

**Spring 2010 National Sea Advisory Board Meeting**  
**Washington Plaza Hotel**  
**10 Thomas Circle Northwest,**  
**Washington, DC 20005-4106**

**Monday, March 8**

Arrive in Washington

**2:00 – 5:00 PM** - Orientation Training for New Advisory Board Members, NOAA, Silver Spring Metro Center 3, Room 9817

**5:30 PM** - Informal reception – Kola Garber's, 1210 Massachusetts Ave., NW (cell phone, (202) 669-3552)

**Tuesday, March 9**

**8:15 AM** - Introductions, review agenda, minutes, etc. (J. Woeste, Chair, NSGAB)

**8:30** – Welcome and remarks (L. Cammen, Director, National Sea Grant College Program)

**9:15** – Sea Grant's role in NOAA – Sally Yozell, NOAA Director of Policy

**10:00** – Break

**10:15** - NOAA's Regional Climate Enterprise (E. Shea, Chief, Climate Services and Monitoring Division, NOAA National Climatic Data Center)

**10:45** – NOAA's coastal role in national climate services (M. Davidson, Director, NOAA Coastal Services Center)

**11:15** - Integration of NOAA Coastal Programs (D. Kennedy, Assistant Administrator, Acting, National Ocean Service)

**11:45** – Biennial Report Committee report – (J. Byrne, NSGAB)

**12:15 PM** – Lunch

**1:15** – The View from OMB (S. Levenbach, Program Examiner, Office of Management and Budget)

**1:45** – NSGO Report (L. Cammen)

**2:45** – Break

**3:00** – Chair and Past Chair Report (J. Woeste & D. West, NSGAB)

**3:30** - SGA report (G. Grau, President, Sea Grant Association)

**4:00** - NSGO response to recent NSGAB reports

-Research (D. Carlson, NSGO)

-Communications (A. Painter, NSGO)

-Futures (J. Murray, NSGO)

-Knauss recommendations (M. Lugo, NSGO)

**5:00** - Adjourn

**6:00** – Advisory Board Dinner – Rosa Mexicano, 575 7<sup>th</sup> St. at F ST. NW

**Wednesday, March 10**

**8:15** – Call to Order, Review Agenda and previous day's discussions (J. Woeste, Chair, NSGAB)

**8:30** - The View from the Hill (Kris Sarri, US Senate Committee on Commerce, Science and Transportation)

- 9:00** – Focus Team liaison reports
- Safe and Sustainable Seafood Supply (J. Murray, NSGO for R. Schmitt, NSGAB)
  - Sustainable Coastal Communities (R. Heath, NSGAB)
  - Hazard Resilient Communities (J. Byrne, NSGAB)
  - Healthy Coastal Ecosystems (N. Rabalais, NSGAB)
- 9:45** - Break
- 10:00** - NOAA Climate Service (M. Glackin, Deputy Under Secretary)
- 10:45** - Engaged at Last: Revitalizing NOAA External Affairs (A. Winer, Director of NOAA External Affairs)
- 11:15** - Updated Allocation of Funds Policy: A charge to the Board (L. Cammen, Director, NSGCP)
- 11:45** - Upcoming Board meetings
- Proposal to change Rhode Island meeting to a publicly advertised conference call
  - Sea Grant Week, New Orleans, Oct. 14-20 (K. Garber, NSGO)
  - Spring 2011 meeting
- 12:30** PM – Lunch
- 1:15** – Board – Open Forum
- 2:00** - -Advisory Board business meeting (Closed)
- Review Advisory Board Assignments
  - Schedule site visit assignments and review responsibilities
- 3:30** Adjourn

# National Sea Grant Advisory Board Semiannual Meeting

Wednesday, August 26 – Friday, August 28, 2009

Mayflower Park Hotel  
Seattle, WA

**Wednesday, August 26**

## Call to Order – Roll Call

### Members

Dr. Peter M. Bell	Mr. Harry Simmons
Dr. John V. Byrne	Mr. Jeffrey R. Stephan
Dr. Robert A. Duce	Dr. William L. Stubblefield
<i>Mr. Jeremy Harris – not present</i>	Mr. Dick Vortmann
Dr. G. Ross Heath	Dr. Judith S. Weis
Dr. Frank L. Kudrna, Jr.	Rear Admiral Richard West, U.S. Navy (Ret.) - Chairman
Dr. Mike Orbach	Dr. John T. Woeste
Dr. Nancy Rabalais	
Mr. Rolland A. (Rollie) Schmitt	

### Ex-Officio Members & Staff

*Dr. Leon Cammen - Director, NSGCP – not present*  
Dr. Gordon Grau - SGA President  
Dr. Darren Lerner - HI Sea Grant  
Dr. Jim Murray - Deputy Directory, NSGCP  
Ms. Melissa Pearson – Staff, NSGCP

## Review of Day's Activities/Approval of Agenda

### Chair's Introductory Remarks - R. West, Advisory Board Chair

- Need nominating committee to select new Vice-Chair for term starting in January. P. Bell volunteer for this. Vote will take place on Fri.
- Review Current Committee assignments. On Friday will assess current status, reassign as necessary.
- Need to set Board calendar for Spring/Fall 2010 meetings. Brief discussion of various locations both inside / outside beltway. Discussion of holding Fall 2010 meeting in conjunction with SG Week in New Orleans.
- Review of past year: full Board participation via Executive Committee, newsletters/conference calls/committee email updates, meeting with SGA, participation in preparing and now executing the PIE

### NSGO Report – J. Murray, Deputy Director National Sea Grant College Program

- National Sea Grant Office (NSGO) Staffing
  - Limited staffing in National Office. Have augmented staff with use of 2 Knauss Fellows to address Focus Team issues.

- Congressional Update
  - Dr. Cammen visited six congressional offices in July: Senator Inouye (D-HI), Senator Begich (D-AK), Rep. Pingree (D-ME), Rep. Bordallo (D-GU), Rep. Capps (D-CA), Rep. Whitehouse (D-RI)
  - Topics included: Update on Sea Grant's national strategic planning and evaluation process, state level accomplishments, regional planning efforts, and current network activities in climate change and renewable energy.
  - Dr. Murray met with Bordallo re. Guam
  - Additional briefings coming in the fall (including new offices not previously visited by Sea Grant)
  - NSGO putting out a weekly “Congressional Updates” newsletter

Comments

- Stubblefield – surprised by limit of Congressional visits. Need to be visiting more. Highlight Guam Sea Grant.
- Schubel – connect with the Board for points of contact with individual representatives
- National Sea Grant College Program (NSGCP) Budget
  - FY09 & 10 budgets. FY09 = \$55M, FY10 request = \$55.1M. Marks: House = \$59.1M, Senate = \$63.1M. FY10 essentially level with FY08. Includes specific amounts for Aquaculture (\$4.8M) and Invasives (\$2.0M). Details in Senate language.

Comments

- Vortmann – request committees and members be sent to the Board.
- Integrated Planning, Implementation & Evaluation (PIE)
  - Review of Timeline
  - National Research Council 2006 Report:
    - Strong National Strategic Plan (National Plan)
    - With state programs aligned to the National Plan
  - Principles of the PIE system:
    - All state programs strategic plans aligned to the National Plan
    - All program resources are planned for and counted
    - Emphasis on excellence not competition
    - Review program impacts not functional areas
    - Collaboration counts
    - Transparency
    - Stress program improvement
    - Funds allocated based on a scaled approach rather than a step function

Comments

- Orbach – appear not evaluating in time for next round of strategic planning, i.e. planning occurs before the evaluation of the previous cycle
- Bell – request further explanation of what occurs in each step of PIE plan.
- Clarification that programs without strategic plans should not be approved for the next round of funding. Question of exact steps at that point (no funds at all, funds for limited time frame, if so what time frame.)
- Weis – How many programs without currently approved plans? Murray – currently ~1/2, but the main date is 10/21/09, when programs come back with modified plans.
- Byrne – explain what was seen in strategic plan review, i.e. a range of plans from those with minor effort to those only missing a few items – programs know their status from round 1, including explicit statement from the National Office that



showing how Sea Grant do this, focus on grad education with integration into K-12. Increase in house mark. More later.

- Met with Spinrad – discussed issues of getting the NOAA request for SG up; Sea Grant as part of NOAA; National Sea Grant COLLEGE program – Sea Grant as part of 2 separate cultures, with different roles / strength, etc; SG as major Human Resource source **for** NOAA.
- The new administration provides new opportunities, especially in climate. Spinrad will attend the Sea Grant leadership meeting and the Fall SGA meeting.
- Will Dr. Spinrad champion Sea Grant? Best way to get SG's budget up is to have it raised from within NOAA.

#### Comments

- West – need Front Office to recognize a need to champion Sea Grant, and to see that is essential to what they want to do now. Quote from Lautenbacher “I wish I had known more about Sea Grant – I would have been more supportive.” The organization did not do the job to educate him.
- Byrne - We haven't done an adequate job of selling the unique part of Sea Grant – the extension component.
- Weis – Congressional champions are Samoa and Guam – that these are FAR away.
- Vortmann - being an asset is not necessarily relevant to the administration's need. The challenge for the Ad Board is to show how SG meets the Undersecretary's needs.
- Meeting w/ Mr. Dunnigan. Engaged on content and partnering. Climate opportunities. Maritime industry. Jobs creation. Coming to 1<sup>st</sup> day of Easton Meeting.
- Meeting with Margaret Cummisky, Staff Director, Senate Appropriations. Exciting and productive meeting. Discussed the situation relating to SG's relationship in NOAA. Shared Lautenbacher story – said 'darn right if he'd tried to get rid of SG he'd have been black and blue.' Sen. Inouye's view that the time is now. 4 foci – science aimed at addressing the challenges that face the PEOPLE of America's coasts. Sea Grant produces human resources – this makes SG unique among NOAA assets. Unparalleled capability of the intellectual power and scholarship of America's universities. Most positive / heartening conversation with any member / staff of Congress.
- Meeting with John Freece. Enthusiastically wishes to renew the energy of the NOAA/EPA MOU (Smart Growth). Re-establish the working relationship. New resources in an EPA/DOW partnership. New workshop focused on assisting coastal communities with model codes and ordinances.
- Sea Grant poised for growth: opportunities among challenges. Program reauthorization signed into law. New, favorable, 'coastal' administration and congressional leadership. New earmark rules.
- Upcoming meetings:
  - 9/17-18 – SGA leadership meeting
  - 10/13-15 SGA Fall Meeting. Workshop on sustainable coastal community development. Lubchenco to attend and speak at the reception on Tue evening.
  - Lubchenco requested meeting – to be set up.
  - Feb 2010 – Spring SGA in DC.
  - Oct 2010 – SG Week in New Orleans, likely week Oct 15<sup>th</sup>. Subsequent weeks to be hosted by Florida and Ohio.

#### Comments

- Kudrna – last year SGA's former lobbyist created a large flap. Has SGA successfully completed damage control? Grau – yes.
- West – Would like to have an SGA member join Biennial Report effort.

## **NOAA's Next Generation Strategic Plan - P. Doremus, Acting Deputy Assistant Administrator & Director of Strategic Planning, Office of Program Planning and Integration**

- Presentation on current strategic planning effort.
- The Next Generation Strategic Plan (NGSP) will:
  - Inform and respond to priorities of the new administration, based on long-term trends, challenges, and opportunities facing NOAA and the nation
  - Engage and respond to stakeholders and staff
  - Frame NOAA's policy, programmatic, and investment decisions
  - Establish the basis for monitoring and evaluating NOAA's performance
  - The Strategic Plan will be updated every four years
- 3 Fundamental Questions for Stakeholders and Staff
  - What trends will shape our long-term future?  
What long-term trends (scientific, technological, socio-economic, etc.) will be relevant to you, your community, or your organization over the next 25 years?
  - What challenges or opportunities will we face?  
In light of the trends that you have identified, what challenges or opportunities will you, your community, or your organization face over the next 25 years?
  - What should NOAA strive to accomplish?  
Given the long-term trends, challenges, and opportunities that you identified, what should the agency seek to accomplish in the next 25 years?
- Comments
- Need to put out message of how nation benefit from stronger SG
- Byrne – comment @ western region – as much difference 100 miles from the Coast as you will find. To look at that as a unifying unit doesn't make sense. Doremus - effectively operating mountain and coastal w/in western region. Stakeholder sessions that work the best are ones that are tagged onto other meetings, then bring folks in.
- Asked to accelerate thinking about strategic vision about mission goals. Looking right now about how some of the options may look – meeting in late Oct to size up what have, and see how steering committee can put options forward. Conversations early on high level architecture changes.

### **Wrap up Comments**

- Introduce Penny Dalton and Pete Granger of Washington Sea Grant. Discuss Field Trip Agenda

### **Field Trip and Stakeholder Meeting**

- Field Trip Sites
  - Seattle waterfront (innovative shorefront restoration) – Maureen Goff
  - Fishermen's Terminal (fisheries research and outreach) – Peter Philips
  - Hiram Chittenden locks (salmon restoration) – Graham Young, Kerry Naish
- Stakeholder meeting – Panel Format
  - Participants:
    - Kathleen Drew - Executive Policy Advisor to Washington Governor Chris Gregoire and co-lead on West Coast Governors Agreement on Ocean Health.
    - Linda Kirk Fox – Associate Dean/Extension for Washington State University Extension overseeing the state's Land Grant outreach operation.
    - Terry Stevens – Director of the Padilla Bay National Estuarine Research Reserve in Mt. Vernon, Washington and a manager in the Washington Department of Ecology's

Shorelines and Environmental Assistance Division.

- Ken Chew – Member, Washington Fish & Wildlife Commission and former Associate Director, UW School of Aquatic and Fisheries Sciences.

**Wednesday, August 26**

**Call to Order – Roll Call**

- Board Member Jeremy Harris Present
- Darren Lerner attending in Gordon Grau's place

**Review Agenda**

**Discussion**

- Stakeholder Sessions on Wednesday
  - Comment made that it was more governmental partners than stakeholders
  - Discussion of who / how to determine who should sit on stakeholder panels
  - Stubblefield – most important thing heard was that the WA Governor would be willing to talk to people on the hill
- Minutes of Last Meeting
- Schmitten – at last meeting, tasked with reviewing list of potential Congressional champions. No single champion will be able to carry the program. To do the job, SG needs someone from each regional quadrant, plus Alaska and Hawaii. Some criteria going through – ought to be open to anyone with a passion for Ocean issues. Seniority is not nice, it is **required**. Plus up to be in the majority party. Critical to get house & senate committee lists to do a through job. Needs help to generate a real target list.
- Woeste, Byrne and West go to the Hill in Oct. Generation of this list should be task between now and then.

**MOTION: to approve February 2009 meeting minutes, with the addition of Rollie Schmitten as in attendance. MOTION PASSED.**

**Swearing-in of new Members**

- Swearing-in of Jeremy Harris, Mike Orbach, Harry Simmons, and Dick Vortmann
- Review of what it means to be on a FACA, to be a Special Government Employee, ethics, etc. Clarify that the Board can NOT lobby – that this is not the role of a FACA. Sea Grant Advisory Board is a Congressionally mandated FACA. As a FACA, NOAA can not direct the Boards activities, but out of courtesy, the Board should inform NOAA when they are going to the Hill.

**Biennial Report – J. Murray**

- Members: Byrne, West, Woeste. Are considering a 4<sup>th</sup> Board Member.
- NSGO Staff: Murray and Painter
- May add a SGA member
- The NSGO provides data, reports, staffing, etc., but it is the committee that generates the Biennial Report
- Audience for this report: broader than Congress – this is directed to all who care about SG. Could be marketing opportunity for SG.
- Theme: shaped by legislative language. Check with congressional staff to gauge relevant content.
- Clearance: Should advise NOAA leadership of the report (i.e. will send it up the controlled correspondence chain), but as a FACA report this does not require clearance.
- Clarify that this needs to be an impartial report.

## Comments

- Orbach - need to be sure that NOAA leadership understand that sending it up is for information, but that the report does NOT need clearance
- Kudrna – Board used to meet with the Undersecretary 2x/year. Suggest formalize this, and suggest this report would be opportunity to meet with her.
- West - met briefly w/ Lubchenco in June, set stage to come back and brief her in Fall on activities. Ask if anyone would like to participate.
- Heath – suggest all requests for assignments done together at end of the meeting – suggestion accepted.

## **Strategic Plan Alignment Discussion**

- Discussion of penalties for programs who are not successful, what Board should recommend in terms of withholding funding, etc.
- Murray – reality is there will likely be a few programs who still have problems on 10/20. The grants the omnibus come in on start coming to the NSGO in November. Discussions between the program and their PO will kick into serious action between 10/20/09 and 2/1/10 (the date money starts flowing.) NSGO generally does not have a complete years funding available to distribute at this time, and Programs with problems in their strategic plan will be in the back of the line for funding.
- West – need to remind everyone that the 10/01 deadline is a BIG deal – help is there if you need it, but that this is a big deadline.
- Murray – clarify that the goal of the NSGO is for everyone to succeed
- Stephan – fears that no matter what NSGO does, if there is even 1 problem program, then the NSGO will catch political heat, since this isn't in the regulation, and risk upsetting the programs who did work hard to get this done. Need to have a clear record of communications showing that the programs clearly knew this was the outcome of not completing the process.
- Orbach – make sure NOAA knows this is the plan as well. Board also needs to be clear on what their advice should be – i.e. does the Board want to know the plan in advance, etc.
- West – clarify that the role of the Advisory Board is to provide high level advice, but that they are there to help the NSGO. Once the NSGO decides on a plan, inform the Board. And this needs to be decided ASAP.
- Lerner – there is a spectrum of understanding amongst the Directors. SGA plans to address this.
- Schmitt – review letter Director Cammen sent out – the deadline is clearly bolded, and it includes a sentence that says plans must be approved for release of funds.

## **Site Team Review – J. Murray**

- Site visits will be key responsibility of Board.
- Board feels that the Board Member should Chair these, as they have the clout to go up against University higher ups. An unfair position to put young Program Officers in.
- Orbach – ask about connection between site visits and program rankings. Murray – concept will be that a PRP at the end of the 4 year cycle will do a comparative look at impacts between programs. Site visit reports will be part of the overall ranking, but the NSGO is not asking the site visit team to provide any kind of ranking. Orbach – clarify that this report will be used as data, and that questions asked will align with questions from the PRP.
- Woeste – impression that this is a sort of Pass/Fail type visit. Murray – thinking is that there is no ranking, no Pass / Fail. But the Site Visit Report may point to an issue that causes a fail – however, the NSGO is NOT asking the Site Visit team to make that judgement.
- West – need to get these on Members calendars ASAP

- Rabalais – the task of recommending how Sea Grant funding should be allocated should go together with this.
- West – note that the Site Visit funding should NOT come out of the Advisory Board pot.
- Kudrna – comment that this is the only part of the PIE process that interacts face-to-face with the program Directors – this is a chance to explain the process to the institution.
- West – suggest the Site Visit Chair connect with the Program Director in advance to set the stage for the visit.

#### **POST Presentation (Pacific Ocean Shelf Tracking Project) –**

- Presentation on acoustic tracking of marine species. See <http://www.postcoml.org/> for more details.

#### **Research Committee Report – B. Duce**

- Looked at the 2006/2007 data. There was ~10% different from NIMS – but close enough to rely on NIMS for longer term trends
- Looked at the Citation index to assess publications.
- Orbach – clarify that the funding power of research v. extension reflects total funding to those components, \*not\* the buying power of a dollar in the different disciplines.
- Recommendation: “The NSGO, the NSGAB, the SGA, and NOAA should form a Task Team to initiate detailed discussions on the approaches to developing a stronger national focus for Sea Grant such that its success, and therefore increased research and overall funding, can be achieved. Considerations should include, among other actions, efforts to align with NOAA’s regionalization of its programs, increased emphasis on critical coastal research needs that serve the nation while preserving some level of research that serves local needs, and a consideration of ways to improve the mechanism for handling the research portfolio.”
- Orbach – sense of the first recommendation is not that SG isn’t going a good job, but that people don’t know it well and \*also\* that SG is not doing the right things.
- West – need to know where it’s coming from that SG isn’t doing the right stuff
- Duce – impression came strongly from the NMGS directors, as well as NOS and OAR lab directors, definitely from OMB, and some from former NOAA officials and the Hill.
- West – point out potentially biased input from some sources.
- Stubblefield – these folks feel extension side is done right, but that the research program is not national, doesn't respond well to emerging needs, isn't willing to accept guidance from OMB, NOAA, etc.
- Byrne – important to distinguish is this regards **quality** or **focus**, as focus will be a matter of perspective
- Stubblefield – some concern in NOAA and OMB that the quality is actually less
- Orbach – interesting that NOAA non-peer reviewed scientists are criticizing SG’s peer reviewed science.
- Heath – quality perception is probably 20 years out of date, but takes a LONG time to correct perception issues. Similarly going to take a long time counteract the perception that SG is a collection of local issues.
- Bell – reading the responses, got no sense that the research was of poor quality, believe it is that folks are not aware of it, or aware of it as a cohesive package. Need to make it look more like a national program.
- Orbach - discussion of uses of Report. Guidance of Board as look at programs, versus a report that will convey the message that SG is not doing good work or the right work.

- Harris – if SG keeps going as is, SG will be a dead duck. Will gain better support if aligned to national focus. **But** the strength of Sea Grant is the local focus. For example, as an outsider Hawaii Sea Grants efforts look like a Hodge Podge, but each piece is a critical item that fed directly into water management, aquaculture, etc.
- Don't think will be able to change the perception of Sea Grant unless it is rebranded around national priorities.
- If decide Task Force is critical, should involve other areas as well. Ideally in National Academies.

**Motion that advisory board receive report (Heath). 2nd. Ayes have it unanimously.**

Discussion:

- Vortmann - To what extent did OAR and NOAA buy off on SG strategic plan? Murray – began with national stakeholders meeting (at least ½ NOAA types), and at the end this was run up the NOAA chain of command. Can't give response as Leon was there for discussions.
- Vortmann - SG needs to be more relevant. If NOAA isn't buying off on Strategic plan, hard to get relevant
- Byrne – difference between national acceptance, and NOAA / Federal acceptance. Right that NOAA **had** to accept this
- Orbach – think SG strategic plan syncs well with NOAA, but question is if NOAA \*leadership\* thinks this.
- Murray – NOAA has been briefed, involved in Focus Areas, etc. Have had no negative reaction, and by design it was tracked to NOAA priorities from the beginning.
- Stubblefield - OMB is the 600 lb gorilla
- Vortmann - need to distinguish between presenting to leadership, and them buying off on it
- Kudrna - NOAA has serious problems within itself getting an overall sense of NOAA research.

**IOOS presentation**

**Communications Report – F. Kudrna**

- Orbach - anything done needs to be system-wide, or you can't distribute it.
- Harris – clearly the reason SG in declining situation is due to poor communications. Any national organization with extension network should NOT be in this situation. Need to make use of the assets that we have. Requires fundamental sea change.
- Byrne – CARET (committee on Agriculture, Research, Extension and Teaching). Need to recommend SG have equivalent organization
- Harris – likes the idea of “friends of Sea Grant”, but need a different name.
- Kudrna – clarify this is not a group that would reach out, but individuals would do this.
- Woeste – clarify that conceptually, “Friends of Sea Grant” and CARET are 2 different types of organizations.
- Murray – how can we utilize the group of 90 communicators?
- Stubblefield – you need a skilled, trained communicator in the main office
- Heath – clarify situation about the 5% cap on administrative funding in the NSGO funding
- Kudrna – understand limits on national office. Don't think 'Friends of Sea Grant' would fall to NSGO.
- Lerner – bring up that there is an effort underway within SGA about putting together a database of information on alumni.
- Orbach – emphasize what Jeremy said – need to get the RIGHT expertise. Example of Surfrider getting High Tech communicator to lead it.

- Stubblefield – this is focusing on mechanics. Without the message you're missing something. Thinks Sea Grant has not yet defined its message. Need to take this to next step. Hopefully these 3 committees will push the Board to that next step.

#### Discussion of engagement/outreach recommendations

- Use of interns in National Office
  - Weis– short term interns may require enough staff input for training, that it's not worth it.
  - Kudrna – use interns to take pressure off NSGO for NOAA required activities
  - West – this is all right, but can't see how we can get it done with existing resources
- About NOS thinking SG is too expensive - West will talk to Jack about this in a week.
- Schmitten - important to force SG onto table for discussions, as Big Programs can take all the focus
- West – clarify that the SOLE purpose of a HQ office is to make sure money is responsibly spent. Communications/Outreach is ALL secondary to this.
- Stephan – have to be careful about what we put out in terms of response to speakers. Need to check with participants about their comments
- Murray – raise question about whether it is appropriate to put in interviews credited to individuals.
- West – suggest take this stuff out.
- Byrne – this does require adjustments. Can say other recommendations that came in, and include the speakers in list of all individuals interviewed, without direct attributes

**Move that Board receive the Report allowing for edits, including attributions, and redacting interview comments and appendices with other references. (Schmitten) MOTION – Submit report with recommendations and supporting documents. Motion to receive in this fashion (Kudrna). Seconded (Simmons). Unanimous Aye.**

- Discussion of difference in receive v. approve of Board documents. Idea that Reports are taken in by the Board, which then has some time to review it, and can then send it in.
- Byrne – compliment 2 Committees on first rate reports

#### **Futures Committee Report – J. Harris**

- coastal communities adaptation to climate change
- presentation on impact of sea level rise on Hawaii. Discussion of time frame for this. Question if have observed real issues with sea level rise yet. Harris – not at this point – still at the cm's level, so not yet at inundation.

#### Recommendations to Board:

- Push from Feds that we need adaptation initiative, national strategy and plan. Need nationwide extension effort to work with huge number of stakeholders. HUGE opportunity for SG to make a mark, rebrand itself, establish SG as vital asset for NOAA and the federal government.
- Propose use SG extension to extend NOAA expertise and knowledge. SG can play critical role with coastal communities
- Original proposal: position SG with large 50-60M initiative for NOAA should there be a 2<sup>nd</sup> stimulus package. Current thinking – phase in development of this over 3 year.  
Phase 1 – pilot project.  
Phase 2 - \$5M for regional pilot project and capacity building.

Phase 3 - \$50M / National program (\$1.5M per program.)

- While this sounds like a large # to SG, it is enormously insufficient to deal with the problem. But this will allow SG to have a meaningful role in the big picture when it comes about.

