF Co-Chairs and relevant Bureau find that action is warranted.

If consensus is reached that action is not warranted, the IPCC Secretariat informs the claimant and closes the case.

If no consensus is reached or if the consensus is reached that action is warranted, the current WG or TF Co-Chairs consult the past WG or TF Co-Chairs who were authors of the Summary for Policymakers or Overview Chapter, as well as the CLAs of the relevant chapter of the underlying report.

If the past WG or TF Co-Chairs and relevant CLAs agree that there is an error, continue with step 4A.

If the past WG or TF Co-Chairs and relevant CLAs do not agree that there is an error, continue with step 4B.

Step 4A: *(for cases where the past WG or TF Co-Chairs and relevant CLAs agree that there is an error)*
For typographical errors, decisions on and posting of errata are handled by the current Technical Support Unit of the relevant WG or TF under the supervision of its Co-Chairs. The WG or TF Bureau and the past WG or TF Co-Chairs who were authors of the Summary for Policymakers or Overview Chapter are informed. The IPCC Secretariat is informed. It then informs the Executive Committee, posts the errata, and closes the case.

Otherwise, go to step 5A.

Step 5A: *(for cases where the past WG or TF Co-Chairs and relevant CLAs agree that there is an error)*
The current WG or TF Co-chairs and the past WG or TF Co-Chairs who were authors of the Summary for Policymakers or Overview Chapter with the alleged error, as well as the CLAs of the relevant chapter of the underlying report, evaluate the error.

The past WG or TF Co-Chairs and relevant CLAs construct an erratum statement for the Summary for Policymakers or Overview Chapter and submit it to the current WG or TF Bureau for approval. Following WG or TF Bureau approval, the proposed erratum is submitted to the Panel for approval. To allow for rapid response, the Panel may delegate this approval step to the Executive Committee, which can decide that the erratum be posted on the IPCC and WG or TF websites and that the claimant be informed, or can decide to defer to the next session of the IPCC Bureau or of the Panel. Following approval, the Secretariat informs the claimant and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If the past WG or TF Co-Chairs and relevant CLAs fail to reach consensus on an erratum statement with the WG or TF Bureau, the Panel, or the Executive Committee, then the WG or TF Co-Chairs inform the Executive Committee of the disagreement, and they ask the IPCC Chairman to appoint, within one month, an Independent Review Committee. This committee should consist of at least three experts not involved in drafting the Summary for Policymakers or Overview Chapter with the alleged error and not involved as a Bureau Member, CLA, or LA on the assessment with the alleged error or the current assessment. The Independent Review Committee, after consultation with the past WG or TF Co-Chairs and relevant CLAs, the current WG or TF Co-Chairs, and the WG or TF Bureau, is tasked to propose a revised erratum. The current WG or TF Co-Chairs then submit this to the relevant WG or TF Bureau for approval. Following WG or TF Bureau approval, the proposed erratum statement is submitted to the Panel for approval. To allow for rapid response, the Panel may delegate this approval step to the Executive Committee, which can decide that the erratum be posted on the IPCC and WG or TF websites and that the claimant be informed, or can decide to defer to the next session of the IPCC Bureau or of the Panel. Following approval, the Secretariat informs the claimant, and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If the past WG or TF Co-Chairs and relevant CLAs, the current WG or TF Co-Chairs, the WG or TF Bureau, and the Panel or the Executive Committee still cannot come to consensus, the current WG or TF Co-Chairs and the IPCC Chairman draft a "Contested Erratum" statement, signed by the IPCC Chairman. This is posted on the IPCC and WG or TF erratum websites. This statement reports the claimed error, and explains that issues have been raised but these cannot be resolved before this matter is reassessed in the present or next cycle. The IPCC Chairman and relevant WG or TF Co-Chairs decide on a communications strategy if needed. The case is then closed.

Step 4B: *(for cases where the past WG or TF Co-Chairs and relevant CLAs do not agree that there is an error)*
The current WG or TF Co-Chairs inform the Executive Committee of the disagreement. The past WG or TF Co-Chairs who were authors of the Summary for Policymakers or Overview Chapter with the alleged error, as well as the CLAs of the relevant chapter of the underlying report, provide the current WG or TF Co-Chairs with a brief document explaining why the text in question does not contain an error. The current WG or TF Co-Chairs then appoint, within two weeks, an Initial Review Group of two Bureau members and at least one CLA or LA from the current assessment if available, otherwise at least one expert who was not involved in drafting the Summary for Policymakers or Overview Chapter with the alleged error or relevant chapter of the underlying report. The Initial Review Group is tasked to analyze the text in question and decide if they agree with the past WG or TF Co-Chairs and relevant CLAs. The response from the Initial Review Group is due in two weeks.

If the Initial Review Group agrees that there was no error, then the current WG or TF Co-Chairs inform the past WG or TF Co-Chairs and relevant CLAs and task them with preparing, within two weeks, a brief document explaining why the text in question was in fact not an error. The current WG or TF Co-Chairs submit the document to the current WG or TF Bureau for approval. After approval by the WG or TF Bureau, the IPCC Secretariat informs the claimant, and the case is closed.

If the Initial Review Group finds there is an error, the WG or TF Bureau considers the report from the Initial Review Group, as well as from the authors, and aims to find consensus with the past WG or TF Co-Chairs and relevant CLAs and the Initial Review Group on the development of an erratum.

If consensus is reached, the current WG or TF Co-Chairs, in consultation with the Initial Review Group, develop an erratum statement, which is submitted to the WG or TF Bureau for approval. Following WG or TF Bureau approval, the proposed erratum statement is submitted to the Panel for approval. To allow for rapid response, the Panel may delegate this approval step to the Executive Committee, which can decide that the erratum be posted on the IPCC and WG or TF websites and that the claimant be informed, or can decide to defer to the next session of the IPCC Bureau or of the Panel. Following approval, the IPCC Secretariat informs the claimant and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If consensus is not reached continue with step 5B.

Step 5B: *(for cases where the past WG or TF Co-Chairs and relevant CLAs do not agree that there is an error)*
The current WG or TF Co-Chairs inform the Executive Committee of the disagreement, and they ask the current IPCC Chairman to appoint, within one month, an Independent Review Committee. This committee should consist of at least three experts not involved in drafting the Summary for Policymakers or Overview Chapter with the alleged error and not involved as a Bureau Member, CLA, or LA on the assessment with the alleged error or the current assessment. The Independent Review Committee is tasked to evaluate the alleged error.

