



A Proposal For New Cooperative Institutes Review Process and Review Criteria under NAO 216-107

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Chair

NOAA Research Council

Cooperative Institute Committee

A Presentation to the NOAA Science
Advisory Board

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Outline



- The Current CI Review Process, including:
 - Responsibilities
 - Outcomes to date
- Current and Proposed Rating System
- Other Ideas from Survey of Directors, Administrative staff, Panel Chairs
- Next steps

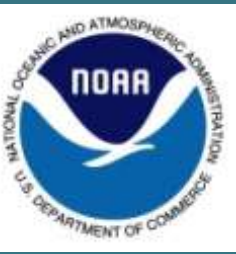


CI Review Policy

- NOAA Cooperative Institute Policy ([NAO 216-207](#); September 2005)
 - 3.12 The decision to renew the CI will be based on the outcome of an extensive **peer review** near the beginning of the fourth year, to be conducted under the auspices of the **NOAA Science Advisory Board**. This review will include a **measurement of CI performance** relative to well-established, mutually agreed-upon performance measures defined by NOAA and the research institution. NOAA will use the peer review to determine the renewal period (1-5 years) and the level of funding commensurate with the final review rating. Annual performance also will be evaluated by the responsible LO using the same performance measures. These performance measures will be incorporated into the award as an additional term and condition.
- CI Policy handbook (written and maintained by CI Committee to implement NAO)
 - [Handbook updated November 2012](#)
 - Chapter 5 focuses on reviews and will need to be amended to reflect any changes recommended by the SAB and approved by the R/C.
- Consistent with Strengthening Science NAO (216-115)
 - Sec. 2.01 E: Be planned, monitored, **evaluated (including regular peer review)**, and reported on a regular and consistent basis to ensure that the Nation obtains a sustained return on its investment pursuant to NOAA's strategic goals and objectives;
 - Sec. 4.09 C: Expert review will be used for evaluations and will **include experts in relevant science (independent peer reviews)** and service (for portfolio reviews) fields.
 - Sec 4.09 D: To the extent practicable, consistent evaluation procedures will be used for both internal and external R&D activities.



CI Review Process: Responsibilities



NOAA Research Council (R/C): Approves review guidelines and recommendations for renewal and provides general oversight of the CI program

R/C CI Committee: Ensures compliance with the CI NAO and Handbook, proposes major procedures pertaining to NOAA management of CIs and policy implementation. Maintains and approves CI Handbook amendments.

Responsible NOAA Line Office: manages CI award and reviews

CI Director: Oversees all NOAA-funded CI activities, including submission of proposals and reports, reviews, and management by responsible Line Office

SAB: Official reviewing authority for the CI program, including approvals for science reviewers and making recommendations after the renewal review.



CI Review Outcomes to date



- No CIs rated Unsatisfactory and thus terminated.
- 1 CI rated Satisfactory – significant number of individual Special Award Conditions as well as a University President/ NOAA Administrator meeting
- Remaining CIs rated Outstanding (1 review remaining in the cycle – CIRES)



PROPOSED CI REVIEW FRAMEWORK



Review Focus Areas (Current)



- **Science Plan**
 - CI vision,
 - CI goals and objectives,
 - CI metrics for progress,
 - Partnerships & Leveraging
 - CI Plan for capacity building
- **Science Accomplishments**
 - Publications/Bibliometrics
 - Science and technologies transferred (R2X)
 - National and international leadership
 - Relevance to NOAA strategic, policy, or R&D documents and priorities
 - Social, economic, and/or environmental outcomes
 - Awards/recognition
- **Science Management (includes business practices from Administrative review)**
 - How ID new opportunities, examples of recent opportunities,
 - Strategy for new starts,
 - Mechanisms for resource distribution, financial health
 - Demographics of employees, HR development & training,
 - issues with NOAA processes & Requirements,
 - issues with University processes and requirements
- **Education/Outreach**
 - Plan
 - Leveraging
 - Stakeholder needs
 - Successes



Review Focus Areas (Proposed)



- Science Plan
 - CI vision
 - CI goals and objectives,
 - CI metrics for progress
 - Partnerships & Leveraging
 - CI Plan for capacity building
- Science Accomplishments
 - Publications/Bibliometrics
 - Science and technologies transferred (R2X)
 - National and international leadership
 - Relevance to NOAA strategic, policy, or R&D documents and priorities
 - Social, economic, and/or environmental outcomes
 - Awards/recognition
- Science Management (includes business practices from Administrative review)
 - How ID/ examples of new opportunities
 - Strategy for new starts
 - Mechanisms for resource distribution, financial health
 - Demographics of employees, HR development & training
 - Issues with NOAA processes & requirements,
 - Issues with University processes and requirements
 - Scientific Integrity
 - Risk Tolerance
- Education/Outreach
 - Plan
 - Leveraging
 - Stakeholder needs
 - Metrics for success
 - Students/ post-docs
 - Diversity



