JULY 16, 2013 CeNCOOS GOVERNING COUNCIL MEETING

EXECUTIVE SUMMARY

CeNCOOS convened a facilitated Governing Council (GC) meeting on July 16, 2013 with the aim of completing the organization's Framework for Decision Making, identifying medium-term program priorities, and charting a course for drafting of its Strategic Plan. Twelve members of the current CeNCOOS GC were in attendance either in person or remotely (via webinar and phone). The meeting was held in a room at the Port of San Francisco at Pier 1 on the Embarcadero. A list of Attendees appears as Appendix I.

After completing outstanding sections of the provisionally-adopted Framework for Decision Making from the January 2013 meeting, the GC quorum unanimously adopted the final Framework for Decision Making document, attached as Appendix 2. The GC also unanimously identified four priority program areas to be further refined and included in a revised Strategic Plan.

The following components of the Framework for Decision Making document have been finalized and adopted by the GC, thus completing ratification of the entire document:
- Document Name

- CeNCOOS "About Statement"

- Gantt Chart/Calendar

- Expressions of Interest Description

The GC identified the following four activities as program priorities to be refined and eventually included in the revised Strategic Plan:
- Integrative data portal

- Long term measurements

- Data-assimilating coupled ocean physical-biogeochemical ecosystem models

- Derived data products to inform decision-making

Future Tasks
- Refine the four priority areas for inclusion in the revised Strategic Plan

- Complete the draft CeNCOOS Strategic Plan for GC review

- Draft the Expressions of Interest annual call and implementation procedure

- Agree on an EOI evaluation method

- Convene an ad hoc Membership Committee to make recommendations on a host of membership issues

- Draft a Conflict of Interest policy for GC members

- Investigate Directors and Officers liability insurance

- Plan for January 2014 CeNCOOS GC and stakeholders meeting

- Create a nomination committee for the 2014 elections

Upcoming Calendar
- August 2013: 1st annual call for Expressions of Interest

- Fall 2013: Complete draft Strategic Plan

- January 13-14, 2014: Hold annual GC stakeholder meeting

- February 2014: annual GC election

- Winter/Spring 2014: Make descoping decisions for Year 4 IOOS funding, with GC approval on the process.

FULL MEETING SUMMARY

CeNCOOS convened a facilitated Governing Council meeting on July 16, 2013 to refine and adopt the remaining elements of the organization's Framework for Decision Making document, to continue discussions on setting medium term priorities, to address the drafting of a strategic plan, and to discuss updates since the last meeting.

Leslie Rosenfeld (CeNCOOS Director) opened the meeting with an overview of program updates. Janine Scianna (CeNCOOS Program Manager) presented on updates from the federal IOOS program. Aric Bickel (CeNCOOS Program Manager) led the group though the approval of the remaining sections of the Framework for Decision Making document; an overview of federal (US IOOS), regional (WCGA), and state (CA OPC) priorities; an exercise in setting CeNCOOS priorities for the medium-term; and a discussion on the program office's concept for a strategic plan and a consensus on the path for its drafting. Additionally, Leslie Rosenfeld led a discussion of new business items. A summary of the deliverables achieved at the meeting follows below:

A. **All elements of the Framework for Decision Making document have now been adopted by the Council. The document is attached as Appendix 2.**

BACKGROUND:

An about statement (AS) was adopted by the GC. Key points raised in the discussion included:

- The need for inclusion of the organizations and people involved
- The need for inclusion of program governance description
- The need to define CeNCOOS' relationship with the U.S. IOOS program
- The AS can be an important part of program marketing (e.g. on website, strategic plan, etc.)
- Content within the AS should not creep into the functionality of the mission and vision statements

Revisions to the Expressions of Interest (EOI) concept were adopted by the GC. Key points raised in the discussion included:

- The GC has already approved the overall concept of EOIs at a previous GC meeting
- A suggested due date for EOIs should be included to be considered for core (IOOS) funding, but CeNCOOS should encourage submission of EOIs at any time for communication purposes.
- There was some confusion surrounding how EOIs were similar to, or different from, RFPs.
- The call for EOIs should set funding expectations appropriately
- More discussion needs to be had on how EOIs will be used and evaluated
- Ideas for consideration: requiring a ballpark budget figure when submitting an EOI; making a distinction between EOIs from data providers and users; rubric for evaluating EOIs

A revised document title was adopted by the GC. Key points raised in the discussion included:

- There was some initial concern that the revised title "CeNCOOS Framework for Decision Making" was too broad and potentially overly-prescriptive for the GC. General consensus was attained that the document's language gave the GC and Program Director sufficient freedom to be agile in making decisions.

