



Distr.: General  
5 September 2013

Original: English



## United Nations Environment Programme

---

### Plenary of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services Second session

Antalya, Turkey, 9–14 December 2013

Item 6 (c) of the provisional agenda\*

### **Rules and procedures for the operation of the Platform: procedures for the preparation, review, acceptance, adoption, approval and publication of assessment reports and other deliverables of the Platform**

## **Draft procedures for the preparation of the Platform's deliverables**

### **Note by the secretariat**

1. In its decision IPBES/1/2, the Plenary of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services requested the secretariat to compile all comments received on the procedures for the preparation of assessments and the review, acceptance, adoption, approval and publication of reports and other deliverables and the scoping process and to prepare a document for consideration by the Multidisciplinary Expert Panel. In addition, the Plenary requested the Panel to review the documents and to recommend a set of procedures and a scoping process for consideration by the Plenary at its second session.
2. The secretariat compiled all the comments received from Governments and other stakeholders for further consideration by the Multidisciplinary Expert Panel at its first meeting.
3. At its first meeting, the Panel, in consultation with the Bureau, agreed that a fast-track approach for assessments of an urgent nature should be included in the draft procedures for the preparation of the Platform's deliverables. In addition, the Panel agreed that the scoping process, which is intended to guide the development of potential assessments and other Platform activities and is to be applied in accordance with other rules and procedures of the Platform, would form part of the procedures for the preparation of assessments and the review, acceptance, adoption, approval and publication of reports and other deliverables. It is anticipated that these procedures could be expanded to include other deliverables of the Platform at a later stage.
4. At their first concurrent meetings, held in Bergen, Norway, from 2 to 6 June 2013, the Multidisciplinary Expert Panel and the Bureau agreed that the draft procedures would benefit from a further round of open review by Governments and other stakeholders in parallel with the review of the draft initial work programme.

---

\* IPBES/2/1.

5. The draft procedures for the preparation, review, acceptance, adoption, approval and publication of assessment reports and other deliverables of the Platform, which take on board all the comments received from Governments and other stakeholders thereon, as recommended by the Multidisciplinary Expert Panel, are set out in the annex to the present note for the consideration of the Plenary at its second session.

## Annex

### Draft procedures for the preparation of the Platform's deliverables

#### CONTENTS

1.	Definitions.....	4
1.1	Governance structures.....	4
1.2	Deliverables .....	4
1.3	Clearance processes .....	5
2.	Overview of clearance processes for the Platform's deliverables.....	5
3.	Procedures for the preparation of the Platform's deliverables .....	6
3.1	Standard approach for thematic or methodological assessments .....	6
3.2	Fast-track approach for thematic and methodological assessments .....	7
3.3	Approach for regional, subregional, eco-regional or global assessments .....	8
3.4	Scoping for the preparation of report outlines .....	9
3.5	General procedures for preparing Platform reports .....	9
3.6	Preparation of reports.....	10
3.7	Acceptance of reports by the Plenary .....	12
3.8	Preparation and approval of summaries for policymakers.....	12
3.9	Approval and adoption of synthesis reports by the Plenary.....	13
3.10	Addressing possible errors and complaints.....	14
4.	Clearance processes for technical papers .....	14
5.	Platform supporting material.....	15
6.	Workshops .....	15
6.1	Platform workshops .....	15
6.2	Co-sponsored workshops.....	16
Annexes		
I.	Tasks and responsibilities for report co-chairs, coordinating lead authors, lead authors, contributing authors, review editors and expert reviewers of Platform reports and other deliverables, and for government focal points .....	18
II.	Draft process for scoping potential assessments .....	21
III.	Summary schedule for assessment and synthesis reports: standard and fast-track approaches (in weeks) .....	25
IV	Procedure on the use of literature in Platform reports – to be developed].....	26
V	Procedure for recognition and incorporation of indigenous and local knowledge – to be developed].....	26

# 1. Definitions

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

## 1.1 Governance structures

1. **“Plenary”** means the Platform’s decision-making body comprising all the members of the Platform.
2. **“Bureau”** means a subsidiary body established by the Plenary which carries out the administrative functions agreed upon by the Plenary, as articulated in the document on functions, operating principles and institutional arrangements of the Platform.<sup>1</sup>
3. **“Multidisciplinary Expert Panel”** means a subsidiary body established by the Plenary which carries out the scientific and technical functions agreed upon by the Plenary, as articulated in the document on functions, operating principles and institutional arrangements of the Platform.
4. **“Session of the Plenary”** means any ordinary or extraordinary session of the Platform’s Plenary.
5. **“Session of the Bureau”** means a series of meetings of the elected members of the Bureau of the Plenary and the Multidisciplinary Expert Panel co-chair(s).
6. **“Session of the Panel”** means a series of meetings of the elected members of the Platform’s Multidisciplinary Expert Panel and agreed observers (the Bureau of the Plenary and chairs of the subsidiary scientific bodies of multilateral environmental agreements, and the Chair of the Intergovernmental Panel on Climate Change).

## 1.2 Deliverables

1. **“Reports”** means the main deliverables of the Platform, including assessment reports, synthesis reports and their summaries for policymakers and technical summaries, technical papers and technical guidelines.
2. **“Assessment reports”** are published assessments of scientific, technical and socio-economic issues that take into account different approaches, visions and knowledge systems, including global assessments of biodiversity and ecosystem services, regional, subregional and eco-regional assessments of biodiversity and ecosystem services with a defined geographical scope, and thematic or methodological assessments based on the standard or the fast-track approach. They may be composed of two or more sections including: (a) summary for policymakers; (b) optional technical summary; (c) individual chapters and their executive summaries.
3. **“Synthesis reports”** synthesize and integrate materials contained within the assessment reports, are written in a non-technical style suitable for policymakers and address a broad range of policy-relevant questions. They are composed of two sections: (a) summary for policymakers; (b) full report.
4. **“Summary for policymakers”** is a component of any report, providing a policy-relevant but not policy-prescriptive summary of that report.
5. **“Technical summary”** is a longer and more technical summary of the material contained in the summary for policymakers.
6. **“Technical papers”** are based on the material contained in the assessment reports and are prepared on topics deemed important by the Plenary.
7. **“Supporting material”** consists of four categories:
  - (a) Intercultural and interscientific dialogue reports that are based on the material generated at the eco-regional level by discussions between members of academic, indigenous and social organizations and that take into account the different approaches, visions and knowledge systems that exist as well as the various views and approaches to sustainable development;
  - (b) Workshop proceedings and materials that are either commissioned or supported by the Platform;
  - (c) Software or databases that facilitate the use of the Platform’s reports;
  - (d) Guidance materials (guidance notes and guidance documents) that assist in the preparation of comprehensive and scientifically sound Platform reports and technical papers.

---

<sup>1</sup> UNEP/IPBES.MI/2/9, appendix I.

### 1.3 Clearance processes

1. **“Validation”** of the Platform’s reports is a process by which the Multidisciplinary Expert Panel and the Bureau provide their endorsement that the processes for the preparation of Platform reports have been duly followed.
2. **“Acceptance”** of the Platform’s global, regional, subregional, eco-regional, thematic and methodological reports at a session of the Plenary signifies that the material has not been subjected to line-by-line discussion and agreement, but nevertheless presents a comprehensive and balanced view of the subject matter.
3. **“Adoption”** of the Platform’s reports is a process of section-by-section (and not line-by-line) endorsement, as described in section 3.9, at a session of the Plenary.
4. **“Approval”** of the Platform’s summaries for policymakers signifies that the material has been subject to detailed, line-by-line discussion and agreement by consensus at a session of the Plenary.
5. **“Acceptance, adoption and preliminary approval”** of regional reports will be undertaken by the regional representatives at a session of the Plenary, and such reports will be “further reviewed and approved” by the Plenary as a whole
6. **“Scoping”** is the process by which the Platform will define the scope and objective of a deliverable and the information, human and financial requirements to achieve that objective.
7. **“Traditional and local knowledge”** refers to knowledge and know-how accumulated by regional, indigenous or local communities over generations that guide human societies in their interactions with their environment.

