

# **Hatchery Scientific Review Group**

## **Policies and Procedures**

**Adopted April 14, 2000; Revised February 13, 2002 and December 10, 2003**

### **I. Purpose**

The Hatchery Scientific Review Group (Scientific Group) was established by Congress in FY 2000 to ensure that hatchery reform programs in Puget Sound and Coastal Washington be scientifically founded and evaluated; that independent scientists interact with agency and tribal scientists to provide direction and operational guidelines; and that the system as a whole be evaluated for compliance with scientific recommendations. The goal of hatchery reform is to ensure that hatchery programs in Puget Sound and Coastal Washington are managed and operated in order to meet one or both of the purposes for hatcheries: 1) helping recover and conserve naturally spawning populations and 2) supporting sustainable fisheries. The objective of the Scientific Group is to assemble, organize and apply the best available scientific information to provide guidance to policy makers who are implementing hatchery reform.

### **II. Scope of Scientific Group Activities**

#### **A. Objectives**

Based on an agreed-upon scientific framework and criteria for decision-making, the Scientific Group will:

1. Develop and maintain a scientific framework to provide a basis for strategic planning for hatchery reform.
2. Work with tribal, federal and state agencies to review hatchery management plans, policies and program implementation for consistency with the scientific framework.
3. Make recommendations for reform of the hatchery system.
4. Identify information needs and recommend further research.
5. Develop a monitoring and evaluation system to verify that hatchery reform is occurring.
6. Communicate with agencies, the scientific community, interested parties and the public.
7. Submit a written report annually to the agencies, tribes and Congress, evaluating progress toward meeting goals, with any disagreements clearly and evenly presented.

#### **B. Relationship to State and Federal Agencies and Tribes**

The Scientific Group shall establish regular communication with the agencies and tribes that manage hatchery programs, and with agencies having regulatory review of hatchery programs, in Puget Sound and Coastal Washington. The initial method of achieving such communication will be through the Hatchery Reform Coordinating Committee, other

**Hatchery Scientific Review Group Policies and Procedures,  
Adopted April 14, 2000; Revised February 13, 2002 and December 10, 2003**

meetings and via written communications. The Scientific Group will work with the fisheries managers to develop work plans and products that provide for timely scientific direction and review of current and future hatchery operations. Questions and issues for consideration by the Scientific Group should be submitted to the Scientific Group Coordinator, as described in section IV.A.

### **III. Membership**

#### **A. Appointment Procedures**

As directed by Congressional legislation, the Scientific Group is composed of five independent scientists and four agency scientists. The independent scientists were initially selected by the Congressional Hatchery Science Advisory Team from a pool of candidates nominated by the Past Presidents Council of the American Fisheries Society (AFS). The agency scientists include one each designated by the Washington State Department of Fish and Wildlife, the Northwest Indian Fisheries Commission, the National Marine Fisheries Service, and the US Fish and Wildlife Service. In the future, when an independent scientist steps down, a replacement will be selected by the Scientific Group from a list of three nominees provided by the AFS Past Presidents Council. When an agency scientist steps down, a replacement will be selected by that agency, following consultation with the Scientific Group. If an independent scientist is interested in serving an additional term, that person may be reappointed by vote of the Scientific Group. If an agency scientist is interested in serving an additional term, that person may be reappointed by the agency, following consultation with the Scientific Group. If an agency scientist wishes to have an alternate member, the alternate will be selected by that agency, following consultation with the Scientific Group.

#### **B. Criteria**

The following specific criteria should be considered in selecting members:

1. High achievement in a relevant scientific discipline, which may include biology, genetics, ecology, fisheries, fish culture, fish pathology, biometrics or other appropriate disciplines.
2. A strong record of scientific accomplishment documented by contribution to the peer-reviewed literature or other evidence of creative scientific accomplishment.
3. High standards of scientific integrity, independence and objectivity.
4. Ability to forge creative solutions to complex problems.
5. Interest in and ability to work effectively in an interdisciplinary setting.
6. Each of the agency scientists should have technical skills in relevant fields, such as biology or fish genetics, and some understanding of agency hatchery processes; administrative status within the agency is not relevant.
7. Like the independent scientists, the agency scientists are responsible for evaluating scientific merits and are not to represent agency policies.

**C. Length of Appointments**

Appointment to the Scientific Group will normally be three years. Terms will be staggered to preserve continuity and institutional memory. Appointments can be renewed using the normal appointment procedures outlined above.

**D. Staff**

1. The Scientific Group may contract for staff or consider alternative arrangements.
2. The Chair will appoint a staff coordinator, to support the Scientific Group in its work. The coordinator will work closely with the Chair in establishing and executing Scientific Group agendas and work plans.
3. The staff will assist the Chair and the Scientific Group in contacts with other organizations and committees in the region. The staff will act as a resource to the Scientific Group and should be familiar with the policies and scientific issues that are likely to come before the Scientific Group.

