Annex 7
Principles and Procedures Governing the
Intergovernmental Assessment on Agricultural Science and Technology for
Development (IAASTD)

Definition of an Assessment

1. A scientific assessment is a critical, objective evaluation and analysis of information, including indigenous and local knowledge, designed to meet user needs and support decision making. It applies the judgment of experts to existing knowledge to provide scientifically credible answers to policy relevant questions, quantifying where possible the level of confidence.

Purpose

2. The international assessment on the role of agricultural science and technology in reducing hunger and poverty, improving rural livelihoods, and facilitating equitable, environmentally, socially and economically sustainable development through the generation, access to, and use of agricultural knowledge, science and technology (hereinafter referred to as IAASTD) shall concentrate its activities on a critical assessment of the literature, experience and knowledge pertaining to the scope of IAASTD as defined by the Panel of participating governments.

3. The role of IAASTD will be to comprehensively, openly and transparently assess the scientific, technical and socio-economic literature, experience and knowledge relevant to how agricultural science and technology can reduce hunger and poverty, improve rural livelihoods, and facilitate equitable, environmentally, socially and economically sustainable development through the generation, access and use of agricultural knowledge, science and technology. The IAASTD Report should be policy relevant but not policy prescriptive, and deal objectively with scientific, technical and socio-economic issues.

4. Peer-review of local and institutional knowledge by relevant experts in government and civil society shall be an essential part of the IAASTD process.

Organization

5. The Panel of participating governments, which shall be open to all Member states of the cosponsoring agencies, shall make major decisions concerning IAASTD in Plenary meetings with advice from a 60-member multi-stakeholder Bureau comprised of 30 governments and 30 members from civil society, the private sector and scientific institutions. Responsibilities of the Bureau will include making decisions on authors, reviewers and financial matters.

All Bureau members should have relevant technical and scientific expertise in a field such as agriculture (production, marketing, processing, research, etc.) health, nutrition, gender, rural development or the environment. In addition, individuals should promote trust among the Stakeholders and demonstrate broad vision. The Bureau will be effectively balanced with respect to gender and geographic representation. The Bureau will form committees as needed for selection of global authors, finance and fund-raising, and communications and outreach. These committees will prepare documents as needed for consideration by the full Bureau.

The Panel of participating governments will elect government representatives of the multi-stakeholder Bureau. Representatives from producer, consumer, nongovernmental, and private sector entities will nominate their delegates through a parallel process.

The Cosponsoring Agencies (FAO, UNDP, WHO, UNEP, UNESCO and the WB) will serve as *ex officio* members of the Bureau. The Panel will approve the membership of scientific organizations on the Bureau with input from the Cosponsoring Agencies.

Two co-chairs (one from a developed country and one from a developing country) will be elected by the Plenary with consideration for gender and expertise. The co-chairs will chair the Plenary and Bureau sessions, sessions of the Global authors and provide intellectual leadership for IAASTD.

The Secretariat will oversee the day-to-day management of IAASTD. The Secretariat will act as a technical support unit for IAASTD and will organize sessions of the Panel and Bureau and sessions of the global and sub-global (community to regional) assessments. The Secretariat will propose the annual budget and manage the Trust Fund. It will oversee and coordinate IAASTD public information and outreach activities and it will publicize and disseminate reports to the relevant stakeholder groups, including translation of summaries into all six official UN languages. The Secretariat will monitor the progress of IAASTD activities and ensure coordination among global and subglobal (community to regional) assessments. It will liaise with member governments and other relevant stakeholder organizations on IAASTD matters. The Director of the Secretariat will be appointed by the Heads of Cosponsoring Agencies and will provide intellectual leadership along with the Co-chairs. The Director will appoint the staff, which will be drawn from within and from outside of the Cosponsoring Agencies. Staff will have the requisite technical, communication and administrative skills.

Participation

6.   Participation in the Plenary will be open to all Member countries of the Cosponsoring Agencies. Interpretation in all six official UN languages shall be provided for sessions of the Plenary. Invitations to participate in the Plenary meetings shall be extended to governments and participating organizations by the co-chairs of IAASTD.

7. Experts from Member countries or international, intergovernmental or non-governmental organizations may be invited in their personal capacity to contribute to the preparation and peer-review of IAASTD.

