

CHESAPEAKE BAY PROGRAM

**Protocols for the Development, Review, and
Approval of Loading and Effectiveness Estimates
for Nutrient and Sediment Controls in the
Chesapeake Bay Watershed Model**

Commented [A1]: It would be good to include a range of time (e.g. 30-90 days) for each of these steps so that we have an idea of the goal for the time period.

Table of Contents

Page Number

Executive Summary.....	
Introduction.....	
Scientific Findings of BMP Performance.....	
Technical Application of the Recommended BMP(s) within CAST.....	
Determine the Need for a Review Process for New and Existing Estimates....	
<i>New Requests for Evaluation of New Technologies and Practices.....</i>	
<i>Reviews of Estimates or Treatment Processes in Existing BMP Expert</i>	
<i>Panel Reports.....</i>	
<i>Proprietary Devices.....</i>	
<i>Communication of Requests and Status of Expert Panels to the CBP.....</i>	
Review Process for New Estimates or Revisions to Existing Estimates that	
Require an Expert Panel.....	
<i>Convening a Panel & Expectations of Panel members.....</i>	
<i>Expert Panel Meetings.....</i>	
<i>Support to Expert Panels.....</i>	
<i>Panel Progress Updates.....</i>	
<i>Ancillary Benefits and Unintended Consequences.....</i>	
<i>Data Applicability.....</i>	
<i>Incremental Scientific Findings.....</i>	
<i>Expert Panel Reports.....</i>	
Chesapeake Bay Program Review and Approval Processes.....	
Appendix I: CBP Partnership Review Process for BMP Expert Panel Reports	
and Technical Appendices.....	
Appendix II: Conflict of Interest Disclosure Form.....	

Executive Summary

The Chesapeake Bay Program (CBP) partnership established these protocols to guide the Best Management Practice (BMP) Expert Panel process. The overarching purpose of the BMP Expert Panels is to establish pollutant load reduction estimates to an individual practice or groups of practices that are intended to mitigate the pollution effects of excess nitrogen, phosphorus, and sediment in the Chesapeake Bay watershed. BMPs that are assigned nutrient and sediment load reduction estimates are then incorporated into the CBP partnership's suite of modeling tools for credit under the Chesapeake Bay Total Maximum Daily Load (Bay TMDL).

Since the definitions and values used for both loading and effectiveness estimates have important implications for the CBP and various partners, it is critical that such estimates be developed in a process that is consistent, transparent and scientifically defensible. To this end, the Water Quality Goal Implementation Team (WQGIT) established the BMP Expert Panel protocols and has amended these protocols over time.

This document outlines the process by which BMP Expert Panels are to be convened, conducted, and completed, as well as the specific elements that are to be included in the associated scientific and technical documentation. Also included is the role of the CBP partnership in the BMP Expert Panel process to convene panels, revisit existing panel reports, and the review and decision-making framework.

Introduction

The Chesapeake Bay Program (CBP) uses loading estimates (i.e., effectiveness values) to quantify expected amounts of nutrients (nitrogen and phosphorus) or sediment delivered to local waters from specific land uses or point sources. Changes in estimated loads from a particular piece of land can occur in a number of ways, including: 1) a change in the land use (e.g., forest instead of grassland), 2) an adjustment based on an estimate of effectiveness of a best management practice (BMP), 3) a measured reduction in direct load to the land use, and 4) a measured reduction from a treatment process. Some BMPs may combine multiple methods, such as a load source change and an effectiveness value. Additionally, there are BMPs that apply to animal manure, which can change load estimates in several ways. The CBP uses these effectiveness estimates and direct load reductions to modify the existing baseline loading

The establishment of loading rate reductions will be determined by a panel of experts, vetted and approved by the CBP partnership (see Section IIA). The Water Quality Goal Implementation Team (WQGIT) is responsible for **reviewing** the loading rate reductions as recommended by an Expert Panel, **reviewing** adjustments to these loading reductions in the event that an Expert Panel report is revisited, and **approving or objecting by consensus**, in accordance with the [CBP partnership Governance Protocols](#), the technical appendix which describes how these recommendations are incorporated into the Chesapeake Assessment Scenario Tool (CAST) and the procedures associated with tracking, verifying, and reporting of BMPs to the CBP). **If the technical appendix is approved**, then the WQGIT is also responsible for **approving or objecting by consensus** whether the recommendations of the Expert Panel are to be incorporated into CAST. **Conversely, if the technical appendix is not approved, the recommendations will not be incorporated into CAST.**

Commented [A2]: If the technical appendix is not approved, then what happens?

Commented [A3R2]: Please see additional language to address the comment.

Review and Decision Process for BMPs

	Workgroup	Watershed Technical Workgroup	WQGIT/GIT
New Scientific Findings	Review	Review	Review
Technical Appendix	Approve	Approve	Approve
Effectiveness Values in CAST	Approve	Approve	Approve
Revisit Existing Scientific Findings	Review	Review	Review

Due to uncertainty in the underlying processes, the observed variability in practice performance and even widely varying approaches to collecting those data, best professional judgment ~~is necessary~~^{essential} to ascribing practice outcomes (i.e., expected water quality benefits). “Best professional judgement” in the context of this Protocol is understood as a technical opinion or determination that contributes to an Expert Panel’s decision-making or recommendations after reviewing relevant research and data pertaining to the issue under consideration. Best professional judgment by the Expert Panels requires consideration ^{of} sources of available scientific information (see Table I) to estimate loading rates and practice effectiveness. Because the definitions and values used for both loading and effectiveness estimates have important implications for the CBP, this Protocol outlines specific procedures for all Expert Panels to follow so the process is consistent, transparent, and scientifically defensible.

Commented [A4]: I don’t think “essential” is the right word. Perhaps “necessary” is a better word to use here in this context.

Commented [A5R4]: Deleted “essential” and replaced with “necessary”

The Expert Panel report and associated process will consist of two distinct steps: scientific findings as documented in the Expert Panel report and technical application of the practice as documented in the technical appendix. The scientific findings will reflect the Expert Panel recommendations on establishing a pollutant load reduction efficiency for a BMP and the technical appendix will describe how the BMP is to be incorporated into CAST, as well as the tracking, verification, and reporting requirements. While these are two distinct steps, **the Expert Panel report and the technical appendix should be developed concurrently to the best extent possible.** It may be necessary for the CBP Modeling Team or the WTWG representatives on the Expert Panel to weigh in on the scientific findings in the Expert Panel report from a more technical perspective as it relates to the application in CAST. Conversely, while the Expert Panel will take the lead role in the development of the Expert Panel reports, they will also be involved in the development and review of the technical appendices, in collaboration with the WTWG and CBP Modeling Team¹.

The purpose of each step is outlined as follows:

¹ The reason for the close collaboration between the Expert Panel, the WTWG, and the CBP Modeling Team on the development of the technical appendices is that while the Expert Panel can describe the conditions in which the practice is implemented, how that is translated into modeled land uses and load sources might best be addressed by the modeling experts.

Scientific Findings of BMP Performance – Establish the pollutant load reduction efficiencies for a new BMP or revisit an existing BMP Expert Panel report based on new scientific information. The documentation required for the scientific findings can be found in section **IIA** – *Expert Panel Reports*.

