

1 **Climate Change Science Program**

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3 **Draft Guidelines for Producing CCSP Synthesis and Assessment Products**

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5 **Introduction**

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7 The Climate Change Science Program (CCSP) will produce synthesis and assessment  
8 products to serve a variety of audiences and needs. One or more designated agencies or  
9 departments will take the lead in producing each deliverable. The lead agency(ies) will  
10 collaborate with relevant CCSP Interagency Working Groups (IWGs), National Science  
11 and Technology Council (NSTC) subcommittees, and other national and international  
12 entities. To ensure scientific integrity and credibility, each deliverable will be produced in  
13 accordance with the following guidelines. However, specific implementation of the  
14 guidelines will vary from product to product.

15  
16 **Phase I: Scoping and Author Selection**

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18 The lead agency(ies) for each synthesis and assessment product should involve the  
19 scientific community and the public in a scoping process to further refine the product's  
20 focus and objectives. This process should culminate in preparation and review of a  
21 product prospectus. The prospectus should address the following points:

- 22
- 23 • Description of topic, audience, intended use, and questions to be addressed
  - 24 • Contact information for responsible individuals at the lead and supporting  
25 agencies
  - 26 • Required expertise of potential authors (including information on competitive  
27 solicitations for supporting authors, if relevant)
  - 28 • Proposed plans for further scoping (if needed), drafting, reviewing, producing,  
29 and disseminating the product
  - 30 • Proposed approach for evaluation and communication of uncertainty and  
31 confidence levels, where applicable
  - 32 • Relationship to other national or international assessment processes
  - 33 • Proposed timeline
- 34

35 The interagency CCSP Principals should review the draft prospectus in a timely fashion.  
36 After approval by the CCSP Principals, the draft prospectus should be circulated for peer  
37 review and public comment for a minimum of 30 days. Notice of the comment period  
38 will be posted on the CCSP website and in the Federal Register. After revision and final  
39 approval by the CCSP Principals, the finalized prospectus will be posted on the CCSP  
40 website.

41  
42 *Selection of authors:* Interested parties will have the opportunity to nominate authors,  
43 contributors, and reviewers during the peer review and public comment period for each

1 prospectus. Author selection is the responsibility of the lead agency(ies). Authors shall  
2 reflect a balance of scientific/technical expertise appropriate to the specific topic  
3 addressed in the product and shall be known for their scientific work related to the topic.  
4 Authors and contributors may be drawn from within or outside the Federal government  
5 and may include specialists from outside the United States.

6  
7 **Phase II: Drafting**

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9 The lead authors will prepare the product according to the process described in the  
10 prospectus. The drafting process will be coordinated with the CCSP IWGs as well as  
11 relevant NSTC subcommittees and national/international governmental and non-  
12 governmental entities.

13  
14 Authors should use published, peer-reviewed scientific literature in the drafting process.  
15 Authors should use the full range of relevant peer-reviewed information and incorporate,  
16 where appropriate, contributions from experts who submit materials for consideration.  
17 Lead Authors may request authorization from the CCSP Principals to include information  
18 that has not been published in the peer-reviewed literature (e.g., new model results,  
19 extensions of ongoing observational data sets, and manuals, handbooks, and other  
20 reports). CCSP Principals will review and respond to such requests promptly.

21  
22 The draft will include a scientific/technical analysis as well as a non-technical summary  
23 for the public. The products should identify disparate views that have significant scientific  
24 or technical support. They should also provide confidence levels for key findings, if this is  
25 appropriate to the product.

26  
27 The lead agency(ies) should provide the authors with the information quality guidelines  
28 issued by the Department of Commerce and NOAA.<sup>1</sup> (which also incorporate compliance  
29 with the overall OMB guidelines<sup>2</sup>), and the authors should prepare the products in  
30 accordance with these guidelines.

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32 **Phase III: Review and Revision**

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34 CCSP-sponsored products will have an appropriate and scientifically-rigorous peer  
35 review. The review process will include scientific/technical review by independent  
36 experts and opportunity for public comment. The review process for each product will be  
37 the responsibility of the lead agency(ies) and must be described in the product prospectus

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<sup>1</sup> The documents will be prepared in compliance with Section 515 of the Treasury and General Government Appropriations Act for Fiscal Year 2001 (Public Law 106-554) and information quality guidelines issued by the Department of Commerce and NOAA pursuant to Section 515 (<http://www.noaanews.noaa.gov/stories/iq.htm>). For purposes of compliance with Section 515, these documents are “interpreted products,” as that term is used in NOAA guidelines.

<sup>2</sup> “OMB guidelines” refer to the document entitled *OMB Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies*.

1 and approved by the CCSP Principals. Appropriate peer review may range from the  
2 equivalent of that used in a scientific journal to formal review by an independent body of  
3 experts (i.e., a Panel of the National Research Council (NRC) or a special panel  
4 constituted under the Federal Advisory Committee Act). The lead agency(ies) should  
5 select peer reviewers on the basis of scientific and technical expertise and include as  
6 broad a range of expertise as necessary. Experts from government and/or non-  
7 governmental groups, as well as specialists from outside the United States, may serve as  
8 peer reviewers. For NRC reviews, the selection of reviewers will be the responsibility of  
9 the NRC.

10  
11 The lead agency(ies) should provide a charge statement to reviewers to facilitate a  
12 probing, meaningful review. The charge statement should highlight issues to be  
13 addressed in the review and explain DOC/NOAA information quality guidelines.

14  
15 If the review is equivalent to that used for a journal peer review, each reviewer should  
16 prepare an independent review. For more formal reviews, the reviewers should issue a  
17 single group report that includes any dissenting statements. Both individual and group  
18 report reviews should include a description of the names, organizational affiliations, and  
19 qualifications of reviewers, as well as any current or previous involvement with the lead  
20 agency(ies) or issues under consideration. The individual reviews without attribution or  
21 group report will be made available to the CCSP Principals when completed.