## 2. Overview of clearance processes for the Platform’s deliverables

- 2.1 There are three main classes of Platform assessment-related material, each of which is defined in section 1:
  - (a) Platform reports include global, regional, subregional, eco-regional, thematic and methodological assessments, and synthesis reports and their summaries for policymakers;
  - (b) Technical papers;
  - (c) Supporting material, including intercultural and interscientific dialogue reports.
- 2.2 The various 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 1, as follows:
  - (a) In general, Platform reports are accepted and their summaries for policymakers are approved by consensus by the Plenary. Regional and subregional reports and their summaries for policymakers are preliminarily accepted and approved by the relevant regional representatives of the Plenary and subsequently accepted and approved by the Plenary. In the case of the synthesis report, the Plenary adopts the full report, section by section, and approves its summary for policymakers. The definition of the terms “acceptance”, “adoption” and “approval” will be included in the Platform’s published reports;
  - (b) Technical papers are not accepted, approved or adopted by the Plenary, but are finalized by the authors in consultation with the Multidisciplinary Expert Panel, which performs the role of an editorial board;
  - (c) Supporting materials are not accepted, approved or adopted.

Table  
**Clearance processes for Platform reports**

<i>Platform reports</i>	<i>Process validation</i>	<i>Acceptance</i>	<i>Adoption</i>	<i>Approval</i>
<b>Assessments</b>				
• Thematic and methodological assessment reports (based on standard or fast-track approach)	MEP/Bureau	Plenary	N/A	N/A
• Thematic and methodological assessment SPMs (based on standard or fast-track approach)	MEP/Bureau	N/A	N/A	Plenary
• Regional/subregional/eco-regional assessment reports	MEP/Bureau	Regional Plenary/Plenary	N/A	N/A
• Regional/subregional/eco-regional assessment SPMs	MEP/Bureau	N/A	N/A	Regional Plenary / Plenary
• Global assessment reports	MEP/Bureau	Plenary	N/A	N/A
• Global assessment SPMs	MEP/Bureau	N/A	N/A	Plenary
<b>Synthesis reports</b>	MEP/Bureau	N/A	Plenary	N/A
<b>Synthesis SPMs</b>	MEP/Bureau	N/A	N/A	Plenary
<b>Technical papers</b>	MEP/Bureau	Authors and MEP	N/A	N/A
<b>Supporting materials</b>	MEP/Bureau	N/A	N/A	N/A

*Abbreviations:* MEP, Multidisciplinary Expert Panel; N/A, not applicable; SPM, Summary for policymakers.

### 3. Procedures for the preparation of the Platform's deliverables

#### 3.1 Standard approach for thematic or methodological assessments

- (a) An issue is proposed for assessment to the secretariat;
- (b) The Multidisciplinary Expert Panel, in conjunction with the Bureau, conducts an initial scoping of the issue, including feasibility and estimated cost;
- (c) The Plenary reviews the initial scoping and decides to approve or reject the undertaking of a detailed scoping of the proposed assessment;
- (d) If the Plenary decides to approve the undertaking of a detailed scoping, it will then decide whether to request the Multidisciplinary Expert Panel and the Bureau, within an agreed cost envelope, to proceed with a full assessment after the detailed scoping study, or to request the submission of the detailed scoping study at the following session of the Plenary for review and decision on whether to approve or reject the detailed scoping report;
- (e) If the Plenary approves the issue for detailed scoping, the Multidisciplinary Expert Panel, through the secretariat, will proceed to request nominations from Governments and other stakeholders for experts to assist with the scoping (1.5 months);
- (f) The Multidisciplinary Expert Panel selects experts for the scoping study and then oversees the detailed scoping, including outline, costs and feasibility (3 months);
- (g) Assuming that the Plenary has requested the Multidisciplinary Expert Panel and the Bureau to proceed to a full assessment, the detailed scoping report is sent to members of the Platform and other stakeholders for review and comment over a two-week period (0.5 months);

- (h) Based on the results of the detailed scoping exercise and comments received from members of the Platform and other stakeholders, the Multidisciplinary Expert Panel and the Bureau decide whether to proceed with the assessment, assuming that it could be conducted with the budget approved by the Plenary (0.5 months);
- (i) The Multidisciplinary Expert Panel then requests nominations from Governments and other stakeholders for experts to prepare the report (1.5 months);
- (j) The Multidisciplinary Expert Panel selects the report co-chairs, coordinating lead authors, lead authors and review editors using the selection criteria [reference section 3.6.2] (1.5 months);
- (k) The report co-chairs, coordinating lead authors and lead authors prepare the first draft of the report (6 months);
- (l) The first draft of the report is reviewed by experts (1.5–2 months);
- (m) The report co-chairs, coordinating lead authors and lead authors prepare the second draft of the report and the first draft of the summary for policymakers under the guidance of the review editors and the Multidisciplinary Expert Panel (3 months);
- (n) The second draft of the report and the first draft of the summary for policymakers are reviewed by Governments, experts and other stakeholders (2 months);
- (o) The report co-chairs, coordinating lead authors and lead authors prepare final drafts of the report and the summary for policymakers under the guidance of the review editors and the Multidisciplinary Expert Panel (2 months);
- (p) The summary for policymakers is translated into the six official languages of the United Nations (1.5 months);
- (q) The final drafts of the report and the summary for policymakers are sent to Governments and other stakeholders for final review (1.5–2 months);
- (r) Governments are strongly encouraged to submit written comments to the secretariat at least one week prior to any session of the Plenary;
- (s) The Plenary reviews and may accept the report and approve the summary for policymakers.

Assuming that the Plenary requests the Multidisciplinary Expert Panel and the Bureau to decide whether to proceed with a full assessment after completion of the detailed scoping study, the total elapsed time from the approval by the Plenary of the scoping of the assessment to the acceptance and review of the report by the Plenary would be 23 to 27 months, i.e., around 2 to 2.5 years. If the members of the Platform decide that the Plenary needs to review and approve the detailed scoping report, however, the elapsed time would increase by 6 months to 1 year, assuming that the intersessional period between sessions of the Plenary is around 12 to 15 months.

### **3.2 Fast-track approach for thematic and methodological assessments**

- (a) An issue is proposed for a fast-track assessment to the secretariat;
- (b) If the Multidisciplinary Expert Panel and Bureau agree that the Plenary may deem this to be an important issue, the Panel, in conjunction with the Bureau, identifies a small team of experts to assist the Panel in scoping the proposed issue, including feasibility and cost;
- (c) The Plenary reviews the scoping and decides whether to approve or reject the undertaking of the assessment;
- (d) If the Plenary approves the issue for a fast-track assessment, the Multidisciplinary Expert Panel issues a call through the secretariat to Governments and other stakeholders for nominations of experts to conduct the assessment based on the scope developed during the Multidisciplinary Expert Panel scoping exercise (4 weeks);
- (e) The Multidisciplinary Expert Panel selects the chairs, coordinating lead authors, lead authors and review editors using the usual selection criteria [add reference to the criteria] (2 weeks);
- (f) The report co-chairs, coordinating lead authors and lead authors prepare first drafts of the report and the summary for policymakers (20 weeks);

- (g) The first drafts of the report and the summary for policymakers are reviewed by Governments, experts and other stakeholders (8 weeks);
- (h) The report co-chairs, coordinating lead authors and lead authors revise the first drafts of the report and the summary for policymakers with the guidance of the review editors and the Multidisciplinary Expert Panel (8 weeks);
- (i) The summary for policymakers is translated into the six official languages of the United Nations (4 weeks);
- (j) The final drafts of the report and the summary for policymakers are sent to Governments and other stakeholders for final review (6 weeks);
- (k) Plenary reviews and may accept the report and approve the summary for policymakers.