Technical Application of the Recommended BMP(s) within CAST – Establish the way the BMP will be accounted for in CAST. This piece will ensure that the BMP can be reported and simulated appropriately in CAST and allow for future adjustments based on CBP partnership experience. This piece of the report will build on the scientific findings and the documentation required for the technical appendix can be found in section **IIA** – *Technical Appendices*.

The following identifies the process to be followed for activities related to new Expert Panels or revisiting previous Expert Panel reports.

- I. Determine the need for a review process
- II. Review process:
 - a. For new estimates
 - b. For existing estimates or treatment processes
- III. Independent review process for scientific findings
- IV. Chesapeake Bay Program review and approval processes

This Protocol in its entirety will be reviewed by the CBP partnership on an as-needed basis to incorporate new information and/or changes to process based on input received from the CBP partnership. Any changes to the Protocol will take effect immediately upon adoption by the WQGIT. Expert Panels already underway will be exempt from changes to those process steps that have already occurred within an Expert Panel.

I. Determine the Need for a Review Process for New and Existing Estimates:

A. Requests for Evaluation of New Technologies and Practices

Requests should be routed through a signatory member² of the CBP partnership to the Chair and Vice Chair of the relevant Workgroup or Goal Implementation Team (GIT). In the event that ~~For stand-alone committees put in place by the Principles Staff Committee (PSC) or the Management Board (MB) have a request for a practice evaluation, the request should be routed through a signatory member of the CBP partnership to the Chair and Vice Chair of the PSC at committee or MB, with notification to WQGIT leadership. In that case, the PSC or MB would identify the GIT(s) or workgroup(s) to process the request according to this Protocol.~~ Requests should include the following information:

- a) A clear and concise definition of the practice including common versions of the practice that are either explicitly included or excluded from the requested practice.
 - a. Specific scientific information on how the practice reduces nitrogen, phosphorus, and/or sediment, and the sources/loads that will be treated.

² These members are signatories to the 2014 Chesapeake Bay Watershed Agreement and include the seven Bay watershed jurisdictions, the Chesapeake Bay Commission, and EPA on behalf of the federal government. The signatory member is responsible for raising the request to the Chair and Vice Chair of the relevant Workgroup or GIT. The signatory member is not necessarily responsible for leading or supporting the convening of an Expert Panel.

Commented [A6]: Question: are BMPs only in CAST, or are they also in the Chesapeake Bay Watershed Model?

Commented [A7R6]: CAST and the Watershed Model are one and the same.

Commented [A8]: Is this the entire Protocol document or is this referring to the above two steps?

Commented [A9R8]: Entire Protocol document. Added language to clarify.

Commented [A10]: It would be helpful to include a “decision tree” to visualize the steps.

Commented [A11R10]: (Jeremy) We’ll consider a visual diagram at a later date, but it’s not a priority for now.

Commented [A12]: This is why I registered the “hold”. The Conowingo WIP Steering Committee is a stand-alone group put in place and appointed by the PSC. It doesn’t make sense for the CWIP SC to have to go to a WG/WQGIT to request an Expert Panel. There are other stand-alone groups put in place by the PSC to focus on specific areas, so I think it would be prudent to identify an alternative path for these requests to take if they arise from those groups.

My suggestion, to keep it generalized, is to state the following:

“Generally, requests should be routed through a signatory member of the CBP partnership to the Chair and Vice Chair of the relevant workgroup or goal implementation team. For stand-alone committees put in place by the Principles Staff Committee, the request should be routed through a signatory member of the CBP partnership to the Chair and Vice Chair of that committee.”

Commented [A13R12]: (Jeremy + Lucinda) Added some language to address your comment

- b) References to available science/data on the nutrient and sediment removal efficiencies with the contact information and affiliation of the lead researchers, including the geographical location of where the data was collected.
- c) Types of data the jurisdiction(s) currently track and report for a practice
- d) A general description of how the panel will be supported, if convened. For example, identification and provision of any funding needed to convene and execute the panel, as well as a coordinator and supporting staff.

The GIT or Workgroup Chair upon receipt of a request may propose that the request be routed to an alternative GIT or Workgroup if the Chair feels that placement in another group is more appropriate. These groups will determine if sufficient credible data is available to convene an Expert Panel (i and ii). Alternatively, these groups may determine that the requested BMP is comparable to, or represents an improvement relative to, a previously approved practice (iii) or can be combined with another panel request (iv). This determination will be made within 90 days³ from the date received by the GIT or Workgroup Chair.

(i) When a GIT or Workgroup determines a request has sufficient scientific data (e.g., publicly available literature sources that would inform the establishment of an effectiveness value for a practice) for an Expert Panel, they will communicate that finding to the WQGIT along with an email to the requestor describing the basis for such decision.

(ii) When a GIT or Workgroup determines a request lacks sufficient scientific data for an Expert Panel, they will communicate that finding to the WQGIT along with an email to the requestor describing the basis for such decision.

(iii) When a GIT or Workgroup determines a request is comparable to a previously approved practice, they will document the basis for their recommendation and route it through the WTWG to the WQGIT for approval. Once approved, an email to the requestor describing the resolution of their request will be sent by the GIT or Workgroup Chair. Should the recommendation fail to be approved by the WQGIT, the request will be returned to the appropriate Workgroup for reconsideration of an Expert Panel. The Workgroup will determine next steps to either close out the request or recommend the convening of an Expert Panel. The recommended next steps will then be forward to the WQGIT for a final decision.

(iv) When a GIT or Workgroup determines a request is comparable to another panel request, that request can be combined for a single Expert Panel and they will document the basis for their recommendation and route it through the WTWG to the WQGIT for approval. Once approved, an email to the requestor describing the resolution of their request will be sent by the GIT Chair. Should the recommendation fail to be approved by the WQGIT, the request will be returned to the appropriate Workgroup for reconsideration of a separate Expert Panel. [The review and approval process of Expert Panel reports

Commented [A14]: Carry the above statements throughout the rest of the document to ensure that there is an alternate route in cases where there is a PSC-identified stand-alone committee/group/task force.

Commented [A15]: Is this where the EPEG comes into play?

Commented [A16R15]: EPEGs are a process established by the AgWG and that we are utilizing for the unique Conowingo Dredging practice, but we prefer to let the workgroup handle this step through their preferred method and whether they feel another group like an EPEG is necessary.

³ A time extension may be granted if requested.

can be found in Sections IIA and IV.] The Workgroup will then forward the recommended next steps to the WQGIT for final decision.

B. Reviews of Estimates or Treatment Processes in Existing BMP Expert Panel Reports

Requests to re-evaluate existing loading and effectiveness estimates may arise if new science or information becomes available. Such reviews can be prompted by the availability of new information, such as a new treatment process or new information on existing efficiencies. Reviews can also be initiated if current estimates produce illogical model outputs or if there is reason to believe that they were developed using inaccurate information. Requests typically fall under one of three categories: (I) New Scientific Data or Information, (II) Seeking Clarity on an Existing Expert Panel Report or (III) Requesting Changes to Data Collection and/or Reporting Requirements.

(I) Reviews of existing Expert Panel reports may be initiated if the requestor seeks a substantial change to BMP efficiency estimates or to the underlying science that was the basis of the findings in the Expert Panel report. The requestor is to submit new or updated scientific data and information to the WQGIT Chair, who will then direct the request to the appropriate Workgroup or GIT to investigate further.