A revised annual Gantt chart/calendar was adopted by the GC. Only minor edits were made.

B. The Council identified four priority program areas for the medium-term: 1) integrative data portal 2) long-term measurements 3) data-assimilating coupled ocean physical-biogeochemical ecosystem models and 4) derived data products to inform decision-making. The program office will refine these four areas for consideration by the GC.

BACKGROUND:

The GC applied Section 9 of the Framework for Decision Making document to identify a set of program priorities for the medium-term, defined as being the 3-5 year timeframe. These will be refined and eventually populate the revised Strategic Plan.

- To identify the program priorities, the GC divided into pairs and then combined into larger groups of four. Each group of four presented their consensus priorities, and common priorities across groups were identified as the four overall program priorities.
- The program office will wordsmith and refine these priorities for further consideration by the GC.

Key points raised in the discussion included:

- There was some disagreement over distinguishing real-time vs. delayed-mode data provision via a data portal. A general consensus developed that the two types of datasets have different QA/QC associated with them as well as different applications. Also, each dataset type has different DMAC requirements.
- Although some members disagreed, the GC (similar to a previous Council meeting) decided that "clearinghouse" was not an appropriate term to describe the extent of CeNCOOS' data service.
- The GC refrained from implying any policy advocacy role in its priorities (e.g. "data products to inform decision making" as opposed to "data products to promote natural resource conservation").
- Amidst other discussions, some members of the GC emphasized the need to target services that could be funded from non-IOOS sources.
- Group 1 priorities (Miller/Kudela/Coulston/Dale): 1) clearinghouse for real-time data; 2) facilitate science-based policy and individual decision-making; 3) maintain long-term archived data for post-analysis; 4) coupled physical/biological models
- Group 2 priorities (Wendt/Bjorkstedt/Bograd/McPhee-Shaw): 1) coupled data assimilative model for circulation and ecosystems to inform short term forecasts; 2) monitor coastal water quality for climate change, ecosystem health (including fisheries) and ocean acidification; 3) surface currents for SAR and model assimilation

- Group 3 priorities (Kamer/Nielsen/VanderLugt/Rosenfeld): 1) data portal integrating multiple sources of real time and geospatial data; 2) long-term physical, biological, and meteorological measurements to produce climatologies and surface currents for SAR; 3) data assimilating physical-ecosystem models for primary productivity, HABs forecasting, and ocean acidification

C. An ad hoc membership committee (Nielsen/Miller/Kamer) was formed to pose recommendations to the GC on several program membership issues: 1) membership fees 2) member organization granularity 3) consortia membership and 4) pursuit of organizations for new membership.

D. A draft Strategic Plan (SP) outline was introduced to the GC. The program office will finish drafting the SP for review by the GC. A review team (Bjorkstedt/Dale/Nielsen/Kamer/Bograd/Wendt/McPhee-Shaw) volunteered to provide thorough review and feedback.

BACKGROUND:

Much of the drafted content was pulled from a variety of existing documents: the MOA, Framework for Decision Making, etc. Key points raised in the discussion included:

- The SP should be a 5-year document, revised at minimum every five years.
- The program office will draft the specific goals/objectives keeping in mind the four priority program areas identified in Section B.
- The PacIOOS SP is a good example of how the plan may be structured.
- The priority activities identified should be compared with those in the 5-year proposal for insight.