The total elapsed time from the Plenary deciding to undertake the assessment to the acceptance and approval of the report will be around 52 weeks (1 year).

### **3.3 Approach for regional, subregional, eco-regional or global assessments**

- (a) The Multidisciplinary Expert Panel, in conjunction with the Bureau, conducts an initial scoping of an issue, including feasibility and estimated cost;
- (b) The Plenary reviews the initial scoping and decides to approve or reject the undertaking of a detailed scoping of the proposed assessment;
- (c) If the Plenary approves the issue for a detailed scoping, the Multidisciplinary Expert Panel, through the secretariat, proceeds to request nominations from Governments and other stakeholders for relevant experts to assist with the scoping (2 months). For regional, subregional and eco-regional assessments emphasis is placed on “local” expertise;
- (d) The Multidisciplinary Expert Panel selects experts to assist with the scoping (1 month). For regional, subregional and eco-regional assessments, the Panel will, in particular, take into account the views of the relevant regional Panel members;
- (e) The Multidisciplinary Expert Panel and the Bureau oversee a detailed scoping, including outline, costs and feasibility (4–8 months);
- (f) The detailed scoping report is sent to the secretariat for distribution to Governments and other stakeholders for consideration at the following session of the Plenary;
- (g) If the Plenary decides, based on the detailed scoping report, to approve the preparation of the report, the Multidisciplinary Expert Panel requests nominations from Governments and other stakeholders for experts to prepare the report (2 months);
- (h) The Multidisciplinary Expert Panel selects the report co-chairs, coordinating lead authors, lead authors and review editors using the selection criteria (1 month). The Multidisciplinary Expert Panel will, in particular, take into account the views of the relevant regional Panel members;
- (i) The report co-chairs, coordinating lead authors and lead authors prepare the first draft of the report (6–9 months);
- (j) The first draft of the report is reviewed by relevant experts (1.5–2 months). The review of regional, subregional and eco-regional reports will emphasize the use of local expertise;
- (k) The report co-chairs, coordinating lead authors and lead authors prepare the second draft of the report and the first draft of the summary for policymakers with the guidance of the review editors and the Multidisciplinary Expert Panel (3–4 months);
- (l) The second draft of the report and the first draft of the summary for policymakers are reviewed by Governments, experts and other stakeholders (2 months);
- (m) The report co-chairs, coordinating lead authors and lead authors prepare the final drafts of the report and the summary for policymakers with the guidance of the review editors and the Multidisciplinary Expert Panel (2–3 months);

- (n) The summary for policymakers is translated into the six official languages of the United Nations (2 months);
- (o) The final drafts of the report and the summary for policymakers are sent to Governments and other stakeholders for final review (1.5–2 months);
- (p) Governments are strongly encouraged to submit written comments on the final draft of the summary for policymakers at least one week prior to any session of the Plenary;
- (q) The Plenary reviews and may accept the report and approve the summary for policymakers.

After completion of the detailed scoping study, the total elapsed time from Plenary approving the scoping of the assessment to acceptance and review by the Plenary would be 21–27 months – the estimated time for completion will depend on the complexity of the assessment – therefore the elapsed time from approval of the detailed scoping to acceptance and approval would be 33–42 months, i.e., about 3 to 3.5 years.

### 3.4 Scoping for the preparation of report outlines

Scoping is the process by which the Platform will define the scope and objective of a deliverable and the information, human and financial requirements to achieve that objective. There are three types of scoping process, of varying complexity. See annex II to the present procedures for details.

- (a) Pre-scoping material is the preliminary scoping material, usually provided by the body making the original request for assessment;
- (b) Initial scoping is a scoping process carried out by the Multidisciplinary Expert Panel (for scientific issues) and the Bureau (for administrative issues); it is obligatory before any proposal may be considered by the Plenary;
- (c) Full scoping is a detailed scoping process, overseen by the Multidisciplinary Expert Panel, involving a scoping workshop with an appropriate range of stakeholders.

Each of the Platform’s global, regional and subregional or eco-regional assessment reports, thematic and methodological assessment reports and synthesis reports, as defined in section 1 of these procedures, should, except for those assessments approved for the fast-track process, be preceded by a full scoping exercise approved by the Plenary to develop the report’s draft outline, explanatory notes and means of implementation, as appropriate.

In some instances, a fast-track approach to scoping may be considered appropriate for thematic or methodological assessments where a demand for policy-relevant information is deemed appropriate by the Plenary. This would involve undertaking the assessment on the sole basis of an initial scoping exercise, based on prior approval by the Plenary.

### 3.5 General procedures for preparing Platform reports

In the case of assessment reports and synthesis reports, report co-chairs, coordinating lead authors, lead authors reviewers and review editors of chapter teams are required to deliver technically and scientifically balanced assessments. Authors should use language that expresses the diversity of the scientific, technical and socio-economic evidence, based on the strength of the evidence and the level of agreement on its interpretation and implications in the literature. Platform guidance on tackling uncertainties will be developed by the Multidisciplinary Expert Panel, taking into consideration approaches used by the Intergovernmental Panel on Climate Change, the Millennium Ecosystem Assessment and the UK National Ecosystem Assessment. Assessments should be based on publicly available and peer-reviewed literature, as well as reports and other materials, including indigenous and local knowledge, which is not published in the peer-reviewed literature but is available to experts and reviewers in accordance with annexes IV and V to these procedures.

The working language of assessment meetings will normally be English; however, subregional and regional assessment reports may be produced in the most relevant of the six official languages of the United Nations. All summaries for policymakers presented to the Plenary will be made available in the six official languages of the United Nations.

The review process for Platform reports will generally comprise three stages:

- (a) Review by experts and other stakeholders of Platform reports;
- (b) Review by Governments, experts and other stakeholders of Platform reports and summaries for policymakers;
- (c) Review by Governments of summaries for policymakers and/or synthesis reports.

The Multidisciplinary Expert Panel and Bureau will ensure that the reports are scoped, prepared and peer-reviewed in accordance with the present procedures.

The Multidisciplinary Expert Panel and the Bureau will assist the authors to ensure that the summary for policymakers includes the appropriate policy-relevant materials.

The report co-chairs and the Multidisciplinary Expert Panel shall be responsible for ensuring that proper review of the material occurs in a timely manner as outlined in sections 3.1 and 3.3 for the standard approach to thematic and methodological assessments and regional, subregional, eco-regional or global assessments and section 3.2 for the fast-track approach to assessments.

Expert and other stakeholder review should normally be allocated up to eight weeks, but not less than six weeks, except by decision of the Multidisciplinary Expert Panel. Government and expert or other stakeholder reviews should not be allocated less than eight weeks, except by decision of the Bureau and Multidisciplinary Expert Panel (e.g., six weeks for a fast-track assessment). All written review comments by experts and Governments will be made available to reviewers on request during the review process.

The following will be made available on the Platform's website as soon as possible after the acceptance by the Plenary and the finalization of a report or technical paper:

- (a) Drafts of Platform reports and technical papers that have been submitted for formal expert and/or government review;
- (b) Expert, government and other stakeholder review comments;
- (c) Author responses to those comments.

The Platform considers its draft reports, prior to their acceptance, adoption and approval by the Plenary, to be provided in confidence to reviewers, and not for public distribution, quotation or citation.

## **3.6 Preparation of reports**

### **3.6.1 Compilation of lists of potential report co-chairs, coordinating lead authors, lead authors, contributing authors, reviewers, review editors and of government focal points**

At the request of the Multidisciplinary Expert Panel, through the Platform secretariat, Governments, the scientific community and other stakeholders are encouraged to nominate potential report co-chairs and appropriate experts for each topic of the report to act as potential coordinating lead authors, lead authors, contributing authors, reviewers or review editors.