#### Comments

- Orbach – did committee talk about the problem that many of these effects will not be seen for a long time? Harris – issue is that incremental effects starting already – the difficulty is what needs to be done now are assessments and planning. Orbach – Raise the point, because one of the most difficult issues is the fact that moving cities takes DECADES of planning. Vortmann – need to use this to communicate to city planners information to plan for the future.
- Byrne – to what extent does Hawaii consider a dyke system? Harris – for some cities that is the question – do we harden or do we retreat. This is a geographic question – harden isn't really an option for Hawaii
- Stubblefield – important point is that all communities / time frames will be different, and their needs to be framework in place to help city planners make the necessary judgment calls.
- Vortmann – is this something we think is sufficiently meritorious for SG to champion it?
- Simmons – North Carolina has already decided to utilize sea level rise as coastal planning, but don't know how to do this yet – SG can have a real role in this.
- Byrne – what about SG in Alaska addressing permafrost loss?
- Stubblefield – sea level rise is coastal, but climate change is global
- Vortmann – How easy is it to adapt this initiative into the SG strategic plan? Does this necessitate a complete re-write of that?
- Orbach – The kind and extent of impacts requires a whole new kind and level of expertise. In 50 years this will be THE event that takes up everyone's attention for a century. If we want to save something in the ocean, need to do it now, because once this starts, the ocean will drop off priority
- West – why should SG get this, as opposed to other federal entities? Harris –this needs to be a **cooperative** program. Chance to be team player, asset to NOAA, Team effort, etc.
- Murray – Leon goes to exec com on engagement – the way to shop this idea is through this committee.
- West – think it's important for Leon to talk to Margaret Springer directly, so she hears the idea from SG directly.
- Murray – The country is thinking of a national climate extension service – coastal is an important element, but the price tag is a lot bigger because of the need to bring in cooperative extension
- Kudrna – lots of natural links between this effort and the agriculture communities
- Harris – this is SG's corner of the issue where SG has the leading experts
- Schmitt – excited by the proposal as an opportunity to highlight SG in the short term. Think NOAA is a year, year and a half away from organized program of where to go. Climate change adaptation initiative is education, outreach, data collection – exactly what SG is.
- Woeste – If community has been conditioned to look to SG for this, then SG needs to perform, or else SG will lose. Depends on how much is asked of SG at what point. This concept is excellent, but also see that at this point in time, SG can be vulnerable.
- Harris – We clearly can't promise these types of activities with current resources. In talks with Leon, he will get **something** started in current year. Need to do this pilot project WELL to bring this forward to get these resources in future.
- As long as we don't step on other agencies doing extension, and say this is what we can do /

these are our strengths

- This requires a National Strategy
- Orbach – No community, big or small, can do this on it's own - this is why this issue will rise to the top. The other distinction to make: there is a big difference between the mitigation and adaptation questions. Adaptation is VERY practical – this is 'what do you do when the water comes up'. This is not science, it is land use planning.
- Kudrna – with restrictions on banks, loans etc., this will be a wake up call for communities
- Harris – if it were up to me, FEMA would redo FEMA flood maps based on the best projections of sea level rise, so that local communities would have a mechanism to restrict further mal-adaptive activities
- Orbach – other problem, is that this is a problem we don't know the answer to. There is a BIG issue of how we deal with the private property / takings issue. Simply don't know how we will deal with this question. Questions which could be good work for the Law Center.
- Rabalais – In LA, the response to Katrina included building an elevated highway system to 2 communities that **will** be inundated.
- Murray – would like to think through sequence of events that will get us to where we need to be in January to have a plan together
- Bell – is there a report that suggested that sea level will rise by 1 meter in the short term. Harris – maps draw on projection of 1m by 2100. Orbach – ICCC report – median projection of 1/2m by 2100, since being revised. Weis – underestimated rise because of underestimated ice rise. Bell – don't think it's unreasonable, but just think you need solid numbers to be able to sell it / for anyone to buy into it. Harris – don't think that will be a problem – congress is past that. While we don't want to base proposal on 1m rise, want to be able to respond based on whatever projections come out of FEMA.
- Byrne – Important to realize that SG is part of OAR which is part of NOAA. If you don't have attention of Administrator, it's not going to happen. SG **has** to get to Lubchenco on this issue.

#### Sea Grant Funding

- Need to build better constituency base that can speak up for SG

#### Sea Grant Image

- Need to choose people based on who SG can provide benefit to

#### Location of Sea Grant in Federal Bureaucracy

- Recommend not strike out and spearhead this, but should know where we want to be **SHOULD** a major restructuring happen, i.e. be ahead of the 8 ball on this

#### Sea Grant Brand

- Recommend name be enhance to better define the program, to give immediate impression that program is focused in on critical national priorities
- Vortmann – suggest incorporate 'university' in the brand
- Rabalais – wonder what the official name of Sea Grant is?
- Schmitten – NOAA has been stressing 'One NOAA' for 5 years. Think the simple change of including 'NOAA' would go over great
- Discussion of need for assistance in finding an effective name

#### Additional Comments

- Harris – proposed changes to report:

- (1) like to drop 'adaptation to' and change this to 'adaptation and mitigation',
- (2) change 'cities' to 'coastal communities.'

- West – The FY2011 budget process is already done, so won't get it for then, but could aim this at FY2012. Otherwise it looks like SG is asking for an add-on. Harris – suggest put in phases, without any reference to the year, with pilot phase starting as soon as possible.
- West – suggest Navy Port may be good location for pilot project.

**MOTION: W those changes, move that we receive the report. (Vortmann) 2<sup>nd</sup> (Simmons). All ayes.**

**Discussion of all 3 Reports:**

**MOTION to accept all 3 reports and move on (Simmons). PB – 2<sup>nd</sup> (Bell).**

**AMENDMENT: Accept Research Committee report for passage on to NSGO as Board Report, but consider other 2 reports as reports to the Board for discussion tomorrow. (Orbach)**

**MOTION WITHDRAWN**

**MOTION to accept Research Committee Report for forwarding on to NSGO (Simmons). 2<sup>nd</sup> (Bell). All Ayes.**

**MOTION to accept other 2 reports as reports to the Board as hey were received (Simmons). 2<sup>nd</sup> (Bell). 15 Ayes, 1 nye.**

**Friday August 28**

**Nominating Committee – P. Bell**

- Propose slate of John Woeste / Chair, Dick Vortmann / Vice-Chair

**MOTION to accept slate (Bell). 2<sup>nd</sup> (Simmons). All Ayes.**

**Board Assignments**

1. **SAB – no official assignment** at this point in time.
  - Frank Kudrna is still on the SAB, and though leaving the Board, volunteers to inform Board of SAB happenings.
2. **SRC - Ross Heath**
  - Spinrad definitely wants a representative from the Board. **Ross Heath is assigned.**
3. **SG Networks -**  
**Extension - Schmitten, Communications - Simmons, Education – Rabalais**
  - Woeste – discussion of what it means to participate with Extension Council, participate as able. Meet 1x/year in person, executive group meets by telephone. Budget implication – if person attends session, it's 1x/year.
  - West – suggest rather than assign to individual, Board members should participate as locally available.
  - Stephan - clarify role of Communications liaison. Feel it is important for Board to interact with them. Level of involvement varies depending on Chair. The communications network made up of chief communicator from each of the SG Programs.
  - Murray – historically Nat was liaison to Education network. If have liaisons to the others and not education, should have someone to this.
  - Kudrna – believe need official liaison to all of these – attendance is a different matter, but someone should be assigned the role.
4. **SGA Liaison - Board Chair.**
  - West – this has recently been the Chair – we should formalize this. SGA likes to have 2 individuals come - suggest that Vice Chair participate as well if available.
5. **Focus Teams**  
**Seafood - Schmitten.** Jeff remain involved for expertise. (change)  
**Ecosystems - Rabalais.** Keep Judy involved for expertise (change)  
**Resilient Communities – Byrne** (same)  
**Sustainable Communities – Heath** (same)
6. **Biennial Report – West, Woeste, Byrne, Orbach.**
  - Discuss include 4th, potentially new member. Orbach volunteer for this - accepted.
7. **Knauss Selection Board – Orbach.**
  - Discuss worry over conflict of interest (due to Duke connection.) Clarification by previous participants that there is robust process for dealing with conflict of interest.
  - Kudrna – discuss issue that Fellows have little connection to SG – suggested before that process should include some kind of involvement with program.
  - Pearson – discuss new initiative of Programs reaching out to Knauss fellows.
  - Discussion of connection to Sea Grant as pre-requisite to admission.
  - Orbach – clarify that Fellowship is to focus on working on National issue.
  - Group discussion of the role of Knauss program, objectives of fellowship. Highlight objectives as (1) give opportunity to bright students, and (2) demonstrate that Sea Grant institutions produce students of use to the Federal Gvt (both branches).
  - Wouldn't hurt to have them submit essay on Sea Grant

- Kudrna – Sea Grant funding in trouble. These individuals are strong source of support to SG as a whole.
  - Clarification that applicants don't need to know about Sea Grant **before** they apply, but need to know about Sea Grant before they **leave**
  - West – will sit down with National Office to find out exactly what is happening with Knauss fellows at this point. Need to get them more ingrained with Sea Grant before they start the process.
  - Byrne – know a lot if you know a bit about the local program, and no way to get that in DC, ought to be connection in both places.
  - Stephan – agree with Judy, still think it's reasonable to ask applicants to submit a paragraph discussing the program.
8. **Funding Allocation Sub Committee – not tasked yet.**
- This is likely to be controversial. Murray review funding situation a bit (lg v. small programs.) Current allocation policy is obsolete – all geared toward increased dollars.
  - Orbach – basic question is if core \$ can be adjusted, what is NSGO plan for addressing that Q over what time frame?
  - Murray – that is the Q that is open for advice.
  - Orbach – when take the Q up?
  - Murray – talked to Leon and he wanted to raise it today and have a discussion. Leon is prepared to charge Board with looking at this question. The big question becomes how far to got with that. Purpose of bringing it up today is just to start discussion that will help inform NSGO on how to form a charge to the Board.

## Discussion

- Discussion of communications amongst board – openness depends on Board members to send information. Board members can send info to Melissa for inclusion in newsletter
- Comment that critical for Leon to participate in later meetings
- Meeting dates for 2010
  - Reasons for a meeting in DC and one meeting in the field. Next Fall is SGA and SG week in Louisiana. Although we were just there and it defeats the purpose of the field, it makes sense. Heath – given this off situation, consider doing Field visit in one of the DC area programs, and then do LA in the Fall.
  - Orbach – disadvantage of going to DC while other stuff happening, don't get attention – argument for going when you can get access to people for \*you\*.
  - Spring meeting: SGA -2/16-17. West – don't have to be necessarily hooked on to SGA. Appropriations schedule doesn't matter. Orbach – like to see Agenda where have Spinrad, Dunnigan, etc. available to meet with Board – question is what is the best time for them.
  - Murray – important for Board to be at SG week. West – agree, **if** they engage all Board members in some meaningful process.
  - Harris – suggest need 3 meetings, and urge Leon to attend.
  - Schmitt – if we've attended SG week historically, would be noticed if didn't.
  - Discussion of relevancy of Board if NOAA not appear.
  - West – consensus need to do SG week, work to make sure the Board is more intimately involved. Woeste – in the past they have asked member of Board to assist in SG Planning committee – calls/etc. **West suggest he and Woeste work together to assist with SG week planning.** FK – Suggest make link to the Regional effort in the Gulf.
  - Byrne – San Diego was effective largely because Board drove agenda, and that was the

Strategic plan, and gave programs opportunity to interact with Board. As we're looking at next SG week, think it's important to look at Board items to help drive the Agenda, for example funding issue, as plan for meeting. Take a hard look at how Board puts significant elements in the Agenda for that week.

- Suggestion of summer as 3<sup>rd</sup> meeting to finalize report / field visit plans.
- West – suggest DC in Feb, summer meeting/field session, SG Week in Fall.
- Murray – selfishly, SG week allows us to piggy back and save staff time – would make 3 meetings more doable for our staff.
- West – ask programs if there is anything they can help with.
- Feb Meeting: dates of SGA don't work as well.
- Need delegation to Knauss Reception.
- **Feb dates – 2/23-2/24.**
- Look for volunteer to host next Summer's session.
- To save \$, ask fewer folks to go to SGA meeting.
- Summer meeting discussion – east coast / great lakes. Decide on NE. Orbach putting in suggestion for Boston area. Harris 2<sup>nd</sup> this. **Suggestions for hosts at UNH, MIT/Woods Hole, RI, CT – look for dates in Aug.**
- Woeste – discussion of government rate travel issue – need to go over method to get around buying government fare rate (i.e. method to get non-refundable fare when it is significantly cheaper) West – if you find that, get to NSGO and provide information, since they need to book travel auth within 24 hours. Stephan – process that works: go online, find price, gets .pdf, attach it in email to ad-trav, and authorization with signature saying authorize you to buy me a non-refundable ticket. Call with Nikola Garber to clarify procedures.
- Kudrna – for SG week, may want to have session getting input on allocation funding.
- Harris – statutorily, should give advice to Secretary – suggest getting in there to talk to him. West – use official chain first, then utilize personal connections to get in.
- West – will be heading to NSGO in a few weeks, and spending day with Leon. Question of what to do about Board feeling marginalized? Heath – seems to me if go that route, should broaden topic of discussion. Would make sense if this Ad Board were the FACA for **all** Coastal NOAA Programs. West – maybe unified FACA would help think through the issues. Kudrna – way to do this may be that OMB is not buying NOAA's response. That message needs to get back to NOAA.
- West – what does Board think about statement from Board that they have discussed the issues from OMB and Coastal issues, and that Lunchenco could consider using Board assistance on this issue.
- Rabalais – would this be more appropriate going to SAB? Kudrna – Could be done there, but good for this board to raise it. Discussion of SAB is limited to Science so not necessarily broad enough for this.
- Woeste – frustrated that Leon not attended last 2 meetings. No other indication that Leon not using the Board. Different than prior methods, but not convinced it's ineffective.
- Harris – Get response quickly from Jim, but do not get response from Leon.
- West – 2 issues: (1) frustration at being marginalized, (2) role of this Board in helping the Coastal Integration effort.
- Kudrna – suggestion is OMB saying wet programs uncoordinated. NOAA had all pieces get together, and response is to have coordination effort of yearly meeting – inadequate response. Since NOAA accepted that, it is appropriate to sit down with Administrator and say OMB not buying this, and we're willing to help with this.

- Harris – much more effective if advising some level above the SG Office about SG
- West – all our reports go to the Undersecretary – through the SG Director as a courtesy.
- Vortmann – but is there any interest on the part of the recipient?
- Orbach – Think need to pursue this in ordered way up the chain – not stopping on the chain, but so folks along the chain are aware.
- Can Murray respond how NSGO has responded to Board? Murray – Yes – Have been responsive. As to Leon’s absence, he couldn't be there during setting of dates – few weeks later saw them, and said this was the only week he was unavailable, but then no alternative dates were available from the Board. Think the NSGO has been very responsive to the Board. Can go back to Byrne Report, NSGO reported back out against the 18 recommendations – had implemented or made progress on all of those recommendations. Kudrna’s most recent NRC response report as well – this shaped the final PIE system. The Board Reports are definitely NOT blown off. In fact hoping can get to discussion of the 3 Reports to provide unified, prioritized advice that the NSGO can act on.
- Byrne – My perception is that the NSGO is responsive. Problem is when I look at our 3 Reports, not sure how much is of significant interest to the NOAA Administrator, though it is of high interest to NSGO and SGA

**MOVE that Board accept recommendation of Futures committee to accept new Climate Change Initiative. (Harris) 2<sup>nd</sup> for Discussion. (Orbach)**

- Harris designated to assist NSGO with this

**DISCUSSION OF REPORTS**

- Kudrna – 3 groups of recommendations from the 3 Reports. Key recommendations: from Research - forming a task team, from Futures - implementing a demonstration project, from Communications - looking for economies/cost savings, having a dedicated Communicator in the NSGO, making Murray’s time available to staff the upcoming engagement report. Put this collection of 5 recommendations on the table for discussion.
- Byrne – getting ahead of the wagon. Want to know what we're doing with these 3 reports. Assuming there will be cover memorandum that will rank recommendations of the 3 reports, and what we're hearing from Jeremy that his recommendation for Climate Initiative be raised to high priority on the list.
- Vortmann – and where do these reports get sent to? Byrne – first step they go to NSGO. Then some may be pushed further up the Chain – the Board needs to decide how far they want the reports to go.
- Orbach - impression if we accept this motion, then together with motions on other reports would cause writing of cover memo, which may or may not go with reports.
- Stephan – submit memo with reports, saying submit 3 committee reports, here are our top priorities
- Stubblefield – these need to be 2 separate actions: (1) Forwarding of reports, (2) sending of Board priorities.
- West – the Research report needs to at least go to Spinrad. Think should send to NSGO and Spinrad. Think Futures and Communications reports should go to NSGO.
- Stephan – for the Research committee task force recommendation, should the Board recommend to Spinrad who should do this? Consensus – yes. Board should recommend on best entity, not worry about cost.
- Kudrna – do 1 action. Begin with doom and gloom of declining resources. This is the major

issue of all the reports. In response to this 3 studies, list the priorities from here.

- West – who does this go to? Kudrna – start with Spinrad w/ cc to Leon. Share with SGA.
- Harris – respectfully disagree with that advice. It is why we did the studies, but don't sell the proposals that way. We need to tell them why these proposals are of value to them.
- Additional discussion of procedures for submitting reports, who they go to, and how to frame it.

**MOVE the question. 2<sup>nd</sup> (Orbach). Ayes.**

**MOVE that the Report of the Futures Committee be accepted. 2<sup>nd</sup> (Schmitt). All Ayes.**

- Discussion clarified that “accepted” means “accepted and forwarded”

**MOVE accept and forward Communications Reports (Stephan). 2<sup>nd</sup> (Orbach). All Ayes.**

#### **Discussion of how to push priorities up**

- Murray – NOAA takes SAB seriously. If Research report is trying to influence NOAA, then SAB may be way to go.
- Stubblefield – committee felt getting close to controversial, big issue that we don't have ability to tackle, so recommend it should be done by outside entity with resources.
- West – Board should leave it open enough that Spinrad has some latitude
- Discussion of recommendations from the Research report, and the creation of an independent cover memorandum to transmit with it.
- Discussion of the recommendation about increased funding looks. Remove clause about 'success lead to increase funding'. Add local and regional.
- Stubblefield – clarify made no attempt to look at broad picture – report focused on Research. But will include add contextual language.
- Language in introduction to show how came to recommendations
- Murray – add language to show this is to complement NOAA's research portfolio
- Issue of how review fit into any other review of NOAA research. Kudrna mention overall NOAA review not happening any time soon.
- Byrne – does this bother anyone that someone outside local program will tell local program what research they can do?
- Murray – all of this recent activity (alignment of strategic plans pulling the National Program together in line with NOAA's mission and goals, etc) is designed to put to rest the idea that Sea Grant operates off the radar.
- The main goal of this recommendation is to convey to NOAA that Sea Grant really wants to be part of the team

**MOVE to approve the recommendation in the Blue Box (Harris). 2<sup>nd</sup>.**

- Murray – can we say something like NOAA in cooperation with the SG Network? Heath – no – that's already been done. We want a higher level confirmation of this.
- Woeste – OMB never supported cooperative extension, think only thing can ever do is keep 'em off your back – OMB will **never** support cooperative programs.

**AMEND motion to change 'reaffirm' to 'affirm'. (Harrid) Call the question. All ayes.**

**ACTION – send letter with intro to the Report (Harris will provide the Intro. )**

- Murray – is there a preferred option? Consensus from Board is no – committee thinks that another outside Board should look at it.

## COMMUNICATIONS REPORT

- Kudrna – out of the collection of recommendations from this report, would focus on the following:
  - For NSGO:
    - Communications: technology efficiencies to stretch staff
    - Adding communications staff (FT and Knauss)
    - Approach SGA communicators to establish Friends of Sea Grant.
  - Engagement – task Murray / free his time to fully respond to SAB's engagement report.
  - For Spinrad - recommend that he should sit down with other AA's and discuss NOAA wide climate extension plan. In discussions with Board leadership and Spinrad, pursue climate extension role for SG, and follow up discussions with Hayes and Dunnigan, concerns with partnering, etc.

**MOVE to adopt identified recommendations as priorities for National office (Kudrna). 2nd. All ayes.**

- Byrne – focus on funding. (1) Bring in someone who does marketing to focus on marketing SG, (2) establish something equivalent to CARET. Further discussion would be worthwhile.
- Heath - 3<sup>rd</sup> item – in many ways best opportunities for funding come from linking up with other agencies that do have money. Earlier recommendation had suggested Jim be freed up to do that development.
- West – another sources of folks for staffing needs in DC is policy internships at nearby universities
- Kudrna – had started conversation about limited funding, and wanted to get to what things SG should **stop** doing, or do at lower level, and haven't made any suggestions of what SG **shouldn't** do
- Murray – from NRC, recent thrust of new money was to build PO duties. NSGO very short staffed in that department – for example Murray is still running all Megan's programs.
- Walk through **ACTION PLAN FOR CLIMATE EXTENSION**. Board thinks plan looks good.

**ACTION – Get Board on Lubchenco schedule for 10/20 or 10/21. Meet with Spinrad on 9/16.**

- Review of items on upcoming Board Calendar.
- Murray – Congress has tried to give SG money in the past, and it got derailed at the SGA level. Issue that this is an extension dominant proposal. A number of members who will be concerned about where is the research. In the past, proposals like this have been undermined by lack of consensus. Critical to get SGA on board. Job for the SGA President.
- Woeste – think after initial demonstration project, identified gaps in expertise / info needs would lead to research funds to move it to next phase of implementation.

**1:50 Move Adjourn. 2nd. All Ayes.**

# Biennial Report Committee: Sea Grant Advisory Board

1. Report Outline
2. Notes from February 26<sup>th</sup> call
3. Notes from December 3<sup>rd</sup> meeting/call
4. Notes from November 4<sup>th</sup> call

Last updated: December 8, 2009

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## Report Outline (draft)

- ~ 20 Pages
- Full color
- Photos with captions (photo contest for SG programs)
- Sidebars
- Graphs
- Charts
- Authors: Board members. Possible contributors: AB Focus Team liaisons, Sea Grant communicators)

### Content/Chapters:

#### a. Status Report/Overview

##### 1. Preface: *Setting the stage*

Briefly discusses the evolving *playing field*, providing an objective look at the landscape that surrounds Sea Grant. Paints a brief picture of Sea Grant's external environment—touching upon legislation, NOAA and OAR changes, budget, admin. cap and some of the program positives and negatives that are further explored in section **c. Vision and Outlook**)

##### 2. Introduction: What is Sea Grant? Why is it important?

##### 3. How Sea Grant is responding and adapting to change:

Answers the question – *Where is Sea Grant now?*

#### a. Key NRC report recommendations and response status

##### i. Evolution of Sea Grant as a result

##### ii. PIE system

##### 1. National plan

- 2. Plan alignment/implementation
- 3. Evaluation system
- b. Key Advisory Board report recommendations and response status
  - i. Futures, Research and Communications/Engagement Reports
- c. Reaffirm basic concept and philosophy of program (Spillhaus or Pell quote(s))
- d. Reauthorizing legislation (1-2 paragraphs; full language in appendix)
  - i. Review Panel becomes Advisory Board – implications
  - ii. Ranking removed – results (relates to PIE system, above)
  - iii. Match requirement change – non-match support for regional projects
  - iv. National focus with aligned state contributions
  - v. Administrative cap

**b. Sea Grant Programs & *National Accomplishments***

(Possible themes - *Sea Grant Today* or *The New Sea Grant*)

- 1. Introduction
  - a. Characteristics
  - b. Quality
- 2. Partnerships
  - a. Other partnerships (internal, NOAA, DOC, Other Agencies)
- 3. Regional Efforts
  - a. Regional efforts and accomplishments (governors' associations, competition on climate engagement...)
- 4. Focus Areas (FA)
  - a. National synthesis story for each (highlighting *national scope*, *partnerships* and *leveraging success*):
    - 1. Seafood
    - 2. Hazards
    - 3. Communities
    - 4. Ecosystems
    - 5. Climate (Sea Grant c. extension/outreach)

- b. Possible sidebars for each FA featuring stakeholder profiles w/ photos and quotes describing SG's role in their lives/businesses...

**c. Vision and Outlook**

- 1. New opportunities and directions (regional, climate, coastal integration...)
- 2. Realizing the Sea Grant's promise; some challenges and limitations (must include positives and negatives for balance)
  - a. Erosion of resources/buying power (inflation and admin. cap)
    - i. Different approaches to consider: More funding will be available in future; Or, more funding may never be available.
    - ii. Key questions:
      - *What needs to be done?*
      - *What can be done?*
      - *What would be done if resources were available?*Will lose this capability unless funding streams improve/buying power
  - b. NOAA integration
  - c. Opportunities in outreach and engagement
  - d. Sea Grant's relationship with NOAA
- 3. What is needed from:
  - a. Congress
  - b. DOC
  - c. NOAA
- 4. Recommendations

**d. Appendix**

- 1. Include a page of links to key reports and brief information to include:
  - a. NRC report link
  - b. PIE policy documentation link
  - c. Regional information link
  - d. AB membership and report link
  - e. Legislation link (is this a link?)
  - f. Focus Area information link
  - g. Organizational structure of Sea Grant within NOAA
  - h. Program names and locations

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## Notes from February 26, 2010 Call

1. *Participants:* West, Woeste, Byrne (AB), Murray, Painter (NSGO)

### 1. Report Content (general discussion) –

- **Preface to illustrate “where program is now” (including – and +):** Need clear statement about where Sea Grant is now, including limitations imposed by cap. Must point out where possibilities are for Sea Grant, based on where program is now (both good and bad). What can be improved? What directions do we need to go? What other limitations are there (not just fiscal)? – *Amy added this info. to the report outline, above*
- **Address Previous Report Recommendations:** Must pull some recs. from other reports (both AB and NRC) to indicate AB has looked at issues and remains concerned. Note how program responded to these. Note where program is re. reauthorization language. – *Amy added this info. to the report outline, above*

### 2. Writing Assignments –

- **Writers:** Consider assignments to other AB members familiar with components ala decline in buying power.
  - Hire **professional writer** to pull this together. Bitsy Waters. Other recommendations? – *Jim M. to contact*
- **Background/Layout:** NSGO staff can compile background, but should not write report. NSGO will help with layout and editing.