Rating/Scoring Options

- Numerical Score (100 pts)
 - Different weighting on 4 focus areas (40 pts Science Accomplishments; 20 pts, other 3)
- Qualitative Rating (current)
 - Four categories (from current three) – Outstanding, **Significantly Accomplished**, Satisfactory, Unsatisfactory
- Combination (numerical and qualitative rating based on score) – **Agreed upon by Research Council**



CI Review Ratings (Current)



Review Panel provides overall rating:

Outstanding: The CI has consistently demonstrated superior achievement of all initially agreed goals, as well as evidence of leveraging that enhances NOAA's resources to support collaborative research. For outstanding performance, NOAA should renew a CI for 5-years at a funding level, pending availability of funding, commensurate with prior funding.

Satisfactory: CI has achieved most of its agreed goals and has demonstrated acceptable performance. Its performance, however, is not considered outstanding and/or the university's resource commitment provides limited leveraging of NOAA's resources. NOAA may opt to renew the CI for less than 5-years at a significantly reduced funding level, pending funding availability. Otherwise NOAA may renew the CI for an additional 5 years at current or reasonable funding levels with requirements for change in Special Award Conditions.

Unsatisfactory: CI has demonstrated a failure to achieve some or all of its agreed goals and its performance is unacceptable and/or the CI has also provided minimal resources to enhance NOAA's resources to conduct collaborative research. NOAA will not renew the award, or for serious problems, will terminate the current CI award.



CI Review Ratings (Proposed)



Review Panel provides overall rating:

Outstanding(91-100): The CI has consistently demonstrated superior achievement of all initially agreed goals, as well as evidence of leveraging that enhances NOAA's resources to support collaborative research. For outstanding performance, NOAA should renew the CI for five years at a funding level, pending availability of funding, commensurate with prior funding.

- **Significantly Accomplished (76-90):** The CI has achieved most of its goals and achieved significant progress, but the review panel sees a few missed opportunities in other areas. Science accomplishments are excellent but there are some deficiencies in the other categories. NOAA should renew the CI for five years at a funding level, pending availability of funding, commensurate with prior funding so long as the CI agrees voluntarily to make substantive changes addressing review panel findings.



CI Review Ratings (Proposed)



Review Panel provides overall rating:

Satisfactory(55-75): CI has achieved some of its agreed goals and has demonstrated acceptable performance. Its performance, however, is not considered significantly accomplished and/or the university's resource commitment provides limited leveraging of NOAA's resources. NOAA may renew the CI for an additional 5 years at current or reasonable funding levels with requirements for change in Special Award Conditions. Otherwise, NOAA may opt to renew the CI for less than five years at a reduced funding level, pending funding availability.

Unsatisfactory(22-54): CI has demonstrated a failure to achieve some or all of its agreed goals and its performance is unacceptable and/or the CI has also provided minimal resources to enhance NOAA's resources to conduct collaborative research. NOAA will not renew the award, or for serious problems, may terminate the current CI award.



Ratings Summary

- **Outstanding** = superior achievement in all goals
- **Significantly Accomplished** = excellent scientific accomplishments but deficiencies in other goals
- **Satisfactory** = acceptable performance across all goals
- **Unsatisfactory** = failure to achieve goals



Additional Recommendations from Survey Results



- Make sure Chair is well briefed
- Provide Chair and Panel with guidance on review 2 weeks prior to 1st telecon
- Provide firm deadlines/due dates to CIs for materials
- Mesh Admin Review into CI larger CI Review
- Increase time available for stakeholder, student, staff interaction with committee (possibly eliminating poster sessions)
- Provide greater context for each CI to open review



Next Steps



- Incorporate SAB feedback and direction (complete 1 December 2015)
- CI Committee review for vetting and approval by LOs
- Final CIC revised plan presented to R/C for approval (January 2016) and integration with CI21
- Revise Handbook and issue new guidance to CIs (February 2015)
- Implement in new review cycle (starting FY2021) or CIRES as pilot demonstration (April 2016)



QUESTIONS?