Members of the Multidisciplinary Expert Panel and the Bureau should contribute as necessary to identifying relevant experts to ensure appropriate representation from developing and developed countries and countries with economies in transition as well as an appropriate diversity of expertise and disciplines, and gender balance.

Such nominations should be compiled in lists that are made available to all Platform members and other stakeholders and maintained by the Platform secretariat. The tasks and responsibilities of report co-chairs, coordinating lead authors, lead authors, contributing authors, review editors and government focal points are outlined in annex I to the present procedures. Experts with the most relevant knowledge, expertise and experience may only be chosen once an assessment topic has been fully scoped.

To facilitate the nomination of experts and later review of reports by Governments, Governments should designate focal points responsible for liaising with the secretariat.

### **3.6.2 Selection of report co-chairs, coordinating lead authors, lead authors and review editors**

Report co-chairs, coordinating lead authors, lead authors and review editors are selected by the Multidisciplinary Expert Panel from among those experts cited in the lists of nominations provided by Governments and other stakeholders, and from among other experts known as a result of their publications and works, as appropriate.

The composition of the group of coordinating lead authors and lead authors for a given chapter, report or its summary should 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; the diversity of knowledge systems that exist; and gender balance.

The Multidisciplinary Expert Panel will inform the Plenary and other stakeholders on the selection process and the extent to which the above-mentioned considerations were achieved therein, and on the persons appointed to the positions of

report co-chairs, coordinating lead authors, lead authors and review editors for the various chapters. Every effort should be made to engage experts from the relevant region on the author teams for chapters that deal with specific regions, but experts from countries outside the region should be engaged when they can provide an important contribution to the assessment.

The coordinating lead authors and lead authors selected by the Multidisciplinary Expert Panel may enlist other experts as contributing authors to assist with the work.

### **3.6.3 Preparation of a draft report**

The preparation of the first draft of a report should be undertaken by report co-chairs, 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. Such contributions should be supported as far as possible with references from the peer-reviewed and internationally available literature as well as with copies of any unpublished material cited, including indigenous and local knowledge. Clear indications on how to access such material 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 cited, and a soft copy sent to the secretariat for archiving.

Lead authors will work on the basis of these contributions as well as the peer-reviewed and internationally available literature, including manuscripts that can be made available for review, and selected non-peer-reviewed literature in accordance with annex IV<sup>2</sup> to the present procedures, and Platform supporting material.

Unpublished material, including indigenous and local knowledge, that is available to experts and reviewers may be included in accordance with annexes IV and V to the present procedures and provided that its inclusion is fully justified in the context of the Platform's assessment process.

In preparing the first draft of a report and at subsequent stages of revision after review, lead authors should clearly identify disparate views for which there is significant scientific, technical or socio-economic support, together with the relevant arguments. Sources of uncertainty should be clearly identified, listed and quantified where possible. The implications for decision-making of the findings, including knowledge gaps, contrasting evidence and minority opinions, should be explicitly discussed. Technical summaries will be prepared, if deemed necessary by the Multidisciplinary Expert Panel, under the leadership of the Panel.

### **3.6.4 Review**

Three principles govern the review process: first, the Platform's reports should represent the best possible scientific, technical and socio-economic advice and be as balanced and comprehensive as possible. Second, as many experts as possible should be involved in the review process, ensuring representation of independent experts (i.e., experts not involved in the preparation of the chapter they are to review) from all countries. Third, the review process should be balanced, open and transparent and record the response to each review comment.

The Multidisciplinary Expert Panel should normally select two review editors per chapter (including for the chapter's executive summary) and per technical summary of each report based on the lists of experts nominated as described in section 3.6.2.

Review editors should not be involved as authors or reviewers of material for which they will act as a review editor. Review editors should be selected from among nominees from developed and developing countries and countries with economies in transition with a balanced representation of scientific, technical and socio-economic expertise.

Report co-chairs should arrange a comprehensive review of reports in each review phase, seeking to ensure complete coverage of all content. Sections of a report that deal with similar issues to other reports should be cross-checked through the relevant authors and report co-chairs.

#### **3.6.4.1 First review (by experts)**

The first draft of a report should be circulated by the Multidisciplinary Expert Panel through the secretariat for review. The Panel 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 involve as wide a group of experts as possible, including experts serving as report co-chairs, coordinating lead authors, lead authors, review editors or contributing authors as included in lists maintained by the Platform's secretariat.

<sup>2</sup> To be developed and adopted at a later stage.

Governments and other stakeholders should be notified of the commencement of the first review process. The first draft of a report should be sent by the secretariat to government focal points for information purposes. A full list of reviewers should be made available to all Governments and other stakeholders on the Platform's website.

The secretariat should make available to reviewers on request during the review process any specific material referenced in the document being reviewed that is not available in the international published literature.

Expert reviewers should provide the comments to the appropriate lead authors through the secretariat.

#### **3.6.4.2 Second review (by Governments, experts and other stakeholders)**

A revised draft should be distributed by the Platform secretariat to Governments through the designated government focal points, other stakeholders, the Bureau of the Plenary and the Multidisciplinary Expert Panel and the report co-chairs, coordinating lead authors, lead authors, contributing authors and expert reviewers.

Government focal points and other stakeholders should be notified of the commencement of the second review process some six to eight weeks in advance. Governments should send one integrated set of comments for each report to the secretariat through their government focal points. Experts and other stakeholders should send their comments for each report to the secretariat.

#### **3.6.4.3 Preparation of a final draft of a report**

The preparation of a final draft of a report that reflects comments made by Governments, experts and other stakeholders for submission to the Plenary for acceptance should be undertaken by report co-chairs, coordinating lead authors and lead authors in consultation with the review editors. If necessary, the Multidisciplinary Expert Panel working with authors, review editors and reviewers can try to resolve areas of major differences of opinion.

Reports should describe different, possibly controversial, scientific, technical and socio-economic views on a given subject, particularly if they are relevant to the policy debate. The final draft of a report should credit all report co-chairs, coordinating lead authors, lead authors, contributing authors, reviewers and review editors and other contributors, as appropriate, by name and affiliation, at the end of the report. Member Government focal points should be kept informed of the process.

### **3.7 Acceptance of reports by the Plenary**

Reports presented for acceptance at sessions of the Plenary are the full scientific, technical and socio-economic assessment reports. The subject matter of these reports shall conform to the terms of reference and to the workplan approved by the Plenary or the Multidisciplinary Expert Panel as requested. Reports to be accepted by the Plenary will have undergone review by Governments, experts and other stakeholders. The purpose of these reviews is to ensure that the reports present a comprehensive and balanced view of the subjects they cover. While the large volume and technical detail of this material places practical limitations upon the extent to which changes to the reports can be made at sessions of the Plenary, "acceptance" signifies the view of the Plenary that this purpose has been achieved. The content of the chapters is the responsibility of the coordinating lead authors and is subject to Plenary acceptance. Other than grammatical or minor editorial changes, after acceptance by the Plenary only changes required to ensure consistency with the summary for policymakers shall be accepted. Such changes shall be identified by the lead author in writing and submitted to the Plenary at the time it is asked to approve the summary for policymakers.

Reports accepted by the Plenary should be formally and prominently described on the front and other introductory covers as a report accepted by the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services.

### **3.8 Preparation and approval of summaries for policymakers**

Summaries for policymakers for global, regional, subregional and eco-regional, thematic and methodological assessments should be subject to simultaneous review by Governments, experts and other stakeholders. Written comments by Governments on the revised draft should be submitted before final approval by the Plenary. Regional summaries for policymakers should, as a preliminary step, be approved by their respective regional members of the Platform prior to further review and approval by the Plenary.