**E. Outside Expertise**

It may be necessary to secure the services of outside experts to provide assistance on specific activities. Such appointments can be made by the Scientific Group Chair, as allowed by budget limitations. Temporary appointees meet the same criteria as regular members (section III.B) and are subject to the same rules regarding bias and conflict of interest as regular members (section IV.F).

**IV. Procedures**

**A. Agenda**

Questions or issues to be considered for inclusion on the Scientific Group agenda should be submitted to the Scientific Group coordinator. The coordinator will bring these to the Chair, who will consider the scientific aspects of the questions or issues and whether they fit within Scientific Group work plans and priorities. The Chair and the Scientific Group coordinator will develop a draft agenda for each meeting, for consideration by and approval of the group.

**B. Meetings**

The Scientific Group will meet on a regular basis. Much of the work of the Scientific Group will be conducted between meetings by members and task teams or committees, responding to assignments from the Chair or the Scientific Group as a whole. Meetings will provide the opportunity to report back, discuss work and formulate Scientific Group positions and recommendations. Members are expected to place a high priority on attendance and participation in Scientific Group meetings. Members may bring relevant staff to informational sessions on the Scientific Group agenda, but should coordinate this

**Hatchery Scientific Review Group Policies and Procedures,  
Adopted April 14, 2000; Revised February 13, 2002 and December 10, 2003**

attendance in advance with the Scientific Group Chair and coordinator. Scientific Group discussion and decision-making sessions are to be attended by Scientific Group members and support staff only.

Meetings are normally to be held at a location in western Washington at intervals appropriate to the requirements of Scientific Group business. Summaries of meetings will be prepared by support staff and reviewed by the Chair and will include a summary of decisions and actions, work assignments and schedules. Scientific Group members may be compensated for time and travel.

**C. Confidentiality of Scientific Group Deliberations**

The Scientific Group is subject to the following confidentiality standards:

1. In order to encourage individual members to express their views freely and to encourage a full and complete scientific debate on issues, deliberations of the Scientific Group are to be considered confidential and privileged communications. To protect the confidentiality of the deliberative process, Scientific Group members and staff are asked to refrain from disclosing the contents of Scientific Group meetings and draft reports. Decisions, actions and descriptions of issues under review by the Scientific Group may be communicated. If a member is unsure about what is appropriate to communicate on any issue, that member should consult the Chair.
2. In addressing any individual funding proposal submitted to the Scientific Group, a summary of the Scientific Group evaluation may be provided to the author of the proposal, provided the summary preserves the anonymity of Scientific Group members who performed the evaluation.
3. Any reports prepared by the Scientific Group should provide a full explanation of the rationale for Scientific Group decisions, in order to provide the public with an understanding of why those decisions were made.

**D. Work Plan**

The Chair of the Scientific Group will work with the Scientific Group coordinator to prepare short-term and long-term work plans to accomplish the purposes of the Scientific Group. Frequency of meetings will be determined by the work plan.

**E. Communication**

1. The Chair of the Scientific Group will normally act as spokesperson, unless another member is designated by the Chair to speak on specific topics or at specific times. The Scientific Group will normally respond to questions or issues in writing. Public statements by the Chair or designated spokesperson should reflect Scientific Group decisions and positions.

**Hatchery Scientific Review Group Policies and Procedures,  
Adopted April 14, 2000; Revised February 13, 2002 and December 10, 2003**

2. The Scientific Group coordinator will act as the point of contact for inquiries and requests to the Scientific Group. The coordinator will ensure that these communications are promptly conveyed to the Chair.
3. Within the Scientific Group, a standard procedure for communication of documents and messages (including electronic communication) will be established to maximize work efficiency.
4. Procedures will be established for communicating with relevant agencies and tribes and for providing Scientific Group reports and testimony to Congress.

**F. Bias and Conflict of Interest**

For the efforts of the Scientific Group to be influential and credible, the Scientific Group must be perceived to be free of any significant conflict of interest, not compromised by bias and untainted by allegations of scientific misconduct. The Scientific Group will deal with a broad range of issues concerning hatchery reform efforts. For this reason, there is ample opportunity for potential conflicts to arise for members on specific topics. It is imperative that the members of the Scientific Group are aware of the potential for conflict and are especially aware of the dangers of a *perception* of conflict. The Scientific Group will define bias and conflict as follows:

1. Bias—Bias relates to views stated or positions taken that arise not from scientific analysis, but from the close identification or association with the positions or perspectives of a particular group.
2. Conflict of Interest—Conflict of interest means any financial or other interest which would benefit the individual and which conflicts with the service of an individual because it could impair the individual's objectivity or create an unfair competitive advantage for any person or organization.
3. Bias and Conflict of Interest Procedures
  - a. Members of the Scientific Group are expected to take the responsibility for ensuring that real or perceived biases or conflicts of interest on their part are identified prior to taking part in any project. Members are expected to excuse themselves from work on any topic on which they perceive a real or potential conflict or bias.
  - b. Each member of the Scientific Group will submit to the Scientific Group Coordinator and Chair relevant information regarding financial interests, research support, agency or group affiliation, public statements and positions, and other circumstances or information.
  - c. Relevant disclosure information should include connections between the individual and work relating to the Scientific Group.
  - d. Information submitted will be considered confidential.
  - e. The Chair will take this information into account in making assignments on specific tasks. Members are also expected to

announce any potential conflict or bias relating to particular assignments.