If the Independent Review Committee agrees there is no error, they prepare, within two weeks, a brief document explaining why the text in question was in fact not an error. The current WG or TF Co-Chairs submit the document to the current WG or TF Bureau for approval. After approval by the current WG or TF Bureau, the IPCC Secretariat informs the claimant, and the case is closed.

If the Independent Review Committee finds there is an error, they are tasked with providing, within one month, a proposed course of action. The WG or TF Bureau informs the past WG or TF Co-Chairs and relevant CLAs about the proposed action and, if agreement is found with them that there is an error and how to handle it, the past WG or TF Co-Chairs and relevant CLAs develop an erratum statement, which is submitted to the WG or TF Bureau for approval. Following WG or TF Bureau approval, the proposed erratum statement is submitted to the Panel for approval. To allow for rapid response, the Panel may delegate this approval step to the Executive Committee, which can decide that the erratum be posted on the IPCC and WG or TF websites and that the claimant be informed, or can decide to defer to the next session of the IPCC Bureau or of the Panel. Following approval, the IPCC Secretariat informs the claimant and the erratum is posted on the IPCC and WG or TF websites. The case is then closed.

If the current WG or TF Co-Chairs, the WG or TF Bureau and the past WG or TF Co-Chairs and relevant CLAs still cannot come to consensus, the current WG or TF Co-Chairs and the IPCC Chairman draft a "Contested Erratum" statement, signed by the IPCC Chairman. This is posted on the IPCC and WG or TF erratum websites. This statement reports the claimed error, and explains that issues have been raised but these cannot be resolved before this matter is reassessed in the present or next cycle. The IPCC Chairman and relevant WG or TF Co-Chairs decide on a communications strategy if needed. The case is then closed.

Section 3:

If the alleged error is in a Synthesis Report.

Note: For errors in the Synthesis Report that arise from an underlying Chapter or the Technical Summary or the Summary for Policymakers of a WG Contribution, the error evaluation and correction process described in Sections 1 and/or 2 of this protocol must be completed first to address the error in the underlying Chapter, Technical Summary and/or Summary for Policymakers.

Step 1:
An alleged error is reported to the IPCC Secretariat. If received elsewhere, it is passed to the IPCC Secretariat. A new entry is made in the internal error tracking system.

Step 2:
The IPCC Secretariat forwards the claim to the current IPCC Chairman, all WG Co-Chairs, and the Executive Committee. The IPCC Secretariat acknowledges receipt to the claimant, providing information about the next steps in a general way, and refers the claimant to the "IPCC Protocol for Addressing Possible Errors in IPCC Assessment Reports, Synthesis Reports, Special Reports or Methodology Reports".

Step 3:
The current IPCC Chairman, WG Co-Chairs, and IPCC Bureau decide whether action on the claim is warranted. They may consult previous Chairs, relevant WG Co-Chairs, or CLAs of the relevant chapter. The condition for further processing is that the current IPCC Chairman or one or more of the relevant current WG Co-Chairs and Bureau find that action is warranted.

If consensus is reached that action is not warranted, the IPCC Secretariat informs the claimant and closes the case.

If no consensus is reached or if the consensus is reached that action is warranted, the current IPCC Chairman consults the Chairman and the relevant WG Co-Chairs of the assessment with the alleged error.

If the Chairman and the relevant WG Co-Chairs of the assessment with the alleged error agree that there is an error, continue with step 4A.

If the Chairman and the relevant WG Co-Chairs of the assessment with the alleged error do not agree that there is an error, continue with step 4B.

Step 4A: *(for cases where the Chairman and the relevant WG Co-Chairs of the assessment with the alleged error agree that there is an error)*
For typographical errors, decisions on and posting of errata are handled by the current Technical Support Unit of the Synthesis Report or of the relevant WG under the supervision of the IPCC Chairman and WG Co-Chairs as appropriate. The past Chairman as leader of the writing team for the Synthesis Report is informed. The IPCC Secretariat is informed, posts the errata, and closes the case.

Otherwise, go to step 5A.

Step 5A: *(for cases where the Chairman and the relevant WG Co-Chairs of the assessment with the alleged error agree that there is an error)*
The current IPCC Chairman and WG Co-chairs, in collaboration with the Chairman and the relevant WG Co-Chairs of the assessment with the alleged error, evaluate the error.

The past Chairman and relevant WG Co-Chairs of the assessment with the alleged error (with relevant CLAs if appropriate) construct an erratum statement for the Synthesis Report and submit it to the current IPCC Bureau for approval. Following IPCC Bureau approval, the proposed erratum is submitted to the Panel for approval. To allow for rapid response, the Panel may delegate this approval step to the Executive Committee, which can decide that the erratum be posted on the IPCC and WG or TF websites and that the claimant be informed, or can decide to defer to the next session of the IPCC Bureau or of the Panel. Following approval, the Secretariat informs the claimant and the erratum is posted on the IPCC website. The case is then closed.

If the past Chairman and relevant WG Co-Chairs of the assessment with the alleged error (with relevant CLAs if appropriate) fail to reach consensus on an erratum statement with the IPCC Bureau, the Panel, or the Executive Committee, then the current IPCC Chairman informs the Executive Committee of the disagreement, and appoints, within one month, an Independent Review Committee. This committee should consist of at least three experts not involved in drafting the Synthesis Report with the alleged error and not involved as a Bureau Member, CLA, or LA on the assessment with the alleged error or the current assessment. The Independent Review Committee, after consultation with the past Chairman and relevant WG Co-Chairs of the assessment with the alleged error (with relevant CLAs if appropriate), the current IPCC Chairman and WG Co-Chairs, and the IPCC Bureau, is tasked to propose a revised erratum. The current IPCC Chairman then submits this to the IPCC Bureau for approval. Following IPCC Bureau approval, the proposed erratum statement is submitted to the Panel for approval. To allow for rapid response, the Panel may delegate this approval step to the Executive Committee, which can decide that the erratum be posted on the IPCC and WG or TF websites and that the claimant be informed, or can decide to defer to the next session of the IPCC Bureau or of the Panel. Following approval, the Secretariat informs the claimant, and the erratum is posted on the IPCC website. The case is then closed.