Discussions should occur first at the Workgroup level and the requestor can work with the appropriate Workgroup Chair and Coordinator to vet the materials with the full Workgroup membership prior to discussions with the WQGIT. The requestor is to work with the Workgroup to determine if a formal review of an existing Expert Panel report by a new Expert Panel is warranted.

If the Workgroup determines that revisions can be made without convening a new Expert Panel, the Workgroup Chair will present its recommendations to the WQGIT for review and approval. If approved by the WQGIT, the review of existing estimates and, when applicable, the definition of a BMP, can be conducted within a Workgroup in consultation with the WTWG. The requestor will be the lead point of contact in working with the Workgroup and the WTWG. This approach should reduce the amount of time necessary to conduct the review because the practice definition(s), background data, and CAST incorporation protocols are documented for the existing Expert Panel report and its Technical Appendix.

However, the Workgroup and WQGIT can also make the determination that the review could warrant the convening of an Expert Panel. If such is the case, reviews of existing estimates should follow the guidelines listed in IIA of this Protocol.

(II) Alternatively, a requestor can seek clarity concerning an Expert Panel report where the questions being posed were not specifically addressed as part of the Expert Panel report. In that case, the requestor is to submit questions to the WQGIT Chair, who will then direct the request to the appropriate Workgroup or GIT to investigate further. Any coordination with other Workgroups will be facilitated by the lead Workgroup assigned to the task.

Once the Workgroup has completed its deliberations, the Workgroup Chair will present its recommendations to the WQGIT for review and approval. If approved, the WQGIT will take appropriate action to follow through on the recommendations.

Commented [A17]: Same comment as above re: PSC-appointed committees.

Commented [A18R17]: See language added above, and the workgroup identified through that PSC/MB request would take it from there, as this level of detail would be inappropriate at those higher levels.

(III) A request for changes to data collection and reporting requirements specified in an Expert Panel report and/or technical appendix may be sought. The basis for these changes may be related to new data collection methods. The request may also be made based on the ability to implement the data collection and reporting requirements contained in the Expert Panel report and/or technical appendix. The requestor is to submit questions to the WTWG for further investigation.

Once the WTWG has completed its deliberations, the WTWG Chair will present the recommendations to the WQGIT members for review and approval. If approved, the WQGIT will take appropriate action to follow through on the recommendations.

C. Proprietary Devices

When a sufficient number of non-proprietary designs for the BMP (e.g., floating wetland treatment BMP) have become available and their removal efficiencies are well established, then that class of BMPs will be eligible for the Expert Panel process. However, proprietary BMPs, which meet the definition(s) and qualifying conditions established by the Expert Panel for a class of BMPs, can receive nutrient and sediment reduction credit assigned to that class. Additional credit for proprietary design modifications to the BMP will not be granted.

D. Communication of Requests and Status of Expert Panels to the Chesapeake Bay Program

The GIT or Workgroup will develop a list BMPs that have been approved for Expert Panels and present this list to all GITs on no less than an annual basis, together with a list of requests that were found to lack sufficient data and the rationale for not convening Expert Panels. Proposed technologies and practices that have been identified by jurisdictions in their WIPs will be given highest priority.

All information relevant to Expert Panels and associated requests will be posted to the following CBP website: https://www.chesapeakebay.net/who/group/bmp_expert_panels.

IIA. Process for Establishing New Expert Panels

Convening a Panel & Expectations of Panel members

The Workgroup, in consultation with representatives from the WTWG, WQGIT, other appropriate GITs, and the Advisory Committees will coordinate the convening of an Expert Panel, including the development of a draft scope and charge of the Expert Panel (described later in this document), along with a proposed list of Expert Panelists. If an Expert Panel Chair is identified prior to the selection of proposed Expert Panelists then the Expert Panel Chair will be actively involved in the selection process.

The elements of an Expert Panel charge should include the following, at a minimum:

- Background (identification, scope, and definition) of the specific practice(s) under Expert Panel review and deliberation
- Recommendations for Expert Panel member expertise

- Development of an Expert Panel report to address the guidelines and information outlined in this Protocol
- Proposed timeline for the Expert Panel to finalize the Expert Panel report (and technical appendix) and submit the Expert Panel report to the CBP. It should be noted that the proposed timelines are subject to change based on Expert Panel deliberations and the CBP partnership's review process of the tracking, verifying, and reporting requirements

Expert Panel membership must include individuals with the specific expertise and experience in pertinent environmental and water quality-related issues needed to address the scientific charge put to the Expert Panel. Priority for Expert Panel membership will be focused on recognized regional or national experts in their field. Members that understand the programmatic implementation of the BMP, how it might be simulated in the CBP modeling tools, and the geography of the Bay watershed should also be included to help ensure balanced representation and expertise on the Expert Panel, as well as to provide the necessary management application requirements. Qualified local practitioners should be considered for inclusion on Expert Panels as well. Local practitioner is defined in this context as a person with practical, real-world implementation expertise who will provide this technical expertise to the Expert Panel. Examples include but are not limited to a public works director, private consultant or technical service provider, soil and water conservation specialist, or municipal engineer. In the Expert Panel member selection process, the hosting Workgroup Chair and Coordinator shall collect input from their own Workgroup, the GITs, and WTWG, the CBP Modeling Team, and the Advisory Committees.

A representative from the requesting Workgroup; a representative from the WTWG; a representative from the CBP modeling team, and a representative from EPA Region III⁴ will serve as resources to the Expert Panel and are tasked with providing information and assistance to the Expert Panel members during their deliberations. These representatives should actively engage in Expert Panel discussions, with a focus on ensuring the Expert Panel's direction and resulting recommendations align with jurisdictional BMP reporting capabilities, the National Environmental Information Exchange Network, CAST, and other modeling tools as well as existing regulatory frameworks. An Expert Panel may also invite additional experts to serve as guests on the Expert Panel, such that they can provide input but are not official members of the Expert Panel.

Potential Expert Panel members must provide to the hosting Workgroup a Curriculum Vitae (CV) or any other justification that illustrates the nature of their expertise as it relates to the Expert Panel's charge. In addition, potential Expert Panel members must disclose actual or potential conflicts of interest in writing to the hosting Workgroup. An actual or potential conflict of interest is deemed to exist when:

- A potential Expert Panel member could benefit financially from the Expert Panel recommendations;

⁴ A point of contact from the EPA Region III Office in Philadelphia will be selected to participate by EPA on Expert Panels where permit or other regulatory questions are expected to arise during Expert Panel deliberations.

Commented [A19]: These are all public sector examples. Recommend including a private sector example as well to ensure that there isn't an inference that private sector is precluded from participating (unless they are).

Commented [A20R19]: (Jeremy) Good point, private sector is acceptable and we have the conflict of interest section to explain when/why it wouldn't be okay. Listed private example for clarity.

- The employer of or a person closely related to a potential Expert Panel member could benefit financially from the Expert Panel recommendations; and
- A potential Expert Panel member represents a particular point of view or special interest “where one is totally committed to a particular point of view and unwilling, or perceived to be unwilling, to consider other perspectives or relevant evidence to the contrary.”⁵

None of the above are intended to exclude jurisdictional subject matter experts solely because their jurisdiction has financial obligations related to implementation of WIPs, two-year milestones, or other commitments under the 2014 Chesapeake Bay Watershed Agreement.