Responsibility for preparing first drafts and revised drafts of summaries for policymakers lies with the report co-chairs and an appropriate representation of coordinating lead authors and lead authors, overseen by the Multidisciplinary Expert Panel. The summaries for policymakers should be prepared concurrently with the main reports.

The first review of a summary for policymakers will take place during the same period as the review of the second draft of a report by Governments, experts and other stakeholders.

The final draft of a summary for policymakers will be circulated for a final round of comments by Governments in preparation for the session of the Plenary at which it will be considered for approval.

Approval of a summary for policymakers signifies that it is consistent with the factual material contained in the full scientific, technical and socio-economic assessment accepted by the Plenary.

Report co-chairs and coordinating lead authors should be present at sessions of the Plenary at which the relevant summary for policymakers is to be considered in order to ensure that changes made by the Plenary to the summary are consistent with the findings in the main report. The summaries for policymakers should be formally and prominently described as a report of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services.

### **3.9 Approval and adoption of synthesis reports by the Plenary**

Synthesis reports that are approved and adopted by the Plenary provide a synthesis of assessment reports and other reports as decided by the Plenary.

Synthesis reports integrate materials contained in the assessment reports. They should be written in a non-technical style suitable for policymakers and address a broad range of policy-relevant questions as approved by the Plenary. A synthesis report comprises two sections, namely: (a) summary for policymakers; (b) full report.

The Multidisciplinary Expert Panel will agree on the composition of the writing team, which could consist, as appropriate, of report co-chairs, coordinating lead authors, and Panel and Bureau members. In selecting the writing team for a synthesis report, consideration should be given to the importance of the full range of scientific, technical and socio-economic views and expertise; appropriate geographical representation; representation of the diversity of knowledge systems; and gender balance. Those Bureau and Panel members with appropriate knowledge who are not authors will act as review editors.

The Chair of the Plenary will provide information to the Plenary on the selection process, including the application of the selection criteria for participation and any other considerations. An approval and adoption procedure will allow the Plenary at its sessions to approve the summary for policymakers on a line-by-line basis and ensure that the summary for policymakers and the full report of the synthesis report are consistent, and the synthesis report is consistent with the underlying assessment reports from which the information has been synthesized and integrated.

Step 1: The full report (30–50 pages) and the summary for policymakers (5–10 pages) of the synthesis report are prepared by the writing team.

Step 2: The full report and the summary for policymakers of the synthesis report undergo simultaneous review by Governments, experts and other stakeholders.

Step 3: The full report and the summary for policymakers of the synthesis report are revised by the report co-chairs and lead authors with the assistance of the review editors.

Step 4: The revised drafts of the full report and the summary for policymakers of the synthesis report are submitted to Governments and observer organizations eight weeks before a session of the Plenary.

Step 5: The full report and the summary for policymakers of the synthesis report are submitted for discussion by the Plenary:

1. At its session, the Plenary will provisionally approve the summary for policymakers on a line-by-line basis.
2. The Plenary will then review and adopt the full report of the synthesis report on a section-by-section basis in the following manner:
  - When changes in the full report of the synthesis report are required, either for the purpose of conforming to the summary for policymakers or to ensure consistency with the underlying assessment reports, the Plenary and the authors will note where such changes are required to ensure consistency in tone and content.
  - The authors of the full report of the synthesis report will then make the required changes to the report, which will be presented for consideration by the Plenary for review and possible adoption of the revised sections on a section-by-section basis. If further inconsistencies are identified by the Plenary, the full report of the synthesis report will be further refined by its authors with the

assistance of the review editors for subsequent review on a section-by-section basis and possible adoption by the Plenary.

3. The Plenary will, as appropriate, adopt the final text of the full report of the synthesis report and approve the summary for policymakers.

The synthesis report consisting of the full report and the summary for policymakers should be formally and prominently described as a report of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services.

### 3.10 Addressing possible errors and complaints

The review processes described above should ensure that errors are eliminated well before the publication of Platform reports and technical papers. However, if a reader of an accepted Platform report, approved summary for policymakers or finalized technical paper finds a possible error (e.g., a miscalculation or the omission of critically important information) or has a complaint relating to a report or technical paper (e.g., a claim to authorship, an issue of possible plagiarism or of falsification of data) the issue should be brought to the attention of the secretariat, which will implement the following process for error correction or complaint resolution.

**Error correction or complaint resolution: stage 1 resolution.** The secretariat will ask the report co-chairs, or coordinating lead authors in the case of technical papers, to investigate and rectify the possible error or resolve the complaint in a timely manner, reporting back to the secretariat on the conclusion. If they find that an error has been made or if they uphold the complaint, the secretariat will notify the Multidisciplinary Expert Panel co-chairs who will decide on the appropriate remedial action in consultation with the report co-chairs. Any correction to the report or technical paper that is required must be made without undue delay (noting that complex errors may require significant reworking of publications). If no remedial action is deemed necessary, a written justification from the report co-chairs (upon advice from the Multidisciplinary Expert Panel co-chairs and the secretariat) must be provided to the complainant. If the complainant is not satisfied with the outcome of the stage 1 investigation, they must make this known to the secretariat, which will elevate the issue to the Multidisciplinary Expert Panel co-chairs for stage 2 resolution.

**Error or complaint resolution: stage 2 resolution.** The Multidisciplinary Expert Panel co-chairs will conduct an investigation, if necessary requesting independent reviewers to assist them. As a result of the further investigation, remedial action will be taken or the co-chairs will provide justification to the complainant that no further action is required. If the complainant is still not satisfied with the outcome, the secretariat will elevate the complaint to the Chair of the Plenary, as the final arbiter, for stage 3 resolution.

**Error or complaint resolution: stage 3 resolution.** The Chair of the Plenary will review the material and information gathered during stages 1 and 2, and seek further independent advice as necessary in order to reach a final decision on the error or complaint.

Every effort will be made to resolve errors and complaints at stage 1.

## 4. Clearance processes for technical papers

Technical papers are prepared on scientific, technical and socio-economic issues that are deemed appropriate by the Plenary. Such papers are:

- (a) Based upon material contained in the accepted and approved assessment reports;
- (b) On topics agreed upon by the Plenary;
- (c) Prepared by a team of lead authors, including a report co-chair, selected by the Multidisciplinary Expert Panel in accordance with the provisions set out in annex I to the present procedures on the selection of report co-chairs, lead authors and coordinating lead authors;
- (d) Submitted in draft form for simultaneous review by Governments, experts and other stakeholders at least four weeks before their comments are due;
- (e) Revised by the report co-chairs and lead authors on the basis of comments received from Governments, experts and other stakeholders, with the assistance of at least two review editors per technical paper who are selected in accordance with the procedures for selecting review editors for assessment reports and synthesis reports set out in section 3.6.2 and carry out their roles as listed in section 5 of annex I to the present procedures;

(f) Submitted to Governments, experts and other stakeholders for their review at least four weeks before their comments are due;

(g) Finalized by the report co-chairs and lead authors, in consultation with the Multidisciplinary Expert Panel functioning as an editorial board, based on the comments received.

If necessary, with guidance from the Multidisciplinary Expert Panel, a technical paper may include in a footnote the differing views expressed in comments submitted by Governments during their final review of the document if these are 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 shall be derived from:

(a) The text of Platform assessment reports and the portions of material in cited studies that such reports were based on;

(b) Relevant scientific models and their assumptions and scenarios based on scientific, technical and socio-economic assumptions [as were used to provide information in the assessment reports].

Technical papers shall reflect the range of findings set out in the assessment reports and support and/or explain the conclusions drawn in the reports. Information in the technical papers should, as far as possible, include references to the relevant subsection of the relevant assessment report and other related material.

Sources and consequences of uncertainty should be explicitly delineated, and quantified where possible. The implications of knowledge gaps and uncertainty for decision-making should be discussed.