### 3. Preparation for Advisory Board Meeting (March) & Follow-up –

- **Power Point Slides for John B. to present:** principles, report outline and schedule – *Amy*
- **Follow-up call:** Schedule committee meeting after full AB meeting in March (week of March 23-26) – *Amy*
  - a. **Goals for call:**
    - i. Develop more detailed report outline and make all writing assignments
    - ii. Prepare for May 25-26 retreat
- **Congress:** Develop distribution list and process inc. transmittal letter from AB
- **Report Due Date:** August (mid): AB telecon to approve report  
September 30: Ready for public distribution

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## Notes from December 3, 2009 Meeting/Call

1. *Participants:* West, Woeste, Byrne (AB), Pennock, (SGA), Murray, Painter (NSGO)
  1. **Biennial Report Committee Chair appointment** : John Byrne (Chair), Dick West (Co- chair)
  2. **Goal for today's call:** Review draft report outline and identify section authors
  3. **Top impact stories (content):** Focus Team meetings have concluded. Teams have identified top story ideas, but information is uneven.
  4. **Process to develop top impact stories:**
    - a. Biennial committee to review top impact stories as identified by Focus Teams.
    - b. NSGO to work with Sea Grant Communicators to develop process to synthesize and draft top 20 or stories for the Focus Teams (5 top stories for each team).
  5. **Suggested edits to draft outline are reflected above in outline**

To Do:

- **Book Conference Room: Set up conference room for May 25-26, 2010** – Committee retreat to draft report, Silver Spring, MD – Amy

Bi-annual Comm. Retreat  
Tuesday, May 25, 2010  
Time: 7:30 am to 5:00 pm (EST5EDT)  
NOAA SSMC4 1W611 Conf Center

Title: Mary Robinsons, 301-734-1066 - Bi-annual Comm. Retreat  
Wednesday, May 26, 2010  
Time: 7:30 am to 5:00 pm (EST5EDT)  
NOAA SSMC4 1W611 Conf Center

- **Staff Meeting: Set up biennial report meeting with NSGO** – Amy
- **Provide list of 20+ top impact stories and provide to biennial committee** – Jim
- **Develop draft report sections by February 15:**
  - **Introduction** – Amy and Jim
  - **PIE** – Amy and Jim
  - **Reauthorization** – Amy and Jim
  - **Regional framework** – Amy and Jim (see also **Regional Updates**, below)
  - **Partnerships** – Amy and Jim
- **Regional updates:**

Committee to send questions to network (with help of Pennock and SGA) to ask for updates. Helpful and appropriate to go to SGA for current information for report. – John Pennock
- **Sidebars and highlight features for quantitative metrics:**

Present education, workforce development and other research statistics and metrics.
- **March AB meeting: Update/Discussion on Biennial committee progress and report:**

-- John Byrne

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## Notes from Agenda: November 4, 2009 Call

\*themes identified by the Committee or by the Congress are identified in *italics*

### 1. Status of actions/substance as of November 4, 2009

- a. Full Advisory Board (AB) on board with Committee's approach and timeline
- b. Focus Team's selected top impacts and identified 4-6 national synthesis stories for development.
- c. Congressional visits (October 2009) identified several issues relevant to the report:
  - i. need for cooperation among SG programs (are they a *national* system, or independent units?)
  - ii. interest in *regional*
  - iii. questions re. SG's success in *leveraging*
  - iv. questions re. results of removing ranking (*PIE*)

### 2. Outline of the report (see above)

### 3. Additional Data and Supportive Info.

To be more fully fleshed out at over e-mail and at December 3<sup>rd</sup> Meeting

### 4. Schedule

Mid to late November 2009 – review and analyze data summary by focus area from annual reports

March 2010 – Spring Board meeting: conduct Congressional staff visits, obtain Board approval for report outline & content and assign writing responsibilities

May 25-26, 2010 – Committee retreat to draft report, Silver Spring, MD

June 2010 – Draft available and circulated to the Board for comment

July 2010 – Final draft distributed to Board

Mid-August 2010 – Board meeting: discuss and approve final report, RI

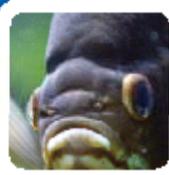
September 30, 2010 – Report submitted to Congress

### 5. Task Assignments

Authors and deadlines identified at December 3<sup>rd</sup> Meeting

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# DRAFT NATIONAL SEA GRANT COLLEGE PROGRAM



## FOCUS TEAMS

Hazard Resilient Coastal Communities  
Sustainable Coastal Development  
Healthy Coastal Ecosystems  
Safe Sustainable Seafood Supply

Mission:  
NOAA's National Sea Grant College Program enhances the practical use and conservation of coastal, marine and Great Lakes resources to create a sustainable economy and environment.

In response to the recommendations put forth by the National Research Council "Evaluation of the Sea Grant Program Review Process" report, the National Sea Grant College Program developed a new national strategic plan, "NOAA National Sea Grant College Program Strategic Plan 2009-2013: Meeting the Challenge". All state program plans have since aligned to this national plan. Focus Teams were established as a new mechanism to enable Sea Grant to implement the national, regional and state plans in an effective, coordinated and collective manner.

### PURPOSE

To advise the National Sea Grant College Program for the purpose of developing and accomplishing the goals and strategies outlined in the four focus areas described in the NOAA National Sea Grant College Program Strategic Plan.

### MEMBERSHIP

Nominations for members from Sea Grant and the broader community were solicited from the Sea Grant network and its partners and recommendations were vetted with the leadership of the National Sea Grant Office (NSGO) and Sea Grant Association (SGA). While mindful of geographic and functional (e.g. the networks) balance, the overarching objective is to appoint individuals who have a "big picture" perspective, are creative and innovative, and are recognized by peers as highly reputable experts within their focus area. The 9-12 members of each team include representatives from the National Sea Grant Office, the National Sea Grant Advisory Board, Sea Grant Directors and other networks (research, extension, education and communications) and outside expertise. Members function on behalf of the entire Sea Grant network, and not the individual programs or organizations they represent. Focus Team appointment is for the duration of the strategic planning period or through 2013.



## RESPONSIBILITIES

- Facilitate planning, implementation, synthesis and reporting of Sea Grant activities and accomplishments.

-Responsibilities may include:

1. Participating in national level strategic planning
2. Assisting in the development of the Sea Grant National Implementation Plan
3. Reviewing annual reports and providing a coherent national story about Sea Grant contributions in the focus area annually.
4. Assess progress in achieving the outcomes identified in the national plan and recommend mid-course adjustments, if any.

- Identify new opportunities and directions for Sea Grant national and regional initiatives.

-Responsibilities may include:

1. Articulating and promoting the need for regional and national programming.
2. Assisting in the development and/or review of national and regional strategic investments.
3. Developing white papers or think pieces that convey new opportunities or approaches for Sea Grant relative to the focus area.
4. Reviewing regional research and information plans to identify new opportunities for national and/or regional initiatives.
5. Recommending new initiatives for funding in the NOAA budget process.

- Catalyze cooperative efforts among Sea Grant College Programs, the NGSO, NOAA, and other agencies and stakeholder organizations, including NGO's.

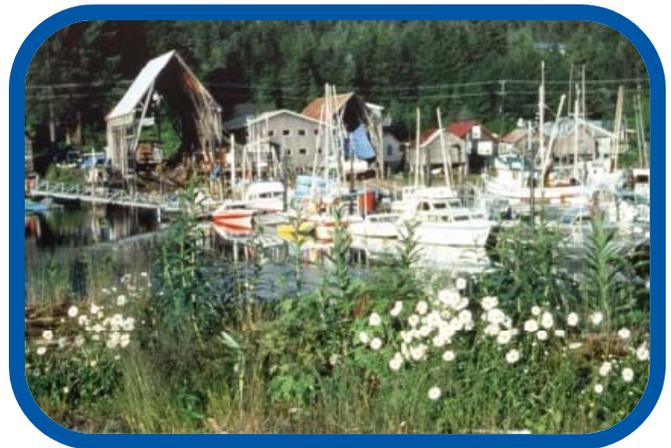
- Responsibilities may include:

1. Developing strategies and forming partnerships with other NOAA programs, agencies or NGOs.
2. Prioritizing and developing action plans for achieving partnership development.

- Provide a mechanism to further solidify Sea Grant's local, regional, and national identity.

- Responsibilities may include:

1. Organizing and/or sponsoring or co-sponsoring national level conferences, symposia and other educational initiatives.
2. Working with NSGO communications staff, developing news releases, media events, etc. that highlight Sea Grant impacts in the focus area.



# DRAFT National Sea Grant College Program



## SEA GRANT: A NATIONAL NETWORK

Mission:  
NOAA's National Sea Grant College Program enhances the practical use and conservation of coastal, marine and Great Lakes resources to create a sustainable economy and environment.

The National Sea Grant College Program is a **national network** of 32 programs dedicated to serving citizens in coastal communities throughout the Nation. Administered through the National Oceanic and Atmospheric Administration (NOAA), Sea Grant is the Agency's primary university-based program dedicated to helping citizens utilize scientific information to support a vibrant economy while ensuring ecological sustainability.

### THE SEA GRANT MODEL: SOLUTIONS FOR AMERICA'S COASTS

The Sea Grant model integrates **research, outreach and education**. On-the-ground experts, located in **every coastal and Great Lakes state**, translate sound scientific information into tools, products and services that benefit coastal residents and their communities every day. Sea Grant experts implement national priorities at the local level, while also identifying citizens' needs in order to inform state and national research agendas. This **two-way flow** of services and information ensures that Sea Grant solutions meet demonstrated needs, help support businesses, and enable policy-makers to make balanced, well-informed decisions.

At the heart of this model are strong **trust-based** relationships anchored by Sea Grant's unique role as an honest broker of information (**non-advocacy**). Sea Grant's **locally-based**

**professionals** (more than 360 extension agents strong) live in, and are intimately connected to, the communities they serve. As both trusted residents and **coastal experts** charged with providing balanced and reliable science-based information, Sea Grant personnel deliver **solutions residents can use**. From working with coastal communities to make sustainable growth and development planning decisions, to helping fishermen utilize the latest gear technologies, to safeguarding the quality of our drinking water, Sea Grant is dedicated to improving the lives of U.S. citizens.

### SEA GRANT PRIORITIES

*Meeting the Challenge, 2009-2013*, Sea Grant's national plan, establishes direction for the Sea Grant network to address critical national needs in coastal, ocean and Great Lakes environments. Three cross-cutting goals and four focus areas reflect America's most urgent needs, NOAA priorities and Sea Grant's strengths and core values. The **cross-cutting goals**: *sound scientific research, an informed, scientifically-literate public, inclusive decision-making* involving a wide variety of stakeholders, and relevant and timely information on *climate change* adaptation, form the underpinnings of Sea Grant's work and underlie our **four focus areas**: *Safe and Sustainable Seafood Supply, Sustainable Coastal Development, Healthy Coastal Ecosystems, and Hazard Resilient Coastal Communities*.



# SEA GRANT: MEETING COASTAL NEEDS IN UNPRECEDENTED WAYS, UNIQUE CAPABILITIES TO ADDRESS GROWING NEEDS

## 32 PROGRAMS

### Powerful National Network

- ✓ **National network** (uniting professionals in every coastal and Great Lakes state)
- ✓ Nationally-headquartered, state-based
- ✓ National **problem-solver**, local implementation

### University Partnerships & Expertise

- ✓ Collective **academic knowledge** (network of top universities)
- ✓ **Multi-disciplinary expertise** —utilizes university, federal, state, and local partners
- ✓ Strong **partnerships**

### Local Experts Work with Communities to Solve Pressing Coastal Issues

- ✓ Locally situated—Sea Grant professionals work where they live
- ✓ **Local**, place-based **knowledge and expertise**
- ✓ **Established** presence in local communities
- ✓ **Rapid response** to emerging problems, nimble and responsive

### Trusted Source of Relevant Science and Information

- ✓ **Non-advocacy**
- ✓ **Trusted** resource and broker of sound-science
- ✓ Practical **solutions to real problems**
- ✓ Connects **relevant science with users** (from discovery to application)
- ✓ **Empowers citizens** to make informed decisions
- ✓ **Delivers effective change** (change agents), **demonstrated behavior-change**



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# DRAFT

## National Sea Grant College Program



# SAFE SUSTAINABLE SEAFOOD SUPPLY

“I love working with Oregon State University, and Sea Grant in particular has helped establish a good connection between Oregon’s fishing industry and academia....”

– Al Pazar, crab fisherman

### THE ISSUE

Rising demand for seafood, coupled with the decline of many major U.S. fisheries, has led to a staggering **seafood trade deficit of \$8 billion per year**. Aquaculture creates important new opportunities to meet the increased demand for seafood, but a number of questions and concerns must be addressed for its full potential to be realized. With international seafood imports on the rise, and **fish diseases** and **contamination** escalating, the safety of our seafood is a growing concern.

Sea Grant works to ensure a sustainable supply of safe seafood for our Nation. A dynamic link between scientific information providers and information users, Sea Grant leads innovative research and outreach programs, and furthers the effectiveness of the efforts of our federal, state, and local partners. Located within the communities they serve, Sea Grant experts are an integral and trusted resource for coastal residents and decision-makers.

### SEA GRANT WORKS TO:

**Ensure the sustainability of fisheries:** Engage harvesters, recreational fisherman, producers and managers in ways to minimize threats, and enhance the productivity and management of wild fisheries.

**Support a viable domestic seafood industry:** Provide innovative approaches and techniques that ensure financial competitiveness and environmental responsibility.

**Ensure the health and safety of seafood:** Enhance training and technical assistance programs related to the application of standards for safe domestic and imported seafood.

### SEA GRANT BRINGS THESE UNIQUE ASSETS TO EMPOWER CITIZENS

- Identifies and implements innovative management approaches
- Supports a viable domestic aquaculture industry
- Partners with federal, state, and local agencies to deliver seafood science to consumers and businesses
- Develops new seafood products and innovative marketing approaches
- Promotes application of standards for seafood safety
- Educates consumers about the sustainability and safety of seafood choices



# SEA GRANT IMPACTS: BALANCING HUMAN & ENVIRONMENTAL NEEDS

## ENSURES THE SUSTAINABILITY OF FISHERIES: EMPOWERING CONSUMERS

Numerous organizations have developed seafood guides to inform consumers about sustainable seafood choices. However, many of the guides offer conflicting information, causing confusion to consumers. Moreover, there is no consensus on what constitutes “sustainability” among the various organizations. As an independent third-party, Sea Grant provided an unbiased solution to these problems—*A Consensus Seafood Guide*.

The Guide allows consumers to review the ratings provided by organizations that study fish populations to help make more informed seafood choices. (Rhode Island)

## ENSURES THE SUSTAINABILITY OF FISHERIES: INNOVATIVE RESEARCH AND OUTREACH

In Oregon, Sea Grant helped facilitate the implementation of “Pacific Fish Trax”, an innovative research and outreach effort to encourage consumers to buy fresh, locally-caught fish from local fishermen. This marketing approach uses a bar-coding system that traces the history of fish from ocean to market. At

specially-designed supermarket kiosks, consumers scan the barcode on their purchase and are introduced to the local fishermen who supplied their meal. Once home, consumers can access the Pacific Fish Trax website to learn where the fish was caught, its temperature history and other information. In addition to informing consumer choices, this project has great potential to ensure sustainable domestic fisheries. (Oregon)

## SUPPORTS A VIABLE DOMESTIC SEAFOOD INDUSTRY: INCREASING FUEL EFFICIENCY

The Gulf and South Atlantic shrimp industries have experienced seven consecutive years of economic crisis due to low prices for shrimp and escalating diesel fuel costs. Recognizing the need to improve the economic performance of shrimp fishing, Sea Grant helped evaluate and promote innovative fuel-efficient fishing gear. This groundbreaking work has resulted in an average reduction in fuel use of 29 percent industry-wide. Roughly half of the fleet has since converted to the new gear, resulting in an estimated fuel savings of 2.5 million gallons, for a total cost savings of \$8.5 million per year. (Texas)

## SUPPORTS A VIABLE DOMESTIC SEAFOOD INDUSTRY: ENSURING FINANCIAL COMPETITIVENESS

Shrimp fishermen in South Carolina are experiencing increased financial strain as consumers are increasingly choosing cheaper, imported farmed shrimp from Thailand.

Recognizing the need to improve the economic viability of American shrimp fisheries, Sea Grant helped provide a unique solution. Shrimp fishermen from South Carolina were flown to Alaska to learn better business practices through a series of workshops conducted by their Alaskan counterparts. Alaskan fishermen have experienced similar economic struggles amid increased imports of farmed salmon, and were able to share strategies to help South Carolina shrimp fishermen forge a new way of doing business. (Alaska, South Carolina)

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This paper constitutes the response of the NOAA National Sea Grant Office to the recommendations contained in the report, *Sea Grant Research: a Report of the National Sea Grant Advisory Board*. This response should be considered in the context of ongoing work by the NOAA Research Council to strengthen research in all of NOAA, as well as the ongoing NOAA reorganization which, in addition to creating a NOAA Climate Service, has an additional goal to maximize the strength and effectiveness of NOAA's science portfolio. Sea Grant leadership is involved in both of these efforts.

1. Recommendation: The NSGO, the NSGAB, the SGA, and NOAA should form a Task Team to initiate detailed discussions on the approaches to developing a stronger national focus for Sea Grant such that its success, and therefore increased research and overall funding, can be achieved. Considerations should include, among other actions, efforts to align with NOAA's regionalization of its programs, increased emphasis on critical coastal research needs that serve the nation while preserving some level of research that serves local needs, and a consideration of ways to improve the mechanism for handling the research portfolio.

*Response: We agree. This has been taking place over the last two years with (a) the formation and activities of the Sea Grant focus teams, which provide a national focus to Sea Grants efforts in its four topical focus areas (healthy coastal ecosystems, sustainable coastal development, safe and sustainable seafood supply, and hazard resilient coastal communities); (b) the participation of leaders from the NSGAB, the SGA, and other NOAA programs, in the development of a new Sea Grant national strategic plan and alignment of all state programs' plans to the national plan; (c) the Sea Grant regional research and information planning initiative, which has been recognized as one of the earliest of NOAA's recent regionalization efforts to bear fruit; and (d) the recognition of Sea Grant's role in regional service delivery as part of the emerging NOAA Climate Service.*

*Strategy: Continue implementing the above efforts. Ensure that regional/ national strategic investments are truly regional/ national in scope, and that the projects supported have common regional/national performance measures and metrics to facilitate their description and reporting to the Administration and Congress.*

2. Recommendation: NOAA must find ways to better utilize the strengths of Sea Grant, such as engaging and implementing the user/clientele-oriented research, joint funding on certain cross- cutting initiatives, sharing facilities, and looking for niches to utilize Sea Grant strengths.

*Response: We agree. This recommendation is already being implemented through: (a) participation by Sea Grant in the NOAA Coastal Enterprise planning process; (b) participation by Sea Grant in NOAA Climate Service planning; (c) a leadership role for Sea Grant in the NOAA Executive Committee on Engagement; (d) active participation by Sea Grant on the NOAA Regional Teams; (e) conducting a Sea Grant regional climate*

*engagement grants competition in 2009; (f) Sea Grant participation on NOAA Ecosystem Services working group; and (g) joint planning of NOAA's marine aquaculture effort.*

*Strategy: Continue implementing the above activities, supplementing with additional efforts as opportunities are identified.*

3. Recommendation: Sea Grant needs to develop more meaningful partnerships with the NOAA laboratories and increase and improve efforts to communicate the impacts and value of Sea Grant research to the rest of NOAA. Forging partnerships would allow Sea Grant programs to be the vehicle for managing extramural research projects that are selected on a peer-reviewed competitive basis and would enhance research opportunities. Science workshops among Sea Grant and the NOAA laboratories should also be held to discuss ongoing and future research findings and collaboration.

*Response: We agree.*

*Strategy: At the national level, Sea Grant should continue its practice of coordinating national competitions with other NOAA programs and laboratories with common mission interests, as has been done with the Center for Sponsored Coastal and Ocean Research (CSCOR), the NOAA Aquaculture Program, and the NOAA Habitat Matrix. At the State level, many Sea Grant Programs are already well-integrated with field components of other NOAA programs and labs. As the new Sea Grant planning, implementation and evaluation system (the successor to the PAT review system) is developed and implemented, appropriate collaborations with other parts of NOAA in research and other areas should be encouraged and rewarded, and Best Management Practices that allow these collaborations to work effectively should be identified and shared with all Sea Grant Programs. Expanding the successful models for partnerships at GLERL and NSSL achieved through locating key specialists at other NOAA laboratories with joint support from Sea Grant and the laboratory is being explored. As the new OAR emerges from the process that is creating the NOAA Climate Service, there will be additional opportunity for collaboration.*

4. Recommendation: NSGO must be more aggressive in:

- a) promoting the contributions of Sea Grant to all levels of NOAA. One way to do this is to engage a larger number of NOAA's managers and scientists in the proposal review process for research and extension; and
- b) demonstrating that America's universities are an unequalled science, technology and human resource that, through Sea Grant, can be applied to NOAA's mission.

*Response: NSGO technical staff have responsibility in their work plans for improving relations between, and appreciation of the science resources and requirements of, Sea Grant programs and other NOAA programs. Other NOAA managers and scientists are being incorporated into Sea Grant technical review panels and as part of the Site Review Teams, and they will be included in the national Performance Review Panels as well.*

*Strategy: As resources permit, continue to increase the amount of effort the NSGO puts into promoting increased interaction and mutual appreciation between Sea Grant Programs and other parts of NOAA.*

5. Recommendation: Regional partnerships among Sea Grant programs and other entities are an appropriate approach for producing significant new results that address important regional and national issues. Increased partnerships within a state with governmental and private sources are also strongly encouraged.

*Response: Agree. Regional partnerships among programs, and between programs and governmental and private sector sources are being aggressively encouraged. One challenge being reported back by the programs is the lack of any significant incentives for this kind of partnership development in the Planning, Implementation and Evaluation system.*

*Strategy: During the upcoming site reviews, the efforts of the state programs in establishing and maintaining effective, working partnerships is one of the criteria that will be evaluated as a basis for judging the performance of program management. Best Management Practices that facilitate partnerships among programs, and between programs and governmental and private sectors, to work effectively are being identified and shared with all Sea Grant Programs.*

6. Recommendation: Research programs should be aligned to address critical issues that will arise in the future.

*Response: The new strategic plan and Planning, Implementation and Evaluation system is intended to encourage this.*

*Strategy: The focus teams are expected to review the research project portfolio each year and assess the extent to which emerging issues are addressed. If there are critical gaps, there should be recommendations for corrective actions.*

7. Recommendation: The percentage of a particular program's funding devoted to research should be flexible, although a target of 50% is appropriate for most programs. However, the particular goals of an individual program must be considered. Given this flexibility, there must be realistic, tractable and understandable metrics for research performance.

*Response: We agree that there should be room for flexibility in the percent of its resources a Sea Grant Program invests in research, and that research metrics should be realistic, tractable and understandable. NOAA is studying appropriate ways to monitor and assess all of its research efforts, and may propose metrics for research performance that will apply to Sea Grant as well as the rest of NOAA.*

*Strategy: The NSGO should participate in the NOAA research review process to the extent permitted. Informed by NOAA efforts as well as ongoing programs' research metrics as provided in Programs current strategic plans, NSGO and the state programs should form a working group to evaluate appropriate metrics, outcomes and performance measures for Sea Grant research. If improved metrics are found, we will revisit programs' plans to assess if there is value added by incorporating these metrics. Until further analysis is done, the competitive (research and education) guideline for programs will remain at 45-60%, with the understanding that it continues to be a guideline, not a requirement, and that it may change when the analysis is complete.*

8. Recommendation: Because some programs are too small to be able to designate a significant fraction of their funding to research, consideration should be given to combining the research activities of these smaller programs with neighboring or related programs so that all state programs can realize the research benefit.

*Response: It could make sense for smaller state programs to consider combining their research efforts with their neighbors to increase efficiency of efforts, as one of the management strategies available to them. But the role of the NSGO at this point should be limited to removing barriers to this type of collaboration if programs decide it is to their advantage. In fact, increasing the ability of programs to collaborate was one of the primary reasons we made the decision to synchronize the start dates for all the omnibus awards.*

*Strategy: The NSGO should seek input from programs on under what conditions a combining of research across programs would be feasible, would improve program effectiveness, or would improve the overall research portfolio. The NSGO should develop guidelines to facilitate joint research efforts among programs that wish to engage in them. As we update the guidelines for soliciting and selecting research projects, we should identify and remove any language that unnecessarily limits the ability of programs to collaborate in this way. The NSGO should also work to ensure that our mechanisms to report metrics, impacts and success stories can accommodate multiple Sea Grant programs all reporting on a single project for which they share the credit.*

9. Recommendation: Assessing the impact of Sea Grant research, e.g., contributions to sustainability, improving regulatory policies, changing behavior, creating industries, etc. should have a high priority in future evaluation of Sea Grant research. In addition, the human resources, together with all publications and other research products deriving from funds administered by the Sea Grant Program, regardless of whether or not some of the funding came from sources other than Sea Grant core funding, should be considered in this evaluation. The contribution of core Sea Grant funding relative to other sources should also be monitored and reported.

*Response: We agree and these considerations are built into the new planning, implementation and evaluation system.*

*Strategy: The NSGO should actively encourage all Programs to report research impacts through established reporting mechanisms. As part of their annual focus area review, Focus Teams should be given a specific charge to identify trends, successes, or gaps in Sea Grant research's ability to produce relevant impacts. As appropriate research metrics are discussed in response to recommendation 7, include consideration of the most effective ways of capturing the impact of research.*

10. Recommendation: Individual Sea Grant Programs should continue to submit peer-reviewed publications to the Sea Grant Library so that an up-to-date record of these publications is constantly available. Some mechanism should be devised to evaluate the relative contribution of Sea Grant vs. other funds obtained by state programs to the overall productivity of Sea Grant researchers.

*Response: To provide an incentive, the panels evaluating the performance of the state programs will have available to them the lists of publications submitted to the Library. Only those publications will be considered during their review.*

*Strategy: Include an examination of measures of value and productivity of Sea Grant peer reviewed publications as a charge of the group studying appropriate metrics for Sea Grant research (recommendation 7).*

11. Recommendation: Every effort should be made to minimize and reduce duplicative and unnecessary reporting requirements.

*Response: This has been and continues to be one of the underlying principles in the development of NIMS and the integration of all data gathering efforts.*

*Strategy: NIMS development requirements should preclude any double manual reporting of information into NIMS and other databases such as grants online, to the extent technically feasible.*

# National Sea Grant Office Response

Communications /Engagement: A Report from NOAA's National Sea Grant Advisory Board, August 2009

## A. Short Term Recommendations

**1. The NSGO should increase efficiency and reduce costs through technology. With a diminished National Office budget it is critical that the National Office find ways to increase its communication efficiency and effectiveness. Traveling to face-to-face meetings, in light of reduced airline schedules, flight delays, and extended pre-boarding times, expends a great deal of staff time and resources.**

Communications can be the leader to effectively utilize webinars, conference calls and various new digital conferencing technologies, as well as design web pages to help make the National Office staff and resources available to more people.