If the past Chairman and relevant WG Co-Chairs of the assessment with the alleged error (with relevant CLAs if appropriate), the current WG Co-Chairs, the IPCC Bureau, and the Panel or the Executive Committee still cannot come to consensus, the IPCC Chairman and the relevant WG Co-Chairs draft a "Contested Erratum" statement, signed by the IPCC Chairman. This is posted on the IPCC and WG erratum websites. This statement reports the claimed error, and explains that issues have been raised but these cannot be resolved before this matter is reassessed in the present or next cycle. The current IPCC Chairman and WG Co-Chairs decide on a communications strategy if needed. The case is then closed.

Step 4B: *(for cases where the Chairman and the relevant WG Co-Chairs of the assessment with the alleged error do not agree that there is an error)*
The current IPCC Chairman informs the Executive Committee of the disagreement. The past Chairman and relevant WG Co-Chairs of the assessment with the alleged error (with relevant CLAs if appropriate) provide the current IPCC Chairman with a brief document explaining why the text in question does not contain an error. The current IPCC Chairman then appoints, within two weeks, an Initial Review Group of two Bureau members and at least one CLA or LA from the current assessment if available, otherwise at least one expert who was not involved in drafting the Synthesis Report with the alleged error or relevant chapter of an underlying WG report. The Initial Review Group is tasked to analyze the text in question and decide if they agree with the past Chairman, relevant WG Co-Chairs, and relevant CLAs. The response from the Initial Review Group is due in two weeks.

If the Initial Review Group agrees that there was no error, then the current IPCC Chairman informs the past Chairman and relevant WG Co-Chairs of the assessment with the alleged error (with relevant CLAs if appropriate) and tasks them with preparing, within two weeks, a brief document explaining why the text in question was in fact not an error. The current IPCC Chairman submits the document to the current IPCC Bureau for approval. After approval by the IPCC Bureau, the IPCC Secretariat informs the claimant, and the case is closed.

If the Initial Review Group finds there is an error, the IPCC Bureau considers the report from the Initial Review Group, as well as from the past Chairman, relevant WG Co-Chairs, and relevant CLAs, and aims to find consensus with the past Chairman, relevant WG Co-Chairs, relevant CLAs, and the Initial Review Group on the development of an erratum.

If consensus is reached, the current IPCC Chairman, in consultation with the Initial Review Group, develops an erratum statement, which is submitted to the IPCC Bureau for approval. Following IPCC Bureau approval, the proposed erratum statement is submitted to the Panel for approval. To allow for rapid response, the Panel may delegate this approval step to the Executive Committee, which can decide that the erratum be posted on the IPCC and WG or TF websites and that the claimant be informed, or can decide to defer to the next session of the IPCC Bureau or of the Panel. Following approval, the IPCC Secretariat informs the claimant and the erratum is posted on the IPCC website. The case is then closed.

If consensus is not reached continue with step 5B.

Step 5B: *(for cases where the Chairman and the relevant WG Co-Chairs of the assessment with the alleged error do not agree that there is an error)*
The current IPCC Chairman informs the Executive Committee of the disagreement, and appoints, within one month, an Independent Review Committee. This committee should consist of at least three experts not involved in

drafting the Synthesis Report with the alleged error and not involved as a Bureau Member, CLA, or LA on the assessment with the alleged error or the current assessment. The Independent Review Committee is tasked to evaluate the alleged error.

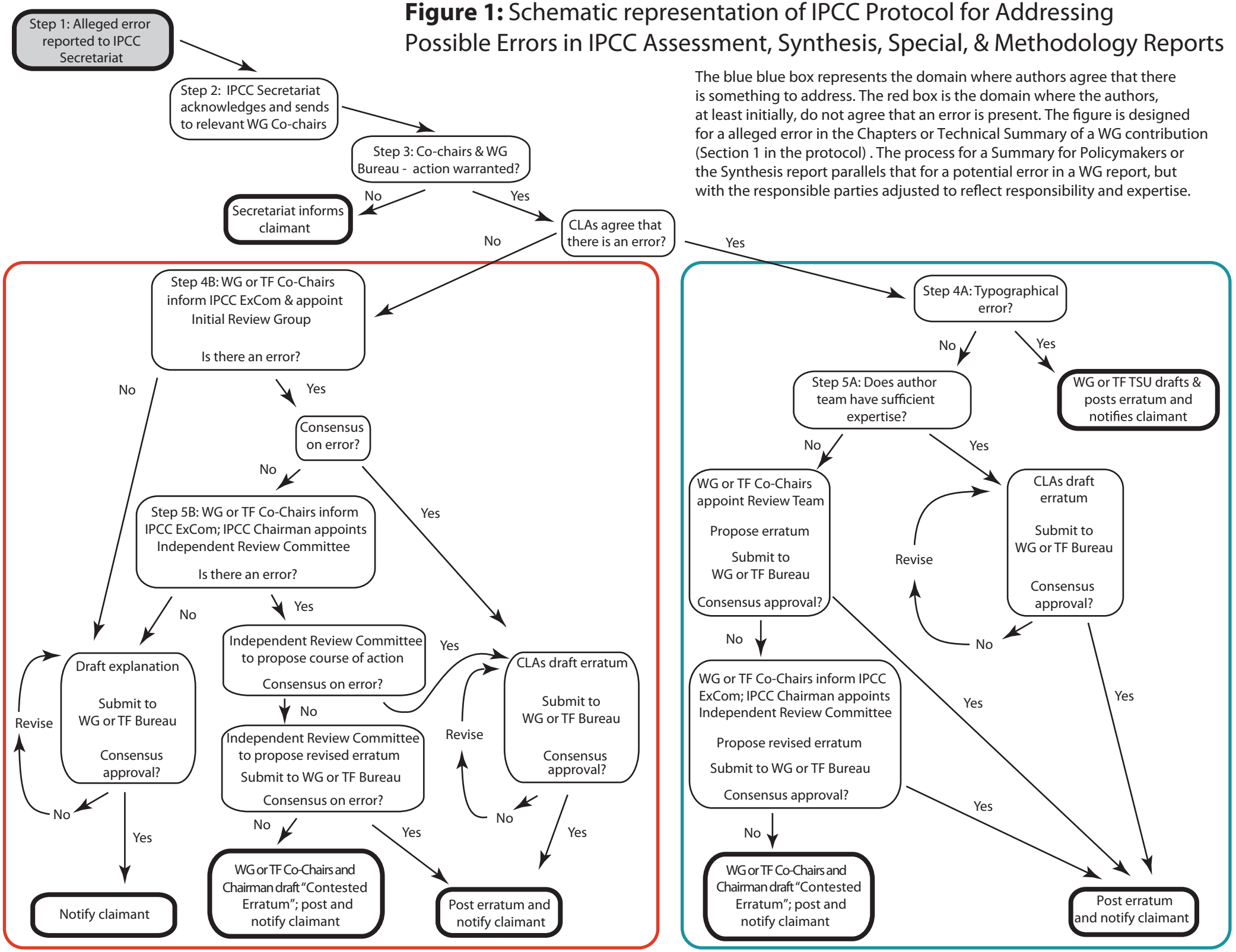
If the Independent Review Committee agrees there is no error, they prepare, within two weeks, a brief document explaining why the text in question was in fact not an error. The current IPCC Chairman submits the document to the current IPCC Bureau for approval. After approval by the IPCC Bureau, the IPCC Secretariat informs the claimant, and the case is closed.