Technical papers are publicly available and each should contain a prominent declaration that it is a technical paper of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services and, as such, has undergone expert and Government review but has not been considered by the Plenary for formal acceptance or approval.

## 5. Platform supporting material

Supporting material consists of four categories:

(a) Interscientific and intercultural dialogue reports that are developed within the framework of intercultural, interscientific and eco-regional level initiatives;

(b) Published reports and the proceedings of workshops and expert meetings that are recognized by the Platform, whose subject matter falls within the scope of the Platform's work programme;

(c) Material, including databases and software, that is supportive of the Platform's activities;

(d) Guidance material, such as guidance notes or guidance documents, that assists in the preparation of comprehensive and scientifically, technically and socio-economically sound Platform reports and technical papers.

Procedures for the recognition of workshops are set out in sections 6.1 and 6.2. Arrangements for the publication and/or e-publication of supporting material should be agreed upon as part of the process of workshop recognition or such publication should be commissioned by the Multidisciplinary Expert Panel for the preparation of specific supporting material.

Any supporting material as described in subparagraphs (a), (b) and (c), above, should contain a prominent declaration stating that it is supporting material prepared for the consideration of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services and, as such, has not been subjected to the formal Platform review processes.

Guidance material, as described in subparagraph (d), above, is intended to assist authors in the preparation of comprehensive and scientifically consistent Platform reports. The preparation of guidance material is usually overseen by the Multidisciplinary Expert Panel and is commissioned by the Plenary.

## 6. Workshops

### 6.1 Platform workshops

Platform workshops are defined as meetings that provide support to Plenary-approved activities. Such workshops can focus on:

(a) A specific topic bringing together a limited number of relevant experts;

- (b) A cross-cutting or complex topic requiring input from a broad community of experts;
- (c) The provision of training and capacity-building.

Through the secretariat, the Multidisciplinary Expert Panel will request nominations of workshop participants by government focal points and other stakeholders. The Multidisciplinary Expert Panel may also nominate experts and will select the participants to the workshop. The Panel will function as a scientific steering committee to assist the secretariat in organizing such workshops.

The composition of participants to workshops shall aim to reflect:

- (a) The relevant range of scientific, technical and socio-economic views and expertise;
- (b) Appropriate geographical representation;
- (c) The existing diversity of knowledge systems;
- (d) Gender balance;
- (e) Appropriate stakeholder representation, for example, representatives from the scientific community, Governments, universities, non-governmental organizations and the private sector.

The Platform will ensure that funding is made available for the participation in workshops of experts from developing countries and countries with economies in transition as well as indigenous and traditional knowledge holders, as appropriate.

The list of participants invited to a workshop should be made available to government focal points and other stakeholders within two weeks of the selection having taken place, including a description of the application of the selection criteria and any other considerations for participation in that regard.

The proceedings of Platform workshops will be made available online and should:

- (a) Include a full list of participants, describing their affiliation;
- (b) Indicate when and by whom they were prepared;
- (c) Indicate whether and by whom they were reviewed prior to publication;
- (d) Acknowledge all sources of funding and other support;
- (e) Indicate prominently at the beginning of the document that the activity was held pursuant to a decision of the Plenary but that such decision does not imply the Plenary's endorsement or approval of the proceedings or any recommendations or conclusions contained therein.

## **6.2 Co-sponsored workshops**

Workshops can be co-sponsored by the Platform if the Bureau and the Multidisciplinary Expert Panel determine in advance that they are supportive of Plenary-approved activities. Co-sponsorship by the Platform of a workshop does not necessarily convey any obligation by the Platform to provide financial or other support. In considering whether to extend Platform co-sponsorship to a workshop, the following factors should be taken into account:

- (a) Implications for the reputation of the Platform;
- (b) Multidisciplinary Expert Panel involvement in the steering committee for the design and organization of and selection of experts for the workshop;
- (c) Level of funding for the activity available from sources other than the Platform;
- (d) Whether the activity will be open to government experts as well as experts from other stakeholder entities, including non-governmental organizations, and traditional knowledge holders participating in the work of the Platform;
- (e) Whether provision will be made for the participation of experts from developing countries and countries with economies in transition;
- (f) Whether the proceedings will be published and made available to the Platform in a time frame that is relevant to its work;
- (g) Whether the proceedings will:

- (i) Include a full list of participants and affiliation;
- (ii) Indicate when and by whom they were prepared;
- (iii) Indicate whether and by whom they were reviewed prior to publication;
- (iv) Specify all sources of funding and other support;
- (v) Prominently display a disclaimer stating that Platform co-sponsorship does not imply Platform endorsement or approval of the proceedings or any recommendations or conclusions contained therein, and that neither the papers presented at the workshop nor the report of its proceedings have been subjected to Platform review.

## Annex I

### **Tasks and responsibilities for report co-chairs, coordinating lead authors, lead authors, contributing authors, review editors and expert reviewers of Platform reports and other deliverables, and for government focal points**

#### **1. Report co-chairs**

*Function:*

To assume responsibility for overseeing the preparation of an assessment report or synthesis report.

*Comment:*

Report co-chairs are responsible for ensuring that a report is completed to a high standard. The names of all report co-chairs will be acknowledged prominently in the reports that they are involved in preparing.

Report co-chairs are nominated and selected as described in sections 3.6.1 and 3.6.2. of the procedures.

#### **2. Coordinating lead authors**

*Function:*

To assume overall responsibility for coordinating major sections and/or chapters of an assessment report.

*Comment:*

Coordinating lead authors are lead authors who have the added responsibility of ensuring that major sections and/or chapters of a report are completed to a high standard and are collated and delivered to the report co-chairs in a timely manner and conform to any overall standards of style set for the document.

Coordinating lead authors play a leading role in ensuring that any cross-cutting scientific, technical or socio-economic issues of significance to more than one section 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 similar to those required of lead authors together with the additional organizational skills needed to coordinate a section, or sections, of a report. All coordinating lead authors will be acknowledged in the reports.

#### **3. Lead authors**

*Function:*

To assume responsibility for the production of designated sections or parts of chapters that respond to the work programme of the Platform on the basis of the best scientific, technical and socio-economic information available.

*Comment:*

Lead authors typically work in small groups that are responsible for ensuring that the various components of their sections are put together on time, are of a uniformly high quality and conform to any overall standards of style set for the document.

The role of lead authors is a demanding one and, in recognition of this, lead authors will be acknowledged in final reports. 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 their work should be accorded the highest priority.

The essence of the lead authors' role is to synthesize material drawn from the available literature or other fully-justified unpublished sources as defined in section 3.6.3 of the procedures.

Lead authors must have a proven ability to develop text that is scientifically, technically and socio-economically sound and that faithfully represents, to the greatest extent possible, contributions made by a wide variety of experts, and adheres to the overall standards of style set for a document. When revising text, lead authors and review editors are required to take account of the comments made during reviews by Governments, experts and other stakeholders. The ability to work to deadlines is a necessary practical requirement.

Lead authors are required to record in the report views that cannot be reconciled with a consensus view<sup>3</sup> but that are, nonetheless, scientifically, technically or socio-economically valid.

---

<sup>3</sup> Consensus does not imply a single view, but can incorporate a range of views based on the evidence.

Lead authors are encouraged to work with contributing authors, using electronic means as appropriate, in the preparation of their sections or to discuss expert or government comments.

#### **4. Contributing authors**

*Function:*

To prepare technical information in the form of text, graphs or data for inclusion by the lead authors in the relevant section or part of a chapter.

*Comment:*

Input from a wide range of contributors is key to the success of Platform assessments. The names of all contributors will therefore be acknowledged in the Platform's reports. Contributions are sometimes solicited by lead authors but spontaneous contributions are also 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 along with clear indications of how to access the latter. 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.