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23 The lead authors should revise the draft product to incorporate the peer review comments,  
24 as they deem appropriate. If some aspects of the peer review comments were not  
25 incorporated, the authors will prepare a brief explanation for the CCSP Principals.

26  
27 When revised, the lead agency(ies) will send the draft product to the CCSP Principals.  
28 The CCSP Principals will review whether the product was prepared consistently with the  
29 process approved in the prospectus, and whether the summary accurately conveys the  
30 findings of the scientific/technical material and describes the findings in a context  
31 understandable by the public.

32  
33 Once approved by the CCSP Principals, the draft will be released for public comment. A  
34 notice of the availability of the draft for public comment will be placed on the CCSP  
35 website and in the Federal Register. The public comment period will last a minimum of  
36 30 days. The website and Federal Register notices will make clear that the posted  
37 material is a draft for comment and does not represent agreed findings of the CCSP or its  
38 participating agencies.

39  
40 Lead authors will revise the draft product to incorporate the public comments, as they  
41 deem appropriate, and the CCSP Principals will review the product a final time. Once  
42 final approval is given by the CCSP Principals, the product will be distributed for formal  
43 clearance through the National Science and Technology Council (NSTC) process. This

1 step may be conducted concurrently with the final review by the CCSP Principals if so  
2 arranged.

#### 3 4 **Phase IV: Production and Release**

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6 Each synthesis and assessment product will be identified as a CCSP-sponsored product,  
7 will be published in a consistent format to ensure that all deliverables are seen as part of  
8 the family of CCSP-sponsored synthesis and assessment products, and will indicate the  
9 Federal agency or agencies that led its preparation. Production may be handled by either  
10 the lead agency(ies) or the CCSP Office. The lead agency(ies), working with the CCSP  
11 Office, will develop a communications plan for each product for approval by the CCSP  
12 Principals. Final products will include a statement that indicates the product was prepared  
13 according to the DOC/NOAA information quality guidelines. Final products will also  
14 include a list of authors, contributors, and reviewers, with their affiliations.

#### 15 16 **Roles of Lead and Supporting Agencies**

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18 Lead agencies are responsible for developing products in conformance with these  
19 guidelines. They will take responsibility for all phases of product preparation, reporting  
20 regularly to the CCSP Office. Supporting agencies will contribute to this process,  
21 including by providing inputs, supporting analysis and/or authors, drafting sections,  
22 assisting with the review process, or other phases of report preparation and dissemination.

#### 23 24 **Roles of CCSP Interagency Working Groups for Science (IWGs)**

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26 In most cases, IWGs will be able to contribute significantly to the preparation of a  
27 deliverable because it is closely related to core activities of the group. In some cases,  
28 IWGs may play a limited advisory role related to scoping and/or reviewing. Synthesis  
29 and assessment deliverables will be prepared in a fashion that makes use of and  
30 contributes to further development of CCSP IWGs. Potential roles (subject to agreement  
31 among lead agency(ies)) include:

- 32 • Identify assets and inputs across participating agencies
- 33 • Identify candidate researchers or groups for drafting or review process
- 34 • Provide expertise for related science planning
- 35 • Coordinate, and/or integrate relevant inputs
- 36 • Draft sections of reports
- 37 • Assist with review process
- 38 • Assist with product dissemination

#### 39 40 **Roles of CCSP Office**

1 The CCSP Office will assist the lead agency(ies) in several ways to ensure effective  
2 planning, management, and integration of the entire set of synthesis and assessment  
3 products. Specific responsibilities will include:  
4

- 5 • Collect, maintain, and disseminate comprehensive schedule and status  
6 information on the entire set of products
- 7 • Assist agencies and working groups in identifying interested members of the  
8 scientific community or the public, to help define their role in the production  
9 process, and to facilitate their contribution to the synthesis products
- 10 • Coordinate internal government review processes (including prospectus and  
11 drafts)
- 12 • Coordinate external interactions for public comment periods and expert/public  
13 reviews
- 14 • Coordinate across IWGs where necessary
- 15 • Facilitate the agreed upon process for preparation of the products

16  
17 Additional responsibilities, as requested by lead agencies, could include, for example,  
18 supporting lead authors, arranging meetings, and contributing to drafting of summaries.

**INSTRUCTIONS FOR THE REVIEW  
DRAFT GUIDELINES CCSP SYNTHESIS AND ASSESSMENT PRODUCTS**

**Public Comment Period: 29 March 2004 – 7 May 2004**

Please follow these instructions for preparing and submitting your review. A sample format sheet is provided below. Send your comments as an e-mail attachment to <comments@climatescience.gov> by **7 May 2004**.

In making comments:

- Provide complete contact information should we need to seek clarification.
- Separate “general” comments from “specific” comments, and collate comments by page number and line number, as per the sample format below. Insert your name and affiliation after each comment.
- Provide specific language for deletions/additions/amendments.
- Avoid auto-formatting and do not embed comments in tables.
- Do not number your comments and avoid using terminology such as “ditto” or “see above”, since your comments will be collated by page and line number into a larger set -- rendering such references difficult to understand.

**Sample Format for Comments**

Background Information

Name:  
Title:  
Organization:  
Mailing Address:  
Phone/Fax:  
E-mail:  
Area of Expertise:

General Comments

- First General Comment  
Reviewer’s name and affiliation
- Second General Comment  
Reviewer’s name and affiliation

Specific Comments

Page 1, Line 5  
Comment  
Reviewer’s name and affiliation  
Page 2, Line 32 - Page 3, line 5  
Comment  
Reviewer’s name and affiliation