

# NCADAC WG 5 RFI: EOI Process / Submission Tracking

August 2011

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Co-chairs WG5 NCADAC



# Working Group 5 Members

- Lindene Patton (co-chair)
- Paul Fleming (co-chair)
- Arthur Lee
- Jim Buizer
- Jan Dell
- Guido Franco
- Diana Liverman
- Gary Yohe
- John Posey

# Purpose of WG 5

- Design process management framework for RFI EOIs and related content
- Determine how responses to RFI generated EOIs are acknowledged, triaged, referred for classification, tracked and ultimate disposition
- Address consistency of treatment issues via process
- Identify attendant privacy, FOIA and other relevant issues with NCADAC legal counsel to assure proper handling process directions

# Federal Register Notice

## National Oceanic and Atmospheric Administration

[Docket No. #110614333-1333-01]

### Technical Inputs and Assessment Capacity on Topics Related to 2013 U.S. National Climate Assessment

**AGENCY:** Office of Oceanic and Atmospheric Research (OAR) National Oceanic and Atmospheric Administration (NOAA), Department of Commerce (DOC).

*Request for Information:* Technical Inputs and Assessment Capacity Related to Regional, Sectoral, and Cross-Cutting Assessments for the 2013 U.S. National Climate Assessment (NCA) Report and the Ongoing NCA Process.

**ACTION:** Request for information.

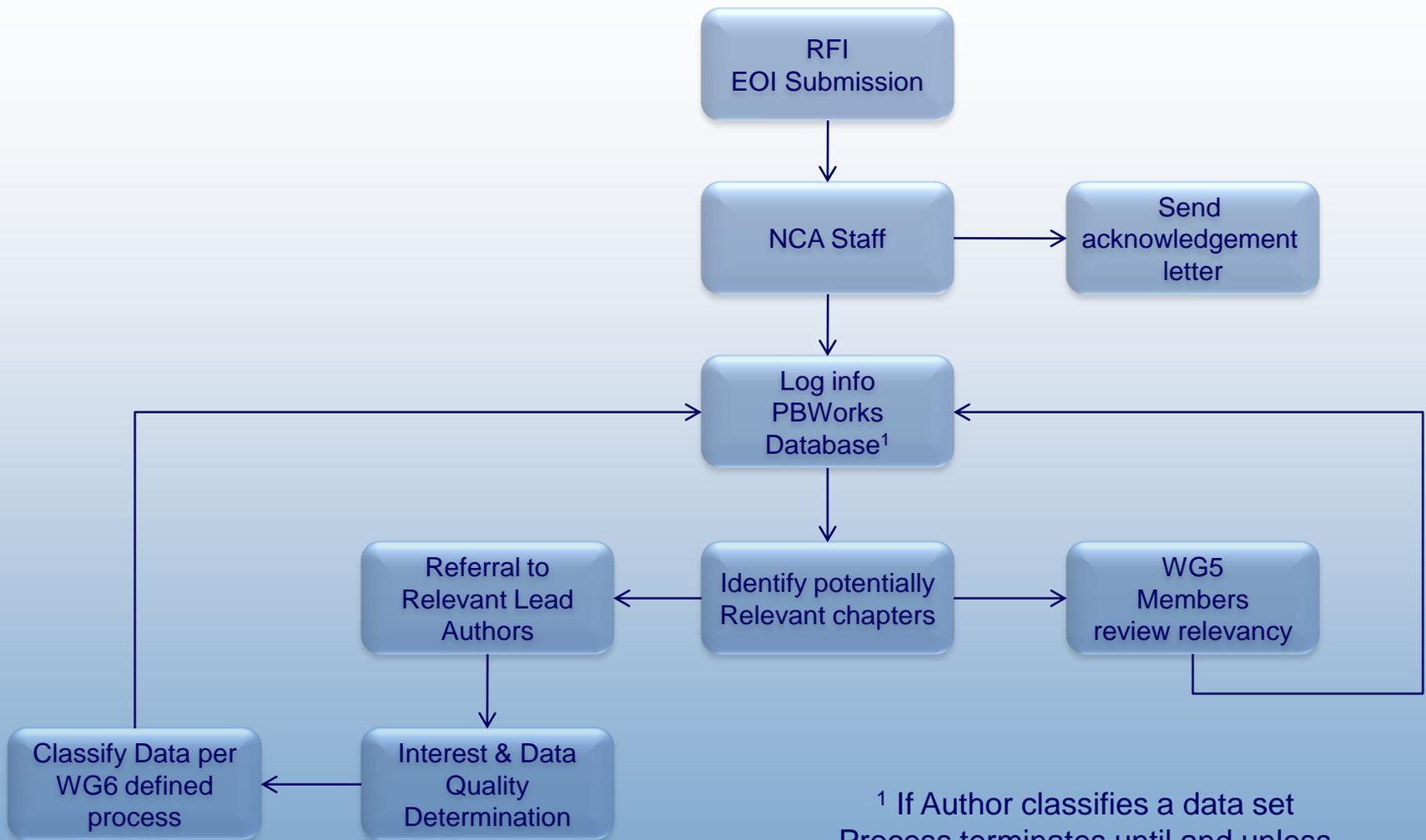
**SUMMARY:** This request for information (RFI) seeks comments and expressions of interest from the public in providing technical inputs and/or offering assessment capacity on topics related to National Climate Assessment (NCA) regional, sectoral, and cross-cutting topics proposed for the 2013 NCA report and the ongoing NCA process. More information on the NCA process, including the strategic plan, proposed report outline, and information about the National Climate Assessment Development and Advisory Committee (NCADAC), can be found at <http://www.noaa.gov/climate>.