If the Independent Review Committee finds there is an error, they are tasked with providing, within one month, a proposed course of action. The IPCC Bureau informs the past Chairman and relevant WG Co-Chairs of the assessment with the alleged error (and relevant CLAs if appropriate) about the proposed action and, if agreement is found with them that there is an error and how to handle it, the past Chairman, relevant WG Co-Chairs, and relevant CLAs develop an erratum statement, which is submitted to the IPCC Bureau for approval. Following IPCC Bureau approval, the proposed erratum statement is submitted to the Panel for approval. To allow for rapid response, the Panel may delegate this approval step to the Executive Committee, which can decide that the erratum be posted on the IPCC and WG or TF websites and that the claimant be informed, or can decide to defer to the next session of the IPCC Bureau or of the Panel. Following approval, the IPCC Secretariat informs the claimant and the erratum is posted on the IPCC website. The case is then closed.

If the current IPCC Chairman, the IPCC Bureau, and the past Chairman, relevant WG Co-Chairs, and relevant CLAs still cannot come to consensus, the IPCC Chairman and the relevant Co-Chairs draft a “Contested Erratum” statement, signed by the IPCC Chairman. This is posted on the IPCC erratum website. This statement reports the claimed error, and explains that issues have been raised but these cannot be resolved before this matter is reassessed in the present or next cycle. The IPCC Chairman and WG Co-Chairs decide on a communications strategy if needed. The case is then closed.

Figure 1: Schematic representation of IPCC Protocol for Addressing Possible Errors in IPCC Assessment, Synthesis, Special, & Methodology Reports

The blue blue box represents the domain where authors agree that there is something to address. The red box is the domain where the authors, at least initially, do not agree that an error is present. The figure is designed for a alleged error in the Chapters or Technical Summary of a WG contribution (Section 1 in the protocol) . The process for a Summary for Policymakers or the Synthesis report parallels that for a potential error in a WG report, but with the responsible parties adjusted to reflect responsibility and expertise.



ANNEX 5

IPCC 34th SESSION, 18-19 November 2011, Kampala, Uganda

ADOPTION OF THE REVISED "APPENDIX B TO THE PRINCIPLES GOVERNING IPCC WORK: FINANCIAL PROCEDURES FOR THE IPCC"

Appendix B to the Principles Governing IPCC Work

FINANCIAL PROCEDURES FOR THE INTERGOVERNMENTAL PANEL ON CLIMATE CHANGE (IPCC)

Adopted at the Twelfth Session of the IPCC (Mexico City, 11-13 September 1996)

Revised at the Thirty Fourth Session of the IPCC (Kampala, 18-19 November 2011)

Scope

1. These procedures shall govern the financial administration of the Intergovernmental Panel on Climate Change (IPCC). In so far as not specifically provided under these procedures, the Financial Regulations and Rules of the World Meteorological Organization (WMO) shall apply.

Financial Period and Financial Year

2. The financial period shall be the calendar year and shall be subject to the International Public Sector Accounting Standards (IPSAS).

IPCC Trust Fund

3. Following up on a proposal of the IPCC first session in November 1988, the IPCC Trust Fund was established in 1989 by the Executive Director of United Nations Environment Programme (UNEP) and the Secretary-General of World Meteorological Organization (WMO). The IPCC Trust Fund finances the Panel and its activities. Adoption of the budget of the IPCC Trust Fund is the responsibility of the Panel (see paragraphs 9-14 below).

4. The IPCC Trust Fund is administered, by mutual agreement between the World Meteorological Organization (WMO) and the United Nations Environment Programme (UNEP), the two sponsoring Organizations, under the Financial Regulations of the WMO[5], Consistent with the International Public Sector Accounting Standards (IPSAS) the responsibility and accountability for financial reporting on the IPCC Trust Fund resides with the IPCC itself.

5. In accordance with Article 1 of the Memorandum of Agreement with UNEP and WMO "… no administrative support charges shall be imposed by WMO on any expenditure incurred by the trust fund." As a principle, WMO shall not charge IPCC for the total indirect costs, but rather for incremental costs only. The incremental costs of administrative services provided by WMO to IPCC are to be agreed upon between WMO and UNEP in the form of a separate Memorandum of Agreement (ref paragraph 5 of the 1989 MOU).

Financial Task Team

[5] See MOU dated May 1989

6. The Panel should establish for every assessment cycle a Financial Task Team (FiTT) to undertake tasks including reviewing income and expenditures, assisting in preparing the budget proposals and developing other recommendations related to finance for consideration by the Panel.

7. The Financial Task Team should be co-chaired by two government representatives represented on the IPCC Bureau: one from a developed country and one from either a developing country or a country with economy in transition. While being open-ended, the Financial Task Team would have a core membership of four government representatives from countries represented on the Bureau. The co-chairs and core members of the Financial Task Team would be selected by the Bureau.