Decisions

8.   Intersessional decisions are adopted five working days after communication to the members of the Bureau on a no-objection basis. All recommendations of a subcommittee of the Bureau will be sent to the full Bureau for approval on a no-objection basis. Bureau members have one week to review and comment. If four or more members have an objection to a subcommittee recommendation, then the subcommittee should take any substantiated objections into account in making their final decision, which is then communicated to the full Bureau. In the case of the fund-raising and finance committee, all decisions will be taken by the full Bureau.

9.   For the subcommittees on author selection the following will apply. Experts from member countries or international, intergovernmental or non-governmental organizations may be invited in their personal capacity to contribute to the preparation and peer-review of the IAASTD. The subcommittees will make the initial selection of coordinating lead authors, lead authors, review editors and alternates based on nominations from all stakeholder groups and the subcommittees will communicate the list to the full Bureau in accordance with paragraph 8. The Secretariat should inform Governments of citizens selected from their countries.

Conflict resolution

9. The Panel shall endeavor to reach consensus in taking decisions regarding all matters related to IAASTD, and in approving, adopting and accepting the Report. If consensus is judged impossible by the relevant body, the following procedures should be followed: (a) on procedural issues the Rules and Procedures of UNEP Governing Council should be followed to resolve the matter; (b) for decisions on approval, adoption and acceptance of the report, the differing views shall be explained and, upon request, recorded. Differing views on a matter concerning a scientific, technical or socio-economic document shall be represented in the

document concerned. Differing views on matters of policy shall be recorded in the report of the session.

Procedures for the preparation, review, acceptance, approval, adoption and publication of the IAASTD Report

10.   Definitions

"Acceptance" signifies that the material has not been subjected to line-by-line discussion and agreement, but represents a comprehensive, objective and balanced view of the subject matter.

"Adoption" is a process of endorsement section by section (i.e., not line-by-line).

"Approval" signifies that the material has been subjected to line-by-line discussion and agreement.

"IAASTD Report" is the ensemble of the Global Assessment Report; the Subglobal Assessment Reports; and their Summaries for Decision Makers;

"Panel Members or Members of IAASTD" are countries that are Members of the Cosponsoring Agencies.

"Session of the Bureau" refers to meetings of the elected governmental and non-governmental members of the IAASTD Bureau – elected members may be accompanied by a representative of their organization for non-technical issues, e.g., budget.

"Plenary Session" refers to meetings of the Member countries and observers.

11.   Preparation and Peer-Review Process

The preparation and peer-review process should take place in six stages:
- Preparation of the first-order draft report;
- Government and expert (peer) review of the first-order draft report;
- Preparation of the second-order draft report;
- Government/expert review of the second-order draft report;
- Preparation of the final report; and
- Government review and approval of the Summaries for Decision Makers

At least six weeks should be allowed for review by experts and governments. All written expert and government review comments will be made available to reviewers on request during the review process and will be retained in an open archive in a location determined by the IAASTD Bureau on completion of the Report for a period of at least five years.

The purpose of the review process is to ensure that the IAASTD Report presents a comprehensive, objective and balanced view of both local and institutional knowledge. The content of the authored chapters is the responsibility of the lead authors. After acceptance by the Panel, only grammatical and or minor editorial changes can be made prior to publication. To ensure proper preparation and review, the following steps should be taken:

(a) Compilation of governmental and non-governmental Focal Points and nominees for Coordinating Lead Authors, Lead Authors, Contributing Authors, Expert Reviewers, Review Editors and
(b) Selection of Coordinating Lead Authors and Lead Authors
(c) Preparation of draft Report
(d) Review
- First draft by governments and experts
- Second draft by governments and experts

(e) Preparation of final draft Report
(f) Acceptance of Report at a session of the Plenary

The IAASTD Report shall be made available to governments and other participating organizations by the Secretariat at least six weeks in advance of the Plenary for final acceptance/adoption/approval and, to the extent possible, the Summaries for Decision Makers for the Global Assessment and Subglobal Assessments will be distributed in all official UN languages.