**Response:** *The federal government, and NOAA specifically, is exploring the use of emerging information technologies in order to increase efficiency, communicate for effectively and reduce travel costs. To this end, the NSGO is beginning to utilize online meeting technologies and other emerging communications technologies within the parameters of NOAA and federal IT requirements. In 2009, several NSGO Program Officers participated in regional meetings via conference call. During the year, the NSGO also hosted approximately 80 conference calls, using these teleconferences to provide network trainings (e.g. NIMS, annual report and omnibus guidelines), and meetings (Advisory Board committees, Focus Teams, etc.). Using video conference technology, the NSGO offered two trainings for the network and NOAA on Google Ocean technology. NSGO staffers also encouraged the development of two social networking sites hosted by the network, led WebEx seminars for the Small Business Innovative Research competition review, and, used online web meeting technologies to work with offsite programmers and developers. The NSGO is currently developing a new national website with enhanced navigation and technologies. We will continue to explore and utilize emerging technologies in order to increase efficiency and reduce costs within NOAA and federal IT requirements.*

**2. The NSGO should invest in an additional staff member (i.e., “NSGO Communications Leader”) who possesses significant professional experience, expertise, knowledge and understanding of the tools, science and machinery of the communications field and technological advances. The NSGO should assign the additional staff person to:**

(a) “be responsible for effective national communications” (Alden Report; p. 18);

(b) act as “a point person to focus, plan and direct strategic efforts - including internal communications, national Web presence, and potential marketing efforts - on a continuing basis” (“The Sea Grant National Communications Network Strategic Plan 2001-2005”);

(c) provide leadership to the Network to “enhance internal communications among all program elements (researchers, communicators, extension staff and educators) as well as among all program entities (SGA, NSGO, NMRO [National Media Relations Office] and NRP [National Sea Grant Advisory Board]) with the objective of improving their interactions, collaborations, efficiency and effectiveness” (Wittman Plan; p. 4);

(d) enhance “Sea Grant’s internal/external national communications capability to ensure coordination among NSGO, NOAA, SGA, NMRO and Sea Grant network communications efforts, and provide timely, consistent messages to targeted audiences on a sustained basis” (Wittman Plan; p. 4);

(e) “provide leadership to the network in implementing and annually updating its strategic national communications plan” (Wittman Plan; p. 10);

(f) understand and “know what is happening in each program; collaborate with network communicators to collect, synthesize and package program results and impacts; and work with the SGA, NMRO and NOAA-OAR offices of Public Affairs and External Affairs to disseminate information to appropriate national audiences.” (Wittman Plan; p. 10);

(g) incorporate and synthesize the materials, work products and other initiatives of the four Sea Grant Focus Teams that demonstrate Sea Grant’s value to the nation, and disseminate such information through press releases, news and media events, publications, etc.;

(h) collaborate with the Sea Grant Communications Network in an initiative to prioritize and implement the objectives, tasks and activities that are outlined in the Wittman Plan.

**Response:** *A second communications position would be beneficial if the resources were available. The NSGO communications leader, like all staff, has considerable additional duties beyond her primary responsibilities. However, given current budget constraints, pressing personnel needs and subsequent hiring priorities (informed in large part by the National Research Council Report’s emphasis on the need for Program Officers), the NSGO is unable to hire a second communications position at present. The communications leader is actively working with a new OAR public affairs officer, hired in 2009, to disseminate information to appropriate audiences. In addition, both positions, along with the Focus Team Chairs and Knauss fellows dedicated to Focus Area activities, are engaging network communications leadership in developing a set of national stories for each focus area and targeted strategies for promoting these success stories. In accordance with the goals and priorities set forth in “Positioning Sea Grant: An Integrated National Communications Plan” (the “Wittman Plan”), this team is leading efforts to “collaborate with network communicators to collect, synthesize and package program results and impacts” in the form of focus team national synthesis stories and other network impacts which will be disseminated to national audiences through a variety of means.*

**3. The Director of the National Sea Grant College Program should engage in a series of personal visits with all individual Sea Grant Programs that include scheduled visits, dialogue and discourse with**

**senior executive leadership of the host university institutions in which Sea Grant Programs reside.** The NSGCP Director should embark on these personal visits in possession of an institutional endorsement from NOAA, together with the requisite data and information, to permit the Director to represent the whole of the NOAA investment. These important personal visits would seek to institute a standard of communication that would raise the level of appreciation for and visibility of the NSGCP and NOAA, and encourage the willingness of senior leadership at the individual Sea Grant Programs and at the host university institutions to support NOAA and NSGCP program initiatives.

**Response:** *The Director of the National Sea Grant College Program will participate in several program site visits scheduled to begin in the spring of 2010. The Deputy Director will also participate in several site visits. Both will meet with senior leadership at the host university institutions. Senior management will continue to travel to programs as special needs arise.*

**4. Sea Grant Knauss Fellow: The NSGO should host a Sea Grant Knauss Fellow to assist with carrying out tasks and activities that are associated with the communications responsibilities and objectives of the NSGO and the Sea Grant Communications Network.** This position would support NSGO and Network communications activities in much the same manner as the two current Sea Grant Knauss Fellows now each support respective Sea Grant Focus Teams. The

NSGO should consult with the National Sea Grant Advisory Board, the National Sea Grant Communications Network and the Sea Grant Association to clarify specific qualifications for those prospective fellows. These qualifications should include “individuals who have an interest in ocean, coastal and Great Lakes resources and in the national policy decisions affecting these resources,” and who may also have additional interest and expertise in the communications field.

**Response:** *Within the NSGO, communications is largely an administrative rather than a programmatic function. It is only appropriate for Sea Grant Knauss fellows to address programmatic rather than administrative priorities. The NSGO acknowledges the need for communications support, and hopes to be able to address this in future recruitment.*

**5. Engage and organize a group of individuals, to be referred to as “Friends of Sea Grant”, who possess the knowledge, understanding, experience and appreciation of the Vision, Mission, Goals, contributions and benefits of the National Sea Grant College Program.** Participation in the Friends of Sea Grant would include: current and prior members of the National Sea Grant Advisory Board (and the prior National Sea Grant Review Panel); current and prior employees of NOAA, the NSGO and individual state Sea Grant programs; current and prior Sea Grant Knauss Fellows; stakeholders of individual state Sea Grant programs; and others who understand, value and support the NSGCP.

**Response:** *The NSGO agrees that such a group could be useful, but it would not be appropriate for the NSGO to be involved in its development or operation.*

**6. The NSGAB should approach Under Secretary for Oceans and Atmosphere and NOAA Administrator Dr. Jane Lubchenco with the idea that support and appreciation for NOAA and the NSGCP would likely be advanced if the university institutions in which individual Sea Grant programs reside were to be**

**more clearly identified in media, news releases and reports that originate from NOAA and OAR Public Affairs.** These media include, but are not limited to, the NOAA Website; “OAR in the Spotlight”; “NOAA World”; “OAR News Updates”; NOAA Administrator Newsletter; OAR Public Affairs weekly news releases; “OAR Hot Items”; other NOAA/DOC leadership newsletters (e.g., “EMT,” “Weekly,” and others); and Hill briefings, speeches, presentations, etc. Moreover, favorable consideration of such a propitious opportunity would likely be received as a considerate and respectful recognition by the university institutions and would likely bring forth offers of cooperation, partnership, association and assistance.

**Response:** *NOAA policy and editorial guidelines encourage brevity and a regional or national focus.*

**7. The NSGO should generally endeavor to expand and enhance the interaction, partnership and collaboration with the Sea Grant Communications Network.** This collaboration should include a joint review and evaluation of the progress that has been made in implementing the provisions and recommendations of the Wittman Plan and the Alden Report, and a joint review of the two NSGO reports, “National Sea Grant Office Response to: Positioning Sea Grant: An Integrated National Communications Plan (“Wittman Plan”)”, and “NSGO Implementation Plan for Summary Recommendations of the Sea Grant National Communications Task Force.”

**Response:** *The NSGO considers “Positioning Sea Grant: An Integrated National Communications Plan” a valuable resource and a visionary plan that continues to guide communications efforts at the national level. Recommendations from that report, and from other previous reports, have been responded to, and those deemed appropriate and feasible have been implemented. In looking forward and implementing a new strategic plan, we feel that NSGO resources would be better spent enhancing future national communications activities, particularly as they relate to promoting national synthesis stories and impacts in each of the focus areas, rather than being used for further review.*

**8. The NSGO should organize a work group to assess opportunities for increasing public awareness of NSGCP impacts and relevance to national concerns at the national, regional and state levels.** With changing media organization structures, new electronic information systems and evolving consumer demands for information, opportunities for creating and capturing program publicity and visibility will be beneficial to the program. This work group would include representatives of the NSGO, the National Sea Grant Communications Network, the National Sea Grant Advisory Board, the SGA and others who have knowledge and experience in the communications field.

**Response:** *Presently, the Sea Grant Advisory Board’s Biennial Report Committee and the Focus Teams are seeking opportunities to increase public awareness of Sea Grant’s most prominent stories and impacts. Focus Team responsibilities include facilitating the planning, implementation, synthesis and reporting of Sea Grant activities and accomplishments, and providing a mechanism to further solidify Sea Grant’s local, regional and national identity. In addition, the NSGO communications leader is working with the communications chair and others in the network and Agency to identify and capitalize on additional strategies and opportunities.*

**9. Accelerate the development of the Sea Grant National Information Management System (NIMS) to serve as a “network-wide data and information system for cataloging and tracking technical information, accomplishments, and general information about Sea Grant investments in research, outreach, and education” (Duce Report; p. 29) and that fulfills the identified need for “a centralized online program information database capable of searching and compiling information from multiple programs and summarizing it by topic.” (Wittman Plan; p. 7)**

**Response:** *The NSGO is working with the SGA’s National Advisory Council (NAC) in order to develop the second iteration of NIMS. The network, through the NAC, submitted input in 2009 that informed the development of a new set of requirements for this system. The NAC will continue to be involved with NIMS as the NSGO rolls out these new changes and enhancements.*

## **B. Long Term Recommendations**

**The NSGO should provide funding and the mechanism to reestablish the Sea Grant National Media Relations Office (NMRO) at the earliest opportunity.** The Sea Grant National Communications Network Strategic Plan 2001-2005, the Duce Report, the Alden Report and the Wittman Plan have expressed recognition of the contribution of the NMRO (also referred to as the National Media Relations Program, or “NMRP”) to meeting the Mission and achieving the Goals of the NSGCP. A Sea Grant NMRO is essential to achieving the overarching Goal of the Wittman Plan to “effectively demonstrate the need for and value of the National Sea Grant College Program to Congress, NOAA, the Department of Commerce (DOC), Office of Management and Budget (OMB), the White House, national non-governmental organizations, national news media, and other relevant partners and audiences.” [Whittman Plan; p.4] The NMRO has been recognized in several past examinations of Sea Grant communications as a key element, participant and messenger in the formulation and execution of the tactics and activities that are of strategic importance to achieving the Mission and Goals of the NSGCP, to the objectives of achieving stable funding, and to attracting the interest and attention of those who have the authority and influence to impact the survival, growth and success of the NSGCP.

It is important to note that the Sea Grant Communications Review Task Force convened a National Media Relations Technical Panel that included four external and independent reviewers with extensive and proven knowledge, experience and understanding of media relations, public affairs and communications who recommended that the “The National Media Relations Program should continue.” [Alden Report; p. 38] Moreover, the Technical Panel observed that “The NSGCP is responsible for communicating its common goals to the public, including the importance and results of marine science, education and outreach. In this context, it is also important to note that the public is the customer whose understanding, and financial and political support is necessary for the NSGCP to exist. A media relations effort is an important tool in carrying out this responsibility . . . An effective NSGCP media relations program can reassure policymakers about the benefits and accomplishments derived from their decision to invest public funds and help ensure their continued support.

Moreover, a NSGCP media relations effort serves to increase public awareness and utilization of the valuable scientific information that flows from the public investment in the NSGCP.” [Alden Report; p. 37]

**Response:** *In the nearly seven years since Sea Grant’s media relations specialist departed and the office was closed, the media landscape has changed. From the shifting priorities of today’s news media (with a de-emphasis on science and environmental news among many national news outlets) to the closure of many print newspapers to the powerful emergence of newer electronic forms of communications, times are changing rapidly. Media relations is an important, albeit a limited tool in this diverse and fluid landscape. A broader marketing communications effort that utilizes relevant, established media and capitalizes on new and emerging opportunities in order to reach target audiences is vital. The “Wittman Plan” outlines media relations responsibilities and strategies that remain valid. However, the plan also underscores that this effort is not merely the purview of the NSGO, but must involve the SGA and other principals in order to be successfully realized. Multiple personnel and new responsibilities are required in order to launch and sustain an effective, comprehensive and sustainable national communications effort that delineates Sea Grant’s value to the Nation. The NSGO will engage SGA leadership in discussions about the establishment of a strategic, forward-looking national marketing communications approach.*

## Recommendations for Extension

### A. Short Term Recommendations

1) NOAA is currently developing implementation of the SAB Engagement Report. TIME IS CRITICAL. Sea Grant is a natural in the implementation of these recommendations; however, other parts of NOAA with greater resources want to grab this turf and the potential dollars with the engagement plan implementation. Jim Murray chairs the “Engagement Council. However, he does not have adequate available time to spend on the subject and allow the full engagement of Sea Grant. **It is recommended that a significant additional block of Jim Murray’s time (say, 25%) be freed up allow him to fully engage the SAB Engagement Report. Adding this as a duty is inadequate; relieving him by reassigning duties would be required.**

**Response:** *Leadership of the “Engagement Council” is one of the Deputy Director’s many responsibilities. The NSGO agrees that it would be desirable to reassign some duties in order to devote more of this position to implementation of the SAB Engagement Report. Once the NSGO is able to recruit a new social science program officer, three of the Sea Grant programs for which the Deputy Director is responsible will be reassigned, freeing up a substantial fraction of his time.*

**2) Keep an additional Knauss Fellow in the Sea Grant office, to supplement engagement. This will provide some critical relief for an understaffed NSGO. A call for Knauss Fellows should specifically identify engagement similar to a call for Knauss Fellow communicator.**

**Response:** *The NSGO's response is similar to a.4 above. Much like NSGO communications, extension performs primarily as an administrative, rather than a programmatic function. The NSGO's Knauss Fellows will continue to address programmatic priorities.*

3) Climate extension is a great opportunity for NOAA to integrate an array of units and the Sea Grant college network into a collaborative, multi-unit, synergetic program. Full realization of that vision will depend on strong NOAA leadership. **Sea Grant and OAR should negotiate a memorandum of understanding with the other NOAA AAs to clearly identify roles and an operational plan for an enhanced engagement program dealing with climate issues; this plan could then be presented to the administrator.**

**Response:** *Climate extension offers an excellent opportunity for Sea Grant to partner in the delivery of NOAA's climate services. Sea Grant, working closely with NOAA Research labs and other offices involved in climate issues, can play a significant role in building local capacity, delivering outreach services to coastal constituents, and helping build climate literacy and public awareness.*

*NOAA recognizes Sea Grant's on-the-ground delivery capabilities and its ability to work with many partners to deliver regional and national climate services on multiple scales. NOAA Climate Services will establish a formal regional structure in which Sea Grant will be heavily involved, obviating the need for MOU's with other line offices.*

**4) NOAA's regional effort is another important opportunity for Sea Grant to expand collaborative engagement activities addressing clientele needs. This should continue to be funded and staffed by Sea Grant as a priority item.**

**Response:** *The NSGO will continue to support regional research projects, regional training efforts, and to the extent possible, to fund regional engagement activities such as the FY 2010 Sea Grant/Regional Team Climate Engagement Mini-Grant Initiative. Regional and national activities will also continue to be promoted through the four focus teams.*

**5) Implement the SAB Engagement Report's Sea Grant demonstration project.** This would show how Sea Grant could more fully engage NOAA assets for greater impact and visibility of NOAA programming on a regional basis. This demonstration could emphasize Climate Change and the public's growing interest in and understanding of weather and climate and the impact they have on their lives. This project could demonstrate NOAA's capacity to build and lead as the premier organization to address the climate and weather needs of our nation. Within a two year period we believe NOAA could expect to have a workable role, along with responsibility, funding and accountability agreements to guide effective collaborative work among units within NOAA and other government agencies.

**Response:** *The SAB's Engagement Report offers a distinct opportunity to demonstrate Sea Grant's leadership role within NOAA. The demonstration project is to serve as a model for the other NOAA regions. NOAA's Extension, Outreach and Education (EOE) Pilot Program officially began in October 2009 with the hiring of three project team members. The EOE Pilot Program was established in response to a Science Advisory Board report that called for the creation of a program to reinvent NOAA's approach to*

*extension, outreach and education activities. The EOE pilot program received \$500,000 in Congressional funding for its first year of operations and will seek continued funding through NOAA in subsequent years.*

**6) The Sea Grant Advisory Board should reestablish the formal annual meeting with the NOAA administrator, where the Board provides a written report and recommendations to the administrator.**

*Response: The NSGO agrees. The Sea Grant Advisory Board's Biennial ("State of the Sea Grant") Report to be released in the fall of 2010 addresses this recommendation and should be accompanied by a meeting with Dr. Lubchenco.*

**7) Sea Grant pays a significant overhead to NOAA. The Sea Grant Advisory Board should do an analysis of the services rendered to the national Sea Grant college program and the priority of those resources to the success of the program.**

*Response: With the upcoming reorganization of OAR, NOAA's overhead structure is likely to change, and there are other issues more deserving of the Advisory Board's attention.*

**8) Sea Grant should further pursue cost effective alternatives to supplement its staff. This could include use of faculty on sabbaticals, individuals on detail, etc.**

*Response: The NSGO is constantly seeking opportunities to supplement its staff. We do so by involving the Sea Grant programs and other NOAA line offices in focus team activities, from planning to implementation. To the budgetary extent possible, contractors, NOAA detail employees, Sea Grant Knauss Fellows, and individuals on sabbatical, or IPAs have been utilized to supplement the small staff. The number of individuals, however, is restricted by the NSGO's administrative cap.*

**9) Sea Grant should require \$5000.00 of each of its \$50,000 Regional Grants (Regional Research, Information Planning and Coordination) to be utilized for engagement, including media and communications activities.**

*Response: The NSGO is confident that more than 10 percent of each regional grant budget has been dedicated to engagement activities and does not support the imposition of additional grant requirements. The regional research grants are service-oriented and are intended to identify priority research needs for the each of the eight regions. This, in turn, has required the regional leads to engage research and user community stakeholders. Stakeholder input on strategies to address identified needs is reflected in the regional reports. The federal funding opportunity soliciting development of these plans called for the use of "Sea Grant's university capabilities to facilitate discussions among the broad range of regional ocean, coastal, and Great Lakes stakeholders to help identify and prioritize critical resource management problems and associated research and information needs necessary for practical solutions."*

## Long Term Recommendations

As a result of flat budgets, reduced state funding, required salary increases and inflation, the number of Sea Grant agents have been reduced in a time when growth is needed. **As funding returns, these extension and outreach cuts should be reestablished to maintain a vibrant, trusted outreach component in Sea Grant programming.**

**Response:** *All components of Sea Grant, including research, are vital, and all have suffered as budgets have been cut. Possible future increases should be allocated at the discretion of the Sea Grant programs. Extension and outreach cuts are part of a national trend that is also being experienced by colleagues in Land Grant. In the current budget climate, it is not likely that funding will become available to reverse this national trend. The NSGO and the Sea Grant programs will have to continue to be entrepreneurial in their efforts to retain existing capabilities while seeking to establish new positions to meet growing public demand in an array of specialized fields. Multi-line office and agency funding partnerships will be essential, and the states, despite fiscal challenges, will be required to match.*

*At the national level, the NSGO is exploring targeted funding for multi-year, competitive projects, similar to the Fisheries Extension Enhancement initiative begun in 2003 and now being phased out. Similar initiatives are being considered for climate extension and marine aquaculture.*

## **Enhancing Sea Grant's Ability to Help Coastal Communities Adapt to Climate Change**

There is clear scientific consensus that climate change is taking place and coastal communities will need to make decisions in the coming years about adapting to the impending impacts. With limited resources, Sea Grant programs have been working with states and communities to inform policy and management decisions and to help communities prepare by considering possible strategies and actions.

The need for technical support for coastal communities beyond what is currently being provided has been documented. The Sea Grant Advisory Board, Sea Grant Association, Assembly of Sea Grant Extension Leaders, and Sea Grant experts in hazard resilience, climate change and sustainable communities have all called for increased involvement by Sea Grant, and NOAA's Climate Service has recognized the need for these services.

In order to begin to address these concerns, Sea Grant will undertake an FY 2010 and 2011 initiative, the Sea Grant Coastal Communities Climate Adaptation Initiative (CCCAI), making available \$1.0M each year (\$30K per Sea Grant program) for the purpose of conducting rapid response, community-based, climate adaptation demonstration projects in each Sea Grant state. The projects' primary objectives will be to provide the selected demonstration communities with sufficient information to consider alternatives, enable them to make better informed decisions, and ultimately develop and implement customized solutions to the hazards and climate change challenges which threaten their economic and social well-being. A key to success will be identifying and engaging local experts as well as tapping regional and/or national expertise as needed to support these efforts. The suite of demonstration projects will be evaluated to identify best practices and enable Sea Grant to focus its subsequent efforts on those activities shown to have the greatest benefit for the target communities.

The CCCAI funds will be an enhancement to each program's Sustainable Coastal Community Development project that is currently funded at \$50K per year through the omnibus grant process. The state Sea Grant programs will have discretion as to the scope of the project and principal investigator(s), as long as each project addresses the CCCAI objectives.

To receive the FY 2010 CCCAI funding, each Sea Grant program will be required to submit a one-page Work Plan and budget for their CCCAI demonstration project by May 1, 2010. The projects are expected to be designed and conducted in collaboration with the target communities as well as other partners such as the NOAA Coastal Service Center, the NOAA Climate Program Office, NOAA's eight Regional Collaboration Teams, state Land Grant partners, as well as state and local constituents, including nongovernmental organizations. The demonstration projects must be completed by September 30, 2010 and the programs will report on their FY 2010 accomplishments during Sea Grant Week in October 2010. Those reports will inform planning for Sea Grant's climate adaptation efforts for FY 2011 and beyond, subject to the level of available funding resources.

The Work Plan is to be completed using Attachment 1 and must include targets for one or both of the national performance measures for the "Hazard Resilience in Coastal Communities" Focus Area. Letters of support/endorsement from the target community/communities need to be included with the proposal.

## Attachment 1

### Enhancing Sea Grant's Ability to Help Coastal Communities Adapt to Climate Change

Sea Grant Program: \_\_\_\_\_ Principal Investigator: \_\_\_\_\_

Title of Project: \_\_\_\_\_

- I. **Background and Community Need:**
- II. **Proposed Project and FY 2010 Activities:**
- III. **Partners and roles:**
- IV. **Deliverables:**
- V. **Performance Metrics** (indicate the target number for this demonstration project for one or both measures):
  - Number of coastal communities and citizens provided with information/trained in local hazard resiliency, and hazard mitigation tools, techniques, and best practices. (# of communities by October 2010)
  - Number of coastal communities and citizens who adopt/implement hazard resiliency practices to prepare for and respond to/minimize coastal hazardous events. (# of communities by [date])
- VI. **Summary of Program's current and pending involvement in climate adaptation (include both Sea Grant-supported and other leveraged projects):**

1. **Knauss Fellowship Program**

- a. Some thoughts as to how better get residual value to SG from this expenditure of NSGO funds:
  - i. “Retitle” the program to a more “user friendly” Sea Grant recognizable name, i.e. from
    1. The National Sea Grant College Program Dean John A. Knauss Marine Policy Fellowship, to:
    2. Knauss Sea Grant Fellowship Program

*Update: The fellowship name was updated for the 2011 Federal Funding Opportunity to “ National Sea Grant College Program Dean John A. Knauss Marine Policy Fellowship” or “ Knauss Sea Grant Fellowship Program” for short version.*

- ii. If this is not legally possible due to endowment language, etc, then retain formal title but when ever used in “shorthand” as is current done with “Knauss Fellowship” always use “Knauss Sea Grant Fellowship”
- iii. Require a written essay in candidates’ application on Sea Grant, eg what is the purpose of the National Sea Grant College Program and what is its current relevance to our nation’s needs

*Update: This could be considered as a requirement for the 2012 federal funding opportunity.*

- iv. Require colleges who sponsor a candidate to the final selection in Washington to hold a 2-3 hour orientation on their local sea grant program before they go for national interviews

*Update: Each of the state Sea Grant Programs has taken the task of better engage the finalists before arriving to Washington DC. Some examples of activities current fellows are engage with this year include program TRP’s and day visits with the extension agents.*

- v. Tell candidates that one of the many interview questions they will need to respond to in the national selection process will be on the role of the national sea grant

program. Its history, its successes, why congress should fund it, etc

*Update: Before making this a requirement, we need to discuss more. This is an educational opportunity for the fellow and the national selection might not be the best mechanism or venue for having these fellows become champions of the program.*

vi. The idea of creating a formal “friends of sea grant” is excellent

1. Email list needs be fed with monthly message as well as periodic calls for support

*Update: We are currently working on incorporating updates to the Knauss Sea Grant Fellowship Alumni Database that could address this recommendation.*

vii. . Knauss Sea Grant Fellows “fraternity”

1. At national orientation at beginning of fellowship, make as a requirement a monthly or bi monthly evening gathering (maybe NSGO buys the beer) at which current fellows network, listen to current news pitch from NSGO and possibly take turns discussing their current assignments, etc
2. All to the notion of building a lasting relationship and alumni group amongst the fellows

*Update: This approach is currently in use but it varies year to year as some classes are closer amongst classmates than other classes.*

viii. Knauss Sea Grant Fellows Alumni group

1. Create formal group
2. Elected officers (from key alums who see the benefit of on gong network and are willing to put forth the organizing effort)

*Update: We can work on this idea.*

3. Annual reception funded by NSGO but with a formal program
  - a. Status report on SG
  - b. Possibly key legislative or NOAA speaker

*Update: We can work on this idea.*

**National Sea Grant College Program  
Policy for the Allocation of Funds, FY2003 and Beyond**

**I. Background**

The National Sea Grant College Program Act of 1966 provided little guidance for the distribution of Sea Grant funds. The Act gave the National Science Foundation, the agency assigned to administer the National Sea Grant College Program, broad latitude regarding the distribution of funds with only one requirement, that "no state should receive more than 15% of total appropriated funds." Absent legislative guidance, the NSF, and in later years NOAA, applied peer review and open competition principles to establish the present network of Sea Grant institutions and colleges. Grant allocations among the states, then, represent the evolution of a series of complex decisions spanning a 32-year period, which have resulted in the current distribution of funds among Sea Grant programs.

During the late 1990's, major management changes were introduced primarily in response to a 1994 NRC study of the program that called for a more decentralized organizational structure and greater focus on performance. The concept of "core funds," consisting of "base funds" plus a performance-based "merit funds" component, was established (National Sea Grant Office {NSGO} policy memorandum, "Allocations for FY 1998 and Beyond."). Base funds provide a stable level of support (minimum of \$800,000) around which individual programs can plan and develop. During the 4-year period 1998-2001, base funding levels were increased as appropriations increased. Merit funds reward local program performance based on rigorous evaluations every four years. Approximately 50% of the federal funds (excluding program enhancement awards and national strategic investments {NSIs}) allocated to program core funding must be allocated to peer reviewed, competitive research and to graduate/undergraduate education proposals. Competitions are open to all eligible institutions in a program's state. The 1998 Plan also established a system of national competitions open to all programs in which peer reviewed grants are awarded on a 2-3 year basis to the highest rated projects. All aforementioned changes - stable base funds, merit reviews, and national competitions - were added to the Sea Grant Act of 1998.