Currency

8. The currency for budgeting and reporting receipts and expenditures shall be the Swiss Franc.

Budget

9. The Secretary of the IPCC shall prepare the budget and transmit it to governments at least 60 days before the session of the Panel at which the budget is to be adopted.

10. The budget shall consist of:

(a) the proposed budget for the next year;
(b) a forecast budget for the second year; and
(c) an indicative budget for the third year.

11. The Panel shall consider the proposed budget, and shall adopt a budget by consensus prior to the commencement of the financial year that it covers. The Panel shall note the forecast and indicative budget for subsequent years.

12. The Secretary is authorized to reallocate funds, if necessary, up to 20 per cent of a budget appropriation line. This limit may be revisited from time to time by the Panel. A budget appropriation line constitutes a major budget category for activities or products.

13. In the event that the level of the available balance in the IPCC Trust Fund is less than the approved budget, the Secretary, following consultation with the Executive Committee, is authorized to adjust the allocations, to bring it in line with the fluctuations in income as compared to the approved level of budget lines. The Secretary will report on actions taken to the Panel at the earliest plenary session.

14. Adoption of the budget by the Panel shall constitute authority to the Secretary to incur obligations and make payments for the purposes for which the appropriations were approved and up to the amounts so approved, provided that the commitments are covered by related income.

Contributions

15. The resources of the IPCC shall comprise:

(a) the person-year costs of the Secretary of the IPCC and costs of housing the IPCC Secretariat, provided by WMO;
(b) the person-year costs of the Deputy Secretary provided by UNEP;
(c) annual cash contributions provided by WMO and UNEP to the IPCC Trust Fund;
(d) annual cash contributions provided by the UN Framework Convention on Climate Change to the IPCC Trust Fund in support of the work of the IPCC;

(e)[6] annual cash contributions provided by IPCC Members to the IPCC Trust Fund;

(e)-bis[7] annual cash contributions provided by IPCC Members to the IPCC Trust Fund on the basis of an indicative scale, adopted by consensus by the Panel, and based on such a scale of assessments of the United Nations as may be adopted from time to time by the General Assembly, adjusted so as to ensure that no Party contributes less than 0.01 per cent of the total; that no one contribution exceeds 25 per cent of the total; and that no contribution from a least developed country exceeds 0.01 per cent of the total;

(f) contributions provided in kind by IPCC Members, such as support for Technical Support Units, publications, translation, meetings, workshops, etc.;

(g) other cash and in kind contributions to the IPCC Trust Fund;

(h) the uncommitted balance of appropriations from previous financial periods;

(i) miscellaneous income.

16. Contributions from IPCC Members are due on 1 January of each calendar year.

17. All cash contributions shall be paid in convertible currencies into the bank account designated by the WMO.

18. The Secretary shall acknowledge promptly all pledges and contributions and shall inform the Panel at each session on the status of pledges, payments of contributions and of expenditures. The report of the Secretary shall include specific reference to contributions in-kind and shall quantify such in-kind contribution, to the extent that they can be reliably measured.

Working Capital Reserve[8]

19. Within the IPCC Trust Fund there shall be maintained a working capital reserve at a level to be determined from time to time by the Panel by consensus. The purpose of the working capital reserve shall be to ensure continuity of operations in the event of a temporary shortfall of cash. Drawdowns from the working capital reserve shall be restored from contributions as soon as possible.

Accounts and Audit

20. The financial statements of the IPCC Trust Fund shall be subject to internal and external audit. The financial statement of the IPCC Trust Fund will be prepared in accordance with the International Public Sector Accounting Standards (IPSAS) as specified in the WMO Financial Regulations. Responsibility and accountability for financial reporting resides with the IPCC itself.

21. In accordance with the WMO Financial Regulations and Rules, WMO provides the External Auditors of the IPCC Trust Fund with a complete draft of the financial statements in line with the timetable agreed with the Secretariat each year. From financial periods ending on or after 31 December 2011 the audited Financial Statement shall be provided to the Panel within six months of the end of the financial period.

Appointment

[6] The Panel deferred decision on this sub-paragraph. The sub-paragraph is to be treated as if it is in square brackets.

[7] The Panel deferred decision on this sub-paragraph. The sub-paragraph is to be treated as if it is in square brackets.

[8] The Panel deferred decision on this sub-paragraph. The sub-paragraph is to be treated as if it is in square brackets.

The provisions outlined below in paragraphs 22.1 to 22.11 are subject to the WMO Financial Regulations and Rules.

22.1 The IPCC Secretariat will make arrangements with WMO for appropriate internal audit coverage on an annual basis. An External Auditor, who shall be the Auditor-General (or officer holding the equivalent title) of a Member State, shall be appointed in the manner and for the period decided by the WMO Executive Council, as stipulated by WMO audit arrangements. The appointment of an External Auditor will be submitted to the IPCC Panel for acceptance.

Tenure of Office

22.2. If the External Auditor ceases to hold that office in his or her own country, his or her tenure of office as External Auditor shall thereupon be terminated and he or she shall be succeeded as External Auditor by his or her successor as Auditor-General. The External Auditor may not otherwise be removed during his or her tenure of office except by the WMO Executive Council.

Scope of audit

22.3 The audit shall be conducted in conformity with generally accepted common auditing standards, and, subject to any special directions of the Panel, in accordance with the additional terms of reference set out in the annex to these Regulations.

22.4 The External Auditor may make observations with respect to the efficiency of the financial procedures, the accounting system, the internal financial controls and, in general, the administration and management of the Organization.

22.5 The External Auditor shall be completely independent and solely responsible for the conduct of the audit.

22.6 The Panel may request the External Auditor to perform certain specific examinations and issue separate reports on the results, to be agreed with the External Auditor on an individual basis as required.

Facilities

22.7 The Secretary General of WMO shall provide the External Auditor with the facilities he or she may require in the performance of the audit.

22.8 For the purpose of making a local or special examination or of effecting economies of audit cost, the External Auditor may engage the services of any national Auditor-General (or equivalent title) or commercial public auditors of known repute or any other person or firm who, in the opinion of the External Auditor, is technically qualified.

Reporting

22.9 The External Auditor shall issue reports on the audit of the financial statements and relevant schedules, which shall include such information as he or she deems necessary with regard to matters referred to in Regulation 22.4 and in the additional terms of reference.