E.   The following topics were discussed for further action:

- The next GC meeting is tentatively scheduled for January 13-14, 2014. Santa Cruz is the target location. Backup dates are 2 days during Jan. 7-9 and backup location is MBARI. This meeting will be the annual stakeholder focused meeting, and also include time for the PIs to interact and the GC to vote on the draft strategic plan and other items. Presentations will be focused on select topics, with just a quick overview of other topics. It was decided to not charge a fee for registration or lunch for the January meeting or future meetings, but that meeting sponsorship could be pursued.
- The IOOS draft certification requirements were discussed and RA comments were due Aug.1. CeNCOOS provided comments and endorsed a set of IOOS Association comments for consideration.
- As part of the certification requirements, the GC discussed developing a Conflict of Interest policy for Council members. A consensus developed around a full disclosure policy instead of requiring conflicted members to abstain from voting on issues of possible benefit/loss. Nielsen will send to Rosenfeld some questions for possible inclusion in the Conflict of Interest questionnaire. The program office will draft a policy for the Executive Committee to review.

- The GC discussed purchasing Directors and Officers liability insurance. The program office will investigate what other RAs are doing in this regard and look into such insurance through MBARI. Council members are encouraged to determine what coverage they already have under their employers.

F. The following topics were introduced but have no specific action items associated with them:

- An overview of the June JSAC meeting
- Pursuit of supplemental program funds (e.g. private foundations)
- Consideration of attaining 501(c)3 status. Cost/benefit issues of tax benefits, reduction of overhead vs. service provision, benefits of co-location with MBARI.
- Demolition of building housing CeNCOOS Program Office is scheduled for Feb. 2015, although MBARI will find space for CeNCOOS
- Consideration of new physical location for next 5-year funding cycle

G. Action Items

- Refine the four priority areas for inclusion in the revised Strategic Plan (Program Office)

- Complete the draft CeNCOOS Strategic Plan (Program Office) for review by work team (Bjorkstedt/Dale/Nielsen/Kamer/Bograd/Wendt/McPhee-Shaw) and then whole GC

- Draft the Expressions of Interest annual call and implementation procedure (Program Office)

- Agree on an EOI evaluation method (Program Office will propose one and send to GC for vote)

- Ad hoc Membership Committee to make recommendations on a host of membership issues (Nielsen/Miller/Kamer)

- Develop GC Conflict of Interest Policy for review by Executive Committee (Program Office)

- Look into D&O insurance (Program Office and GC members)

  Plan next GC and stakeholders meeting for January 2014; consider sponsorship of lunch or registration fee to offset costs (Program Office)
- Create a nomination committee for the 2014 elections (Program Office)

H.   Upcoming Calendar

- August 2013: 1st annual call for Expressions of Interest

- Fall 2013: Complete draft Strategic Plan

- January 13-14, 2014: Hold annual GC stakeholder meeting

- February 2014: annual GC election

- Winter/Spring 2014: Make descoping decisions for Year 4 IOOS funding, with GC approval on the process

Governing Council Members
Eric Bjorkstedt
Steven Bograd
Francisco Chavez (phone, Executive Committee member)
Pat Coulston (Past-Chair)
Greg Dale
Krista Kamer
Raphe Kudela (Chair-elect)
Erika McPhee-Shaw (Chair)
Mary Miller
Karina Nielsen
Kyle VanderLugt (phone)
Dean Wendt

CeNCOOS Staff
Leslie Rosenfeld, Program Director
Aric Bickel, Program Manager (and Facilitator for this meeting)
Janine Scianna, Program Manager
Jennifer Patterson, Information Manager

Jay Ach, Manager of Environmental & Regulatory Affairs at the Port of San Francisco, graciously made the room available to CeNCOOS at no cost, and provided an overview of the Port's responsibilities. He stayed to listen to the CeNCOOS overview provided by Leslie Rosenfeld.

Central and Northern California Ocean Observing System
Framework for Decision Making
Approved July 16, 2013

This document contains the basic components of a structured priority setting and project consideration process, which will allow the Council, in coordination with the Director, to make strategic decisions about future CeNCOOS endeavors and choices. It is meant to be used as a guidance tool, leaving the Council and Director with enough flexibility to adequately respond to changing circumstances.

1. *About Statement (*approved by GC on July 16, 2013*)*
   CeNCOOS is one of 11 regional organizations under the U.S. Integrated Ocean Observing System, a national-regional partnership working to provide new tools and forecasts to improve safety, enhance the economy, and protect our environment. CeNCOOS is a consortium of member organizations with a coordinating central program office and democratically elected governing council.