## II. Goals and Objectives

Consistent with the intent of Congress as set forth in the National Sea Grant Act of 1998 (33USC1121), the NSGO policy memorandum entitled "Allocations for FY 1998 and Beyond," the report of the Sea Grant Allocation Committee of March, 2002, and the National Sea Grant College Act Amendments of 2002 (P. L. 107-299), the purpose of this section is to establish goals and objectives for the distribution of funds in the National Sea Grant College Program for FY 2003 and beyond.

These are articulated as follows:

### A. Goals:

- 1) To encourage a high level of innovation, educational and scientific quality, and program impact.
- 2) To bring the Sea Grant network to a consistent level of excellence nationwide in accordance with its legislative mandate and in support of NOAA's mission priorities.
- 3) To provide a context for the distribution of funds so as to enable Sea Grant to exert national leadership to promote the wise use and conservation of coastal and marine resources.

### B. Objectives:

- 1) To provide a flexible, equitable and open allocation plan in support of program goals.
- 2) To provide a stable, national infrastructure of university based programs that can effectively and efficiently promote NOAA Sea Grant's mission subject to regular review and continued satisfactory performance.
- 3) To provide a rationale and procedures for the distribution of funds in Sea Grant that promote performance, healthy competition and partnerships.
- 4) To provide a mechanism for the establishment of new programs in eligible states not currently being served.

### **III. Operational Elements**

#### Introduction:

The purpose of this section is to articulate the priorities and operational elements for the distribution of funds in the National Sea Grant College Program for FY 2003 and beyond. As such, these elements represent NSGO policy for the distribution of funds in Sea Grant to become effective upon passage of the FY2003 appropriation bill and continue indefinitely until superceded or revised. These policy elements follow from the goals and objectives set forth in Section II of this document and the references cited therein, particularly Congressional guidelines and the Sea Grant Allocation Committee Report of 2002.

#### Legislative background:

The National Sea Grant Act of 1998 (33 USC 1121) provides guidance for the distribution of funds authorized under the Act by encouraging a stable base of funding, merit review, new program development, and promotion of competition. The National Sea Grant College Program Act Amendments of 2002 (P. L. 107-299) states that in any fiscal year where appropriations exceed amounts appropriated for the fiscal year 2003, the excess amounts be distributed to any combination of the following:

- "(1) sea grant programs, according to their rating under section 204(d) (3) (A);
- "(2) national strategic investments authorized under section 204(b) (4);
- "(3) a college, university, institution, association or alliance for activities that are necessary for it to be designated a sea grant college or institute;
- "(4) a sea grant college or sea grant institute designated after the date of enactment of the National Sea Grant College Program Act Amendments of 2002 but not yet evaluated under section 204(d) (3) (A)."

#### Plan elements:

For purposes of this policy, funds appropriated for Sea Grant in FY 2003 are \$62.41 million. For appropriated amounts in excess of FY 2003 levels in future years, the excess of funds available will be distributed on the basis of merit and/or competition. The allocation plan contains four elements: Program Core Distributions, National Competitions, New Program Provisions, and Special Provisions.

A) Program Core Distributions: Core distributions are funds granted to individual Sea Grant institutional programs and generally consist of three funding components: base, merit and specific program development awards. The base component represents NOAA's investment in local infrastructure and directly addresses stability of funding required by the Sea Grant Act. Base funding is awarded with the expectation of continued long term support as long as performance so warrants. Programs may otherwise invest core funds so as to maintain a balanced program in accordance with the Sea Grant Act and NOAA mission objectives.

1. Base funding is a target amount determined early in a fiscal year for NOAA omnibus proposal submissions. The base funding year for calculating a program's base funding amount is equal to the FY 2003 level, which supercedes FY 1995 as the base year. A program's base funding level, then, is the FY 2003 amount plus any subsequent additions. It is expected that as an operating guideline, not less than 45% or more than 65% (ca. 50%), of base plus merit funding (federal portion) will be distributed for research and education projects awarded by an open, peer-review competitive process in accordance with current Sea Grant policy for such competitions. Funds originating from program enhancement awards and National Strategic Investments are excluded from this operating guideline.
  
2. Program base minimum is a fixed amount based on an assessment of infrastructural resources needed by a Sea Grant Program, consistent with total resources appropriated, in order to operate an effective, balanced program of research, education and outreach. The 1998 Plan acknowledges that need, the Sea Grant Act calls for encouraging new programs and strengthening the network and the recent Allocation Committee Report considered this question. Based on these considerations and the recommendations in the recent Allocation Committee's report, and subject to regular review and satisfactory performance, a Program minimum amount is set for Sea Grant College and Institutional Programs at \$1.2 million in federal funds. The amount is based on FY 2002 cost estimates and appropriations. With matching funds, a minimum investment, then, of \$1.8 million in infrastructure is provided for a Sea Grant College. This equates to the FY 2002 median level of base funding for all programs. Such an amount allows, at steady state, for approximately 8 modest sized research projects per year, 4-5 extension specialists and a budget for management, education and communications functions. Furthermore, there is maintained a capacity base from which

to generate additional resources and compete in national competitions.

Sea Grant College or Institutional Programs, whose base funding levels are less than the \$1.2 million minimum, qualify for base minimum adjustments. The Director, NSGO, may from time to time, designate funds for base minimum distributions. Programs eligible for the distribution will receive adjustments in that year based on their merit grades. Merit grades are those received from final performance evaluations. Programs remain eligible until the base funding reaches the base minimum amount.

(NOTE: The program minimum defined here is not to be construed as an adequate or sufficient resource base in relation to a state's issues, opportunities or capabilities. Given budget realities, it represents a compromise between providing an enabling infrastructure across eligible states and more substantially funding fewer programs.)

3. Merit funds are amounts determined according to performance in merit based reviews among Sea Grant Colleges and Institutions. The amounts distributed arise from merit grade categories assigned in performance evaluations and the total dollars available for distribution and as specified in current performance review policy. A program's merit-based distribution may vary from year to year due to the rolling four-year schedule of merit ratings. Consequently, the merit funds received by a program in a given year may change (or disappear) as a function of the evaluation process. It is expected that the overall merit funding pool will minimally be maintained at the FY 2002 level.
4. Program Development Awards are grants made as a result of peer reviewed, national competitions open only to Sea Grant colleges and institutions and are for the purpose of enhancing specific programmatic activities (e. g., community development, fisheries extension, regional activities), not individual investigators. These funds are designated as part of a program's core funds for a finite time period (generally 4-5 yrs.) and are subject to the terms and conditions specified in the competition.

B. National Competitions: The Sea Grant Act states that

the Director shall allocate funding among Sea Grant colleges and institutions so as to promote healthy competition among such institutions (Sec.1123(d)(3)B(i)). Allocations to individual programs may be made under this provision on the basis of open peer reviewed competition to eligible entities as defined by law. The circumstances and duration of such awards are to be determined by the goals and criteria governing that particular competition. Such competitions would normally be open to proposals from all programs, but competitions may also be restricted to regional projects in certain instances.

National competitions are subject to the rules and policies in effect for RFP announcement, proposal submission and peer review for Sea Grant awards. Funding for such competitions may arise from Sea Grant appropriations and/or other federal sources distributed by the NSGO in accordance with provisions of the Sea Grant Act.

National competitions may originate from a number of funding sources, primarily, from Congress, NOAA and/or other agencies and Sea Grant Act appropriations.

C) New Program Provisions: The Sea Grant Act contains the specific objective in the statement of purpose "to extend and strengthen the National Sea Grant Program." In order to extend the program so as to serve all eligible states as defined in the Act, the following elements provide for the funding of new programs in accordance with the guidelines developed in previous sections of this plan.

The Director, NSGO, may provide new funds from Sea Grant Act appropriations for investments in projects and Coherent Area Programs in eligible states in which no program has yet attained institutional status. Once a program has attained full institutional status, it no longer qualifies for distributions under the new program provision. Such programs may then qualify for base minimum distributions.

All proposals submitted under the New Program Provision will be subject to Sea Grant review and merit criteria. Proposals for changes in status for new programs are subject to relevant merit based criteria and procedures. Changes in status may change a program's eligibility for distributions under this plan. However, such changes in and of themselves constitute no obligation on the part of NOAA for additional funding or other exceptions from the guidelines set forth herein.

D) Special Provisions: There are special case

distributions that are provided for under the Act or represent situations requiring clarification. These include pass through grants, special grants, and unobligated funds.

1. Pass through grants/and contracts are funds awarded by the NSGO to Sea Grant Programs arising from federal funds not appropriated specifically for the support of the Sea Grant Act. Provisions of the Sea Grant Act provide this authority. Such funds are subject to the terms and conditions of the originating agency and to current policies of the National Sea Grant College Program. Pass-through funds do not require non-federal matching funds unless specified by the originating agency.
2. National infrastructure support grants are awards made under the provision of the Sea Grant Act and are generally made at the discretion of the Director, NSGO for rapid response to emerging issues or for proposals to enhance network capability. Such grants without matching funds may not exceed 1% of the total appropriated funds in that year. Proposals for special grants are subject to normal review processes in accordance with NSGO guidelines.
3. Unobligated funds are those arising from previous years' deobligations. These are returns that originate from a variety of sources and normally are less than 1% of current appropriations. Such funds become available for distribution for Sea Grant and may be used at the discretion of the Director, NSGO to augment one or more funding elements. These funds are available for distribution only in the year they occur (i.e., on a one time basis) and unless otherwise excepted, are subject to the 1/3 matching requirement of Section 1124 of the Sea Grant Act.

E) Other Considerations: This allocation plan is based on the assumption of long term program growth. However, assumptions of constant or growing funding may not be realized in a given year for a variety of reasons or appropriations bills may impose specific uses to new or existing funds. The following guidelines establish a general protocol for such situations:

1. In the event of decreases in funding levels from whatever source (e.g., appropriations, rescissions, mandates) the first priority is the maintenance of network integrity and therefore the maintenance of base funding levels.
2. In the event of significant increases in non-specific appropriations, primary consideration will be given to four areas (not listed in priority order); program base minimum adjustments, new program development, merit pool increases and base increases for all programs through competition up to the amount of the FY 2003 appropriation.
3. Increases in core funding in FY 2003 and beyond, may arise from several mechanisms:
  - a) The Director, NSGO, may from time to time both increase the merit pool and/or enhance the overall base funding allocation by one time merit based distributions up to the FY 2003 appropriation.
  - b) Program development awards from competitions to enhance programmatic activities either generally or in specific areas will be added to a program's funding base for the duration of that award (usually 4-5 years).
4. Decreases in a program's core funding may also arise from:
  - a) Reduction in merit distribution as a consequence of changes in performance grades.
  - b) Reductions in base grant awards stemming from unsatisfactory performance or for cause in relation to current Agency and Federal regulations and guidelines.
  - c) Reductions as a result of significant reductions in appropriations.
5. It is NSGO policy to establish and fund only one institutional or college program in a state as defined in the Sea Grant Act, except for those Programs that attained institutional status prior to FY 2002. Once institutional status is attained in a state, that program assumes the duties and responsibilities of a Sea Grant Program for that state.

#### **IV. New Program Policy**

It is NSGO policy to accommodate the establishment and growth of new Sea Grant programs in the remaining states and territories that are eligible for Sea Grant College designation. The purpose here is to provide guidance on procedures and designation of resources for new programs in order to facilitate the orderly development of new Sea Grant programs.

Sequential Steps to Sea Grant College Status - Establishing Sea Grant College Program status is a sequential process that occurs over a period of time, typically a decade or more. To achieve Sea Grant College status, three steps must occur: Coherent Area Program, Institutional Program and Sea Grant College Program. These steps are described more fully as follows:

General - Eligibility, qualifications and responsibilities for Sea Grant Programs are set forth in the Sea Grant Act and the Federal Register (V44:244). A Sea Grant Program is a university-based program usually administered by one institutional entity within a coastal or Great Lakes state.

Any eligible institution in the remaining states and territories that are eligible for Sea Grant College designation may apply to NOAA's National Sea Grant Office (NSGO) for a project grant. A project grant is simply a proposal from an eligible institution to initiate a Sea Grant programmatic activity for a given time period. This is generally the first step in seeking Sea Grant Program status.

Institutional entities may subsequently petition the NSGO for changes in program status in sequential order as defined below.

A) Coherent Area Program - The NSGO may request proposals from eligible institutions for the purpose of establishing Coherent Area Programs. An institutional entity may apply to the NSGO to become a Coherent Area Program in order to conduct Sea Grant activities limited in geographic area and/or scope. Grants are made to Coherent Area Programs with the expectation of renewal if the quality and relevance of the program is maintained. The NSGO will only accept Coherent Area Program proposals from eligible entities in states without existing Sea Grant Institutions or Colleges. All Coherent Area Program proposals are subject to Sea Grant review procedures and must be satisfactorily evaluated against Sea Grant project evaluation criteria. An institution must be designated a Coherent Area Program for at least two to three years before being eligible to apply for Sea Grant institutional status.

B) Institutional Program - The NSGO may competitively award Sea Grant Institutional Program status to one or a consortium of eligible entities having Coherent Area Programs. Criteria to be met are similar to that for a Sea Grant College and all eligible institutions may apply. Proposals for Institutional Program status will be referred to the Director of the NSGO, who will convene a panel of experts for the purpose of reviewing proposals against institutional program review criteria as defined in the Federal Register (V42:70). The experts' panel will make a recommendation to the Director regarding Institutional Program designation. The Director will make the final decision on Institutional Program designation. The NSGO will designate only one Institutional Program per state.

C) Sea Grant College - This is Sea Grant's highest program category. Sea Grant Colleges have broad responsibilities for state, regional and national activities and engage all of the institutions of higher learning in a state. Only Institutional Programs are eligible, after an appropriate period of time (at least two to three years) to become Sea Grant Colleges. Designation is made on the basis of merit and a determination by the Secretary of Commerce that such a designation meets the qualification criteria as set forth in the Federal Register (CFR, 1997 Ch. IX: Part 918).

New Program Implementation Plan - Beginning in FY 2003, the NSGO will announce a process for eligible institutional entities to submit Coherent Area Program and Institutional Program proposals. Since the remaining states and territories eligible for Sea Grant College designation are limited in number, the NSGO plans to make this opportunity available primarily with new funds.

## V. Distribution of Funds

This section addresses the issue of the distribution of funds to the specific categories. The Sea Grant Act is definitive in fixing responsibility for the distribution of funds with the Secretary of Commerce and Director, NSGO. Funds are to be distributed in support of the purposes of the Act, but the Act provides considerable latitude within the merit and competition framework on the distribution of funds to various categories. Section II of this document provides specific goals and objectives for the distribution of funds. Based on those precepts articulated in Section II, the following guidelines will apply to the distribution of funds to categories. Note these are general guidelines and circumstance and/or future appropriations bill language may require exceptions for these guidelines. The guidelines are as follows:

A) Allocation policy will be reviewed by the NSGO in the year preceding the last year of a reauthorization sequence. For instance, these guidelines would be reviewed in FY 2007. Both the National Review Panel and Sea Grant Colleges and Institutions would be given the opportunity to participate in such a review.

B) Funding amounts up to the FY 2003 appropriated amount may be used in any category including base funding.

C) Sea Grant appropriations in excess of the FY 2003 amounts may only be allocated to programs through merit or competitive mechanisms and not to base funding, with the exception of new Sea Grant Colleges or Institutions.

D) Designation of appropriated funds within these guidelines will be made by the Director, NSGO as soon as possible after an appropriation bill is passed for the fiscal year.

# **NOAA Response to:**

FINAL REPORT  
Engaging NOAA's Constituents

A Report to the NOAA Science Advisory Board

October 2009

By the  
NOAA Executive Committee on Engagement

## Introduction

In March 2008, the Science Advisory Board (SAB) delivered a report to NOAA's Administrator's calling for NOAA to more effectively engage its constituents. Through this report "*Engaging NOAA's Constituents: Putting the Pieces Together to Create Impact*"<sup>1</sup> the SAB provides eight findings and a comprehensive set of 33 recommendations to NOAA for engaging its constituents and presenting an understandable vision to its clientele. The SAB looked at NOAA's various opportunities and challenges and made recommendations on actions NOAA should take to increase, improve, and refine its extension, outreach and education activities.

As a result of the SAB Report, NOAA created the Executive Committee on Engagement (ECE) comprised of the Chair of the Education Council, the Director of Communications, the Chair of the Regional Collaboration Executive Oversight Group and the Chair of Extension and Training Services Committee. It is intended that the ECE will provide corporate guidance and recommend actions to the NOAA Executive Panel (NEP) to promote a strong dialog and two-way relationship with society that enables NOAA to identify, develop and improve products and services to meet society's needs.

In order to foster collaborative planning across the range of NOAA engagement activities and programs, the ECE is:

- Coordinating the engagement activities of NOAA's Education Council, Office of Communications and External Affairs, Regional Collaboration Executive Oversight Group, and Extension and Training Services Committee;
- Developing and implementing NOAA's Engagement Strategy to help ensure integration across NOAA's engagement activities;
- Being responsive to national issues/topics raised by NOAA leadership and the field that require integrated engagement activities across the agency;
- Serving as a mechanism for coordination of engagement activities and information exchange from the grass roots level to NOAA leadership; and
- Ensuring the development and incorporation of assessment and evaluation policies within NOAA engagement activities and programs.

This document is intended to provide an overview to the NOAA SAB of efforts undertaken to address the SAB recommendations and a path forward towards achieving effective engagement with our constituents.

## Executive Summary

NOAA leadership is committed to engaging its constituents in order to become a fully engaged agency that is more connected to its consumers and clients. NOAA believes it has the responsibility to provide leadership for this country's extension, training, communication and education programs regarding issues related to oceans and atmosphere. Furthermore, NOAA

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Engaging NOAA's Constituents: Putting the Pieces Together to Create Impact.  
[http://www.sab.noaa.gov/Reports/SAB/SAB\\_Final\\_Report\\_03\\_20\\_08.pdf](http://www.sab.noaa.gov/Reports/SAB/SAB_Final_Report_03_20_08.pdf)

agrees with the SAB that by properly engaging its constituents, NOAA's contribution to overall competitiveness will be more efficient and effective, increasing the overall value of NOAA to society.

Engagement includes the following elements:

**Communications:** The process of using internal communications, external relations and media affairs, to deliver messages and other information in support of NOAA's strategic goals.

**Education:** Education is the process by which individuals develop knowledge, values, and skills. Education encompasses both teaching and learning.

**Extension and Training:**

**Extension** - Sustained interaction with specific audiences using communication and education techniques to transfer science-based information or skills that inform decision-making and/or change behavior.

**Training** - A process of transferring knowledge and skills using standardized instructional methods and techniques to targeted professional audiences for the purpose of developing and enhancing professional competencies.

**NOAA's Regional Collaboration:** A flexible network established to support integrated, regionally-tailored implementation of NOAA-wide programmatic priorities. The collaboration process provides a more systematic approach to both internal and external communications and multi-disciplinary planning and execution on the highest priority regional needs, mobilize knowledge and capabilities across the agency, and engage its stakeholders to improve NOAA's productivity and value to its customers.

Below we provide the summary recommendations of the SAB, progress to date, and comments and recommendations on the path forward associated with recommendations not yet fully considered. The NOAA Response to the Recommendations includes the lead NOAA offices responsible for addressing that particular Recommendation.

This document includes, as appendices, *An Engagement Strategy for NOAA* and ECE Terms of Reference.

**Summary of the SAB Recommendations**

The 33 recommendations, taken together, fall into three broad areas: 1) a need for a public engagement strategy; 2) a need for a coordinating body and resources to implement a public engagement strategy; and 3) a need for better utilization of partnerships in engagement and greater public accountability. Below is a listing of the recommendations followed by a table including progress to date on each of these recommendations.

**NOAA Progress to Date in Response to the SAB Engagement Recommendations:**

<b>Recommendation</b>	<b>Progress to Date</b>	<b>Responsible Parties</b>
<p><b>1.1</b> NOAA should review and revise its strategic plan, mission, and vision statements to include the importance of an informed and engaged public consistent with the new authorization language. There needs to be a shift in focus to a more engaged organization providing products and services, as well as science, to the American people. NOAA must work to change the organizational culture as well as its process and procedures to encourage, promote, and reward engagement.</p>	<p><i>Steps taken to date include:</i></p> <p>NOAA’s Office of Program Planning &amp; Integration (PPI) is leading the development of the Next Generation Strategic Plan (NGSP), to be completed in early 2010. The effort to develop the NGSP will be a 9-12 month iterative process of data gathering, both internally and externally, including regional stakeholder meetings to get input, analysis, revision, and vetting of those things that are most fundamental to the work of the agency: its corporate mission and vision for the future, its top-level goals and desired outcomes for society, as well as near-term, concrete objectives and strategies. A key outcome of the planning process will be a determination whether the current strategic construct will serve NOAA well in the plan years FY 2013-2017.</p>	<p>PPI</p>
<p><b>1.2</b> NOAA should develop a strategy for public engagement that provides a roadmap for coordination of all extension, outreach, and education programs in the agency.</p>	<p><i>Complete</i></p> <p>The NOAA Engagement Strategy was completed in December 2008. A copy of the Engagement Strategy is provided in Appendix A.</p>	<p>ECE</p>
<p><b>1.3</b> NOAA should develop a coherent set of informational products and tools, including appropriate evaluation strategies, for use by all NOAA employees when engaging their stakeholder communities. NOAA also should acknowledge the importance of the involvement of NOAA employees in engagement, and this should be communicated and rewarded at all levels of NOAA management starting in the highest administrative offices.</p>	<p><i>Steps Taken to Date Include</i></p> <p>A coherent set of climate products and tools is under development as part of the overall NOAA Communications Plan and the Climate Services Portal. A Kellogg based engagement evaluation rubric has been developed to help NOAA employees assess how well they are engaging their constituents. The rubric is based on the seven characteristics identified in the Kellogg Commission Report: 1) Responsiveness; 2) Respect for partners; 3) Academic neutrality; 4) Accessibility; 5) Integration, 6) Coordination; and 7) Resource partnerships are useful for understanding the kind of behavior needed for effective engagement.</p>	<p>Office of Communications, ECE</p>

	<p>NOAA has developed a rubric based on the seven characteristics that describes ranges of behavior for each characteristic, so that NOAA programs can start to assess their engagement efforts. The agency is also developing a set of communications plans based on strategic priorities expressed in the NOAA Annual Guidance Memorandum. Informational products will be some of the deliverables within those plans in the near future. We are considering adjusting elements of the Senior Executive Service plans to address the need for assessing engagement efforts throughout NOAA.</p>	
<p><b>1.4</b> NOAA should include a climate science component for non-coastal programs to deal with atmospheric and climate change issues.</p>	<p><b>Steps taken to date include:</b></p> <p>NOAA is involved with non-coastal programs that deal with atmospheric and climate change issues. For example, all 122 Weather Forecast Offices (WFO) have a climate focal point within each of the WFOs. These climate focal points and the NOAA regional climate collaboration teams, work together in developing climate, training and providing climate information non-coastal constituents.</p>	<p>ECE, Regional Teams, Line Offices</p>
<p><b>2.1</b> NOAA should expand the mission and membership of the current Education Council to become an Engagement Council, chaired by the NOAA Education Director, to administer a NOAA-wide program of extension and outreach. The expanded Council must be given appropriate administrative and budgetary authority, and leaders of NOAA programs in extension, outreach, and education, as well as the Office of Communications, should be represented on the Council. For example, the National Sea Grant Extension Leader should be a member. The Council should have as its mission to seek ways to combine strengths, leverage as appropriate partnerships established by any NOAA activity for the benefit of all, and refine and modify NOAA engagement programs as needed to address national and/or regional needs.</p>	<p><b>Steps taken to date include:</b></p> <p>The Executive Committee on Engagement (ECE) was created. The mission of the ECE is to ensure all NOAA engagement activities are conducted with a commitment of service to society through a partnership based on reciprocity and sharing of goals, objectives, and resources.</p> <p><b>Membership:</b></p> <ol style="list-style-type: none"> <li>1) Chair: Director of the Office of Communications</li> <li>2) Assistant Administrator for Program Planning and Integration</li> <li>3) Director of Education; and</li> <li>4) Chair of the NOAA Extension and Training Services (NETS)</li> </ol> <p>In addition, a NOAA Administrative Order (NAO 216-201) established a NOAA Extension and Training Committee. Of note, the National Sea Grant College Program is a member of the NOAA Extension and Training</p>	<p>ECE, Education Council</p>