A full draft of the NCA report is anticipated by mid-2012, so that scientific and subject-matter experts and the broader public will have sufficient time to review the draft and provide comments to the NCADAC on its content. A full year is planned to review and revise the report, with a planned release in mid-2013. Technical inputs should be provided well in advance of these deadlines, with target dates for activities and inputs as follows:

- Now–Summer 2011: Expressions of interest; Initial work plans.
- Now–Fall 2011: Teams conduct activities (workshops, literature reviews, modeling runs, etc.).
- December 2011–February 1, 2012: Initial inputs, including draft reports.
- March 1, 2012: Final inputs, including full reports.
- After March 1, 2012: Continued development and delivery of ongoing assessment capacity.

While the NCADAC welcomes inputs to the NCA, it is not able to make commitments about how these inputs will be used in the 2013 NCA report. In addition, neither the US Global Change Research Program (USGCRP) nor the NCADAC are responsible for funding the work of teams that choose to provide inputs. This notice pertains only to the underlying data, reports, other technical

# RFI Process Flow Chart



<sup>1</sup> If Author classifies a data set  
Process terminates until and unless  
An event triggers the re-review of  
The classification



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## ★ Expressions of Interest



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This page contains a list of all Expressions of Interest received to date, a link to the document(s) for each, and notes on the disposition of each. The table below is sortable, based on the column headings.

Tracking number	Date received	Link to full submission	Primary point of contact	Relevant NCA section(s)	Date acknowledgement sent	Relevant staff contact(s)	Notes
2011-0001	6/28/2011	<a href="#">Expression of Interest SE NCA.pdf</a>	Ingram, Keith	Southeast US	7/5/2011	Lipschultz	
2011-0002	7/1/2011	<a href="#">NCA EOI - Southwest Region Technical Report - July 1 2011.pdf</a> and <a href="#">NCA Southwest - WorkPlan DRAFT - 1 July 2011.docx</a>	Garfin, Gregg	Southwest US	7/5/2011	Lipschultz	
2011-0003	7/20/2011	<a href="#">Howarth_Expression of Interest -- Climate Assessment.docx</a>	Howarth, Robert	Mitigation	7/21/2011	Cantral	

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Expressions of Interest



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NCA Southwest - WorkPlan DR/



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## SideBar

Chat (0)



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# Technical Inputs

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**EXPRESSIONS OF INTEREST SUBMISSIONS**

**GENERAL SUBMISSION INFORMATION**

**GENERAL INFORMATION**

Tracking number	Date received	Link to full EOI submission	Primary point of contact	Type of input proposed	Relevant NCA section(s)	Relevant WG(s)	Additional relevant NCA section(s)	Short abstract	Submitted other ways to NCA?

**STATUS**

**NOTIFIED TEAM OF RECEIPT**

**ADVANCEMENT**

**FOLLOW-UP TO TEAM**

By whom	Date	Relevant NCA Staff Contact(s)	Date sent	Comments	Relevant NCADAC WG Contacts	Date sent	Comments	Brief description of follow-up	Date sent

**ADDITIONAL INFORMATION**

**CONTACT INFORMATION**

**DESCRIPTION**

Phone number	Mailing address	Email	Scope/range of issues	Spatial/temporal scales	Plans for developing /using scenarios

**RESULTING PRODUCTS**

**FINAL PRODUCTS**

**USE OF PRODUCTS**

Date received	Type of products	Information quality standards met?	Link to generated products	2013 Report (Y/N)	Web product (Y/N)	Other (specify)

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NCA EOI - Southwest Region Te

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# Special Considerations for Related Communications:

## FOIA, Privacy & “Promises”

- FOIA
  - Documents provided to a FACA committee would be considered committee records for purposes of Section 10(b) of the Federal Advisory Committee Act (FACA), as amended, (Public Law 92-463, 5 U.S.C. App.), which provides that: "Subject to section 552 of title 5, United States Code, the records, reports, transcripts, minutes, appendixes, working papers, drafts, studies, agenda, or other documents which were made available to or prepared for or by each advisory committee shall be available for public inspection and copying at a single location in the offices of the advisory committee or the agency to which the advisory committee reports until the advisory committee ceases to exist." Records covered by the exemptions set forth in section 552(b) of FOIA may generally be withheld; however, it should be noted that FOIA Exemption 5 cannot be used to withhold documents reflecting an advisory committee's internal deliberations. To the extent portions of the expressions of interest (EOI) are shared with the committee, they will become committee records.
- Privacy
  - It appears that once submitted through the EOI, these documents are part of the committee record per the above advice (must be confirmed)
  - Getting permission to share documents would be ‘belt and suspenders’ (discuss)
- Guidelines for Communication for Authors to RFI EOI Submitters
  - Authors / Chapter authors must take care not to ‘promise’ status in the report
  - Or even promise response due to resource limitations

# Acknowledgement Letter

## Draft Acknowledgement of Receipt Letter for Expressions of Interest

July 6, 2011

*The following letter would be dispatched by Emily Cloyd to the primary point of contact listed in the expression of interest, not later than two weeks following submission of the EOI.*

Dear [Primary Point of Contact],

On behalf of the US Global Change Research Program (USGCRP) and the National Climate Assessment Development and Advisory Committee, thank you for your expression of interest in providing [technical inputs and/or assessment capacity] to the National Climate Assessment (NCA). I have received your submission and forwarded it to the appropriate topical coordinators on the [NCA staff \[etc1\]](#) and NCADAC.

As a reminder, there is not an approval mechanism for expressions of interest. Any feedback provided on submitted expressions of interest will be primarily aimed at ensuring inputs will be responsive to the needs of NCA. The expressions of interest process is meant to assist the NCADAC in anticipating contributions and in facilitating coordination and cooperation across teams that express interest in similar topics.

As stated in the Request for Information, the synthesis and review process to produce the 2013 NCA report is anticipated to last at least a year.

Therefore, teams should plan to provide their **final technical inputs no later than March 1, 2012** if they would like them to be considered for inclusion in the 2013 NCA report. Contributions that are not received in time for the report will be retained and may be used in the ongoing, sustained assessment process (some assessment contributions may be specifically targeted to such an ongoing process). Target dates for activities and inputs are as follows, although teams are encouraged to provide inputs ahead of these dates if possible:

Now – Fall 2011: Teams conduct activities (workshops, literature reviews, modeling runs, etc.)

December 2011 – February 1, 2012: Teams may provide initial inputs, including draft reports

March 1, 2012: Final technical inputs are due, including full reports

After March 1, 2012: Continued development and delivery of ongoing assessment capacity

As you develop your inputs to the NCA, please check the NCA website (<http://assessment.globalchange.gov/>) for updates on the NCA process, including important information about information quality standards. You may also wish to review the “Potential Technical Inputs and Assessment Capacities” and “Suggested Best Practices” available online at <http://www.globalchange.gov/what-we-do/assessment/backgroundprocess/notices>. These documents describe some potential inputs to the NCA and provide suggestions on how teams can create inputs using a transparent, open process that maintains high information quality.

Ultimately, the technical inputs that meet the NCA's information quality and scientific rigor standards may be posted in the publicly-accessible NCA online database. These standards are currently under development and will be posted on the NCA website when available. In the interim, teams are encouraged to review federal information quality requirements (available from <http://www.whitehouse.gov/sites/default/files/omb/eo/13526/eo13526.pdf>) for general guidance.

As a reminder, while the NCADAC welcomes inputs to the NCA, it is not able to make commitments about how these inputs will be used in the 2013 NCA report. In addition, neither the US Global Change Research Program nor the NCADAC are responsible for funding the work of teams that choose to provide inputs.

If you have any further questions about this process or about the NCA in general, please do not hesitate to contact me.

Sincerely,

Emily Therese Cloyd

Public Participation and Engagement Coordinator

National Climate Assessment

US Global Change Research Program

1717 Pennsylvania Ave. NW, Suite 250

Washington, DC 20006

202.419.3484 / [ecloyd@usgcrp.gov](mailto:ecloyd@usgcrp.gov)

[\[etc1\]](#) Do we want to provide anything beyond this? For example, the sentence could be replaced with “We have received your submission and forwarded it to the regional coordinator for the NCA (Fred Lipschultz, [flipschultz@usgcrp.gov](mailto:flipschultz@usgcrp.gov)) and to the NCADAC.”