2. **Vision Statement** (approved by GC on Jan. 14, 2013)
   CeNCOOS will be a leader within U.S. IOOS, and be recognized and relied upon regionally and nationally as a trusted source of data, information, and expertise to inform wise use of the ocean off central and northern California.

3. **Mission Statement** (approved by GC on Oct. 24, 2012)
   The Central and Northern California Ocean Observing System (CeNCOOS) is a collaborative that enables sustained and coordinated measurements, model nowcasts and forecasts, and integrated products to inform decisions about our regional ocean.

4. **Decision-making responsibility** (approved by GC on Jan. 14, 2013)
   CeNCOOS is an open membership organization with a Governing Council democratically elected by CeNCOOS Party Members. The CeNCOOS Governing Council, in concert with the Program Director, will set the priorities according to objective criteria, calling upon outside experts as necessary. The Executive Committee, elected by the Governing Council, will assist the Director in making decisions during situations requiring a quicker response than can be achieved with the entire council. The Governing Council represents a geographically widespread and diverse group of interests. One-year terms for the Executive Committee and designated seats for various types of member organizations on the Governing Council ensure a governing structure that will retain diversity and continue to draw from the remarkable array of expertise found throughout the Central and Northern California region. Refer to the CeNCOOS MOA for more details on CeNCOOS governance.

5. **Principles** (approved by GC on Jan. 14, 2013)

CeNCOOS will be guided by the following principles when setting priorities and making decisions regarding activities to engage in. It is anticipated that these principles will apply over the long-term, whereas priorities (section 9) may change over shorter time scales.

CeNCOOS will strive to maintain a suite of activities and products that:

- Spans the CeNCOOS geographic region
- Is inclusive across the IOOS themes (coastal hazards; marine operations; climate variability and change; and ecosystems, fisheries and water quality) and State priorities; recognizing that federal or state agency partners may be the lead in some of these
- Includes a diverse set of funded projects and recipients
- Supports a stable, trained workforce to ensure continuity of core capabilities
- Leverages the intellectual capacity and resources within the CeNCOOS network to position CeNCOOS as a leader within IOOS
- Promotes partnering among stakeholders in the CeNCOOS region.

6. **Activities** (approved by GC on Jan. 14, 2013)
   Approved CeNCOOS activities are listed in Table 1 with those in Category 1 being most essential, and those in Categories 2a and 2b being supporting activities.

Table 1: CeNCOOS Activities

Overarching CeNCOOS Activities:		
Responsive and adaptive strategic planning and coordination		
Governance, Management and Fundraising		
Category 1	**Category 2.a.**	**Category 2.b.**
Observing and Modeling	Product Development and Dissemination	Education
Data Management & Communications		Outreach
Engagement and identification of information needs	Research (investment in future, developing new approaches, models and sensors)	

7. **Core capabilities** (approved by GC on Jan. 14, 2013)
   Funding permitting, CeNCOOS is committed to maintaining the following core capabilities, with the recognition that these may change as the program evolves:

- Scientific and technical expertise/leadership to identify and address ocean observing and modeling needs
- HF radar – coastal surface circulation
- Shore stations – measuring water quality, hydrography, HABs
- Ships/gliders/moorings – monitoring offshore subsurface variables for applications in climate, productivity, circulation, physical processes, and model assimilation
- Numerical models

- Seafloor/habitat mapping – data delivery
- Data serving, including metadata and QC as appropriate
- Data products

8. **Stakeholder input** (approved by GC on Jan. 14, 2013)
   Stakeholders are defined to be data and information providers and users. Stakeholder input will be solicited via: Expressions of Interest (Appendix III), Governing Council and Joint Strategic Advisory Committee meetings, the CeNCOOS website and, when appropriate, targeted visits, surveys and workshops.

9. **Priority-Setting Considerations** (approved by GC on Jan. 14, 2013)
   Core capabilities listed in Section 7 will be considered high priorities unless otherwise stated. The intent of these considerations is to give additional guidance to the Council when setting strategic programmatic priorities. After the initial priority-setting exercise using the process outlined in this document, CeNCOOS will re-evaluate its priorities on a periodic basis dovetailing with the IOOS funding cycle, which is anticipated to be every five years from 2016 onwards. The CeNCOOS strategic plan will be updated in concert with the re-evaluation of priorities.