	<p>Committee.</p> <p>Many of the functions described in this Recommendation are performed by the NOAA Regional Collaboration effort directed by Regional Collaboration's Executive Oversight Group (EOG).</p>	
<p><b>2.2</b> The Engagement Council should be charged with development of the NOAA engagement strategy.</p>	<p><b>Complete</b></p> <p>The NOAA Engagement Strategy was completed in December 2008. A copy of the Engagement Strategy in provided in Appendix A.</p>	ECE
<p><b>2.3</b> The Engagement Council should maintain an inventory of all extension, outreach, and education activities across NOAA. The Council should review NOAA's engagement with consumers and clients with the aid of the engagement test prepared with support from the Kellogg Commission. The Council should also establish guidelines for best management practices in all NOAA extension, outreach, and education programs. The Council should also define metrics for success and ensure that the required data are collected.</p>	<p><b>Steps taken to date include:</b></p> <p>Environmental literacy is a cross-cutting priority in NOAA's Strategic Plan and consequently is an essential strategic planning element for each of the four mission goals' annual planning activities. The NOAA Education Council is charged with development of policy and direction with overseeing the Agency's progress toward environmental literacy. Toward that end, the Education Council conducts an annual strategic assessment of NOAA's environmental literacy activities analogous to program planning and goal strategic portfolio analysis phase of the Planning, Programming, Budgeting and Execution System (PPBES) Planning process. The Council reviews all relevant requirement drivers, examines current resource capacity (based on Programs reporting through the POPs), evaluates 100% requirement (based on Program reporting and Agency level need), assesses proposed alternatives, and recommends to NOAA's Planning, Programming &amp; Integration (PPI) and NOAA's Policy, Analysis and Evaluation (PA&amp;E) offices options that represent strategic opportunities that leverage partnerships and maximize benefit. Expansion of this review to include communication, extension and training is under review.</p> <p>The ECE is establishing guidelines for best practices in some areas, for example: improve responsiveness, provide intellectual and scientific neutrality, enable integration,</p>	ECE, Education Council

	communicate access points, increase coordination, leverage partnerships, and maintain respect for partners.	
2.4 The Engagement Council should report annually to the NOAA Administrator and, when appropriate, to the Science Advisory Board (SAB) to provide an update on progress of programs of engagement, an assessment of their effectiveness, challenges, and plans for the future.	<p><b>Steps taken to date include:</b></p> <p>The ECE reported to the NOAA Executive Panel in December 2008 and will report to NOAA leadership again on September 2009. The ECE briefed the SAB in March 2009.</p>	ECE
3.1 The SAB Report recommends that at least 10% of the NOAA budget be committed to engagement. This funding recommendation was based on percentage of funding spent on extension, outreach, communication and education in NOAA programs that the Working Group determined to have strong engagement programs (including Sea Grant and National Marine Sanctuaries Program, which spend 36.3% and 20% respectively), (Figure 2). The proposed Engagement Council should periodically evaluate the adequacy of the 10% funding recommendation. Efforts to enhance NOAA's extension, outreach, communication and education programs are too critical to wait for new money.	<p><b>Steps taken to date include:</b></p> <p>Steps are being taken to coordinate existing programs to maximize and leverage the efficiency and effectiveness of base program funds. Additional funds are being requested through the PPBES process.</p> <p>Additional funds are being made available for engagement activities. For example, funds have been allocated to the NOAA Regional Teams for engagement activities through a mini-grant process in FY 09. The recipients were:</p> <p><i>“Climate Change and Adaptation in the Pacific: Linking Communities with Information” (Pacific),</i>  <i>“Regional Ocean Governance: NOAA Support to the Governors’ South Atlantic Alliance” (Southeast and Caribbean Regional Team),</i>  <i>“NOAA Climate Sciences and Services Storytellers Workshop” (Central Regional Team),</i>  <i>“NOAA Gulf of Mexico Regional Coordinating Team Stakeholder Engagement Mini Grant Proposal” (Gulf of Mexico),</i>  <i>“Communicating Uncertainties of Climate Change in the Great Lakes: Striving for a Carbon Neutral NOAA Engagement” (Great Lakes)</i></p> <p>The recipients are making progress on their respective proposals.</p> <p><i>Additional funds are also being made available through Sea Grant in FY10.</i></p>	ECE, PPBES
3.2 NOAA’s program managers, researchers, and other employees, where appropriate, should have, as a starting point, a commitment of 5% of their	<p><b>Steps taken to date include:</b></p> <p>NOAA is considering focusing 15% of</p>	ECE, Line Offices,

<p>time to engagement in their position descriptions, performance plans, and programs. The NOAA Engagement Council should assist NOAA employees in engaging the public. NOAA employees and associates should be given basic information about NOAA science and services and points of contact within the organization to allow them to get additional information on topics of interest. This will allow NOAA employees to acquire and present a broader and more integrated view of NOAA. The Engagement Council should highlight activities that allow NOAA employees to discuss their research or programs with the general public, policy makers, community groups, school groups. The Council also should highlight events where NOAA programs are focused on such as beach clean-ups, lectures, and storm watcher training. Identifying the best practices in this area will help improve and expand these efforts. The Engagement Council should reach out to individuals across NOAA to sponsor the development of communications materials that provide insightful visual material (videos, search engines, or data displays) or compelling written descriptions of NOAA issues.</p>	<p>SES performance plans on engagement. Additional performance plan requirements will be implemented as appropriate. A NOAA 101 introductory course is in the process of being updated and will be used as a part of the Commerce Learning Center Module program. NOAA management intend to make this course mandatory for all new NOAA employees.</p>	
<p><b>4.1</b> Should review their operational plans to ensure that they include the “one NOAA” vision and expectation that extension, outreach, and education are essential components of, and expectation for, success and performance.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>OneNOAA materials (e.g., climate toolkit) are being developed and distributed to NOAA programs. An internal and external climate training and education framework has been developed as a near-term opportunity for climate services.</p>	<p>ECE, Office of Communications</p>
<p><b>4.2</b> Should identify resources to allow them to consistently implement NOAA strategies identified in the engagement plan to integrate extension, outreach, and education in the delivery of their products and services, and in their interaction with consumers and clients.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>Resource expectations for programs are evolving with the development of “oneNOAA” materials and cross-cutting strategies.</p>	<p>ECE, Office of Communications</p>
<p><b>4.3</b> Should establish an agency-wide engagement training program for all current and future employees. More extensive training programs in translational science should be developed for the 600 extension, outreach, and education professionals to equip them to be the interface between NOAA’s scientists and its consumers and clients.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>A NOAA 101/TeamNOAA training module is in the process of being updated and used as a part of the Commerce Learning Center Plans for agency-wide climate training. An internal and external climate training and education framework has been developed as a near-term opportunity for climate services.</p>	<p>ECE, Office of Communications, CPO</p>
<p><b>4.4</b> Should consistently incorporate performance benchmarks, indicators of performance or other similar means of establishing the expectation</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>A Kellogg based evaluation rubric has</p>	<p>ECE</p>

<p>across all programs and personnel that the successful implementation and incorporation of engagement is important to NOAA management, and to achieving NOAA’s mission and vision.</p>	<p>been developed and is undergoing testing.</p>	
<p><b>5.1</b> Extension, outreach, communication and education efforts need to be coordinated across organizations to assure that the results will be greater than the sum of their parts. The public should easily be able to identify services, products, and programs funded by or associated with NOAA; all services, products, and programs should display the NOAA logo.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>The Executive Committee on Engagement (ECE) was established to coordinate extension, outreach, communication and education efforts. Additionally, NOAA established the regional collaboration effort to support integrated, regionally-tailored implementation of NOAA-wide programmatic priorities and provide a more systematic approach to both internal and external communications. The overarching purpose of regional collaboration is to improve NOAA’s productivity, visibility, and value to customers.</p>	<p>ECE</p>
<p><b>5.2</b> NOAA should establish a mechanism to regularly monitor public awareness, knowledge, and use of its services, products, and programs.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>NOAA engaged Harmonics Inc. who conducted a baseline survey to assess public awareness and knowledge of NOAA’s products and services. The survey is intended to provide indicators for assessing the effectiveness of NOAA’s public outreach programs. The system aggregates, annotates and analyzes large samples of Web content from multiple sources, including sites from NOAA, its partner organizations, news media outlets, and Web blogs relevant to NOAA’s core activities.</p>	<p>ECE, Office of Communications</p>
<p><b>6.1</b> NOAA should recognize that while it currently has many very valuable national audiences, consumers and clients that it must continue to foster, its greatest growth potential is in further development of, and engagement with, local audiences, consumers and clients.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>NOAA has significantly expanded its focus on regional collaboration in order to put more focus on regional, state and local customers and clients. <i>The expansion of the regional effort includes placement of a full time coordinator on all 8 regional teams, additional funds provided for regional engagement efforts and climate specific engagement efforts as well as increased involvement by many of NOAA’s regional networks, e.g., Sea Grant, the National Estuarine Research Reserve System, the Coastal Services Center and the IOOS Regional Associations. In addition, NOAA is exploring innovative methods of</i></p>	<p>ECE, Regional Teams</p>

	<p><i>communications (e.g., podcasts and meetings in the virtual world) to better connect with local audiences, consumers and clients.</i></p>	
<p><b>6.2</b> NOAA should utilize its newly formed regional collaboration structures to create opportunities to become fully engaged with local consumers and clients on national issues. While the majority of extension, outreach and education specialists in NOAA reside in Sea Grant, in many regions it is not clear how fully these capabilities are being leveraged by NOAA teams. For example, the Gulf of Mexico Region may be a leader in including Sea Grant and other partners in regional activities and thereby leveraging the power of those organizations. The proposed pilot project with Sea Grant in the Gulf of Mexico (see Appendix IX) could be a good test case for expanding this synergy.</p>	<p><b>Steps taken to date include:</b></p> <p>Through the NOAA Extension and Training Services Committee, NOAA is coordinating all of its extension and training assets. This includes assets in Sea Grant, National Estuarine Research Reserve System, Coastal Services Center, Climate Program Office, NWS Warning Coordination Meteorologists, and the National Marine Fisheries Service.</p> <p>In addition, the NOAA’s Regional Collaboration effort is focused on strengthening engagement. NOAA’s 2<sup>nd</sup> Annual Regional Collaboration Workshop held March 31-April 2, 2009, included a session on “Engagement and Lessons Learned”. The main objectives of that session were to: 1) gain an understanding of NOAA’s engagement strategy and how it is relevant to regional; 2) share cross-team experiences including current methods and lessons learned in engagement; and 3) develop a list of findings and recommendations on best practices for improving effectiveness in engagement.</p> <p>All 8 regional collaboration teams have undertaken efforts to strengthen NOAA engagement. For example:</p> <p>1) The Alaska Region recently completed an Integrated Services Plan which was compiled exclusively through a stakeholder and customer engagement process.</p> <p>2) The Gulf Extension, Outreach and Education (ECE), pilot was recently funded by Congress. In FY 09, Congress added \$500K to partially fund the Extension, Outreach and Education pilot project recommended by the SAB report.</p>	<p>ECE, Regional Teams</p>

<p><b>6.3</b> NOAA should coordinate its existing extension, outreach, communication and education networks at the national, regional, and local levels to better engage consumers and clients at all levels. At the national level this coordination should be through the proposed NOAA Engagement Council (See Finding #2).</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>The Executive Committee on Engagement (ECE) is responsible for coordinating across NOAA’s extension, outreach and education networks.</p>	<p>ECE</p>
<p><b>6.4</b> NOAA should assure that it’s newly created regional structures, and those of NOAA Sea Grant, are well integrated and coordinated. Local engagement should be accomplished by nationally and regionally coordinated programs inside and outside of NOAA, including Sea Grant, NERRS, NWS, Coastal Zone Management, Coastal Services Center, National Centers for Coastal Ocean Science, museums, aquariums, etc. This would also address recent requests for better coordination of coastal programs from the Office of Management and Budget (OMB).</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>Interaction and coordination between the Regional Collaboration Teams and Sea Grant, National Estuarine Research Reserves, National Weather Service, Coastal Zone Management, Coastal Services Center, National Centers for Coastal Ocean Science, museums, aquariums is increasing. Creation of the NOAA Extension and Training Services Committee will accelerate the interaction and coordination. For example, at the NOAA’s 2<sup>nd</sup> Annual Regional Collaboration Workshop held March 31-April 2, 2009, a session on “Improving Regional Team Networks to Meet Regional Collaboration Goals” was held. The objectives of that session were to: 1) understand the existing “lineage” of the regional teams and assess diversity and representation with respect to the larger NOAA – are there patterns of program representation that we can further leverage? Are there missing pieces that we need to fill in?; 2) document existing connections to other federal agencies, states, academic partners and others and discuss strategic advantages and limitations of such partnerships; 3) develop an approach for managing “hybrid” team members’ participation on internal NOAA business such as pre-decisional budget formulation discussions; and 4) develop a list of findings and recommendations on the type of team members and partners that make regional teams more effective in advancing Regional Collaboration Goals.</p> <p>In addition, Sea Grant is sponsoring a NOAA Regional Team Climate Engagement Mini-Grant Program to: 1) encourage Sea Grant programs to interact and work with their NOAA colleagues in the region and vice</p>	<p>ECE, NETS, Regional Teams</p>

	<p>versa; and 2) further jump-start regional scale climate engagement with key NOAA constituencies.</p> <p>NOAA Extension and Training Services (NETS) is working with the National Environmental Education Federation to make available and encourage all NOAA NETS personnel to complete the recently released on-line climate change training module: <i>Climate Change: Fitting the Pieces Together</i>.</p>	
<p><b>6.5</b> NOAA should use its regional structures to address pressing issues, such as climate and energy, through its extension, outreach, communication and education programs in both coastal and non-coastal states with a variety of partners (e.g. universities, K-12 education, and professional associations).</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>The 8 NOAA regional teams have each identified high priority issues for their regions. NOAA is increasing the use of its regional structures to address pressing issues, particularly climate.</p>	<p>ECE, Education Council, Regional Teams</p>
<p><b>7.1</b> Funding regional pilot projects (see Finding #6) with selected partners to learn how broad engagement activities, representing all of NOAA and clearly identified as NOAA, could take place.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>NOAA is supporting many new and exciting regional pilot projects, for example the FY09 Gulf of Mexico Engagement Pilot. The goal of the pilot is to “strengthen, organize and improve” the agency’s ability to engage constituents. The pilot hopes to serve as a national engagement model for replication in other U.S. coastal regions.</p>	<p>Regional Teams</p>
<p><b>7.2</b> Funding similar regional pilot projects with universities, informal science education institutions, the weather and climate enterprise partners, and others that are not currently NOAA partners, to learn how new partners can be enlisted in the most cost-effective manner.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>NOAA is supporting regional pilots that expand our partner network. For example, NOAA’s support of the Science on a Sphere User’s Group and the Coastal America Learning Center network. In addition, NOAA is exploring a partnership with informal science centers, universities and climate interested stakeholders to assist communities grapple with local implications of climate scenarios.</p>	<p>Regional Teams, Education Council</p>
<p><b>7.3</b> Continuing and expanding diagnostic assessment activities to learn which of these partnerships produces the largest return on investment. Those findings in turn can be used by NOAA to decide where future pilot and implementation projects should be undertaken. The evaluation of “Science on a Sphere” is a good example of such assessment practices.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>Diagnostic assessments of NOAA's regional efforts are continuing and expanding. One resource for improving NOAA's ability to conduct these assessments is the Kellogg Commission on the Future of State and Land Grant Universities.</p>	<p>SGPA Team, PPBES</p>

	<p>The Kellogg report identifies seven characteristics that are central to conducting effective engagement: 1) Responsiveness; 2) Respect for partners; 3) Academic neutrality; 4) Accessibility; 5) Integration, 6) Coordination; and 7) Resource partnerships are useful for understanding the kind of behavior needed for effective engagement.</p> <p>NOAA has developed a rubric based on the seven characteristics that describes ranges of behavior for each characteristic, so that NOAA programs can start to assess their engagement efforts. The Kellogg rubric was the focus of a NOAA engagement workshop held in Mobile, Alabama in August 2008. Revisions to the rubric were made based on the outcome of this workshop. In 2009, an engagement pilot was funded by Congress to further explore the concept of engagement in the Gulf of Mexico.</p> <p>The Kellogg rubric is being used in the evaluation of the Gulf of Mexico Engagement pilot. Broader use of the Kellogg rubric as the basis for diagnostic assessments of the engagement efforts of the regional teams is under consideration.</p> <p>In addition, NOAA, in partnership with the Institute for Learning Innovation a premier evaluator of informal education, is undertaking a rigorous study of the public learning impact of the unique visualization technology used in Science on Sphere. This evaluation effort is in its early stages. This evaluation will be used in the future to help decide where future pilot and implementation projects should be undertaken.</p>	
<p><b>7.4</b> Documenting the value of partnerships (for NOAA, OMB, and the Department of Commerce) by recognizing cost-share coming from partners, both cash and in-kind, including volunteered hours by paid NOAA staff.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>Increased engagement between NOAA and external stakeholders has identified and paved the way for new partnership opportunities which leverage strengths and available resources of NOAA with that of our partners. For example, NOAA in the Pacific Islands Region has partnered with the State of Hawaii,</p>	<p>ECE</p>

	<p>NGOs and local businesses on collaborative outreach events to promote environmental literacy. These events have generated multi-media attention throughout the region, resulting in approximately \$140K worth of media exposure and reach nearly 5 million individuals with a NOAA contribution of \$10K and staff time. The Southeast and Caribbean Region has leveraged their funding of \$50K, by a factor of 6:1 across four major regional workshops and four major projects such as the NOAA Data Explorer Pilot to make the geospatial data holdings across the agency accessible through a single interface.</p>	
<p><b>7.5</b> Deepening existing partnerships by listening to partners, soliciting regular feedback from them on the partnership, and demonstrating that their ideas and concerns are heard, appreciated, and acted upon whenever possible.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>NOAA has embarked on development of its next generation strategic plan through a process focused on listening to partners, and reflecting that input in the final plan. Regional forums to gather feedback from partners have been held in many locations including:</p> <p><b>Alaska Region</b>  2/5/09: Alaska Forum on the Environment  6/3/09: NW Pacific Regional Fisheries Council Meeting</p> <p><b>Southeast &amp; Caribbean Region</b>  5/13/09: Southeastern Coastal Ocean Observing Regional Association  5/20/09: Southeastern Regional Partnership for Planning and Sustainability  6/15-17/09: Hydrometeorological Testbed – SE Science Plan Workshop</p> <p><b>Great Lakes Region</b>  5/18/09: International Association of Great Lakes Research Conference</p> <p><b>North Atlantic Region</b>  3/6/09 ME Fisherman's Forum (Rockport, ME)  3/24/09 Ecosystem Management Conference (Baltimore, MD)  3/25/09 Gulf of Maine Council (Portsmouth, NH)</p> <p><b>Gulf of Mexico Region</b>  5/19/09 Northern Gulf Institute annual</p>	<p>Program Planning and Integration,</p>

	<p>conference 8/6/09: Gulf of Mexico Alliance annual meeting</p> <p><b>Central Region</b> 6/24/09: University of Colorado, Boulder, CO 7/22/09: University of Oklahoma, Norman, OK</p> <p><b>Pacific Region</b> 7/30/09: Hawaii Conservation Alliance annual meeting 8/20/09 Western Pacific Regional Fishery Management Council 8/27/09: American Samoa 9/09: Guam</p> <p><b>Western Region</b> 6/30/09 Governing Board of the Northwest Association for Networked Observing Systems annual meeting 7/14/09 Exec Committee for the West Coast Governors' Agreement on Ocean Health (WebEx) 8/14/09 Western States Water Council and Western States Federal Agency Support Team (GoTo/in person) 8/27/09 National Federation of Regional Associations for Coastal and Ocean Observing annual meeting</p>	
<p><b>7.6</b> Taking leadership to include environmental issues in the next generation of science education standards through working with formal education partnerships.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>NOAA is working with the National Science Teachers Association, the Board of State Science Supervisors, and the National Assessment of Educational Progress to increase focus on environmental issues, particularly those related to climate and ocean. NOAA has developed a number of products and programs to support this effort, including the ocean and climate science literacy guides, Estuaries 101 curriculum and estuaries.gov website, teacher professional development workshops in partnership with the American Meteorological Society, and the Bay Watershed Education and Training Program.</p>	<p>Education Council</p>

<p><b>8.1</b> NOAA should establish a program to determine (1) baseline public understanding and recognition of NOAA, its mission, products, and services; (2) baseline public understanding of core STEM principles upon which NOAA's work is based; (3) NOAA-wide outputs, that is, numbers of people being reached in various segments of the population, and descriptions of the duration, topics, and depth of that outreach; and finally, (4) impact evaluations on the baseline measures of samples of NOAA-operated or NOAA-supported activities in extension, outreach, and education. This program of data collection, which should use both qualitative and quantitative methods as appropriate, should also be used to provide direction to NOAA staff and partners in designing public engagement activities that are responsive to the perceived needs of key audiences and stakeholders.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>(1) Harmonics International has conducted a baseline survey for NOAA to assess the current level of public understanding and recognition of NOAA, its mission, products and services; (2) NOAA is funding the Ocean Project to update its assessment of ocean literacy and through the National Middle School Assessment Project, levels of environmental literacy will be assessed; (3) common output metrics for education are planned for development as part of the NOAA Education Implementation Plan; and (4) NOAA contemplates using the baseline measures from the Ocean Project Survey and the Middle School Assessment Project once they are completed as the baseline for future impact evaluations.</p>	<p>ECE, Office of Communications</p>
<p><b>8.2</b> These measures should reflect national focus, regional direction and local relevance. NOAA should also consider a performance evaluation system that rewards senior NOAA managers and field workers for effective impacts, yet reward systems must be very carefully developed to avoid skewing the portfolio toward impacts that are most easily quantified and measured.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>The Ocean Project Survey and the Middle School Assessment Project both reflect national focus, regional direction and local relevance. NOAA contemplates using the baseline measures from this Survey and Assessment once they are completed as the baseline for future impact evaluations.</p>	<p>ECE, Education Council</p>
<p><b>8.3</b> Impact evaluation should be developed with the full participation of NOAA staff or NOAA-supported staff.</p>	<p><b><i>Steps taken to date include:</i></b></p> <p>NOAA is working to improve its ability to evaluate the impact of its engagement efforts. The “Kellogg Commission on the Future of State and Land Grant Universities” provides helpful insight for this effort. In particular, the seven characteristics identified in the report 1) Responsiveness, 2) Respect for partners, 3) Academic neutrality, 4) Accessibility, 5) Integration, 6) Coordination, and 7) Resource partnerships are useful for understanding the kind of behavior needed for effective engagement. NOAA has developed a rubric based on the seven characteristics, that describes ranges of behavior for each characteristic, so that NOAA programs can start to assess their engagement</p>	<p>NOAA Programs</p>

	<p>efforts. The Kellogg rubric was the focus of a NOAA engagement workshop held in Mobile, Alabama in August 2008. Revisions to the rubric were made based on the outcome of this workshop.</p> <p>In 2009, an engagement pilot was funded by Congress to further explore the concept of engagement in the Gulf of Mexico.</p> <p>In addition to these efforts to broadly evaluate NOAA's engagement efforts, NOAA has undertaken more focused efforts to assess the impact of specific programs. The NOAA Education Council has established an Evaluation Working Group that is compiling and inventory of current program evaluation efforts and developing an agency-wide education monitoring and evaluation system. The evaluation approaches of three of the programs involved in this effort are described below:</p> <p>The Educational Partnership Program has a well developed logic model and a systematic review process. They have an excellent student tracking system and can demonstrate significant impacts in terms of the number of students supported, the number of degrees granted and the number of NOAA employees recruited.</p> <p>The National Estuarine Research Reserve System Education Program has established system-wide education products with a common evaluation framework for front-end, remedial and summative evaluation providing comparable metrics for both program outputs and intermediate outcomes (attitudes and behavioral intention).</p> <p>NOAA, in partnership with the Institute for Learning Innovation a premier evaluator of informal education, is undertaking a rigorous study of the public learning impact of the unique visualization technology used in Science on Sphere. This evaluation effort is in its early stages. A recently completed evaluation of the Science on</p>	
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	<p>a Sphere performed by the Smithsonian Museum as part of its evaluation of the Ocean Hall found that the Sphere was identified by visitors as one of the most enjoyable exhibits in the Hall. The Science on a Sphere was also identified in the report as an area where a significant amount of conceptual learning took place.</p>	
<p><b>8.4</b> Baseline data and output information should be collected across NOAA's programmatic efforts.</p>	<p><b>Steps taken to date include:</b></p> <p>Baseline data and output information are being collected across NOAA's programmatic efforts (see Program Operating Plans).</p>	<p>PPBES</p>
<p><b>8.5</b> NOAA should use established best practice techniques for overall planning and evaluation of its extension, outreach communication and education programs. These techniques include the use of "logic models" and "backward-design strategies," specific to each program, because individual programs will have their own target audiences and desired impacts.</p>	<p><b>Steps taken to date include:</b></p> <p>NOAA is using logic models and backward design strategies to enhance program planning and evaluation, logic models have been developed for education, outreach, communication and engagement. NOAA's Education Council has adopted the Bennett TOPP Model to enhance planning and evaluation. In addition, NOAA's Education Council has established a system to identify and disseminate best practices in education where appropriate.</p>	<p>Education Council, PPBES</p>
<p><b>8.6</b> NOAA should use the most rigorous practical methodology to provide the best data on project and overall program effectiveness.</p>	<p><b>Steps taken to date include:</b></p> <p>NOAA is striving to use the most rigorous practical methodologies possible to evaluate program effectiveness. The following are the key components required in a NOAA business case:</p> <p><b><i>Partner and customer demand is high for a new or improved product or service.</i></b> What type of product or service is needed? Who needs it? How will they apply it? How have customers and partners been engaged to determine this?</p> <p><b><i>NOAA has clear responsibility, authority, and distinction to meet the demand.</i></b> Who is telling the agency that it must, could, or should perform these duties?</p> <p><b><i>NOAA and its partners have a solid foundation of capabilities upon which to build a solution.</i></b> How ready is NOAA to execute a possible solution?</p>	<p>PPBES</p>

	<p>What elements of a solution are already in place, both within the agency and externally?</p> <p><b><i>A clear solution details how to fill the gap between existing and proposed capabilities.</i></b> What capabilities are currently missing? What capabilities must be added? If the solution were executed, how would all the pieces fit together? What scientific or technical improvements to operational performance would result?</p> <p><b><i>Social, economic, and environmental impacts of the NOAA solution would be high.</i></b> How would the product and service outputs of this solution directly benefit partners and customers? How would they improve public health and safety, reduce economic costs, have socio-cultural benefits, or increase environmental sustainability? What would be the consequences if NOAA failed to act?</p> <p><b><i>Technical, organizational, and fiscal risks of the NOAA solution would be manageable.</i></b> What might be the potential challenges to implementing the plan as envisaged — on schedule and within budget? How might they be overcome? Are we accepting an appropriate level of risk?</p>	
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## Summary

The SAB report provides a comprehensive set of recommendations for NOAA to evolve into a more “*fully engaged agency that is more connected to its consumers and clients, fostering enhanced partnerships and leveraging programs.*” Through implementation of the Engagement Strategy, NOAA is working towards presenting a clear vision to the public and engaging with its partners and the public in a clear and consistent manner.

NOAA leadership is committed to engaging its constituents in order to become a fully engaged agency that is more connected to its consumers and clients. NOAA believes it has the responsibility to provide leadership for this country extension, training, communication and education programs regarding issues related to oceans and atmosphere. Furthermore, NOAA agrees with the SAB that by properly engaging its constituents, NOAA’s contribution to overall competitiveness will be more efficient and effective, increasing the overall value of NOAA to society. NOAA has made some progress in implementing some of the SAB recommendations,

and is committed to an open, transparent and collaborative process in achieving the goals of the SAB Report, and more broadly those of its stakeholders and the public.

Finally, President Obama recently renamed the White House Office of Public Liaison to the White House Office of Public Engagement. NOAA's engagement commitment is closely aligned with White House priorities and tied to multiple NOAA activities, many of which are outlined above. This new type of governance and culture will better link NOAA's expert knowledge and the information required by our stakeholders.

**APPENDIX A**

# NOAA Engagement Strategy

Approved by the NOAA Executive Panel on 12/19/08

## **An Engagement Strategy for NOAA**

### **I. Introduction and Overview**

NOAA is a world leader in understanding the oceans, atmosphere, and climate change – and how they affect our health, our economy, and our future. With a total workforce of nearly 13,000 federal employees and more than 4,000 contractors, NOAA conducts original scientific research and provides products and services to government, commercial, educational and other end-users domestically and globally.

With such a broad portfolio, the list of NOAA stakeholders is substantial, as is the need to develop and maintain strong two-way relationships with those customers. As an environmental service agency, NOAA has considerable interaction with its users. NOAA has advanced a number of initiatives in recent years to improve those relationships including the establishment of NOAA Regional Teams, a reorganization of NOAA communications, and a focus on education through new and existing statutes and programs. This effort is needed to transform NOAA from a science agency that provides service to a service agency based on science.