Further information on what constitutes a conflict of interest can be found in Appendix II of this Protocol. As mentioned previously in this Protocol, all proposed Expert Panelists’ credentials, CVs, and associated conflict of interest disclosures, will be reviewed by the CBP partnership before an Expert Panel membership is finalized to help ensure that no actual or potential conflicts of interest exist. These conditions will minimize the risk that Expert Panels are biased toward particular interests or regions.

The proposed list of Expert Panelists, as well as the draft scope and charge of the Expert Panel, the Expert Panelists’ credentials, CVs, and associated conflict of interest disclosures, will be sent via email to the Workgroups, the GITs, and the Advisory Committees for their review and comment. The hosting Workgroup Coordinator or Panel Coordinator is responsible for managing this review process, and a reasonable timeline for review will be determined by these Coordinators. After incorporating or responding to comments received, final approval of the Expert Panel scope and charge, as well as Expert Panel membership, will be reserved for the hosting Workgroup or GIT and will follow the CBP partnership Governance Protocols. In cases where consensus cannot be reached by the Workgroup or GIT, or if concerns remain regarding potential conflicts of interest, the decision will be elevated to the next higher decision-making group.

III. Expert Panel Process

Expert Panel Meetings

Expert Panel members will be responsible for following the specific charge of the Expert Panel, as well as this Protocol⁶. Expert Panel deliberations in meetings and conference calls will be closed to the public in order to discuss and develop scientific findings free from outside influences. However, once an Expert Panel has been convened or re-convened, one of the first meetings will be dedicated to an open forum where interested parties are invited to share and present scientific data with the Expert Panel members⁷. The intent is to provide an open exchange of information that may help inform the Expert Panel as it moves forward with its deliberations, as well as provide an opportunity for the public and interested stakeholders to learn more about the Expert Panel’s charge. **Announcements of these open**

⁵ http://www.nationalacademies.org/doi/bi-coi_form-0.pdf

⁶ Copies of the Protocol will be distributed to all Expert Panel members in advance of their first call or meeting.

⁷ This open forum meeting should not be scheduled prior to three weeks after its public announcement through the CBP website and email notifications to the CBP partnership.

forum meetings will be posted on the [CBP partnership's website](#) and distributed via email to the hosting Workgroup, the GITs, and the Advisory Committees.

Commented [A21]: Can we add in here a time frame (e.g. at least 2 weeks in advance of the open forum meeting).

Commented [A22R21]: (Jeremy) See footnote 7

The Expert Panel may elect to solicit input from guests to ensure that the Expert Panel receives the full range of information and science available on the Expert Panel topic. In addition, guests may submit relevant BMP performance data or any other such supporting literature for the Expert Panel to consider. Any written materials provided to the Expert Panel will be maintained in an archived location as determined by the Expert Panel that can be made available for review upon request.

Expert panels chairs are encouraged to use principles and practices central to expert elicitation and facilitation⁸. Relevant skills include ensuring the panel members understand and stay focused on panel's challenge and objectives; eliciting expert judgments based on the best available information; and addressing facilitation challenges. More formal, structured elicitation protocols, such as the IDEA ("Investigate," "Discuss," "Estimate" and "Aggregate") protocol can improve the accuracy and reproducibility of expert judgements⁹.

The primary approach to decision-making for the Expert Panels should be full consensus. A consensus decision-making process is a group decision-making process that not only seeks the agreement of most participants, but also the mitigation of minority objections. When objections or dissenting opinions are raised in the context of Expert Panel discussions and in the development of Expert Panel reports, consensus should be the primary approach taken to resolve such dissent. Before an Expert Panel report can enter the independent panel review (Section IV) or CBP partnership review (Section V), each member of the Expert Panel must agree that the Expert Panel report adequately acknowledges and mitigates minority objections. An Expert Panel member's sign-off indicates that ~~they~~ believe the report reflects the consensus views of the panel—not necessarily that it is the exact report ~~they~~ would have written individually.

Commented [A23]: Minor change – to try to be more inclusive.

Commented [A24R23]: Good catch.

Support to Expert Panels

The Expert Panel Chair and Coordinator will be the primary points of contact during the Expert Panel process and it is up to them on how best to assign responsibilities amongst the Expert Panel members. It is recognized that the majority of Expert Panel members will serve on a voluntary basis. It is the responsibility of the hosting Workgroup, GIT, or the original requestor for the Expert Panel to work with the EPA Chesapeake Bay Program Office [to](#) identify and provide any required resources needed to convene and fully execute an Expert Panel, following this Protocol and in consultation with the CBP partnership.

Panel Progress Updates

⁸ See Stephenson, K., C. Hershner, B. Benham, Z. Easton, J. Hanson, S. Julius, and E. Hinrichs. 2018. Consideration of BMP Performance Uncertainty in Chesapeake Bay Program Implementation. STAC Publication Number 18-003, Edgewater, MD. 33 pp.

⁹ See V. Hemming, M.A. Burgman, A.M. Hanea, M.F. McBride and B.C. Wintle. 2018. A practical guide to structured expert elicitation using the IDEA protocol. *Methods in Ecology and Evolution* 9:169-180.

The Expert Panel Chair or Coordinator will routinely update the hosting Workgroup and GIT on the Expert Panel's progress; preliminary findings; and any information or logistical gaps/needs that require input from those beyond the Expert Panel membership. The updates will at least be quarterly, and can be provided to the host workgroup or GIT verbally or as a brief written synopsis. The hosting Workgroup Coordinator will work closely with the Expert Panel Chair and Coordinator on scheduling these status updates during regularly scheduled Workgroup meetings/calls. Status information could include when an Expert Panel expects to hold an open forum, release a final report for CBP partnership review, and release a technical appendix for CBP partnership review and approval; initial findings of the Expert Panel; or specific issues that the Expert Panel expects the Workgroups and GIT(s) to decide upon. These updates will be compiled for all active Expert Panels for distribution to the GIT(s).

Commented [A25]: Suggest a proposed time frame (e.g. at least bi-monthly, quarterly, etc.)

Commented [A26R25]: (Jeremy) the value of updates will vary from panel to panel, and even within a panel as they move from stage to stage (lit review, deliberations, and report-writing), so I don't think it helps to suggest a frequency here. If panel activity ramps up we can consider options for update methods or frequency.

Ancillary Benefits and Unintended Consequences

The charge to each Expert Panel will include developing definitions and loading or effectiveness estimates for the specific nutrient and sediment reducing technologies and practices they are tasked to address. However, Expert Panel members will also be expected to identify any significant ancillary benefits or unintended consequences beyond impacts on nitrogen, phosphorus, and sediment loads. Addressing this expectation should be included in the Expert Panel's charge. Emphasis should be placed on benefits or consequences that have the potential to impact the implementation of the Goals and Outcomes of the 2014 Chesapeake Bay Watershed Agreement. Examples include increased, or reduced, air emissions, changes to habitat quality, or climate change impacts. An expanded analyses into ancillary benefits or unintended consequences could be a significant and useful contribution as an appendix to the final Expert Panel report. Therefore, the Expert Panel Chair and Coordinator should notify the appropriate GIT of any identified ancillary effects to determine if the GIT wants to develop and provide such information. Should the identification of ancillary effects originate from a GIT, notification must be submitted to the Expert Panel Chair and Coordinator to inform them of the GIT's intention to draft the ancillary benefits and unintended consequences appendix.