12.   Compilation of Nominees for Authors, Reviewers and Review Editors

The Secretariat will request that all governments and participating organizations identify appropriate experts with local and institutional knowledge for each Chapter in the Report to act as Coordinating Lead Authors, Lead Authors, Contributing Authors, Expert reviewers or Review Editors. To facilitate the identification of experts and peer-review by governments and non-governmental stakeholders, governments and non-governmental stakeholders should designate Focal Points. Bureau members should ensure, where necessary, balanced representation of experts and reviewers from developed countries, developing countries, and countries with economies in transition. These recommendations shall be maintained by the Secretariat and be available to all Members of the Panel. The tasks and responsibilities of Coordinating Lead Authors, Lead Authors, Lead Authors, Contributing Authors, Expert Reviewers, Review Editors and focal points in government and participating organizations are outlined in Annex 1.

13.   Selection of Authors and Review Editors

The Bureau shall select Coordinating Lead Authors, Lead Authors and Review Editors for each chapter from those experts nominated by governments and participating organizations. The composition of the group shall reflect the need to aim for a range of views, expertise, gender and geographical representation, taking into account local and institutional knowledge. The Coordinating Lead Authors and Lead Authors may enlist other experts as Contributing Authors to assist in their work.

At the earliest opportunity, the Secretariat shall inform the Panel and participating organizations of the Coordinating Lead Authors and Lead Authors responsible for each chapter.

14.   Preparation of Draft Report

Coordinating Lead Authors and Lead Authors should undertake preparation of the first draft of the Report. Local and institutional knowledge should be used as appropriate. Experts who wish to contribute local and institutional knowledge for consideration in the first draft should submit it directly to the Lead Authors. Contributions of institutional knowledge should be supported as far as possible with references from the peer-reviewed and internationally available literature, including selected non-peer review manuscripts that can be made available for review according to Annex 2. Institutional knowledge that is not published may only be included if its inclusion is fully justified in the context of the IAASTD process. Clear indications of how to access the latter should be included.

15.   Review

Three general principles should govern the review process of the Report, which should include the most recent scientific, technical and social findings as comprehensively as possible:
(a) Circulation should aim to involve as many experts as possible, with particular attention to independent experts (not involved in the preparation of the chapter) from developed countries, developing countries, and countries with economies in transition;
(b) The review should be objective, open and transparent; and
(c) Appropriate experts should review local and institutional knowledge.

First and Second Drafts: The drafts should be circulated to all reviewers submitted by governments and other participating organizations, as well as those suggested by the Bureau, noting the need for a range of views, expertise, and geographical representation. Drafts should be sent to each government and participating organization Focal Point.

Coordinating Lead Authors, in consultation with the Review Editors and the Secretariat, may supplement the draft revisions process with a wider meeting of principal Lead Authors and expert reviewers, if time and funding permit, in order to pay special attention to particular points where major differences exist.

Expert reviewers should provide comments to the appropriate Lead Authors with a copy to the government or participating organization Focal Point. Each government and each participating organization should send one integrated set of comments.

16. Preparation of final draft

The Coordinating Lead Authors and Lead Authors in consultation with the Review Editors should prepare the final draft Report. Government and expert comments should be considered in this final draft. If necessary, and if time and finances permit, a wider meeting with Coordinating Lead Authors and Lead Authors and expert and government reviewers may be held in order to attend to particular areas where there are major scientific differences. It is important that the Report describe different (possibly controversial) scientific, technical, and socio-economic views on a subject, particularly if they are relevant to a policy debate. The final draft should credit all Coordinating Lead Authors, Lead Authors, Contributing Authors, reviewers and Review Editors by name and affiliation at the end of the Report text.

17. Approval and acceptance of Summaries for Decision Makers

Summary sections of the Report accepted by the Panel will comprise the Global and Sub-global Summaries for Decision Makers. It should be subject to simultaneous review by both experts and governments and to a final line-by-line approval by a session of the Plenary. The Global and Subglobal Summaries for Decision Makers should be prepared concurrently with the main Report.

Approval of the Summaries for Decision Makers signifies that they are consistent with the factual material contained in the Report. Coordinating Lead Authors may be asked to provide technical assistance in ensuring the documents are consistent. The Summaries for Decision Makers should be formally and prominently described as: "Report of the International Assessment on Agricultural Science and Technology for Development."

Annex 1: Tasks and responsibilities for IAASTD Lead Authors, Coordinating Lead Authors, Contributing Authors, Expert Reviewers and Review Editors and Focal Points

1.   Lead Authors

Function:
Responsible for the production of designated sections of the global and subglobal assessments based on the best scientific and technical information available.