22.10 The External Auditor's reports shall be transmitted, together with the relevant audited financial statements, to the Panel, which shall examine them in accordance with any directions given by the Panel.

22.11 The financial statements, together with the External Auditor's certificates and reports, shall be transmitted to the Panel by the Secretary.

General Provisions

23. In the event that WMO and UNEP decide to terminate the IPCC Trust Fund, they shall so advise governments at least six months before the date of termination so decided. The Panel shall

decide, in consultation with WMO and UNEP, on the distribution of any uncommitted balance after all liquidation expenses have been met.

24. Any amendments to these procedures shall be subject to the WMO Financial Regulations and Rules and be adopted by the Panel by consensus.

ANNEX 6

IPCC 34th Session, 18-19 November 2011, Kampala, Uganda

IPCC TRUST FUND PROGRAMME AND BUDGET

Based on the recommendations of the Financial Task Team, the Panel:

1. Thanked the Secretariat of IPCC for the Statement of contributions and expenditure as of 31 August 2011, as contained in document IPCC-XXXIV/Doc.3, Rev.1.

2. Approved the modifications proposed by the Secretariat to the 2011 budget in **Table 1**, as follows:

- Adjustment to budget line "Translation/publication of SRREN" due to cost-related increase in the number of pages for the full report and Summary for Policymakers and Technical Summary: increase of CHF 150,000.

3. Approved that the 2012 budget proposal should include the following modifications in **Table 2** as compared to the budget noted in the 33rd Session of the IPCC:

- Adjustment of number of DC/EIT journeys to the 3rd LA meeting on Wetlands Guidance: increase of CHF 51,750.
- Addition of a science meeting on Wetlands Guidance with required number of DC/EIT journeys: increase of CHF 36,225.

4. Approved the revised "Appendix B to the Principles Governing IPCC Work: Financial Procedures for the IPCC" as contained in document IPCC-XXXIV/Doc.4, Corr.1 with modifications. Modifications made (contained in Annex 5 to this report) include adding the Financial Task Team and changing paragraph 13.

5. Requested the Secretariat to simplify the language in the revised Appendix B document to improve clarity and readability to be presented at a future session no later than the 37th Session of the IPCC.

6. Noted the forecast budget for 2013 **(Table 3)** and the indicative budget for the 2014 **(Table 4**) - the end of the Fifth Assessment cycle and 2015 **(Table 5)**, as proposed in IPCC-XXXIV/Doc.3, Rev.1.

7. Expressed its gratitude to the WMO and UNEP for their contributions to IPCC Trust Fund and for financing one Secretariat position each, and to WMO for hosting the Secretariat.

8. Expressed its gratitude to governments, including those from developing countries, for their generous contributions to the IPCC Trust Fund, with special thanks to governments which support the TSUs and a number of IPCC activities, including data centres, meetings and outreach actions.

9. Expressed its gratitude to governments for supporting the participation of experts in the IPCC process and urged, in particular, governments from developed countries to continue to provide financial support for travel of experts to IPCC meetings.

10. The Panel noted the importance of ensuring alignment of the programmes with the budget across the Fifth Assessment cycle. The Panel noted the pressures of resource needs on the budget will increase along the course of the Fifth Assessment cycle and any financial implications that may arise from the IAC report. The Panel requests that countries maintain their generous contribution in 2011 and 2012 and invites governments, which may be in a position to do so, to increase their level of contributions to the IPCC Trust Fund or to contribute in case they have not yet done so.

11. Recalled the request of the 32nd Session of the IPCC, regarding management of travel by experts from developing countries and economies-in-transition, and the actions taken by the Chair to the Secretary General of WMO.

12. The Financial Task Team, repeatedly, has been informed of difficulties that some experts or members of the Bureau, from developing countries, experience in relation to travel. In a number of cases, the travel plan and arrangements are imposed on the travelers without apparent optimization other than on cost. A very standardized process seems to be applied. Little consideration seems to be given to the particular constraints of the travelers nor their other commitments. Considering that most contributors to IPCC are working on a voluntary basis, and are committed for a multi-year effort. The Panel would expect attention and respect to these experts, under the form of better travel services. It is proposed that the Panel endorses the expression of a concern in this regard, and that this be relayed to the Secretary General of WMO.