The appendix will include the authors involved in the analyses, as well as the finalization date of the appendix by the GIT. It is anticipated that further research into any ancillary benefits or unintended consequences will be conducted concurrently with the Expert Panel itself; however, this assumption does not preclude the development of such an appendix after the Expert Panel report is final.

It is important to note that the purpose of the Expert Panels is not to incentivize or promote the use of any management practice; it is to increase the understanding of the nutrient and sediment reductions associated with these practices. In addition, any appendix on ancillary benefits or unintended consequences does not change the definitions and loading or effectiveness estimates for nutrient and sediment reducing technologies and practices in the final Expert Panel report. State and local governments may then consider both the definitions and effectiveness estimates from the main Expert Panel report, as well as ancillary benefits or unintended consequences from the appendix, when deciding upon which technologies and practices they intend to select, fund, and implement within their respective jurisdictions.

Data applicability

Determining which data should be used to develop loading and effectiveness estimates is a critical step. When considering sources of data, the Expert Panel must decide: 1) if the data is appropriate, and 2) how much influence each data source should have on the final estimate. Each of these decisions should be discussed explicitly in the final Expert Panel report for each data source or group(s) of data sources.

Data sources should be characterized using Table 1 (below) and included in the Expert Panel report.

Table I. Data source characterization

	High Quality	Medium Quality	Low Quality
Extent of Replication	Clearly documented and well-controlled past work that has since been replicated or strongly supported by the preponderance of other work; recent (< 5-year old) work that was clearly documented and conducted under well-controlled conditions and thus conducive to possible future replication	Clearly documented older (>5-yr old) work that has not yet been replicated or strongly supported by other studies, but which has also not been contraindicated or disputed	Work that was not clearly documented and cannot be reproduced, or older (>5-yr old) work for which results have been contraindicated or disputed by more recent results in peer-reviewed publication or by other studies that are at least equally well documented and reproducible
Applicability	Purpose/scope of research/publication matches information/data need	Limited application	Does not apply
Study location	Within Chesapeake Bay	Characteristic of the Chesapeake Bay, but outside of watershed	Outside of the Chesapeake Bay watershed and characteristics of study location not representative
Data collection & analysis methods	Approved state or federal methods used; statistically relevant	Other approved protocol and methods; analysis done but lacks significance testing	Methods not documented; insufficient data collected
Conclusions	Scientific method evident; conclusions	Conclusions reasonable but not	Inconclusive; insufficient evidence

	supported by statistical analysis	supported by data; inferences based on data	
References	Majority peer-review	Some peer-review	Minimal-to-no peer-review

The Expert Panel should also consider the following:

- Was the data generated from a BMP design and implementation consistent with those found in the Chesapeake Bay watershed?
- How does the duration of the experiment compare to the **intended timeline** of the BMP? If the experiment is substantially shorter, how might that influence the evaluation of operational effectiveness of the practice?
- Do results reflect changes in pollution reduction benefits over the lifetime of the practice?
- Whether factors that could affect pollution reduction benefits are adequately addressed (such as location of practice with respect to pollution sources and pollution content of sources treated)?
- How might variation in the conceptual design of the study, including the sampling location strategy what parameters measured and the timing, frequency, and duration of sampling influence the observations?
- What, if any, assumptions were made during the experiment and conclusion?

Commented [A27]: What does this mean? Credit duration?

Commented [A28R27]: (Jeremy) I interpret this as a question comparing the experiment's duration or study period with the designed/engineered or perhaps contractual lifespan of the practice. Those can overlap but it is not exactly the same as credit duration since that's specific to the verification framework and this is a consideration for the panel as they review empirical literature/studies.

Once the Expert Panel has characterized a data source, they must determine how much influence (i.e., 'weight') the data should have on resulting estimates. For example, peer-reviewed publications will usually have more weight than non-peer-reviewed sources. However, the exact influence of a particular data source will also consider other factors, such as those listed in the questions above, which the Expert Panel will consider. Citations to such literature shall be provided in the Expert Panel reports.

Incremental Scientific Findings. The duration of an Expert Panel is dependent upon the complexity of the review and workload issues. However, the CBP partnership may recommend expediting an element of the review process (e.g. partner's request for BMP effectiveness estimates that have immediate implications for progress or planning purposes). Therefore, an Expert Panel is welcome to make incremental scientific findings that can be sent forward to the CBP partnership. If the Expert Panel is charged with producing incremental scientific findings at the inception of the Expert Panel, it will be the responsibility of the Expert Panel to produce those incremental scientific findings. However, if the request for incremental scientific findings is made after the Expert Panel has received its charge and has begun work on those charges, it is at the Expert Panel's discretion as to whether or not the incremental scientific findings will be pursued. The Expert Panel is still expected to complete and finalize the Expert Panel report which will contain the more comprehensive set of scientific findings. It is recommended that if incremental findings are sent forward to the CBP partnership, an incremental technical appendix should also be developed if the incremental scientific findings are to be incorporated into CAST.

Expert Panel Reports

The Expert Panel will develop a report documenting their scientific findings for definitions and loading or effectiveness estimates for nutrient and sediment reducing technologies and practices. The Expert Panel will work with the appropriate Workgroup and WTWG to develop a report documenting their scientific findings. The following is a table of contents that every report must address:

- Identity and expertise of Expert Panel members
- Practice name/title
- Detailed definition of the practice
 - The definition should incorporate descriptive elements that can reasonably be understood for Chesapeake Bay Program purposes, which may include criteria or factors that distinguish the practice from similar practices
 - Review and synthesis of available nitrogen, phosphorus, and sediment loading, or effectiveness estimates (practice performance recommendations) Relevant data may include the following:
 - Bioavailability of nutrient load considered, where applicable
 - Nutrient content of sediment load considered, where applicable
 - Summaries of observed empirical results from studies used as the primary basis for the panel recommendations (including measures of unexplained variation)
- Justification for the selected effectiveness estimates, including
 - List of all data sources considered (peer-reviewed, unpublished, etc.) and a description of how each data source was considered (see Table 1)
 - Expert Panel members can use unpublished data if such data is based on documentation that includes the origin and the quality of the data
 - Identify data sources that were considered, but not used in determining practice effectiveness estimates
 - Documentation of uncertainties, as available, in the published literature (across and within studies)
 - Descriptions of assumptions that the expert panel made when combining disparate data sets
 - Documentation of how the Expert Panel addressed negative results or no pollution reduction in nutrient and sediment loads as a result of implementation of a specific practice
 - Where studies with negative or no pollution reduction data are found (i.e., the practice acted as a source of pollutants), they should be equally considered with all other data
 - Explanation of the approach the Expert Panel used to address scientific uncertainties and variation in empirical findings of removal effectiveness (e.g.. if "conservative" effectiveness estimates are used to address uncertainty, provide a rationale for the estimate)
- Description of how best professional judgment was used, if applicable, to determine effectiveness estimates, as well as why it was used and if other potential options were explored