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

The task of Lead Authors is a demanding one and in recognition of this, the names of Lead Authors will appear prominently in the final Report. During the final stages of Report preparation, when the workload is often heavy and Lead Authors are heavily dependent upon

each other to read and edit material, and to agree to changes promptly, it is essential that the work should be accorded the highest priority.

The essence of the Lead Authors' task is the synthesis of relevant material. Lead Authors, in conjunction with Review Editors, are also required to take into account expert and government review comments. Lead Authors must have the proven ability to develop text that is scientifically and technically sound and that represents, to the extent that this is possible, contributions by a wide variety of experts. The ability to complete work by deadlines is critical.

Lead Authors are required to record in the Report views that cannot be reconciled with a consensus view but that are nonetheless scientifically or technically valid. Lead Authors may convene meetings with Contributing Authors, as appropriate, in the preparations of their section or to discuss expert or government review comments, subject to budget availability. The names of all Lead Authors will be acknowledged in the Report.

2.   Coordinating Lead Authors

Function:
Overall responsibility for a chapter.

Comment:
Coordinating Lead Authors will function as Lead Authors and ensure that the Chapter of the Report for which they are responsible is completed to a high standard in a timely manner and in conformance with style requirements. Coordinating Lead Authors will play a leading role in ensuring the coordination of crosscutting scientific and technical issues across different chapters so the report is complete, coherent and reflects the latest information available. It is essential that Coordinating Lead Authors have organizational skills as well as the skills and resources required of Lead Authors. The names of Coordinating Lead Authors will be acknowledged in the Report.

3.   Contributing Authors

Function:
Prepare technical information in the form of text, graphs, or data for assimilation by Lead Authors.

Comment:
Input from a wide range of contributors will be critical to the success of the Report. Contributions should be supported with references from the peer-reviewed and internationally available literature if possible. For material that does not fit into these categories, copies must be provided to the Secretariat with clear instructions on how to access the material. Institutional knowledge will be supplemented as appropriate with local knowledge.

4.   Reviewers

Function:
To comment on the accuracy, balance and completeness of the scientific and technical content.

Comment:
Reviewers for local and institutional knowledge will comment according to their own knowledge and experience.

5.   Review Editors

Function:
Will assist in identifying reviewers, ensure that all substantive expert and government review comments are given appropriate consideration, advise lead authors on how to handle contentious/controversial issues and ensure genuine controversies are adequately reflected in the text of the Report.

Comment:
In order to carry out these tasks, typically one or two Review Editors with a broad understanding of the wider scientific and technical issues will be required. Although responsibility for the final text remains with the Lead Authors, Review Editors will need to ensure that where significant differences of opinion remain, such differences are described in an annex to the Report.

6.   Government and Participating Organization Focal Points

Function:
To nominate experts as required to prepare and review the global and sub-global assessment reports and to provide integrated comments on the accuracy, balance, and completeness of the scientific and/or technical content.

Comment:
Government review will typically be carried out within and between a number of Departments and Ministries often with assistance of the academic community. For administrative convenience, each government and participating organization should designate one Focal Point for all Assessment activities, provide full information on contact coordinates for this person to the Assessment Secretariat and notify the Secretariat of any changes in this information. The Focal Point should liaise with the Assessment Secretariat regarding the logistics of the review process.

Annex 2: Procedures for using non-published/non-peer-reviewed sources in the Assessment Report

1. *Responsibilities of Coordinating, Lead and Contributing Authors*

Authors who wish to include information from a non-published/non-peer-reviewed source are requested to:
a.   Critically assess any source. Each chapter team should review the quality of the material and the validity of the source.
b.   Send one copy of each unpublished or non-refereed source to the Coordinating Lead Authors, including the following information:
      Title
      Author(s)
      English-language executive summary or abstract, if source not written in English
      Names and contact information for 1 to 2 people who can be contacted for more information about the source.

2. *Responsibilities of Review Editors:* The Review Editors will ensure that these sources are selected and used in a consistent manner across the Report.
3. *Responsibilities of the Assessment Secretariat:* The Secretariat will store the complete sets of indexed, non-published sources and send copies to reviewers who request them.
4. *Treatment in Report:* The reference sections of the Report will contain both sources that have been peer-reviewed and those that have not been peer-reviewed. If the source was not peer-reviewed, a note will indicate that this is the case and will provide details on how to access the material.