TABLE 1

REVISED BUDGET FOR 2011 ADOPTED BY IPCC-XXXIV

Activity	Purpose	DC/EIT support	Other Expenditure	Sub-total
Governing bodies				
WG III, 11th Session; 4 days	approval and acceptance of SRREN	540,000 120 journeys	280,000	820,000
IPCC-33 4 days, back-to-back with WG III	programme and budget various	270,000 60 journeys	280,000	550,000
Joint WG I/II 4 days	approval and acceptance of SR on extreme events	540,000 120 journeys	280,000	820,000
IPCC-34 2 days, back-to-back with WG I/II Session	programme and budget various	270,000 60 journeys	140,000	410,000
Bureau 4 days	2 sessions	351,000 78 journeys	125,400	476,400
Executive Committee 4 days	2 sessions and consultations	72,000 16 journeys	125,400	197,400
TFB	1 session	40,500 9 journeys	6,075	46,575
Task Groups (4)	Implementation of IAC recommendations	112,500 25 journeys	16,875	129,375
SBSTA/COP/JWG and other UN meetings		67,500 15 journeys		67,500
SUB-TOTAL				**3,517,250**
Lead Authors, scoping and expert meetings for reports agreed by Panel				
WG I AR5 LA 2	CLA/LA meetings	261,000 58 journeys	39,150	300,150
WG II AR5 LA 1* and 2	CLA/LA meetings	936,000 208 journeys	140,400	1,076,400
WG II AR5 regional expert meetings	to support part B of WG II	450,000 100 journeys	67,500	517,500
WG III AR5 LA 1	CLA/LA meeting	486,000 108 journeys	72,900	558,900
Expert meeting on economics, costing	WG II & III	135,000 30 journeys	20,250	155,250
AR5 cross cutting issues and SYR	Expert and SYR CWT meetings	180,000 40 journeys	27,000	207,000
LA 4 SREX	1 CLA/LA meeting and prep CLA mtg before Session	202,500 45 journeys	30,375	232,875
SREX Approval Session	Preparatory Meeting CLAs, REs, Bureau members	45,000 10 journeys	6,750	51,750
SRREN	CLA meeting (consistency)	58,500 13 journeys	8,775	67,275
SRREN Approval Session	Preparatory Meeting CLAs, REs, WG Bureau	99,000 22 journeys	14,850	113,850
Expert Meeting on Ocean Acidification *	Expert Meeting (WG II/I)	135,000 30 journeys	20,250	155,250
Expert Meeting on Human Settlements and Infrastruc.*	Expert Meeting (WG II/III)	135,000 30 journeys	20,250	155,250
Expert Meeting on Geoengineering	Expert Meeting (WG I/II/III)	112,500 25 journeys	16,875	129,375
Wetlands Guidance LA 1	LA/CLA meetings	108,000 24 journeys	16,200	124,200
SUB-TOTAL				**3,845,025**
Other scoping meetings, expert meetings and workshops				
New Scenarios	1 expert meeting	180,000 40 journeys	27,000	207,000
TGICA	2 meetings	63,000 14 journeys	8,820	71,820
EFDB Board	1 meeting	94,500 21 journeys	14,175	108,675
EFDB Expert meeting	2 meetings	90,000 20 journeys	13,500	103,500
TFI Expert meeting Wetlands	1 scoping meeting	108,000 24 journeys	16,200	124,200
TFI Expert meeting Bottom-up Inventory Compilation	1 meeting	108,000 24 journeys	16,200	124,200
TFI Expert meeting Software	1 meeting	108,000 24 journeys	16,200	124,200
2006 GL Related Issues Japan	1 meeting	45,000 10 journeys	0	45,000
SUB-TOTAL				**908,595**
Other Expenditures				
EFDB maintenance	update/management			7,000
2006 GL software	software development			30,000
Publication	SRREN publication/translation			350,000
Outreach	materials/travel/events			140,000
Distribution	IPCC publications			220,000
Webconferences	licences & communication costs			50,000
Secretariat	staff/misc expenses			1,660,000
External audit				20,000
Co-Chairs				250,000
SUB-TOTAL				**2,727,000**
TOTAL				**10,997,870**

* Approved in 2010 but postponed to 2011

TABLE 2

PROPOSED BUDGET FOR 2012 ADOPTED BY IPCC-XXXIV

Activity	Purpose	DC/EIT support	Other Expenditure	Sub-total
Governing bodies				
IPCC-35 4 days	programme and budget various	540,000 120 journeys	280,000	820,000
Bureau 4 days	2 sessions	324,000 72 journeys	125,400	449,400
Executive Committee 4 days	2 sessions and consultations	72,000 16 journeys	125,400	197,400
TFB	1 session	40,500 9 journeys	6,075	46,575
SBSTA/COP/JWG and other meetings		67,500 15 journeys		67,500
SUB-TOTAL				**1,580,875**
Lead Authors, scoping and expert meetings for reports agreed by Panel				
WG I AR5 LA 3	CLA/LA meeting	292,500 65 journeys	43,875	336,375
WG II LA 3	CLA/LA meetings	576,000 128 journeys	86,400	662,400
WG III LA 2 and 3	CLA/LA meetings and expert meeting to support review	1,192,500 265 journeys	178,875	1,371,375
AR5 cross cutting issues and SYR	experts and SYR CWT meetings	180,000 40 journeys	27,000	207,000
Wetlands Guidance LA 2 and 3	2 CLA/LA meetings	247,500 55 journeys	37,125	284,625
Wetlands Guidance Science Meeting 1	1 meeting	45,000 10 journeys	6,750	51,750
SUB-TOTAL				**2,861,775**
Other scoping meetings, expert meetings and workshops				
New Scenarios	1 expert meeting	180,000 40 journeys	27,000	207,000
TGICA	1 meeting	54,000 12 journeys	8,100	62,100
EFDB Board	1 meeting	94,500 21 journeys	14,175	108,675
EFDB Expert meeting	2 meetings	90,000 20 journeys	13,500	103,500
2006 GL Related Issues Japan	1 meeting	45,000 10 journeys	0	45,000
TFI Expert Meeting AFOLU Accountling issues	1 expert meeting	108,000 24 journeys	16,200	124,200
TFI Expert meetings UNFCCC Needs	contingency for 1 expert meetings	108,000 24 journeys	16,200	124,200
SUB-TOTAL				**774,675**
Other Expenditures				
EFDB maintenance	update/management			7,000
2006 GL software	software maintenance			6,000
Publication(contingency)	possible SR on extreme events			200,000
Outreach	materials/travel			140,000
Distribution	IPCC publications			100,000
Webconferences	licences & communication costs			50,000
Secretariat	staff/misc expenses			1,800,000
External audit				20,000
IPCC Chair	Support for SYR TSU			130,000
Co-Chairs				250,000
SUB-TOTAL				**2,703,000**
TOTAL				**7,920,325**