- Description and justification on the use of assumed values to establish BMP efficiencies
- Land uses to which the practice is applied, the load sources the practice will address and potential interactions with other practices
- Description of pre-practice and post-practice circumstances, including the baseline conditions for individual practices
- Conditions under which the practice performs as intended/designed:
 - Include conditions/circumstances where the practice will not perform as intended/designed or will be less effective. An example: large storm events that could exceed a practice's design specifications.
 - Any variations in practice performance due to climate, hydrogeomorphic region, geologic material/soil type, or other measurable factors.
- Temporal performance of the practice including lag times between establishment and full functioning, if applicable
- Discussion of performance reliability of the practice under current and future climate conditions, to the extent that this information is available in qualitative or quantified forms
 - This includes identifying and describing factors of BMP performance that are subject to the most variability or impact under climate change conditions (e.g., increased air and water temperatures, precipitation volume, and storm intensity).
- Unit of measure (e.g., feet, acres)
- Locations within the Chesapeake Bay watershed where this practice is applicable
- Cumulative or annual practice
- Description of how the practice may relocate pollutants to a different location or medium. An example is where a practice eliminates a pollutant from surface transport but moves the pollutant into groundwater or to air
- Suggestion for a review timeline; when will additional information be available that may warrant a re-evaluation of the practice effectiveness estimates
- Identification of any unintended consequences or ancillary benefits associated with a practice
- Outstanding issues that need to be resolved in the future and a list of ongoing studies, if any
- Documentation of any dissenting opinion(s)
- Operation and Maintenance requirements and schedules and how dilapidation alters the practice effectiveness estimates
- A brief summary of BMP implementation and maintenance cost estimates, when this data is available through reviewed literature

Technical Appendices. In an effort for the CBP partnership to more efficiently approve the technical requirements for NEIEN and CAST that are required by each Expert Panel report, the CBP Modeling Team will work with the Expert Panel members and the WTWG to develop a technical appendix that describes changes that will be made to the modeling and reporting tools to accommodate the BMP(s). Elements of the technical appendix will include, but aren't limited to:

- Useful life; practice performance over time:

- The Expert Panel will work with the appropriate Workgroup, WTWG, and the CBP modeling team representatives to recommend a “credit duration” for each practice. This determines the time the practice will receive credit in the CBP modeling tools. When the credit duration ends, the practice will need to be verified following the appropriate jurisdictional verification protocols to ensure it is still performing properly in accordance with the practice’s definition, and thereby renewing the credit duration.
- Consideration of any “back-out” timeframe for applicable practices should also be included. It is anticipated that this analysis will likely be led by the Watershed Technical Workgroup, in coordination with the Expert Panel and the CBP modeling team.
- Inclusion of the NEIEN name and USDA National Resources Conservation Service equivalent practice(s), if applicable, and how those practices would be reported into NEIEN.
- Incorporation of reported data into CBP modeling tools:
- The CBP Modeling Team will work with the Expert Panel members and the WTWG to ensure that new BMP data can be accepted and used in the CBP modeling and reporting tools.
- Recommended description of how the practice could be tracked, reported, and verified, consistent with the CBP partnership’s tracking, reporting, and verification protocols:

Specific text will include the NEIEN-based procedures for flagging and removing practice data that is past its credit duration. **The technical appendix should be developed in conjunction with the Expert Panel report to help ensure that recommendations can be fully incorporated into the CBP modeling tools.**

IV. Independent Review Process for the Expert Panel Report

Once the Expert Panel finalizes the Expert Panel report, an independent review panel ensure the export panel has adhered to the protocol outlined herein and review the scientific findings. The CBP STAC will coordinate the review process as follows: STAC will formulate a document to determine the details of the review process and they will have autonomy to revise/update that process as needed, with notification to WQGIT leadership of substantive changes.

- STAC will establish an Associate Editorial (AE) Board of three editors and delegate power to them to conduct the review process. One of the three editors shall be designated as chair and will have the responsibility of signing off on the review process once the AE Board agrees that the report is complete and has adequately addressed reviewer concerns. The STAC AE Board will coordinate an external peer review process of the Expert Panel report with at least three independent expert peer reviewers. The proposed expert peer reviewers shall agree to sign a no conflict-of-interest waiver. Expert peer reviewers should confirm that they can complete a review within four weeks of accepting the assignment.
- The review by the independent reviewers will be “process-based” and focus on the following prompts:
 - Does the report fully address the approved scope of work without exceeding it?

- Does the report contain only statements, findings, conclusions, and recommendations supported by the evidence and arguments presented in the report? Does the report omit any key data, research initiatives, or published studies?
 - Does the report treat sensitive policy issues with appropriate care?
 - Does the report maintain an impartial tone?
 - Is the report is effectively organized and well written, adhering to the suggested format as presented herein to the extent possible?
- Upon receiving the external reviews, the STAC AE board will evaluate expert reviewer comments to ensure appropriateness and highlight urgent concerns. The STAC AE Board Chair will work with the Expert Panel Chair, the Expert Panel Coordinator, and WQGIT Coordinator to communicate the outcomes of the independent reviews.
 - The STAC AE Board will evaluate the Expert Panel’s responses/revisions and determine if the report revisions reasonably satisfy the reviewers’ concerns. If concerns remain, the STAC AE Board will collaborate with the Expert Panel Chair and the WQGIT Coordinator, iteratively as needed, until the report satisfactorily addresses concerns and the STAC AE Board agrees to finalize the document.

Once approved by the STAC AE Board, the Expert Panel report is elevated to the CBP partnership for review (see section V). The independent review likely will require at least two to three months, to ensure that the STAC AE board and external reviewers have adequate time to provide a substantive and fair review. A summary of the independent review findings and notable changes will be appended to the Expert Panel report for partnership reference.

IV. Chesapeake Bay Program Review and Approval Processes

All Expert Panel reports represent the scientific findings of recognized regional and/or national experts. Before the Expert Panel report is finalized but once the independent review process is completed, the Expert Panel Chair and Coordinator will release the scientific findings of the Expert Panel reports for a 30-day public comment period. It is ultimately at the discretion of the Expert Panel on whether modifications will be adopted as a result of the public input period; otherwise, the scientific recommendations reflected in the Expert Panel report will stand. However, a “Response to Comments” document will be developed with respect to the scientific findings and will be appended to the Expert Panel report.

Recommendations on if and how the scientific findings will be simulated in CAST and how the BMP will be tracked, verified, and reported will also undergo a separate three-stage formal review and approval process by the CBP partnership, with a public comment period during the first stage of review, in concurrence with when the associated Expert Panel report is released for public review and comment. The three-stage formal review process will include, at a minimum, the following groups:

- WTWG
- Relevant Workgroup(s)
- Relevant GIT(s)

The WTWG, the Workgroups, and relevant GITs, in consultation with the Expert Panel, will be responsible for analyzing the technical components of the scientific recommendation(s) and determining that the tracking and reporting data that is needed to receive credit is available in the appropriate Chesapeake Bay jurisdiction(s).