   The process of establishing the CeNCOOS priorities, which may be refined annually based on funding availability, will take into consideration the following factors.

Table 2: A Matrix of Priority-Setting Considerations[1]

Responsiveness to Established Federal, State, or Regional Priorities (i.e. priorities set by bodies other than CeNCOOS GC, such as WCGA)	• IOOS requirements, or national or state priorities: applies to issues, technology, variables • Regional priorities (including those of neighboring RAs): applies to issues, geography, variables, end users
Reinforcement of Unique or Partner Role of CeNCOOS	• Is CeNCOOS uniquely suited, within the region, to undertake this activity? To what extent are other organizations or consortia already addressing this need or issue? • Availability of personnel and expertise within CeNCOOS region to make significant progress in this area • Does CeNCOOS stand to be a national leader in this area?
Legacy and Sustainability Considerations	• Was it included in the current IOOS proposal? • What has CeNCOOS done in the past?
Time	• Time scale to make an impact in this area
Cost and Funding	• Potential to leverage existing funds or attract future funds

[1]Within the "primary" and "other" categories, sequence of criteria is based on a logical progression from broad to specific considerations, and is not intended to imply any prioritization or relative weighting of considerations

As an example, currently we might express high priorities for CeNCOOS as:

• IOOS Themes and State priorities: climate variability and change; and ecosystems, fisheries and water quality
• Issues: HABs, ocean acidification
• Geography: San Francisco Bay, Monterey Bay, continental shelf
• Technology: HF radar, automated shore stations, ocean circulation models
• Variables: surface currents, water quality variables
• End-users: state agencies, shellfish growers

Again, as an example, in the future priorities might change to emphasize the nearshore zone or biological variables.

10. Criteria for project selection (approved by GC on Jan. 14, 2013)

While Section 9 outlines considerations which will be used to set annual priorities for the CeNCOOS program as a whole, the following table of criteria will be used on an ongoing basis to help determine whether specific activities should be pursued. These criteria will be reviewed and updated in concert with re-evaluation of the CeNCOOS priorities and strategic plan.

Table 3: A Matrix of Projection Selection Criteria[2]

Primary Criteria	**Responsiveness to Established CeNCOOS Priorities**	• How does it map to the CeNCOOS strategic plan and priorities? • Does it align with a CeNCOOS core capability?
	Reinforcement of Unique or Partner Role of CeNCOOS	• Is CeNCOOS uniquely suited to undertaking this activity or project? To what extent are other organizations or consortia already addressing this need or question? • Does it demonstrate the integrated and interoperable nature of CeNCOOS? • Does the activity promote partnering within the CeNCOOS region?
	Impact of Project	• Is there an identified end user or a clear articulation of the end-to-end use of the proposed product or activity? • Number or category of people impacted by the decisions the data, product, or activity inform • Significant biological resources impacted by the decisions the data, product, or activity inform • Economic impact of the data, product, or activity • Does it fill an identified gap? • Local vs regional impact • Real-time vs delayed mode vs historical data
	Likelihood of success	• Is this project likely to meet its goals, as agreed upon by the proposer and CeNCOOS management, with the funding provided by CeNCOOS and other sources?

Other Criteria	**Legacy and Sustainability Considerations**	• Was it included in current proposal to IOOS? • What has CeNCOOS done in the past? Is this activity worth continuing into the future? What will be the impact if we drop a currently funded activity? • Does the project ensure CeNCOOS longevity and a succession path by developing internal expertise? • Lifetime of the activity or project – potential to sustain it over time, or transition it to another organization; vs. shorter-term activities • Will the project help sustain the CeNCOOS workforce?
	Time Scale for Project	• Time scale to spin up the activity or product
	Cost and Funding	• What's the cost to CeNCOOS of the activity? • Is targeted funding available for this specific activity? • Potential to leverage existing funds or attract future funds • Has the PI been able to attract other funding based on CeNCOOS funding or a CeNCOOS letter of support – and if so can they keep going without base CeNCOOS funding?