TABLE 3

FORECAST BUDGET FOR 2013 NOTED BY IPCC-XXXIV

Activity	Purpose	DC/EIT support	Other Expenditure	Sub-total
Governing bodies				
IPCC-36 4 days	programme and budget Approval - Wetlands Guidance	540,000 120 journeys	280,000	820,000
WG I Session 4 days	approval AR5 WG I Report	540,000 120 journeys	280,000	820,000
Bureau 4 days	2 sessions	324,000 72 journeys	125,400	449,400
Executive Committee 4 days	2 sessions and consultations	72,000 16 journeys	125,400	197,400
TFB	1 session	40,500 9 journeys	6,075	46,575
SBSTA/COP/JWG and other meetings		67,500 15 journeys		67,500
SUB-TOTAL				**2,400,875**
Lead Authors, scoping and expert meetings for reports agreed by Panel				
WG I AR5 LA 4	CLA/LA meeting	288,000 64 journeys	43,200	331,200
WG I Session	preparatory meeting before Plenary	45,000 10 journeys	6,750	51,750
WG II LA 4	CLA/LA meeting	576,000 128 journeys	86,400	662,400
WG III LA 4	CLA/LA meeting	553,500 123 journeys	83,025	636,525
AR5 SYR	SYR CWT meetings	180,000 40 journeys	27,000	207,000
Wetlands Guidance LA 4	CLA/LA meetings	139,500 31 journeys	20,925	160,425
Wetlands Guidance Science Meeting 2	1 meeting	45,000 10 journeys	6,750	51,750
Wetlands Guidance Panel Approval	CLA/LA to attend panel & preparatory meeting	54,000 12 journeys	8,100	62,100
SUB-TOTAL				**2,163,150**
Other scoping meetings, expert meetings and workshops				
TGICA	1 meeting	54,000 12 journeys	8,100	62,100
EFDB Board	1 meeting	94,500 21 journeys	14,175	108,675
EFDB Expert meeting	2 meetings	90,000 20 journeys	13,500	103,500
2006 GL Related Issues Japan	1 meeting	45,000 10 journeys	0	45,000
TFI Expert Meeting CCS	1 expert meeting	108,000 24 journeys	16,200	124,200
TFI Expert meetings UNFCCC Needs	contingency for 1 expert meeting	108,000 24 journeys	16,200	124,200
SUB-TOTAL				**567,675**
Other Expenditures				
EFDB maintenance	update/management			7,000
2006 GL software	software maintenance			6,000
Publications	WG I publication/translation			300,000
Publication	Wetlands Guidance			300,000
Outreach	material/travel			140,000
Distribution	IPCC publications			100,000
Webconferences	licences & communication costs			50,000
Secretariat	staff/misc expenses			1,800,000
External audit				20,000
IPCC Chair	Support for SYR TSU			130,000
Co-Chairs				250,000
SUB-TOTAL				**3,103,000**
TOTAL				**8,234,700**

TABLE 4

INDICATIVE BUDGET FOR 2014 NOTED BY IPCC-XXXIV

Activity	Purpose	DC/EIT support	Other Expenditure	Sub-total
Governing bodies				
IPCC-37 (or 38) 6 days	Approval/adoption AR5 SYR various	540,000 120 journeys	420,000	960,000
WG II Session 4 days	Approval AR5 WG II Report	540,000 120 journeys	280,000	820,000
WG III Session 4 days	Approval AR 5 WG III Report	540,000 120 journeys	280,000	820,000
Bureau 4 days	2 sessions	324,000 72 journeys	125,400	449,400
Executive Committee 4 days	2 sessions and consultations	72,000 16 journeys	125,400	197,400
TFB	1 session	40,500 9 journeys	6,075	46,575
SBSTA/COP/JWG and other meetings		67,500 15 journeys		67,500
SUB-TOTAL				**3,360,875**
Lead Authors, scoping and expert meetings for reports agreed by Panel				
WG II Session	preparatory meeting before Plenary	67,500 15 journeys	10,125	77,625
WG III Session	preparatory meeting before Plenary	157,500 35 journeys	23,625	181,125
AR5 SYR	CWT meeting and preparatory CWT meeting before Panel	135,000 30 journeys	20,250	155,250
SUB-TOTAL				**414,000**
Other scoping meetings, expert meetings and workshops				
TGICA	1 meeting	54,000 12 journeys	8,100	62,100
EFDB Board	1 meeting	67,500 21 journeys	10,125	77,625
EFDB Expert meeting	2 meetings	90,000 20 journeys	13,500	103,500
2006 GL Related Issues Japan	1 meeting	45,000 10 journeys	0	45,000
TFI Expert Meeting Sector & National Estimates	1 expert meeting	108,000 24 journeys	16,200	124,200
TFI Expert meetings UNFCCC Needs	contingency for 1 expert meeting	108,000 24 journeys	16,200	124,200
SUB-TOTAL				**536,625**
Other Expenditures				
2006 GL software	software maintenance			6,000
EFDB maintenance	update/management			7,000
Publications	WG II/III publication/translation			600,000
Outreach	material/travel			140,000
Distribution	IPCC publications			200,000
Webconferences	licences & communication costs			30,000
Secretariat	staff/misc expenses			1,800,000
External audit				20,000
IPCC Chair	Support for SYR TSU			130,000
Co-Chairs				250,000
SUB-TOTAL				**3,183,000**
TOTAL				**7,494,500**

TABLE 5

INDICATIVE BUDGET FOR 2015 NOTED BY IPCC-XXXIV

Activity	Purpose	DC/EIT support	Other Expenditure	Sub-total
Governing bodies				
IPCC-38 (or 39) 4 days	Programme and budget various	540,000 120 journeys	280,000	820,000
Bureau 4 days	2 sessions	324,000 72 journeys	125,400	449,400
Executive Committee 4 days	2 sessions and consultations	72,000 16 journeys	125,400	197,400
TFB	1 session	40,500 9 journeys	6,075	46,575
SBSTA/COP/JWG and other meetings		67,500 15 journeys		67,500
SUB-TOTAL				**1,580,875**
Scoping, expert meetings and workshops				
WG I meetings	contingency	67,500 15 journeys	10,125	77,625
WG II meetings	contingency	67,500 15 journeys	10,125	77,625
WG III meetings	contingency	67,500 15 journeys	10,125	77,625
TGICA	1 meeting	54,000 12 journeys	8,100	62,100
EFDB Board	1 meeting	67,500 21 journeys	10,125	77,625
EFDB Expert meeting	2 meetings	90,000 20 journeys	13,500	103,500
TFI Expert meetings	2 contingency and 1 Japan Meeting	261,000 58 journeys	39,150	300,150
SUB-TOTAL				**776,250**
Other Expenditures				
2006 GL software	software maintenance			6,000
EFDB maintenance	update/management			7,000
Publications				200,000
Outreach	material/travel			140,000
Distribution	IPCC publications			100,000
Webconferences	licences & communication costs			30,000
Secretariat	staff/misc expenses			1,800,000
External audit				20,000
Co-Chairs				250,000
SUB-TOTAL				**2,553,000**
TOTAL				**4,910,125**

ANNEX 7

INTERGOVERNMENTAL PANEL ON CLIMATE CHANGE

WORKING GROUPS I & II FIRST JOINT SESSION
Kampala 14-17 November 2011

THIRTY-FOURTH SESSION
OF THE INTERGOVERNMENTAL PANEL ON CLIMATE CHANGE
Kampala, 18-19 November

LIST OF PARTICIPANTS

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	P34	- Participants 34th Session IPCC

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