Formal Review Stage #1 - WTWG

The first review stage will begin with a presentation meeting of the technical appendix, led by the WTWG Chair, Coordinator, and/or CBP Modeling Team representative. The presentation will include:

- Rationale for review
- The recommendations/findings of the Expert Panel for effectiveness and loading estimates (information only to provide context)
- Recommendations of the technical appendix
- Next steps and comment period logistics

The technical appendix presentation meeting will typically be scheduled as part of a regular meeting of the WTWG. The WTWG Chair or Coordinator will be responsible for distributing the draft technical appendix at least 10 business day in advance of the presentation meeting to the WTWG, other GITs and Workgroups, and the Advisory Committees. The WTWG Chair or Coordinator should work with the Expert Panel Chair or Coordinator to ensure that both the Expert Panel Report and the technical appendix are released together, as part of scheduling the presentation meeting for the WTWG. Technical appendices will become publicly available when they enter this first stage of review through posting to the CBP website and electronic distribution to these CBP partnership groups. This meeting will begin a 30-day open comment period. Members of these CBP partnership groups, plus any other groups or individuals interested in reviewing the draft recommendations, are encouraged to do so at this time. Commenters should send specific edits in track change format or more general comments in writing to the WTWG Chair and Coordinator during this comment period to better ensure the effective resolution of any substantive comments. Any requests for review extensions can be submitted to the WTWG Chair or Coordinator for consideration. Approval of the draft technical appendix will be sought from the WTWG after the comment period has closed and the WTWG has addressed any comments received. The Expert Panel Chair and Coordinator should be available to assist the WTWG with the review and comment period, as needed and requested.

Formal Review Stage #2 – Workgroup

Once approval has been reached by the WTWG, the draft technical appendix will enter the second stage of review and approval by the Workgroup. The Workgroup will be given a minimum of 10 business days for their review prior to the meeting where a decision is requested. Should concerns arise during

the Workgroup review, the WTWG Chair and Coordinator, in coordination with the Expert Panel are responsible for working through those concerns with the Workgroup members. More complex concerns may involve vetting proposed changes with the Expert Panel members as well as the WTWG.

Formal Review Stage #3 – WQ/GIT

Once approval has been reached by the Workgroup, the technical appendix will enter the third and final stage of review - approval by the WQGIT and any other GIT, as appropriate, in accordance with the CBP partnership Governance Protocols. The WQGIT will be given a minimum of 10 business days for their review prior to the meeting where a decision is requested. Should concerns arise during the WQGIT review, the WTWG Chair and Coordinator, in coordination with the Expert Panel Chair and Panel Coordinator are responsible for working through those concerns with the WQGIT members. This process may involve vetting proposed changes with the Expert Panel members, the hosting Workgroup, and the WTWG.

The WTWG Chair or Coordinator will be responsible for developing a “response to comments” document that provides a response to comments received. This document will be included as part of the approved technical appendix. Specific responses will not be provided for:

- Overlapping comments (one response will be provided)
- Comments outside the scope of or demonstrate no relevancy to the technical appendix
- Editorial changes, such as grammatical edits

Commenters are requested to notify the Workgroup/GIT Chair prior to the approval meeting in all three stages of formal review if they intend to register a major objection to a technical appendix, and request time on the meeting agenda to explain their perspectives. If objections to a technical appendix are not addressed in time of the approval meeting, the Workgroup/GIT Chair may table the action until the next meeting of the Workgroup/GIT. In cases where an objection is not identified before an approval meeting, the Workgroup/GIT Chair may choose, at his or her discretion, to ask the Workgroup or GIT to approve the report. Although the goal is consensus, and every effort has been made to address any comments, timelines may necessitate the technical appendix moving forward. In the event that a comment does not result in a change to the technical appendix, the WTWG Chair and Coordinator, in coordination with the Expert Panel Chair and Panel Coordinator, as appropriate, shall work with the specific commenter(s) to resolve the issue. In all cases, the CBP partnership Governance Protocols will be followed.

Although the WTWG Chair and Coordinator are responsible for managing the comment process through the three-stage review period, Expert Panel members may be asked to assist in addressing and responding to comments. Once the comment period has ended and the technical appendix is approved by the WQGIT or GIT, the charge of the Expert Panel has been met and Expert Panel members are released from duty.

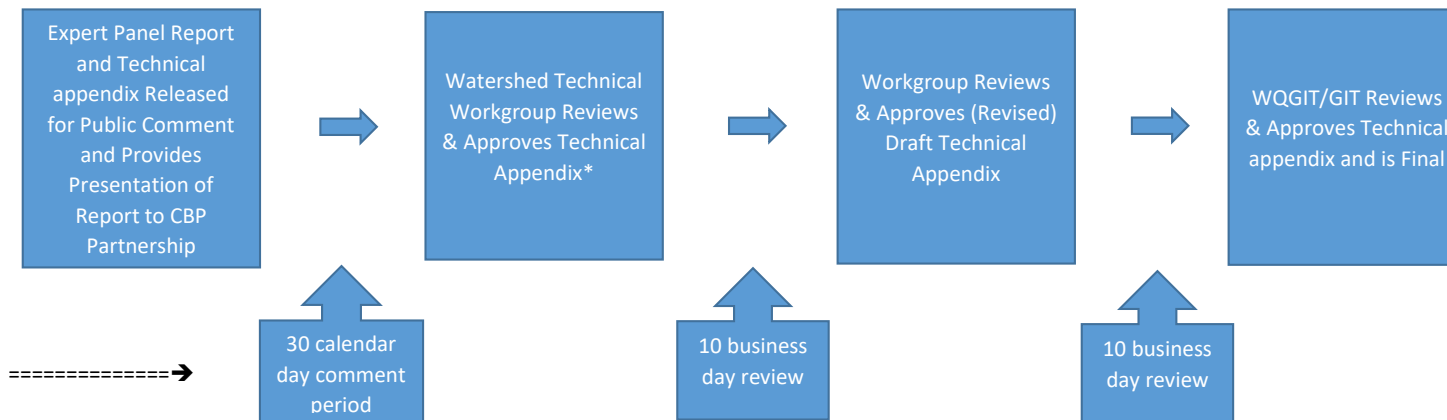
In the event that the technical appendix recommendation(s) are substantively modified during the stage 2 or stage 3 approval process and the WTWG and Expert Panel membership does not support such changes, a document will be generated that explicitly details the modifications to the original technical appendix recommendations and the justification for such changes and any unresolved issue(s) or dissenting opinions. The original technical appendix will be attached to that document.

Once the technical appendix has been approved by the WQGIT or GIT, the WTWG will distribute the final technical appendix, along with the Expert Panel report, to the CBP partnership and the Expert Panel members and post it online at: https://www.chesapeakebay.net/who/group/bmp_expert_panels

The WQGIT Staffers will be responsible for maintaining two lists derived from each final Expert Panel report and technical appendix:

- Follow up actions identified in the Expert Panel reports and technical appendices along with the due dates of those actions and responsible party (such as trial periods, updates, reevaluation schedule, etc.)
- Research needs identified by Expert Panel reports and the technical appendices

Appendix I: CBP Partnership Review Process for BMP Expert Panel Reports & Technical Appendices



CBP Partnership has Opportunity to Review and Comments on Draft Technical Appendices during Each Stage of Review Process

To better ensure effective resolution of comments, all interested partners, groups or individuals are encouraged to submit their comments during the first review and comment period. New comments at later stages will be considered, but the Panel can more effectively address substantive comments the earlier they receive them.

*The Expert Panel and WTWG Chairs and Coordinators are responsible for developing “Response to Comments” documents based on feedback received through partnership review. The “Response to Comments” documents will be appended to final Expert Panel report and the technical appendix. .