#### **5. Review editors**

*Function:*

To assist the Multidisciplinary Expert Panel in identifying reviewers for the expert review process, ensure that all substantive expert, government and other stakeholders review comments are afforded appropriate consideration, advise lead authors on how to handle contentious or controversial issues and ensure that genuine controversies are adequately reflected in the text of the report concerned.

*Comment:*

In general, there will be two review editors per chapter, including its executive summary. In order to carry out the tasks allocated to them, review editors will need to have a broad understanding of the wider scientific, technical and socio-economic issues being addressed.

The workload for review editors will be particularly heavy during the final stages of report preparation, including attending meetings at which writing teams consider the results of the review rounds.

Review editors are not actively engaged in drafting reports and may not serve as reviewers for text that they have been involved in writing. Review editors may be drawn from among members of the Multidisciplinary Expert Panel, the Bureau or other experts as agreed by the Panel. Although responsibility for the final text of a report remains with the relevant coordinating lead authors and 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 Multidisciplinary Expert Panel and, where appropriate, will be requested to attend a meeting convened by the Multidisciplinary Expert Panel to communicate their findings from the review process and to assist in finalizing summaries for policymakers and synthesis reports. The names of all review editors will be acknowledged in the reports.

#### **6. Expert reviewers**

*Function:*

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

*Comment:*

Expert reviewers comment on text according to their knowledge and experience. The names of all expert reviewers will be acknowledged in the reports.

#### **7. Government and observer organization focal points**

*Function:*

To prepare and update the list of national experts required to assist in the implementation of the Platform's work programme, and to arrange for the provision of integrated comments on the accuracy and completeness of the scientific, technical and/or socio-economic content and the overall balance between scientific, technical and/or socio-economic aspects of the drafts.

*Comment:*

Government review will typically be carried out among a number of departments and ministries. For administrative convenience, each Government and observer organization should designate one focal point for all Platform activities, providing full contact information for the focal point to the secretariat and notifying the secretariat of any changes in the information. Focal points should liaise with the secretariat regarding the logistics of the review processes.

## Annex II

### Draft process for scoping potential assessments

#### I. Scoping process: broad outline

1. Scoping is the process by which the Platform defines the objective of a deliverable and the information, human and financial requirements to achieve that objective. In addition, the scoping process should identify opportunities to contribute to the functions of the Platform.
2. Scoping an assessment determines whether or not the knowledge to be assessed is available and sufficient, and therefore represents an important first step in identifying knowledge gaps. In addition, the scoping process should identify opportunities and needs for capacity-building within the framework of potential assessment work. It provides information on potential financial and operational implications of the work programme, including specifying the scope of the subject that can be handled within the available resources.
3. Once requests, inputs and suggestions incorporating relevant pre-scoping material, are received from the various Platform constituencies, the Multidisciplinary Expert Panel (for scientific issues) and the Bureau (for administrative issues) performs an initial scoping process prior to potential submission of the proposed activity to the Plenary for its consideration in order to provide sufficient information on the merits of a full scoping exercise. Once completed, the initial scoping process provides the basis for an initial outline of any Platform assessment report and other deliverables, including a cost estimate.
4. A full scoping process can only begin once approved by the Plenary on the basis of the recommendations of the Bureau and the Multidisciplinary Expert Panel.
5. Platform members and other stakeholders nominate experts for possible scoping workshops in accordance with the following criteria: the experts nominated must reflect the range of scientific, technical and socio-economic views and expertise that exist; include appropriate geographical representation, ensuring the representation of experts from developing and developed countries and countries with economies in transition; reflect a diversity of knowledge systems; and reflect gender balance. The Multidisciplinary Expert Panel selects the experts needed for the scoping process, which is overseen by the Multidisciplinary Expert Panel.
6. Assuming that the Plenary has requested the Multidisciplinary Expert Panel and the Bureau to decide whether to proceed to a full assessment, the detailed scoping report is sent to members of the Platform and other stakeholders for review and comment within two weeks. Based on the results of the detailed scoping exercise and comments received from members of the Platform and other stakeholders, the Multidisciplinary Expert Panel and the Bureau decide whether to proceed with the assessment, assuming that it can be conducted within the budget approved by the Plenary.
7. If the Plenary reserves the right to review and approve the detailed scoping report then it is considered at the following session of the Plenary.
8. In some instances, a fast-track approach to scoping may be considered appropriate for thematic or methodological assessments if the demand for policy-relevant information is urgent. This involves undertaking the assessment on the sole basis of an initial scoping exercise, subject to prior approval by the Plenary. When considering fast-tracking the scoping of assessments or other activities, clear guidance is required on the procedures to be followed. There should be coherence between any fast-tracking process for scoping of assessments and other activities and the implementation of such activities.
9. A flow chart describing the scoping process is set out in the appendix to this annex. The need for pre-scoping will depend to some extent on the quality of requests, inputs and suggestions submitted, for which guidance and a standardized form for submissions will be developed on the basis of the information proposed in paragraph 7 of decision IPBES/1/3 on the procedure for receiving and prioritizing requests put to the Platform.

#### II. Initial and pre-scoping exercise

10. The body making the initial request for an assessment must provide information on the scope, objectives and requirements to complete the assessment as requested in decision IPBES/1/3 on the procedure for receiving and prioritizing requests put to the Platform. This is known as the pre-scoping material.