In August 2007, Congress passed the “America COMPETES Act” that requires the Administrator of NOAA to “conduct, develop, support, promote, and coordinate formal and informal educational activities at all levels to enhance public awareness and understanding of ocean, coastal, and atmospheric science and stewardship by the general public and other coastal stakeholders...” This language gives NOAA much needed authority to enhance and integrate activities in education, communications, outreach, extension and training.

In March 2008, NOAA’s Science Advisory Board (SAB) provided NOAA with a report that calls for NOAA to “dramatically change its way of doing business if it expects to engage and serve its consumers and clients.” Central to the SAB recommendations is the need for NOAA to have an Engagement Strategy and a coordinating body to carry out that Strategy.

### **II. Engagement**

#### **What is Engagement?**

As defined by the Kellogg Commission, which introduced the term, engagement is a two-way relationship between a service provider and society. It implies a commitment of service through a partnership based on reciprocity and sharing of goals, objectives, and resources between NOAA and the society it serves. Implicit to engagement is a respect for each partner that involves listening, dialog, understanding, and mutual support.

#### **What does engagement mean for NOAA?**

For NOAA’s purpose, engagement is meant as an umbrella term for the following elements within NOAA:

- **Communications:** The process of delivering a message or other information through different media. Communications provides information about NOAA and its products and services to the news media, government officials, constituents, and the public.

- **Education:** Education is the process by which individuals develop knowledge, values, and skills. Education encompasses both teaching and learning.
- **Extension and Training:**
  - Extension* - Sustained interaction with specific audiences using education techniques to transfer science-based information or skills that inform decision-making and/or change behavior.
  - Training* - A process of transferring knowledge and skills using standardized instructional methods and techniques to targeted professional audiences for the purpose of developing and enhancing professional competencies.
- **Regional Collaboration:** A flexible network established to support integrated, regionally-tailored implementation of NOAA-wide programmatic priorities and provide a more systematic approach to both internal and external communications.

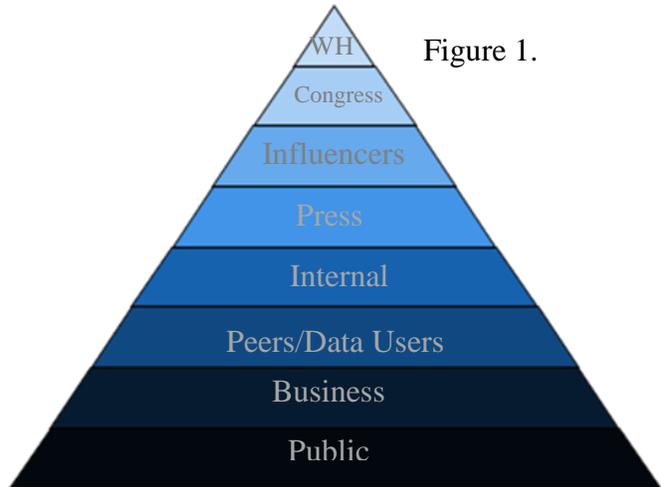


Figure 1.

While each of these elements within the pyramid focuses on different audiences, collectively they respond to, and serve, the range of audiences shown in Figure 1.

### What is NOAA’s engagement goal?

A strong dialog and two-way relationship with society that enables NOAA to identify, develop and improve products and services to meet society’s needs.

### III. Coordination and Oversight by the Executive Committee on Engagement (ECE)

NOAA currently conducts a wide range of engagement activities in communications, education, extension and training, and regional collaboration. To better coordinate these activities and ensure resources are leveraged to the maximum extent, while maintaining the unique role and responsibility each element routinely employs, NOAA has created an Executive Committee on Engagement (ECE). The ECE membership is composed of the Chair of the Education Council, the Director of Communications, the Chair of the Regional Collaboration Executive Oversight Group and the Chair of the Extension and Training Services Committee.

The ECE will provide corporate guidance and recommend actions to promote a strong dialog and two-way relationship with society that enables NOAA to identify, develop and improve products and services to meet society’s needs. In order to foster collaborative planning across the range of NOAA engagement activities and programs, the ECE will:

- Coordinate the activities of NOAA’s Education Council, Communications Committee, Regional Collaboration Executive Oversight Group, and Extension and Training Services Committee;
- Develop and implement NOAA’s Engagement Strategy to help ensure integration across NOAA’s engagement activities; and

- Be responsive to national issues/topics raised by NOAA leadership and the field that require integrated engagement activities across the agency;
- Serve as a mechanism for coordination of engagement activities and information exchange from the grass roots level to NOAA leadership; and
- Ensure the development and incorporation of assessment and evaluation policies within NOAA engagement activities and programs.

ECE members are responsible for ensuring that ECE decisions are communicated to, and supported by, their respective communities. The 4 relevant coordinating bodies are described below:

- **Communications Committee:**

NOAA's Communications Committee serves as a mechanism to bring together public affairs representatives and communications professionals from across the agency. The Communications Committee is chaired by NOAA's Director of Communications, with membership including senior public affairs and communications staff throughout the agency. The Communications Committee provides corporate communications guidance and recommends action as necessary to ensure that NOAA communications activities are linked directly to the agency's top priorities, represent one-NOAA, take advantage of the full range of agency assets, and are executed efficiently. The mission of the Communications Committee is to ensure that all corporate NOAA communication activities are conducted in a consistent manner, with a commitment of service to society. The Communications Committee meets twice monthly, or at the request of the Chair.

The Communications Committee:

- Provides communications guidance to the agency, including corporate messages;
- Ensures consistency of message and integration across communications activities; and
- Identifies national issues/topics that require integrated communications activities.

- **Education Council:**

NOAA's Education Council consists of senior representatives from NOAA's Line, Program and Staff Offices with education responsibility. The Council's primary responsibility is to serve as a NOAA forum for the discussion of ideas and proposals regarding formal and informal education and make recommendations to NOAA management on all aspects of NOAA's education activities. Council members represent their respective education interests and activities and serve as the key contact on all issues affecting their organizations' interests. The Education Council is staffed by NOAA's Office of Education and meets monthly.

Education is a cross-cutting strategic planning priority used to address NOAA's environmental literacy goals. The Education Council provides input into NOAA's goal teams and helps to monitor achievements associated with the implementation of NOAA's Strategic Plan and specifically NOAA's Education Plan goals. As support for environmental literacy continues to increase in importance to our society, members of the NOAA Education Council serve an important role in shaping NOAA's education efforts.

- **Extension and Training Services**

NOAA's Extension and Training Service (NETS) capabilities encompass a broad range of programmatic and geographic assets that, when employed in a coordinated manner, will assist NOAA in its efforts to fully engage its constituents. What is required is an integrated national coordination function of NOAA's sizable and locally placed extension and training assets nation-wide. This will help underpin NOAA's Regional Collaboration structure, with a focus on bringing together NOAA assets on the ground in a coordinated manner. As such, a new approach is needed that will enable the full range of NOAA's extension and training assets to focus on thematic priorities identified by NOAA leadership or by local or regional stakeholders and constituent feedback. The principles underlying this new approach include; national guidance and coordination, regional planning and strategy development, flexible regional, state and local implementation and accountability through collection and analysis of national extension and training metrics. The NETS has been endorsed by NOAA and has been formalized as a NOAA Administrative Order 216-102. The NETS administrative order can be found at the following web site;  
[http://www.corporateservices.noaa.gov/~ames/NAOs/Chap\\_216/naos\\_216\\_102.html](http://www.corporateservices.noaa.gov/~ames/NAOs/Chap_216/naos_216_102.html)

- **Regional Collaboration**

NOAA's Regional Collaboration network was established to facilitate multi-disciplinary planning and execution on the highest priority regional needs, mobilize knowledge and capabilities across the agency, and engage its stakeholders to improve NOAA's productivity and value to its customers.

A NOAA-wide geographic framework was designed to provide a basis for regional-scale stakeholder and partner engagement, and provide an organizing principle to encourage cross-NOAA integration. This framework consists of the following eight regions: Alaska, Central, Gulf of Mexico, Great Lakes, North Atlantic, Pacific, Southeast & Caribbean, and Western.

NOAA's Regional Collaboration effort operates through existing authority, accountability, and organizational structures. NOAA is advancing this effort through collaborative teams that link NOAA's Goal Teams and Line Offices on a regional and national basis. Some coordinating bodies have been established, however, to advance the effort. The lead teams responsible for the implementation of Regional Collaboration include the:

- Executive Oversight Group, consisting of NOAA leaders in the corporate and operating branches, which provides overall guidance and is responsible for the overall success of this effort;
- Office of Program, Planning, & Integration, which chairs and staffs the Executive Oversight Group, and serves as the organizational focal point for the effort.
- Regional Collaboration Teams, which are inter-Line Office collaborative groups that facilitate interactions between regional stakeholders and corporate NOAA to improve NOAA services and visibility in the region. Regional Collaboration Teams work within the execution structure of NOAA to improve the Line Offices' ability to meet the agency's mission, and are led by senior NOAA

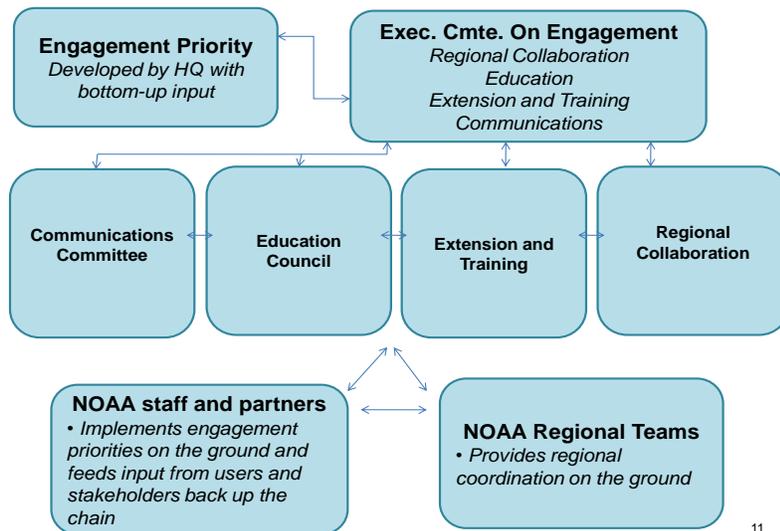
leadership in the regions. Regional Collaboration Teams are responsible for knowing the stakeholder needs in their regions and promote internal NOAA communication on regional issues.

- Priority Area Task Teams are responsible for advancing the regional-scale priorities of Goal Teams at the national level. The current Priority Area Task Teams are: Hazard Resilient Coastal Communities, Integrated Ecosystem Assessments, Integrated Water Resource Services, and Outreach and Communications. In particular, the Outreach and Communications Priority Area Task Team, and its Regional Communications Working Group, serves as an internal link between the Executive Oversight Group, the NOAA Office of Education, the Office of Communications and the eight Regional Teams

#### IV. Process for Coordination of Engagement Activities

The ECE serves as the venue where NOAA engagement activities come together, share progress and challenges, and develop the best path forward for the agency. The process for coordinating these engagement activities is meant to facilitate information flow as follows:

Figure 2. ECE Information Flow



The main functions of the ECE are as follows:

#### Gather input from stakeholders

- Extension and Training and Education work with end-users on the ground to identify topics/needs for products and provide capacity building for the use of NOAA products and services (e.g. specific climate information.)
- Regional Collaboration coordinates NOAA regional assets on the ground to also better communicate with end-users and solicit user input.
- Collective stakeholder input is incorporated into strategic planning process, and helps inform NOAA decisions about priorities.
- Communications also conducts or contracts user group surveys to identify issues that resonate with the public and where NOAA is poised to fill a perceived gap.

#### National priorities are identified

- ECE and NOAA leadership identify engagement priorities based on NOAA’s capability, strategic priorities, and user needs (e.g. climate.)

**Relevant materials are developed and distributed**

- Communications has the lead on development of corporate messages, accompanying talking points, internal and external communications toolkits, etc.
- Education Council, Extension and Training, and Regional Collaboration have the lead on development of materials relevant to their specific audiences.
- ECE serves as the venue to share those corporate messages and resources.
- All ECE members work with their networks to tailor and distribute relevant materials, messages and tools.

**Feedback helps to tailor next generation of products**

- ECE member networks utilize their relationships with communities on the ground to gather feedback from the end-users (“pull” information in) in order to tailor the next generation of products and services to better meet societal needs. Those needs are then reflected in NOAA’s future priority setting to ensure that NOAA’s research and education activities are continuously appropriate for society’s needs.
- ECE member networks assess and evaluate NOAA engagement activities and use these assessments to demonstrate accountability and improve performance.

**How will each element contribute?**

The ECE will serve as a coordination and guidance body for engagement activities. The specific implementation of this Strategy remains the responsibility of the Communications Committee, Education Council, Regional Collaboration Executive Oversight Group, and the NOAA Extension and Training Services Committee. Those four mechanisms will continue to provide national leadership for their own element while fostering flexible regional, state and local implementation and feedback to the ECE.

NOAA Communications Committee’s principal contribution to engagement is strategic, agency-wide communications, and the attached Communications Plan (Supporting Document 1) specifies the communications role in implementing its part of the Engagement Strategy. The NOAA Education Plan (Supporting Document 2) outlines the role of education as part of engagement. In addition, the Terms of Reference for Regional Collaboration (Supporting Document 3) outline the contribution that the regions will take to work agency-wide and address specific engagement priorities on the ground. Finally, the newly-formed NOAA Extension and Training Services Committee will also take specific action to coordinate activities and further the transfer of information to end-users. Their coordination process is described in a NOAA Administrative Order and proposed operating guidelines (Supporting Document 4). Over time these documents will evolve to reflect a greater coherence of approach.

**V. Performance Measures and Evaluation**

The ECE will review various approaches to evaluation (e.g., Kellogg Test) and select the model(s) best suited to evaluating engagement by NOAA. The Kellogg Test provides a framework for self-assessing NOAA’s work with partners in seven areas:

- Responsiveness

- Respect for partners
- Academic neutrality
- Accessibility
- Integration
- Coordination
- Resource partnerships

NOAA is in the process of evaluating the Kellogg Test to examine its utility and possible applicability for agency use. A preliminary examination of the viability of the Kellogg test at the regional scale suggests that the Kellogg rubric identifies appropriate, broad categories for assessing NOAA's engagement capabilities, but needs additional specificity in order to be useful for evaluation. NOAA will continue to evaluate the Kellogg test and other performance frameworks in order to identify an appropriate agency-wide mechanism for assessing engagement performance.

In addition, individual performance measures remain the specific responsibility of each NOAA entity. As such, each element will be responsive to their individual performance measures as outlined in their Annual Operating Plans, and as part of the implementation of this Plan, each element will also undertake specific quantifiable actions as outlined in the relevant supporting documents.

#### **VI. Resources**

The ECE will rely largely on the existing strength of the Communications Committee, Education Council, Extension and Training, and Regional Collaboration structure. Currently, staff time from these existing networks will be required to assist with ECE meeting and business conduct, but additional resources may be required to fully implement the Engagement Strategy.

#### **VII. Links to Supporting Documents**

[https://www.intranet.noaa.gov/nei/nep/agenda\\_2008.html](https://www.intranet.noaa.gov/nei/nep/agenda_2008.html)

## APPENDIX B

### Executive Committee on Engagement (ECE) Terms of Reference

#### **Purpose:**

The Executive Committee on Engagement (ECE) was formed in response to the NOAA Science Advisory Board (SAB)'s Extension Outreach and Education Working Group (EOEWG) report "*Engaging NOAA's Constituents: Putting the Pieces Together to Create Impact.*" The mission of the ECE is to ensure all NOAA engagement activities are conducted with a commitment of service to society through a partnership based on reciprocity and sharing of goals, objectives, and resources. The ECE provides corporate guidance and recommends action to promote a strong dialog and two-way relationship with society that enables NOAA to identify, develop and improve products and services to meet society's needs.

#### **Membership:**

- Chair: Director of the Office of Communications
- Assistant Administrator for Program Planning and Integration
- Director of Education; and
- Chair of the NOAA Extension and Training Services (NETS)

#### **Roles and Responsibilities:**

- Ensuring NOAA's engagement activities are linked directly to needs in the field, reflecting the agency's top priorities, representing one-NOAA, and taking advantage of the full range of Agency assets;
- Providing guidance, input, review and approval of a NOAA Engagement Plan to help ensure integration across engagement activities;
- Identifying national issues/topics that require integrated engagement activities;
- Serving as a mechanism for coordination of engagement activities and information exchange;
- Formulating and recommending guidance on the development and execution of engagement activities for key national issues and for SES employee plans;
- Monitoring performance measures for engagement;
- Ensuring NOAA's investment in engagement follows best practices and is applied consistently.

#### **Decision-Making Process:**

The ECE will meet at least quarterly, or at the request of the Deputy Under Secretary or a fellow member of the ECE. Since the ECE membership is comprised of chairs from existing entities, the ECE will officially report to the Deputy Under Secretary. To the extent possible, decisions will be reached by informed consensus. If consensus cannot be reached, a simple majority of the votes will carry the issue(s). If there is a tie, the Chair will cast the tie-breaking vote.

**Sea Grant Week 2010  
Draft Agenda (1/28/10 update)**

**FOCUS TEAM MEETINGS – to be run by National Office**

**Wednesday, October 13, 2010**

**Focus Team arrives – Registration for Focus Team Meeting**

**Thursday, October 14, 2010**

8:00am – 9:00am Coffee  
8:00am – 4:00pm Registration for focus team members  
9:00am – 10:30am Welcome - TBD  
Focus Area Plenary Session – Leon Cammen  
10:30am – 12:00pm Breakout meetings for Focus Areas Teams  
4 concurrent sessions  
12:00pm – 1:30pm Lunch  
1:30pm – 2:30pm 4 concurrent sessions (continued)  
2:30pm – 3:00pm PM break  
3:00pm – 5:00pm 4 concurrent sessions (continued)  
5:00pm – 6:00pm Reception for Focus Teams

**Friday, October 15, 2010**

7:30 am – 8:30am Coffee  
8:00am – 4:00pm Registration  
8:30am – 12:00pm 4 concurrent sessions  
12:00pm – 1:30pm Lunch  
1:30pm – 3:30pm 4 concurrent sessions  
3:30pm – 4:00pm PM Break  
4:00pm – 5:30pm Plenary Session report out brain storming session with everyone

Dinner on your own

**PRE GENERAL SESSION ACTIVITES**

**Saturday, October 16, 2010**

8:00am – 4:00pm Registration and check-in  
8:00am – 9:00am Continental Breakfast  
9:00am – 12:00pm Break outs for groups –  
Fiscal Officers  
Communicators  
Webmasters  
Educators  
Regional Research Directors  
  
12:00pm – 1:30pm Lunch (own your own)  
1:30pm – 2:30pm Capitol Hill 101  
2:30pm – 3:30pm Sea Grant 101  
3:30pm – 5:00pm PIE-NIMS workshop by National Office

1:30pm – 5:30pm    WORKSHOP\*\* (EXAMPLES PROPOSED TO DATE)  
Aquaculture Policy  
Coastal Renewable Energy  
Tourism  
Marine Spatial Planning

\*\*NOTE \_ THE AGENDA COMMITTEE IS OFFERING SUGGESTIONS; SATURDAY AFTERNOON IS AVAILABLE OPEN TO “HOST PROGRAMS” TO PUT THEM TOGETHER.

3:30pm – 4:00pm    PM Break

6:30pm – 9:00pm    Welcome Reception (Aquarium of the Americas)  
*OPTIONAL IN REGISTRATION*

**Sunday, October 17, 2010**

Communicators –full day “service project”  
Legal Program – Full day Field Trip  
Educator’s – Full day field trip

8:00am – 4:00pm    Registration and check-in  
8:00am – 9:00am    Continental Breakfast  
8:00am – 9:00am    SGA Board Meeting  
9:00am – 11:30am    Group meetings –  
   SGA Meeting  
   National Sea Grant Advisory Board – (Kola will check)  
   Assembly  
   Research Coordinators  
   Program Mission Committee  
   External Relations Committee  
   Network Advisory Committee  
   Fiscal Offices (no word yet)

11:30am – 1:00pm    Lunch (on your own)

1:00pm – 4:30pm    Continue Breakouts for groups  
   National Sea Grant Advisory Board  
   Assembly  
   Research Coordinators

1:00pm – 4:30pm    Regional Coordinators Meeting

THERE IS TIME HERE FOR OTHER ACTIVITIES. IF REGIONAL FOLKS COME  
MAYBE HERE CAN BE REGIONAL MEETINGS

3:00pm – 3:30pm    PM Break

Dinner on your own

## GENERAL SESSION

### Monday, October 18, 2010

8:00am – 4:00pm Registration  
8:00am – 9:00am Continental Breakfast  
9:00am – 12:00pm General Session

Welcome  
President's Welcome  
Local Welcome – US Representative or Senator (Landrieu La,  
Inoue Hi, Joe Bonner AL)

Speaker Options-goal is to strike home and inspire participants and guide us into the “breakout sessions” – likely want 3 or 4 speakers in AM only –others could be lunch speakers.

OAR Administrator  
Dave Kennedy  
Buck Sutter – GOM regional team leader  
Secretary of Commerce  
OMB  
Tourism speaker  
Geraldine Knapps – port of La  
Jeremy Harris  
Dick Vortman  
VP Biden  
Garret Graves (possibly for lunch) –LA Coastal Protection and Restoration

#### LOCAL Possibilities (or lunch time speakers)

Dr Paul Coreil, Vice Chancellor and Director, Louisiana Cooperative Extension Service  
"The Future of Land Grant and Sea Grant New Paradigms for University Engagement"

Dr Chris D'Elia, Dean School of the Coastal and Environment – he has offered to welcome the group

Dr Nancy Rabalais, Executive Director of LUMCON and SG Advisory Board

12:00pm – 1:00pm Lunch: Lunch speaker  
Author of Island in a Storm - Abby Salinger

1:00pm –5:30pm General Session on Focus Areas

Opening Speaker ideas –

Gordon Grau - How nimble is the SG model -or - Crisis du jour or where is SG going over the next 20 years

Leon - Focus Area evolution in light of Annual Guidance

Focus Area topical speakers TBD , - Each Focus area has been asked to identify the major gaps in the collective activities of the network. They (we) will use these gaps to identify a speaker for each Focus Area – preferably not from the Focus Teams (30 minutes each). This should set the scene for the breakout sessions on Tuesday AM. \$\$\$\$\$\$?

Safe and Sustainable Seafood  
Sustainable Coastal Development  
Healthy Coastal Ecosystems  
Hazard Resilience  
Crosscutting – Climate Change

Last hour - Round table discussion by Focus Team Chairs – what did we hear and how can we use it for Breakout Sessions

3:00pm – 3:30pm PM Break

5:30pm – 7:30pm Cash Bar and Poster Session – Maybe do some kind of BMP poster session – students – other?

Dinner on your own

## **Tuesday, October 19, 2010**

8:00am – 4:00pm Registration

7:30am – 8:30am Continental Breakfast

8:30am – 12:00pm Breakout Session -

Opening speaker - need to set the scene and draw from above speakers.

This is still very loose; target is to have topics resolved by late Spring. Each breakout works to develop strategies and a proposal on how the SG network can help to address the issues including: Where do we go in the future? What is next for Sea Grant? Looking around the corner? Concern exists about organizational development; eg. how does the focus team fit into the rest of NOAA? And how does the Focus Teams' activities and outputs connect to the rest of the network overall and regionally (the speakers session is good example of how to use the Focus Teams beyond PIE. Determine where Focus Areas connect.

Possible Breakout Themes:

Focus areas:

- 1) Climate change and coastal communities
- 2) Sustainable seafood and changing markets

- 3) Hazard Resilience
- 4) Sustainable development of coastal economies (jobs, etc.)
- 5) Climate change

Others topics:

- 5) Alternative and renewable energy/marine spatial planning
- 6) SG as a research enterprise
- 7) Habitat conservation, restoration, and preservation: Can we achieve a balance?
- 8) Changing communities: whose coast is it?
- 9) Human health and our coastal waters: what's the prognosis
- 10) Coastal tourism
- 11) Cross cutting – economic and societal impacts – how to we measure and why – how do we couch it for Congress.

As a sidebar the Agenda Committee suggests that we consider inviting people from the Regional NOAA coordinators and team members to join us for the whole meeting, but particularly the Breakout session. This would only work if NOAA would agree to let them come

12:00pm – 1:00pm Lunch (speaker TBD)

1:00pm – 5:30pm International Program Session

7 possible programs 6- Korea, Japan , Indonesia – 25 minutes each – ask them to share with us their focus areas and BMPS or other.

2:30pm – 3:00pm PM Break

6:30pm – 9:00pm Banquet (Award Presentations) – We need and Awards Committee

### **Wednesday, October 20, 2010**

8:00am – 4:00pm Registration

7:30am – 8:30 am Continental Breakfast

8:30am – 9:30am Welcome Dr. Jane Lubchenko, NOAA Administrator or Margaret Spring

9:30am – 12:30am General Session Wrap up  
 Breakout Reports (4 or 5),  
 Group Reports (10 minutes each)  
 Assembly  
 NAC  
 Educators  
 Directors  
 National Sea Grant Advisory Council  
 Legal  
 Communicators

12:30pm

Research Coordinators  
Adjourn - Gordon

## **TRAILING NOTES FROM EMAILS AND CONVERSATIONS**

Suggestion for Focus Area Breakouts - Each group could discuss what makes a bigger splash? What can we do better? Maybe a proposal - where should SG be going -state/national. What are the directions for SG? From each group - one big idea for SG

impacts/ return on investments/ # of businesses created/ # of jobs retained....maybe a keynote speaker for that?

*Suggestions from conversation between LaDon and Karl:* Create a workshop on how to write impact statements

*Further suggestion from Karl and Paul Anderson:*

Have a session where the group (perhaps in the focus group on Oct 17) talks about the process of identifying the level of credibility of information sources where climate change is being discussed. Susi Moser can speak to this topic???

Why not do the Tuesday AM breakout sessions in a different manner, starting with about 30 minutes to allow the larger group to brainstorm cutting-edge topics, vote on them, and then select the top six or seven for break-out group discussion for 1 hr and a report back to the full group at the end on what each comes up with.

Steve Sempier suggested:

I've heard back from many of the SG regional coordinators or PI's (Judith Peterson, Sylvain, Nancy Targett, Darren Okimoto, Christine LaPorte), and they think a regional research coordinators session would be a good idea. I wonder if there is a way for us to arrange the schedule so that the regional coordinators session can also occur when we think the NOAA regional leads would be attending. We can highlight some of the SG regional activities that closely align with their mission and also present them with the SG focus areas and capabilities. We could then lead into discussions on how to integrate activities.