Appendix II – Conflict of Interest Disclosure Form

**CHESAPEAKE BAY PROGRAM WATER QUALITY GOAL IMPLEMENTATION TEAM
BMP EXPERT PANEL CONFLICT OF INTEREST DISCLOSURE
Version date: June 19, 2015**

NAME: _____ TELEPHONE: _____

ADDRESS: _____

EMAIL ADDRESS: _____

EMPLOYER: _____

BMP PANEL: _____

INSTRUCTIONS¹⁰

The primary focus of the CBP BMP expert panels is to develop BMP-specific nutrient and sediment reduction effectiveness estimates (*i.e.*, performance estimates). A secondary focus may include describing future BMP-specific research needs and ancillary benefits. It is essential that the work of BMP expert panels not be compromised by significant conflicts of interest. Except for those situations in which the Chesapeake Bay Program (CBP) partnership determines that a conflict of interest is unavoidable and publicly discloses the conflict of interest, no individual can be appointed to serve (or continue to serve) on an expert panel if the individual has a conflict of interest that is relevant to the functions to be performed.

For the purposes of the BMP expert panels convened by the CBP partnership, the term **"conflict of interest" is any financial or other interest which conflicts with the service of the individual because it (1) could significantly impair the individual's objectivity or (2) could create an unfair competitive advantage for any person or organization.** The term "conflict of interest" applies only to *current interests*. It does not apply to past interests that have expired, no longer exist, and cannot reasonably affect current behavior. Nor does it apply to possible interests that may arise in the future, because such future interests are inherently speculative and uncertain.

"Conflict of interest" means something more than individual bias. A point of view or bias is not necessarily a conflict of interest. Expert panel members are expected to have points of view and the CBP partnership attempts to balance points of view by supporting diverse expert panel membership. Panel members are asked to consider respectfully the viewpoints of other members, to reflect their own views rather than to be a representative of any organization, and to base their scientific conclusions and judgment on relevant evidence.

This conflict of interest disclosure form is designed to prophylactically eliminate potentially compromising situations from arising, and thereby to protect the individual, the other members of the expert panel, the CBP partnership, and the public interest. The individual, the expert panel, and the partnership should not be placed in a situation where others could reasonably question, and perhaps discount or dismiss, the work of the expert panel simply because of the existence of conflicting interests.

The overriding objective of this conflict of interest disclosure form is to identify whether there are interests – primarily financial in nature – that conflict with the expert panel service of the individual because they could impair the individual's objectivity or could create an unfair competitive advantage for any person or organization. The fundamental question in each case is this: Does the individual, or others with whom the individual has substantial common financial interests, have identifiable

¹⁰ Note: This form was created and informed by National Academies documentation found at <http://www.nationalacademies.org/coi>.

interests that could be directly affected by the outcome of the activities of the expert panel on which the individual has been asked to serve? The following questions are designed to elicit information from potential expert panel members concerning potential, relevant conflicts of interest.

1. FINANCIAL INTERESTS.

- a) Taking into account stocks, bonds, and other financial instruments and investments including partnerships (but excluding broadly diversified mutual funds and any investment or financial interests valued at less than \$10,000), do you or, to the best of your knowledge others with whom you have substantial common financial interests, have financial investments that could be affected, either directly or by a direct effect on the business enterprise or activities underlying the investments, by the recommendations made by the expert panel on which you have been invited to serve?
- b) Taking into account real estate and other tangible property interests, as well as intellectual property (patents, copyrights, etc.) interests, do you or, to the best of your knowledge others with whom you have substantial common financial interests, have property interests that could be directly affected by the findings made by the expert panel on which you have been invited to serve?
- c) Could your employment (or the employment of your spouse), or the financial interests of your employer or clients (or the financial interests of your spouse's employer or clients) be directly affected by the findings made by the expert panel on which you have been invited to serve?
- d) Taking into account research funding and other research support (e.g., equipment, facilities, industry partnerships, research assistants and other research personnel, etc.), could your current research funding and support (or that of your close research colleagues and collaborators) be directly affected by the findings made by the expert panel on which you have been invited to serve?
- e) Could your service on the expert panel on which you have been invited to serve create a specific financial or commercial competitive advantage for you or others with whom you have substantial common financial interests?

If the answer to all of the above questions under **FINANCIAL INTERESTS** is either "no" or "not applicable," check here ____ (NO).

If the answer to any of the above questions under **FINANCIAL INTERESTS** is "yes," check here ____ (YES), and briefly describe the circumstances below.

EXPLANATION OF "YES" RESPONSES: (attach additional pages, if needed)

2. OTHER INTERESTS.

- a) For the expert panel on which you have been invited to serve, is a principal charge to provide a critical review and evaluation of your own work or that of your employer?

- b) Do you have any existing professional obligations that effectively require you to publicly defend a previously established position on an issue that is relevant to the functions to be performed by this expert panel?
- c) To the best of your knowledge, will your participation on this expert panel enable you to obtain access to a competitor's or potential competitor's confidential proprietary information?
- d) If you are, or have ever been, a federal, state, or local government employee, to the best of your knowledge are there any conflict of interest restrictions that may be applicable to your service on this expert panel?

If the answer to all of the above questions under **OTHER INTERESTS** is either "no" or "not applicable," check here ____ (NO).

If the answer to any of the above questions under **OTHER INTERESTS** is "yes," check here ____ (YES), and briefly describe the circumstances below.

EXPLANATION OF "YES" RESPONSES: (attach additional pages, if needed)

Per the CBP BMP Protocol,¹¹ all proposed panel members are subject to review and approval by the appropriate sector Workgroup or WQGIT. **Please read and initial each of the following statements.**

- _____ *In addition to this conflict of interest disclosure form, I have received a copy of the current BMP Protocol and, if I am accepted as a panel member, I will, to the best of my ability and with guidance from the Panel Chair and Coordinator, adhere to the expectations and procedures described therein.*
- _____ *I understand that a conflict of interest may prevent my participation as a member of the proposed BMP expert panel if the CBP partnership, in coordination with the Panel Chair, determine that the circumstances of my particular conflict of interest are not consistent with the intentions or purpose of the expert panel or the BMP Protocol. Furthermore, I understand that any such finding would NOT reflect an assessment by the CBP partnership of my actual expected behavior or in any way be an assessment of my character or my ability to act objectively despite the relevant conflicting interest.*
- _____ *If I am not confirmed by the CBP partnership as a panel member, I understand that there can be other opportunities to provide my expert input to the panel, as described in the BMP Protocol and that I am welcome to discuss these opportunities with the Panel Chair and Coordinator.*
- _____ *I affirm that as a panel member I will respectfully consider the expert opinions and judgments of other members within the context of their perspectives, expertise, and experience, and I will reflect on these as I express my own expert opinions and formulate my own professional judgments. Further, I will base my findings, conclusions, and professional judgment on all of the relevant scientific evidence available to the expert panel on which I serve.*

During your period of service in connection with the panel for which this form is being completed, any changes in the information reported, or any new information which needs to be reported, should be reported promptly by written or electronic communication to the Panel Chair and Coordinator.

Signature

Date

Print Name

Reviewed WQGIT Co-Chair

Date

Print Name

Reviewed WQGIT Co-Chair

Date

Print Name

¹¹ http://www.chesapeakebay.net/publications/title/bmp_review_protocol