

Suggested Policy Guidance:

Authors who do not respond to their responsibilities or whose contributions are considered below the standard required

This policy guidance outlines a process that may be considered for use if authors are unresponsive to their responsibilities and whose contributions are below the standard required. The suggested process may be adapted to suit the country context.

Scenario 1: Applies when Lead Authors' (LAs) contributions are below the expected standard. This process can be initiated after a discussion between the Coordinating Lead Authors (CLAs) and Co-Chairs.

1. CLAs should monitor and communicate with the LAs of their chapter.
2. After three written communications (emails) requesting material at the required standard for the chapter, with no response from the LA or material provided at sub-standard levels, the CLAs should notify the Technical Support Unit (TSU) and Co-Chairs.
3. The TSU contacts the LA via email and telephone.
4. The Co-Chairs send an official non-compliance notification to the author asking them to notify them as to whether they can provide the agreed contributions within a week.
5. If there is no response received within this period or the material provided is not to the agreed standard, a final notification is sent which clearly sets out the consequences of the lack of an appropriate response, such as the presentation of the case to the TSU. This may result in the author(s) removal from authorship of the report.
6. Once the Co-Chairs have established that the author(s) does/do not respond to their responsibilities and therefore, they should be removed from authorship, they will make the recommendation to the TSU.
7. The Co-Chairs and TSU will then make a joint decision as to whether they will remove the author(s) from the team.
8. The TSU must assess whether due process was followed in establishing the non-compliance by the author in question and decide whether they agree with the recommendation of the Co-chairs and CLAs. If the TSU agrees, the author will be removed as the author of the report, and a final notification will be sent to the LA to this effect.
9. The Co-Chairs and CLA will, if possible, suggest an expert as a replacement.
10. The Co-Chairs will also evaluate whether the author should be replaced and will consider the recommended expert's CV.

Scenario 2: Applies when CLAs' contributions are below that expected and/or that are unresponsive. The same process as above is followed, however, the Co-Chairs are responsible for carrying out the due process.

Scenario 3: Applies when the Contributing Authors' (CAs) contributions are below that expected and/or that are unresponsive. The same process is followed, however, the Lead Authors are responsible for carrying out the due process.

It is recommended that the TSU records the following:

- All authors contact details (email, phone numbers, workplace)

- All face-to-face and virtual meetings that take place including a record of the minutes, participants and topics discussed
- All communications that occur (i.e. emails)