# RFI EOI Announcement – Template Letter Available to NCADAC Members

(Date)

(Address)

Acknowledges receipt of EOI, reiterates there is not an approval

Dear (Recipient)

process for submittals, notes that EOI will be distributed to

appropriate NCA staff and NCADAC members

I am contacting you because of your expertise in [fill in] or your recent work on [fill in] which is highly relevant to a national effort in which I am involved. Every four years, the U.S. Global Change Research Program is required by the 1990 U.S. Global Change Research Act to conduct a broad-based scientific assessment of climate change vulnerabilities, impacts, and human responses in regions and sectors of the United States. The National Climate Assessment (NCA) seeks to inform and support decision-making, and activities will culminate in a report to Congress (scheduled for completion in June 2013). In addition, this cycle of the NCA will consider the additional needs and opportunities for developing a long-term, sustainable process that will underpin continuous improvements in U.S. assessment capabilities. For more information about the NCA, please visit our website at [www.globalchange.gov/what-we-do/assessment](http://www.globalchange.gov/what-we-do/assessment).

Describes purpose of RFI, reviews timeline for generating and submitting material

As part of this process, the NCA invites the public to provide comments and expressions of interest in offering technical inputs or assessment capacity on topics related to the National Climate Assessment. The specific invitation is set forth in a Federal Register Notice available through the following link: <http://www.globalchange.gov/images/NCA/nca-fi.pdf>

Encourages EOI submitters to check NCA website for guidance

Expressions of interest are due by October 1, 2011, and delivery of those inputs is due by March 1, 2012 if they are to be included in the 2013 assessment report. Later submissions will be considered in the ongoing assessment process and future reports.

and updates

More explanation on what is needed and useful can be found in the attached file, entitled "Potential Technical Inputs and Assessment Capacities and Suggested Best Practices." It can also be found through the following link: [http://www.globalchange.gov/images/NCA/nca-fi-supplement\\_7-11.pdf](http://www.globalchange.gov/images/NCA/nca-fi-supplement_7-11.pdf)

Examples of materials developed out of workshops can be found at this link:

[http://www.globalchange.gov/images/NCA/nca-fi-supplement\\_7-11.pdf](http://www.globalchange.gov/images/NCA/nca-fi-supplement_7-11.pdf)

Reiterates that the NCADAC can't make commitments about if

An example of a specific report related to vulnerability assessment needs is found at this link:

[http://www.globalchange.gov/images/NCA/nca-fi-supplement\\_7-11.pdf](http://www.globalchange.gov/images/NCA/nca-fi-supplement_7-11.pdf)

and how the submissions will be used and that the NCADAC

I hope you will consider submitting [whatever, something you know about the recipient's work, potential to contribute]. I really believe your input would be of high relevance and value as it helps to guide the development of the 2013 assessment report.

is not responsible for funding the work of teams

If you have any questions regarding whether a particular item may be of interest or the Request for Information, please contact Emily Therese Cloyd ([ecloyd@usgcrp.gov](mailto:ecloyd@usgcrp.gov)).

(Closing Salutation and maybe something on your own personal availability to answer questions?)

# RFI EOI Announcement – Template Letter Available to NCADAC Members

(Date)

(Address)

Dear (Recipient)) Opportunity to establish relevance of recipient's work and expertise to the NCA

I am contacting you because of our expertise in [fill in] or: your recent work on [fill in] which is highly relevant to a national effort in which I am involved. Every four years, the U.S. Global Change Research Program is required by the 1990 U.S. Global Change Research Act to conduct a broad-based scientific assessment of climate change vulnerabilities, impacts, and human responses in regions and sectors of the United States. The National Climate Assessment (NCA) seeks to inform and support decision-making, and activities will culminate in a report to Congress (scheduled for completion in June 2013). In addition, this cycle of the NCA will consider the additional needs and opportunities for developing a long-term, sustainable process that will underpin continuous improvements in U.S. assessment capabilities. For more information about the NCA, please visit our website at [www.globalchange.gov/what-we-do/assessment/](http://www.globalchange.gov/what-we-do/assessment/).

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Examples of materials developed out of workshops can be found at this link:

<http://www.globalchange.gov/what-we-do/assessment/nca-activities/workshop-and-meeting-reports>

An example of a specific report related to vulnerability assessment needs is found at this link:

[http://www.globalchange.gov/images/NCA/NCA\\_Vulnerability-Assessments-Workshop-Report.pdf](http://www.globalchange.gov/images/NCA/NCA_Vulnerability-Assessments-Workshop-Report.pdf)

I hope you will consider submitting [whatever, something you know about the recipient's work, potential to contribute]. I really believe your input would be of high relevance and interest to the federal advisory committee which will write the 2013 assessment report.

If you have any questions regarding whether a particular item may be of interest or the Request for Information, please contact Emily Therese Cloyd ([ecloyd@usgcrp.gov](mailto:ecloyd@usgcrp.gov)).

(Closing Salutation and maybe something on your own personal availability to answer questions?)