Paul Anderson suggested:

I suggest we have Buck anchor this regional team discussion and invite the coordinators from across the nation to come learn about Sea Grant. Maybe there's a way to disperse them among the focus area sessions and/or breakout groups that is intuitive with what their regions are focusing on. It would be nice if one of the outcomes of SG week is a closer integration of SG into other parts of NOAA and that may happen differently in the various regions, but that's ok. This would be a baby step toward something you may not have seen in the SG network 5-10 years ago.

## Assignments

- SAB – assigned as needed
- SRC - Heath
- SG Networks:
  - Extension - Schmitten
  - Communications - Simmons
  - Education - Rabalais
- SGA Liaison - Board Chair
- SG Week Planning Committee - West
- Focus Teams:
  - Seafood - Schmitten. Jeff remain involved for expertise. (reflects a change)
  - Ecosystems - Rabalais. Keep Judy involved for expertise (reflects a change)
  - Resilient Communities – Byrne (same)
  - Sustainable Communities – Heath (same)
- Biennial Report – West, Woeste, John Byrne, Orbach. SGA rep. is Jonathian Pennock
- Knauss Selection Board – Orbach.
- Funding Allocation Sub Committee – not tasked yet.

# **Site Review Team Procedures Manual**

## **(March 2010)**

### **I. Site Review Team Composition and Role**

Once every four years, a site review team (SRT) will visit each Sea Grant Program. The SRT will review and discuss broad issues related to: 1) Program Management and Organization; 2) Stakeholder Engagement; and 3) Collaborative Network/NOAA Activities. These three categories encompass Sea Grant's regulations listed under *15CFR918.3: Eligibility, qualifications and responsibility of the Sea Grant College Program*. The SRT will then produce a site visit report. The report will be transmitted to the National Sea Grant Office (NSGO) and to the Sea Grant Program. The SRT will not be responsible for rating the Program on any of these three areas, but will report findings from the site visit as outlined in this manual.

#### **SRT Composition**

Each SRT will be chaired by the Federal Program Officer (FPO), co-chaired by a member of the National Sea Grant Advisory Board (Advisory Board), and include a Sea Grant Director as a review team member. The SRT co-chair will be selected by the National Sea Grant College Program (NSGCP) Director in consultation with the Chair of the National Sea Grant Advisory Board. The FPO will then work with the SRT co-chair to select two additional external members, who may include:

- Representatives of appropriate commercial and industrial entities;
- Directors of institutes, centers, and laboratories;
- Leaders of state and federal resource agencies and programs (including NOAA);
- Senior officials of other academic institutions;
- Directors of cooperative extension programs or experiment stations;
- National Sea Grant Advisory Board members; and
- Recognized practitioners in appropriate fields (research, extension, education, communications, etc.).

Prior to their final appointment, the potential non-Sea Grant SRT members will be reviewed by the Sea Grant Program to assure there are no conflicts-of-interest. The SRT may also include non-participating observers (such as other Federal Program Officers from the NSGO).

#### **Role of the SRT Chair**

The duties and responsibilities of the SRT Chair are as follows:

- A. Working with the co-chair, select and recruit SRT members.
- B. Serve as primary spokesman for the SRT, communicating on the team's behalf to the Sea Grant Program, NSGO, officials of Sea Grant institutions, constituent organizations, and the general public.
- C. Plan the site visit. Consulting with the co-chair and the Director of the Sea Grant Program being reviewed:
  1. Develop the overall management of the site visit;
  2. Formulate an agenda appropriate for the visit; and
  3. Approve the public notice of the site visit, drafted and issued by the Program Director.
- D. Brief the SRT concerning the conduct of the visit, and supervise the conduct of the SRT during the review.

- E. Lead the preparation of draft findings and recommendations.
- F. Together with the co-chair, conduct the exit interview with the Program Director and appropriate university officials.
- G. Oversee the preparation, review, and issuance of the final SRT Report.

## **II. Public Notice of Site Visit**

A minimum of thirty days prior to the site visit, the Director of the State Sea Grant Program under review shall draft and issue a public notice that the Program will be reviewed on [X dates] by a SRT convened by the Director of the NSGCP. The notice will invite such persons to email comments on the management aspect of the Program or its work at least one week before the site visit date. Comments should be sent to [oar.sg.feedback@noaa.gov](mailto:oar.sg.feedback@noaa.gov).

## **III. The Site Visit Structure**

Sea Grant's regulations describe the characteristics and responsibilities of Sea Grant Institutional and College Programs. The SRT will be particularly interested in those aspects that fit within three broad categories:

- Program Management and Organization (leadership, organization, program team approach, and support),
- Stakeholder Engagement (relevance, advisory services and relationships), and
- Collaborative Network Activities (coordinated planning and cooperative work with other Sea Grant programs and other local, state and federal agencies/organizations).

During the site visit, the SRT will meet with the Sea Grant Program's management team, advisory committees, university administration, stakeholders and others as determined by the Sea Grant Program Director being reviewed.

Programs are encouraged to provide the SRT with an overview of the state Sea Grant Program at the start of the site visit. Following this introduction, the SRT will receive information largely from presentations and structured or unstructured discussions in a relatively informal setting.

### **The Site Visit Schedule**

The site visit should be designed to be completed over a two-day period (e.g., Tuesday/Wednesday), with the first day and a half dedicated to assessing the Program. The last half day is devoted to drafting the site visit report and briefing the program management team and appropriate university officials on the team's conclusions and recommendations.

### **The Exit Interview**

Prior to leaving, the SRT will conduct an exit interview with the Program Director and appropriate university officials to summarize the draft report. The SRT may choose to first brief the Program Director and other staff members, and then brief the university officials.

### **The Site Visit Report**

The draft report produced before the end of the site visit will form the basis for the final site visit report. The FPO is responsible for finalizing the site visit report. The final site visit report will have a section highlighting findings, recommendations, and suggestions as well as any activities the SRT has identified as "best management practices." A *recommendation* is a formally prescribed course of action for which the Sea Grant Program is accountable. The Sea Grant Program is expected to respond to each recommendation, explaining how it *has* implemented, how it *plans* to implement, or why it *chooses not* to implement each course of action. A

*suggestion* is an idea that is presented for consideration. The Sea Grant Program is not accountable for responding to suggestions, but is encouraged to consider implementing those deemed useful and appropriate by program leadership. The best management practices identified by the SRT will be shared with other Sea Grant Programs.

The SRT report will not include a rating for the Program. The report will be finalized and sent to the National Sea Grant College Program Director and to the state Program Director within 45 days of the review.

### **The Program Response**

Once the Program receives the site visit report, they have the option to implement any recommended changes and/or may submit a written response to the NSGCP Director up to three weeks prior to the NSGO Annual Review.

### **Subsequent Rating by NSGO**

The NSGO will review the findings, recommendations and suggestions included in the site visit report, and the subsequent response of the Program, if any. The NSGCP Director, in consultation with NSGO, will deem the Program to be either *Successful* or *Unsuccessful* based on the aspects of a program's management and organization, stakeholder engagement and collaborative network activities. Any program rated as *Unsuccessful* will be given a clear explanation for the rating and will be required to work with their FPO to develop a corrective action plan.

A program whose management is rated as *Unsuccessful* will be placed on probationary status and will not be eligible for merit funding. Once the problems have been addressed, programs may submit an appeal to change their rating during the next NSGO Annual Review.

## **IV. Site Visit Review Criteria**

This section lists the Site Visit Review criteria, which are the same as those found in Sea Grant's regulations, and includes a list of questions the SRT may ask the programs.

### **Program Management and Organization**

- **Leadership.** The Sea Grant College Program under review must have created the management organization to carry on a viable and productive Sea Grant Program, and must have the backing of its administration at a sufficiently high level to fulfill its multidisciplinary and multifaceted mandate.
- **Programmed team approach.** The Sea Grant College Program under review must have a programmed team approach to the solution of ocean/coast/watershed/Great Lakes problems which includes relevant, high quality, multidisciplinary research with associated educational and advisory services capable of producing identifiable results.
- **Support.** The Sea Grant College Program under review must have the ability to obtain matching funds from non-Federal sources, such as state legislatures, university management, state agencies, business, and industry. A diversity of matching fund sources is encouraged as a sign of program vitality and the ability to meet the Sea Grant requirement that funds for the general programs be matched with at least one non-Federal dollar for every two Federal dollars.

### **Questions the SRT may consider**

- Is the Program an intellectual and practical leader in ocean/coast/watershed/Great Lakes science, engineering, education, and advisory service in its state and region?
- Has the Program created the necessary management organization to carry on a viable and productive Sea Grant Program, and does the Program have backing of its administration at a sufficiently high level to fulfill its multidisciplinary and multifaceted mandate?
- Does the Program have a programmed team approach to solving ocean/coast/watershed/Great Lakes problems, which includes relevant, high quality, multidisciplinary research with associated educational and advisory services capable of producing identifiable results?
- Does the Program have the ability to obtain matching funds from non-Federal sources, such as state legislatures, university management, state agencies, business, and industry?
- Does the Program demonstrate the ability to continue the pursuit of excellence and sustain the following?
  - (i) leadership in ocean/coast/watershed/Great Lakes activities including coordinated planning and cooperative work with local, state, regional, and Federal agencies, other Sea Grant Programs, and non-Sea Grant universities;
  - (ii) effective management framework and application of institutional resources to the achievement of Sea Grant objectives;
  - (iii) long-term plans for research, education, training, and advisory services consistent with Sea Grant goals and objectives;
  - (iv) furtherance of the Sea Grant concept and the full development of its potential within the institution and the state;
  - (v) adequate and stable matching financial support for the Program from non-Federal sources; and
  - (vi) effective system to control the quality of its Sea Grant Programs
- Did the Program implement recommendations from the previous review?
- Does the program input usable information into the National Information Management System (NIMS) in a timely manner?
- Are publications sent to the library on a regular basis (several times per year)? Does the number of publications at the library match the number in NIMS?
- Is the Director sufficiently engaged with the Program?
- Is the host university sufficiently engaged with the Program?
- Is there an active advisory board?
- Does the advisory board contribute to the strategic plan?
- How much contact do advisory board members have with constituents of the Program?
- How often does the advisory board meet?
- How much opportunity exists for new membership (turnover)?
- Does the Program use its 4-year plan to guide its management and decision-making?
- Do RFPs reflect the objectives in the 4-year plan? Are RFPs effectively circulated to units of other institutions with relevant expertise?
- Is there ongoing interaction between the Sea Grant Program and representatives of other relevant research and education institutions within the state?
- Is there an overall balance of research, extension, and education within the Program and are the Program's functional areas integrated?
- Is the Program transparent (as to what gets funded)?
- Are peer reviews adequate and well designed with clearly identified criteria?
- Are results of funded projects appropriately measured and assessed?
- Are the Program's practices or projects promising and worth sharing?

### **Stakeholder Engagement**

- **Extension/Advisory services.** The Sea Grant College Program under review must have a strong program through which information, techniques, and research results from any reliable source, domestic or international, may be communicated to and utilized by user communities.

In addition to the educational and information dissemination role, the advisory service program must aid in the identification and communication of user communities' research and educational needs.

- **Relevance.** The Sea Grant College Program under review must be relevant to local, state, regional, or National opportunities and problems in the ocean/coast/watershed/Great Lakes environment. Important factors in evaluating relevance are the need for marine resource emphasis and the extent to which capabilities have been developed to be responsive to that need.
- **Relationships.** The Sea Grant College Program under review must have close ties with Federal agencies, state agencies and administrations, local authorities, business and industry, and other educational institutions. These ties are: (i) To ensure the relevance of its programmed activities, (ii) to give assistance to the broadest possible audience, (iii) to involve a broad pool of talent in providing this assistance (including universities and other administrative entities outside the Sea Grant College), and (iv) to assist others in developing research and management competence. The extent and quality of an institution's relationships are critical factors in evaluating the institutional/college program.

#### **Questions the SRT may consider**

- Does the Program have a system by which information, techniques and research results from any reliable source, domestic or international, are communicated to, and utilized by, user communities?
- In addition to the educational and information dissemination role, does extension help in the identification and communication of user communities' research and educational needs?
- Is the Program relevant to local, State, regional, or National opportunities and problems in the ocean/coast/watershed/Great Lakes environment?
- Does the Program have close ties with Federal agencies, State agencies and administrations, local authorities, business and industry, and other educational institutions? Do these ties:
  - (i) ensure the relevance of its programmed activities,
  - (ii) give assistance to the broadest possible audience,
  - (iii) involve a broad pool of talent in providing assistance, and
  - (iv) assist others in developing research and management competence?
- Is there coordination/cooperation with other Federal, State and local agencies in the state/region/nation?
- How has the Program chosen and developed partnerships?
  - How many and what quality of partnerships exist (including those with other NOAA programs)?
  - How many, if any, new partnerships have been formed?
- Are appropriate stakeholders informed of Program results?
- Do stakeholders support the Program?
- Is the Program a trusted and immediate point of contact for information on ocean/coast/watershed/Great Lakes issues?

#### **Collaborative Network Activities**

- **Collaboration.** Provide leadership in ocean/coast/watershed/Great Lakes activities including coordinated planning and cooperative work with local, state, regional, and Federal agencies, other Sea Grant Programs, and non-Sea Grant universities.

#### **Questions the SRT may consider**

- Does the Program contribute to the cohesiveness of the Sea Grant network?
- Is there effective communication and collaboration between the Program and other Sea Grant Programs and with the National Sea Grant Office?

- Does the Program participate or lead activities that support the overall network?
- Does the Program lead or participate in regional activities? National? Does this participation make effective use of Sea Grant network capabilities?
- Does the Program support/assist other NOAA programs? Other Federal programs?

## **V. Site Visit Materials**

### **Background Materials (Provided by the NSGO)**

The NSGO will provide the following background materials to the SRT at least four weeks prior to the site visit:

1. Most recent site review report
2. Sea Grant Program's response to the last site review report
3. Sea Grant Program's most recent annual report (program introduction (if available), metrics and impacts)
4. Other material deemed to be relevant by the SRT chair

### **Program Briefing Book Materials (Provided by the Sea Grant Program)**

The Sea Grant Program will provide the SRT with a limited and focused set of briefing materials and an agenda at least four weeks prior to the site visit. The briefing materials should include the Program's four-year plan (strategic/implementation plan) and a program site visit briefing book no longer than 20 pages. The briefing book should include a description of the Program Management and Organization (including leadership, organization, programmed team approach, and support), Stakeholder Engagement (including relevance, extension/advisory services, and relationships) and a description of the Program's Collaborative Network/NOAA Activities. At a minimum, the following list of items must be included for each broad category in the briefing book:

#### **A. Program Management and Organization**

##### **Leadership**

- Management Team composition and brief description of their responsibilities
- Percentage time Director and staff devote to SG (FTEs)
- Advisory Boards membership and function (expertise, meeting schedule, recommendations)
- Setting of the Program within the university or consortium organization and reporting structure (organization chart)

##### **Recruiting Talent**

- Brief description of the process used to develop RFP priorities
- Brief description of the review process including composition of review panels
- Number of pre-proposals and full proposals submitted, and institutions represented / institutions available in state
- New vs. continuing projects and Principle Investigators
- Recruitment of PI's/institutions
- Success in national competitions
- Regional/Multi-program projects

##### **Funding**

- Distribution of funds (research, extension, education, communications, program development, administration)

- Leveraged funding (funding that is managed by, or within the direct influence of, the Sea Grant Program) from partners (NOAA, other Federal, State, and local)
- National Strategic Investments

**Stakeholder Engagement**

- Leadership by staff on boards and committees
- Partnerships
- List of important stakeholders and how the Program involves its stakeholders

**B. Collaborative Network/NOAA Activities**

List of activities/projects the Program is collaborating on with other Sea Grant or NOAA partners

**C. Program changes resulting from previous review**

**Appendix A**  
**Site review team's**  
**Review of the**  
**XXXXX Sea Grant College Program**  
Dates of Review

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**Chair, Federal Program Officer**

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**Date**

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**Co-Chair, National Sea Grant Advisory Board Member**

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**Date**



# INTRODUCTION

The Site review team (SRT) review of the xxxx Sea Grant (XSG) Program took place from *enter SRT visit dates*.

The SRT members included:

Name (Chair, NSGO Program Officer) Affiliation City, State	Name (Co-Chair, Advisory Board Member) Affiliation City, State
Name Affiliation City, State	Name Affiliation City, State

Prior to the beginning of the SRT visit, and in conformance with National Sea Grant Office and College Program guidelines, the xxxx Sea Grant issued a public notice of the upcoming SRT visit by inviting interested parties to send written comments to the SRT Chair. The public notice was distributed by means of xxxxxxxxxxxxxxxx. The SRT Chair received xxx letters in response to the public notice. *(Characterize the letters e.g., “Most of the letters were highly supportive of the xxxx Program. A few letters raised issues, which were either covered in the course of the review or were deemed to be minor in consequence.”)*

The SRT review took place *(describe the SRT location venues: campuses, site visit locations, etc.)*

During the review, the SRT met with *(brief description, e.g.. identify stakeholders, university administrators, researchers, management staff, etc.)*. The SRT also benefited from poster sessions *(e.g.. name specific topics, or with researchers, extension staff, and graduate students)*.

The report of the SRT follows the guidelines of the Site Review Team Procedures Manual. The SRT reviewed and discussed broad issues related to the xxxx Sea Grant Program’s: 1) Organization and Management of the Program; 2) Stakeholder Engagement; and 3) Collaborative Network Activities. Within each of these areas, the SRT report presents the findings and recommendations of the SRT.

## I. ORGANIZING AND MANAGING THE PROGRAM

**Based on the criteria descriptions and considered questions, in this section, please explain how the Program addresses each of the following:**

- Leadership
- Organization
- Programmed team approach
- Support

## II. STAKEHOLDER ENGAGEMENT

**Based on the criteria descriptions and the considered questions, in this section, please explain how the Program addresses each of the following:**

- Extension/Advisory Service

- Relevance
- Relationships

### **III. COLLABORATIVE NETWORK/NOAA ACTIVITIES**

### **IV. FINDINGS, RECOMMENDATIONS and SUGGESTIONS**

NOTE: The SRT may not have any recommendations or suggestions.

#### Findings

- 
- 
- 
- 

#### Recommendations (items the Program must consider)

- 
- 
- 
- 

#### Suggestions (ideas the Program may want to consider)

- 
- 
- 
- 

### **V. BEST MANAGEMENT PRACTICES**

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- 
- 
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### **SRT AGENDA**

## 2010 – 2011 SITE VISIT SCHEDULE

<b>Program</b>	<b>Site Visit Dates</b>	<b>Program Officer</b>	<b>Sea Grant Board Member</b>	<b>Sea Grant Director</b>
<b>MI</b>	Apr 15-16, 2010	Miguel Lugo	Dick West	Troy Hartley (VA)
<b>AK</b>	May 18-19, 2010	Terry Smith	Ross Heath	Russ Moll (CA)
<b>OH</b>	May 26-27, 2010	Jon Eigen	Harry Simmons	Chryssostomos Chryssostomidis (MA)
<b>ME</b>	June 8-9, 2010	Mike Liffmann	Dick Vortmann	Jim Diana (MI)
<b>MS-AL</b>	June 8-9, 2010	Gene Kim	William Stubblefield	Gordon Grau (HI)
<b>Lake Ch.</b>	June 16-17, 2010	Nikola Garber	Harry Simmons	Jeff Gunderson (MN)
<b>VA</b>	July 7-8, 2010	Dorn Carlson	Michael Orbach	Barry Costa-Pierce (RI)
<b>GA</b>	July 13-14, 2010	Terry Smith	John Woeste	Nancy Targett (DE)
<b>RI</b>	July 27-28, 2010	Sami Grimes	Dick West	Ruperto Chaparro (PR)
<b>IL/IN</b>	July 28-29, 2010	Miguel Lugo	Ross Heath	Rick DeVoe (SC)
<b>SC</b>	Sept 21-22, 2010	Terry Smith	Nancy Rabalais	Chuck Wilson (LA)
<b>FL</b>	Sept 22-23, 2010	Gene Kim	Jeremy Harris	Brian Miller (IL-IN)
<b>MIT</b>	Sept. 28-29, 2010	Mike Liffmann	John Byrne	Robert Stickney (TX)
<b>WHOI</b>	Sept 30-Oct 1, 2010	Mike Liffmann	John Byrne	Robert Stickney (TX)
<b>OR</b>	Oct 5-6, 2010	Jim Murray	John Woeste	Bob Light (PA)
<b>Law Center</b>	Nov 2-3, 2010	Gene Kim	Nancy Rabalais	Mike Voiland (NC)
<b>MN</b>	Nov 2-3, 2010	Miguel Lugo	Dick Vortmann	Peter Rowe (NJ)
<b>NY</b>	Nov 16-17, 2010	Jon Eigen	Michael Orbach	David Christie (AK)
<b>PR</b>	Feb 8-9, 2011	Nikola Garber	Ross Heath	Jonathan Pennock (NH)
<b>HI</b>	Feb 23-24 2011	Jim Murray	<i>Dick West</i>	Paul Anderson (ME)
<b>WA</b>	March 2-3, 2011	Jim Murray	<i>Nancy Rabalais</i>	Karl Havens (FL)
<b>LA</b>	March 22-23, 2011	Gene Kim	<i>John Byrne</i>	Judith McDowell (WHOI)
<b>WI</b>	Apr 6-7, 2011	Miguel Lugo	<i>Dick Vortmann</i>	Penny Dalton (WA)
<b>CT</b>	April 12-13, 2011	Sami Grimes	<i>Harry Simmons</i>	LaDon Swann (MS-AL)
<b>DE</b>	Apr 12-13, 2011	Dorn Carlson	<i>Ross Heath</i>	Jeff Gunderson (MN)
<b>NH</b>	Apr 19-20, 2011	Mike Liffmann	<i>Rollie Schmitten</i>	Anders Andren (WI)
<b>PA</b>	Apr 27-28, 2011	Jon Eigen	<i>Nancy Rabalais</i>	Mike Voiland (NC)
<b>TX</b>	May 10-11, 2011	Gene Kim	<i>Dick Vortmann</i>	Jim Ammerman (NY)
<b>CA</b>	May 17-18, 2011	Jim Murray	<i>Jeremy Harris</i>	Jeff Reutter (OH)
<b>USC</b>	May 24- 25, 2011	Jim Murray	<i>John Byrne</i>	Sylvain De Guise (CT)
<b>NJ</b>	June 14-15, 2011	Dorn Carlson	<i>John Woeste</i>	Linda Duguay (USC)
<b>MD</b>	June 22-23, 2011	Dorn Carlson	<i>Rollie Schmitten</i>	Chuck Hopkinson (GA)
<b>NC</b>	June 28-29, 2011	Terry Smith	<i>Ross Heath</i>	Steve Brandt (OR)

## N.C. Voices on National Sea Grant Advisory Board

Two North Carolinians — Michael Orbach and Harry Simmons — have joined the National Sea Grant Advisory Board. The 15-member board advises the federal secretary of commerce, the undersecretary for oceans and atmosphere (the NOAA Administrator) and the director of the National Sea Grant College Program on scientific and administrative policy.

Simmons and Orbach will “expand the expertise of the board to help implement goals identified in the new National Sea Grant Strategic Plan,” says James D. Murray, deputy director of the National Sea Grant College Program and former extension director for North Carolina Sea Grant.

Murray notes that Simmons brings perspectives on hazards such as storms and beach erosion, as well as other topics that coastal communities face. Likewise, Orbach brings a keen social science perspective, including experience on a wide range of state and federal coastal policy topics.

Currently director of Duke University’s Coastal Environmental Management Program, Orbach formerly was director of the school’s marine laboratory in Beaufort. His focus is marine affairs and policy, and he previously was on faculty at East Carolina University and on staff at NOAA. His research has addressed coastal and marine policy questions on all coasts of the United States and in Mexico, Central America, the Caribbean, and the Pacific, and he has published widely.

A cultural anthropologist, he has had many state-level appointments over the years, including chair of the N.C. Ocean Affairs Council and vice chair of the N.C. Marine Fisheries Commission. He has served on National Academy of Sciences boards and committees, and was an advisor to national ocean commissions. Orbach is a past president of The



Michael Orbach



Harry Simmons

Coastal Society, and is planning for the opening session on ocean policy at the society’s June 2010 meeting in Wilmington. He is also past chair of the board of directors for the Surfrider Foundation.

Mayor of Caswell Beach since 1999, Simmons was recently named “Elected Official of the Year” by Cape Fear Council of Governments. He currently serves as a coastal cities representative on the N.C. Coastal Resources Advisory Council, as chairman of the Brunswick (County) Beaches Consortium, as executive director of North Carolina Beach, Inlet & Waterway Association, as president of the American Shore & Beach Preservation Association, and is treasurer of the Atlantic Intracoastal Waterway Association. He also has served in leadership positions for state and national organizations for municipalities.

Simmons previously owned a music management firm, guiding the careers of record producers, songwriters and recording artists at record labels and publishing companies. He is a member of the National Academy of Recording Arts & Sciences, which continues to give him a vote for the prestigious Grammy Awards each year.

On the national Sea Grant board, he is the liaison to the communications network.

“I am pleased that Harry and Mike have been recognized for their abilities to guide national Sea Grant programming and direction,” notes North Carolina Sea Grant Executive Director Michael Voiland. “At the same time, they are both well grounded in the realities of coastal issues at the state and local level.”

— Katie Mosher, Managing Editor

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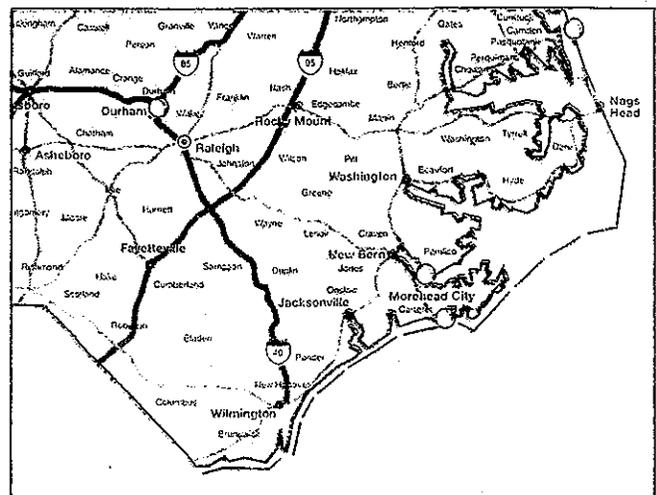
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North Carolina’s diverse coast offers countless interesting subjects.

The map indicates story settings in this issue — including Currituck and Carteret counties, the Neuse River and Durham.



# Sea Grant Advisory Board Directory

[Membership](#) | [Advisory Board Executive Committee](#) | [Ex-Officio Members](#)

- Page last updated: 03/03/2010 -

*(Sea Grant Advisory Board Website)*

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[Sea Grant Directory](#) (a searchable address book)

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