[2]Within the "primary" and "other" categories, sequence of criteria is based on a logical progression from broad to specific considerations, and is not intended to imply any prioritization or relative weighting of considerations

11. Gantt Chart (approved by GC on July 16, 2013)

Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Council Elections		■										
Executive Comm. Elections			■									
IOOS Meeting and Congressional Visits			■									
PI Progress Report Input Due					■						■	
IOOS Progress Reports Due						■						■
JSAC Meeting						■						
GC Working Meeting							■					
GC Stakeholder Meeting^	■											■
Solicitation of EOIs								■				
EOIs due											■	
Descoping decisions*	■	■	■	▓	▓	▓						
NOPP Progress Report Due											■	
IOOSA Board Meeting											■	

^ Will be held in December or January, scheduling dependent.
* Will depend on the receipt of final budgeting numbers from NOAA.

12. Expressions of Interest (approved by GC on July 16, 2013)

What they are, why we need them, who should submit them

In order to develop and maintain a portfolio of projects of interest to member organizations and other stakeholders, CeNCOOS will request general Expressions of Interest annually, to be valid until the next call for EOIs. These are not intended to replace Letters of Intent or proposals for specific RFPs. EOIs may be submitted by past, present and prospective data and/or information providers and users, henceforth to be called stakeholders in this context. Teams of stakeholders, particularly including both providers and users, are encouraged to collaborate on EOIs. Proposed projects may include any activities that fit within CeNCOOS objectives and are consistent with the CeNCOOS mission. EOIs will provide a formal but flexible mechanism for suggesting new projects, participants, and priorities.

PIs (funded or unfunded) on the active core CeNCOOS grant who wish to be considered for funding in the following year, should also submit an EOI.

What the call for EOIs will include
The annual call for EOIs will include a description of the CeNCOOS priority-setting process, including: vision and mission statements; CeNCOOS activity categories and core capabilities; the considerations used in establishing priorities and who has responsibility for setting the priorities. A list of the current CeNCOOS priorities and activities will also be included. Criteria and methods by which EOIs will be evaluated for core CeNCOOS funding will be included, and any information regarding upcoming funding opportunities will be provided. A description of how the EOIs will be used, with an explicit statement that those submitting an EOI are not guaranteed to receive funding through CeNCOOS, will be included.

What the EOIs will be used for
The EOIs will be used in selecting continuing and new projects to pursue in alignment with CeNCOOS goals. In addition to being considered when making funding decisions with core CeNCOOS funds from the IOOS Program, the portfolio of EOIs will serve as an index of current expertise and interest within CeNCOOS, and will be consulted when new opportunities arise. They will allow the Director and Governing Council to forward announcements of opportunity and funded requests for assistance to appropriate people, and to make informed initial responses until more complete proposals can be formulated. They will facilitate the pairing of data and information providers with end users. The portfolio of EOIs will also be used in soliciting funds for CeNCOOS activities.

The timing of the calls
Generally, the EOI call will be made in the August prior to the funding year (June 1 – May 31). While EOIs will be accepted at any time, they must be submitted by November 30 for priority consideration. The exact date of these calls will be schedule dependent and decided by the CeNCOOS program office.

What the EOIs will need to include
EOIs should be 1-2 pages in length and include: principals and organizations involved; a description of the proposed project; a statement of how the proposed activity relates to the CeNCOOS mission and vision; the objectives, outcomes, deliverables, and end users for the project; anticipated costs and timeline; relationship to current CeNCOOS funding or activities if appropriate; and existing and potential funding sources other than core CeNCOOS funds from the IOOS Program. Resubmittals from previous years are acceptable as long as they are marked as such.

APPENDIX 3: Documents provided to GC members prior to and at the meeting:

Prior to the meeting:

- Partially adopted "CeNCOOS Decision Making Framework Document"
- CeNCOOS' updated MOA
- Year 2 and year 3 budget comparison
- Draft Expressions of Interest description
- Draft Strategic Plan framework with example text/sections
- Draft agenda for the meeting

At the meeting:

- All of the documents above
- Finalized agenda for the meeting
- Draft CeNCOOS event calendar
- Document detailing federal, regional, and state priorities