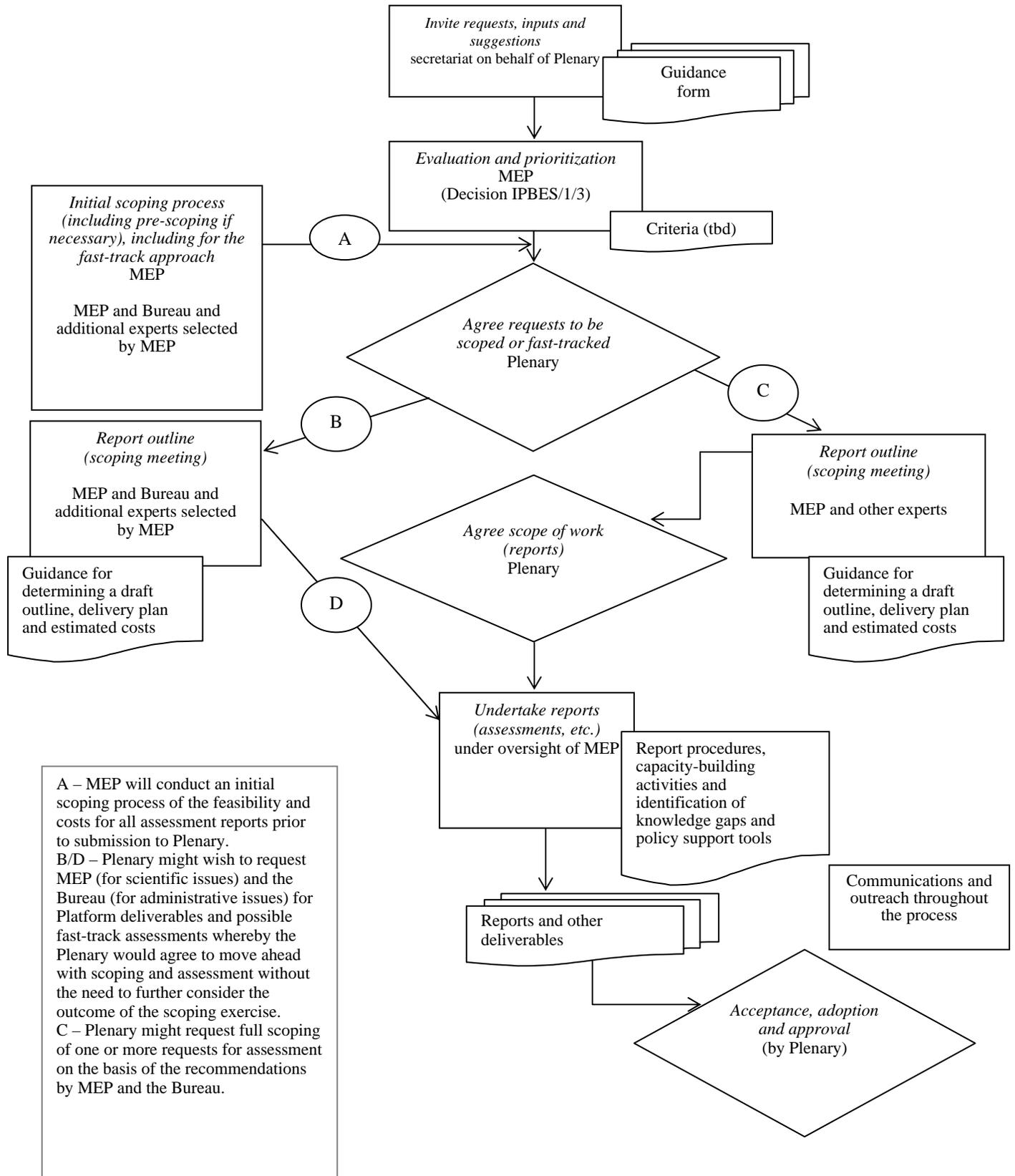
11. The Multidisciplinary Expert Panel (for scientific issues) and Bureau (for administrative issues) conducts an initial scoping process for all assessment proposals of the feasibility and costs involved prior to submission to the Plenary for its consideration. The initial scoping exercise is based, in part, on the pre-scoping material.
12. The Multidisciplinary Expert Panel may request the body that submitted the original request(s) to elaborate on certain pre-scoping information or elements contained in their original submission before the initial scoping can be completed. Such additional information is compiled by the secretariat for consideration by the Multidisciplinary Expert Panel, which may make recommendations to the Plenary on whether to proceed with a full scoping process, taking into account: (a) the scientific and policy relevance of the requests, inputs and suggestions; (b) the need for additional scoping; (c) the implications of the requests, inputs and suggestions for the Platform's work programme and resource requirements (decision IPBES/1/3 on the procedure for receiving and prioritizing requests put to the Platform). The Plenary may, at this stage, decide (a) to proceed with a full scoping exercise; (b) not to proceed with the requested work; (c) to seek further pre-scoping information as required. If appropriate, the Multidisciplinary Expert Panel may request an expert or organization to assist in the preparation of the initial scoping document as a preliminary to establishing and implementing a full scoping process to be carried out under the auspices of the Multidisciplinary Expert Panel.

### **III. Full scoping process**

13. Upon approval by the Plenary, a full scoping exercise is undertaken. The first step is to organize a scoping workshop with an appropriate range of stakeholders, in accordance with the criteria set out in paragraph 5 above, led by one or more members of the Multidisciplinary Expert Panel as appropriate. Nominations for participation in such a scoping workshop are solicited from government and other stakeholders, and members of the Multidisciplinary Expert Panel and the Bureau, and selected by the Panel.
14. Participants for such a scoping workshop should include a range of multidisciplinary experts and stakeholders, including from user groups and members of the Platform. Such a range of participation is important to ensure that assessments and other activities are scientifically robust, based on the knowledge and experience of a range of stakeholders, and relevant to decision-making. In selecting scoping workshop participants, consideration should be given by the Multidisciplinary Expert Panel to the criteria set out in paragraph 5 above.
15. In addition, an open online consultation could be established prior to the scoping workshop to support discussions during the workshop and to allow for broader input to the process. In doing so, information on the initial request for scoping, the initial scoping and any pre-scoping would be made publicly available.
16. In order to facilitate the scoping workshop and to aid the submission of requests, inputs and suggestions, a guidance document for developing a draft outline for an assessment and for developing the scope of other potential activities should be developed by the Multidisciplinary Expert Panel and the Bureau. The guidance document should include a range of scientific, technical and administrative elements for consideration.
17. The guidance document and scoping process should include the following scientific and technical elements:
  - (a) Main issues related to biodiversity and ecosystem services to be covered by the assessment or other activities in relation to the Platform functions and its conceptual framework;
  - (b) Main policy questions and users that might be addressed through the assessment or other activities;
  - (c) Urgency of the activity and how it will contribute to other processes or decisions;
  - (d) Possible constituent chapters for any assessment report and the scope of each of these chapters;
  - (e) Any known significant limitations in the existing knowledge that will be needed to undertake any assessment and whether options exist for addressing knowledge gaps;
  - (f) Potential additional activities and outputs that could be derived from an assessment and undertaken to support other functions of the Platform (e.g., capacity-building, policy support, etc.);
  - (g) Evidence on the integration of the four Platform functions, e.g., scoping an assessment should not only look at existing knowledge and knowledge gaps, but also at existing capacity and capacity-building gaps, and potentially at policy support tools and methodologies as well;
  - (h) Methodologies to be used;
  - (i) Geographic boundaries of the assessment;
  - (j) List of scientific disciplines, types of expertise and knowledge needed to carry out the assessment.

- 
18. Possible procedural or administrative elements to be incorporated in the guidance document might include:
- (a) Possible overall activity schedule and milestones;
  - (b) Potential operational structure(s) that might be necessary, and the roles and responsibilities of the various entities to be involved, including the identification of strategic partners in delivering the activity; and the means by which the procedures for the implementation of the work programme will be carried out to ensure effective peer review, quality assurance and transparency;
  - (c) Full estimated costs of the activity and potential sources of funding, including from the Platform trust fund and other sources as appropriate;
  - (d) Any capacity-building interventions that may be required to deliver the activity, which might be included as activities in the general report delivery plan;
  - (e) Any communication and outreach activities that might be appropriate for the specific deliverable, including for the identification of gaps in knowledge and for policy support;
  - (f) Consideration of data and information management for assessments.

Appendix: possible Platform scoping process flow chart



## Annex III

### Summary schedule for assessment and synthesis reports: standard and fast-track approaches (in weeks)

	<i>Issue proposed to secretariat</i>	<i>Initial scoping</i>	<i>Pre-scoping</i>	<i>Plenary approves for scoping</i>	<i>Nominations for scoping</i>	<i>Scoping</i>	<i>Plenary approves assessment to proceed</i>	<i>Call for experts</i>	<i>Selection of assessment team</i>	<i>Assessment completed, 1<sup>st</sup> draft</i>	<i>1<sup>st</sup>/2<sup>nd</sup> drafts of report reviewed/revised</i>	<i>Final draft of report revised and completed</i>	<i>Report translated</i>	<i>Final review by Governments</i>	<i>Plenary reviews, accepts, approves</i>
<b>Standard approach</b>															End point
Stage duration	0	2	4	25 <sup>1</sup>	8	6	2	8	8	24–36	6+16+8	8–12	6–8	6–8	N/A
Cumulative duration	0	2	6	31	39	45	47	55	63	99	129	141	149	157	N/A
<b>Fast-track approach</b>															End point
Stage duration	0	2	N/A	N/A	N/A	2 <sup>2</sup>	2	2	2	20	6	8	4	6	N/A
Cumulative duration	0	2	-	-	-	4	6	8	10	30	36	44	48	54	N/A

<sup>1</sup>. Average 25 (but up to 50 between plenaries).

<sup>2</sup>. Undertaken by a smaller team of experts (selected and overseen by the Multidisciplinary Expert Panel and/or the Bureau) than full scoping under the standard approach.

Abbreviations: N/A. not applicable.

**[Annex IV Procedure on the use of literature in Platform reports – to be developed]**

**[Annex V Procedure for recognition and incorporation of indigenous and local knowledge – to be developed]**

---