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**PROGRESS REPORT**

**Special Report on the Ocean and Cryosphere in a Changing Climate**

**Report on the Author Selection Process**

(Prepared by the Co-Chairs of the IPCC Working Group II)

(Submitted by the Secretary of the IPCC)



## PROGRESS REPORT

### Progress Report of the Working Group II on the Author Selection Process for the IPCC Special Report on the Ocean and Cryosphere in a Changing Climate

#### Introduction

The IPCC Special Report on the Ocean and Cryosphere in a Changing Climate (SROCC) is scientifically a joint Working Group I (WGI) and Working Group II (WGII) report, with the WGII Technical Support Unit (TSU) taking the operational lead. As such, the author selection process was developed based on the selection processes used in previous IPCC assessment cycles and was consistent with the author selection processes for the IPCC Special Report on Global Warming of 1.5°C (SR1.5) and the Special Report on Climate Change and Land (SRCCL). The selection process adhered to the IPCC procedures and ensured a consensus-based approach with clear traceability in decisions.

#### Objective

The objective of the selection process was to select the Coordinating Lead Authors (CLAs), Lead Authors (LAs) and Review Editors (REs) for the six chapters of the report, considering all criteria as stated in Appendix A of the Principles Governing IPCC Work:

*“The composition of the group of Coordinating Lead Authors and Lead Authors for each chapter, a report or its summary shall aim to reflect:*

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

#### Overview of Nominations

A call for nominations of experts to serve as Coordinating Lead Authors (CLAs), Lead Authors (LAs), or Review Editors (REs) was issued on 5 April 2017, to IPCC member Government Focal Points, Observer Organizations, and Bureau Members. At the close of the nominations on 17 May 2017, 569 nominations had been submitted from 57 member governments, 16 observer organizations and 6 Bureau Members. Removing duplicates for those individuals nominated by more than one source resulted in a total of 519 unique nominations. Of the 519 unique nominations, 63% were from developed countries and 37% were from developing countries or countries with economies in transition, based on the citizenship entered (Figure 1a). The number of nominations varied by WMO regions with the greatest number of nominations from Europe (41%) and least number from South America (5%), based on citizenship (Figure 2a). 72% of the nominees were male and 28% were female (Figure 3a). Only 14% of nominees indicated previous IPCC experience, generally defined as an LA, CLA or RE role, and 86% were new to the IPCC (Figure 4a).

#### Selection Process

##### ***Processing of Nominations and Initial Feedback***

Individual nominations were compiled into one spreadsheet, formatted to facilitate evaluation and feedback from the WGI and WGII Bureau Members. Each WGI/II Bureau Member was sent a copy of the compilation and provided with access to the CVs. Each WGI/II Bureau Member was asked to evaluate the nominations and provide feedback on the submitted nominations and to highlight key

experts for each chapter team. Each WGI/II Bureau Member was asked to select up to maximum four experts for each chapter – one of which for the role of CLA, with the remaining three to be indicated for either the role of LA or an RE. WGI/II Bureau Members were asked to highlight experts from within their WG areas of expertise, including nominees from their region, as appropriate, and considering all criteria as stated in Appendix A of Principles Governing IPCC Work.

### ***Long List***

The feedback from the WGI/II Bureau Members was then compiled to produce a 'Long List' of 230 nominated experts, with every expert selected by a WGI/II Bureau Member included in the Long List. The Long List included three additional nominations by the WGI/II Bureau to address gaps in expertise. The Long List was then analyzed by the WGI/WGII Co-Chairs and TSU to identify gaps and overlaps in the areas of criteria for each chapter as defined by the procedures. Those who did not make it to the 'Long List' remained available for consideration throughout the selection process.

### ***Short List***

Following the analysis of the gaps and overlaps of the Long List by the WGI/II Co-Chairs and TSU, a 'Short List' was produced to highlight those experts receiving strong endorsement from the WGI/II Bureau. At this stage in the process, information was added to the spreadsheet on the roles in the AR5, AR4 and AR6 cycles, if applicable, of experts in the Short List. These indicated if the expert was/is a CLA, LA or RE on an Assessment Report or Special Report or attended an AR6 scoping meeting. In addition, research productivity and citation metrics were added for each expert where available, from Web of Science and Google Scholar. The additional details were provided as a resource for the WGI/II Co-Chairs and Vice-Chairs to facilitate the selection process. The Co-Chairs then provided a further selection for each chapter from the Long List to produce the Short List.

### ***Preliminary Selection***

The WGI/II Co-Chairs, assisted by members of the WGI/II TSUs, met from 19-20 June 2017 in Bremen, Germany. This two-day meeting included daily consultations with the WGI/II Bureau Members via email and teleconference on the development of author teams.

The first day of the meeting concentrated on identifying CLAs and key LAs for each chapter. The results were compiled by the WGII TSU and circulated to all WGI/II Bureau Members ahead of an afternoon teleconference to enable feedback and suggestions on the selections. Those WGI/II Bureau Members who were unable to attend the call provided comments by email for consideration. The afternoon of Day 1 acted on the feedback from the call and emails to produce a preliminary, but incomplete, draft of chapter teams. This preliminary draft was compiled and circulated by the WGII TSU to the WGI/II Bureau for consideration and further input on the emerging author teams.

The morning of the second day of the meeting focused on the feedback received from the WGI/II Bureau on the preliminary draft to further develop the emerging chapter teams, paying particular attention to the balance across expertise, geographic representation, experts from developing countries and countries with economies in transition, and gender. An afternoon teleconference of the WGI/II Bureau provisionally agreed the initial selection of CLAs, LAs and REs. The initial selection was then circulated by the WGII TSU to the WGI/II Bureau for consideration.

### ***Final Selection***

Feedback was from the WGI/II Bureau on the initial selection focused on the identification of any remaining overlaps and gaps in scientific expertise and suggestions for enhancing geographic representation and gender balance. A WGI/II Co-Chairs teleconference was held to consider all comments and recommendations received to produce a final proposed selection for approval by the WGI/II Bureau.

The final list was approved by the WGI/II Bureau on 29 June 2017 and circulated to the IPCC Bureau ahead of invitations. Invitations were extended by the WGI/II Co-Chairs on behalf of the WGI/II Bureau on 1 July 2017.

106 experts were invited to serve as a CLA, LA or RE on the Special Report. Of the total selected, 62% were from developed countries and 38% were from developing countries or countries with economies in transition. 72% of the selected experts were male and 27% are female. These percentages were consistent with those of the nominations, but despite repeated attempts, could not be adjusted to an even more balanced representation. Additional overview statistics of nominated and selected experts across a number of criteria are shown in Figures 1-4.



**Figure 1:** Number and percent of Developing Countries/Countries with Economies in Transition vs. Developed Countries [based on citizenship only] of a) 519 unique nominated experts and b) invited list (106 experts).



**Figure 2:** Number and percent of nominated experts from WMO regions [based on citizenship only] of a) 519 unique nominated experts and b) invited list (106 experts).



**Figure 3:** Gender Balance of a) 519 unique nominated experts and b) invited list (106 experts).



**Figure 4:** IPCC experience (defined as having served in the role of Coordinating Lead Author, Lead Author or Review Editor) of a) 519 unique nominated experts and b) invited list (106 experts).