

CONFLICT OF INTEREST DISCLOSURE FORM (“COI FORM”)

CONFIDENTIAL

NAME: *

ADDRESS:

E-MAIL ADDRESS:*

TELEPHONE:

CURRENT EMPLOYER:*

FUNCTION/ROLE IN IPCC:*

PLEASE CONSULT THE ATTACHED GUIDANCE INFORMATION (SEE ANNEX 1) BEFORE COMPLETING THE FORM BELOW

PLEASE FURTHER NOTE:

“Yes” responses do not necessarily affect or prevent your participation in IPCC activities. Answering “Yes” to a question on this form does not necessarily mean that a conflict is present or that you will be unable to perform your designated function/role in the IPCC. If in doubt about whether an interest should be disclosed, individuals are encouraged to disclose that information.

1. APPOINTMENTS AND ACTIVITY

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

Details:

2. EMPLOYMENT AND CONSULTING

Do you receive any remuneration from employment or consulting, (including services as a technical or other adviser) from a commercial entity or other organization with an interest related to the subject of the IPCC work in which you are engaged? Yes No

Details:

3. RESEARCH SUPPORT

Do you receive financial support (including but not limited to grants, consultancies, sponsorship, or honoraria for speaking or facilitating training) or non-financial support (including but not limited to premises, equipment, facilities, assistants, paid travel) from any commercial entity or other organization with an interest related to the subject of the IPCC work?

Yes No

Details:

4. INVESTMENT INTERESTS

Do you have investments (including but not limited to stocks, bonds, stock options, other securities such as short sales) or commercial business interests (including but not limited to ownership, partnership, joint ventures, board memberships, controlling interests), in any commercial entity with an interest related to the subject of the IPCC work? (Please also include indirect investments such as a trust or holding company. You may exclude mutual funds, pension funds or similar investments that are broadly diversified and over which you exercise no control.)

Yes No

Details:

5. INTELLECTUAL PROPERTY

Do you own any intellectual property rights (including but not limited to patents, trademarks or commercial copyrights including pending applications) or proprietary knowledge in a technology or process being used for commercial purposes that might be affected by the IPCC work?

Yes No

Details:

6. PUBLIC STATEMENTS AND POSITIONS

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

Yes No

Details:

7. NON-FINANCIAL INTERESTS

Are you engaged in any professional or other activities (including but not limited to editorial functions, official (paid or unpaid) function in a government agency or international organization, advisory committee associated with a public or private sector organization, board member of a public or private sector organization, board member of non-profit organization,

board member of advocacy group), which outside parties could consider might represent or give rise to a conflict of interest, or the perception of a conflict of interest with regard the IPCC work with which you are engaged? Yes No

Details:

8. FINANCIAL INTERESTS

Do you hold any additional financial interests which outside parties could consider might represent or give rise to a conflict of interest, or the perception of a conflict of interest with regard to the IPCC work with which you are engaged? Yes No

Details:

9. ADDITIONAL INFORMATION

If not already disclosed above, are you aware of any aspect of your work for the IPCC that will enable you to obtain access to proprietary information or create for you a competitive advantage in your professional, financial or business dealings? Yes No

Details:

To your knowledge, could the outcome of your work for the IPCC adversely affect the interests of any other persons or entities with whom you have substantial common personal, professional, financial or business interests (such as your adult children or siblings, close professional colleagues, administrative unit or department)? Yes No

Details:

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

Details:

Are you receiving any payments (other than for travel costs) or honoraria for speaking publicly on the subject of the IPCC work in which you are engaged? Yes No

Details:

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

Yes No

Details:

DECLARATION

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

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

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

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

Name:

Signature:

Date:

GUIDANCE NOTE FOR COMPLETION OF THE CONFLICT OF INTEREST DISCLOSURE FORM

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

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

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

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

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

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

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

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

Answering “Yes” to a question on this form does not necessarily mean that a conflict is present or that you will be unable to perform your designated function/role in the IPCC. If in doubt about whether an interest should be disclosed, individuals are encouraged to disclose that information. This information will be assessed as a whole

on the basis of the principles contained in the COI Policy (<https://www.ipcc.ch/site/assets/uploads/2018/09/ipcc-conflict-of-interest-2016.pdf>). In particular, what constitutes or not a COI is defined in paragraphs 11 to 17 of that document (reproduced below). If in doubt about whether an interest should be disclosed, individuals are encouraged to seek advice from IPCC Secretariat Legal Officer (please contact ipcc-sec@wmo.int for contact information).

Definition of « Conflict of Interest » (paragraphs 11 to 17 of the IPCC COI Policy <https://www.ipcc.ch/site/assets/uploads/2018/09/ipcc-conflict-of-interest-2016.pdf>).

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 behavior 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 behavior. 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.