- f. In the event there remains any substantial question on the existence of a conflict of interest, it is preferred that the member involved request to be excused, in order to protect the Scientific Group from any appearance of conflict or bias. Unresolved questions will be decided by a vote of the Scientific Group (see section IV.H. for voting procedures).

## **G. Organization**

### **1. Officers**

- a. Elections—Officers of the Scientific Group will be elected by the members. Election of officers should occur at least 30 days prior to the expiration of the previous officer's term.
- b. Officers and Terms—Officers of the Scientific Group shall consist of the Chair and one or more Vice Chairs, who will serve one-year terms. Officers can stand for reelection.
- c. Duties of Chair—The Chair is the executive officer of the Scientific Group. The Chair acts as the spokesperson of the group and designates another member to serve as an alternate spokesperson when the Chair is not available. The Chair works with Scientific Group support staff to arrange the time and place for meetings, produce meeting summaries and ensure summaries and other documents are forwarded to the membership. The Chair ensures that meeting business is conducted in a timely and efficient manner and that each member has the opportunity to contribute and be heard. The Chair of the Scientific Group is to be selected by Scientific Group members from the independent scientists chosen from the AFS nominations. The Chair should have experience in dealing effectively with complex, controversial, scientific issues.
- d. Duties of the Vice Chair(s)—The Vice Chair(s)' role shall be to assist the Chair in implementing the Scientific Group work plan and other activities of the Scientific Group, as assigned by the Chair.

### **2. Committees, Task Groups and Assignments**

The Chair may designate members of the Scientific Group to perform assignments and to form committees and/or task teams to address specific topics. Each committee or task team should have a designated lead responsible for overseeing completion of the task. Committees may include experts from outside the Scientific Group. Such appointments can be made by the Chair.

## **H. Decision-Making**

Decisions of the Scientific Group will normally be made by consensus. The Chair will clearly explain the proposed decision to the group and check for consensus. If there is any

**Hatchery Scientific Review Group Policies and Procedures,  
Adopted April 14, 2000; Revised February 13, 2002 and December 10, 2003**

question or doubt about whether consensus has been achieved on an issue, any Scientific Group member can request that a motion be made on the subject, according to Robert's Rules of Order, in which case, after discussion, a majority vote will decide the issue.

**I. Publications**

1. Goals
  - a. Encourage peer-reviewed publication of scientific work of the Scientific Group. This work may be derived from the HSRG's *Scientific Framework for Artificial Propagation of Salmon and Steelhead*, regional reviews, issue papers, internal discussion, or other scientific products.
  - b. Establish an open process for development of publications that:
    - i. Extends the Scientific Group's consensus-based decision-making process to publications.
    - ii. Encourages discussion during the early stages of development of a paper of the following:
      1. Scope of the proposed publication.
      2. Objective of the proposed publication.
      3. Intended audience and appropriate journal for the proposed publication.
  - c. Identify and deal equitably with the question of authors and author order for the proposed publication.
2. Protocol and Process—These publication policies apply only to papers or ideas that have been discussed or developed in Scientific Group meetings or as part of a Scientific Group project or review. All decisions involved in applying these policies will be made according to the Scientific Group's decisions-making policies, as described earlier in this document.
  - a. Proposals for publication should be submitted to the Chair for initial review and scheduling as an agenda item for the next meeting. Proposals should be brief, but describe the particulars of how the proposed publication addresses the goals identified above. Group discussion will likely dictate the future course of action on most proposals. If a jointly-authored publication is approved by the Scientific Group, a task team will be established to bring the publication to an internal review stage, and to finalize it for submission.
  - b. Type of paper—In general, there will be three types of papers proposed:
    - i. HSRG Paper—Authorship to include all current Scientific Group members. Former members may be included at the discretion of the Scientific Group or the Chair.
    - ii. HSRG Subset Paper—A paper that is authored by several, but not all, Scientific Group members. Members of the facilitation team or agency science teams may be included at the discretion of the Scientific Group or the Chair.

**Hatchery Scientific Review Group Policies and Procedures,  
Adopted April 14, 2000; Revised February 13, 2002 and December 10, 2003**

- iii. Proprietary Paper—A paper authored by one or a few members of the Scientific Group (and possibly other, non-HSRG authors) that, while based on a core of work conducted under a Scientific Group project; evolves beyond that core work of the Scientific Group project.
- c. Author Order
  - i. HSRG Paper—Authorship on group papers will be Chair first, then alphabetical order, unless special circumstances on a particular paper suggest that another approach would be more appropriate and agreement can be reached on author order. Alternative approaches include strict alphabetical order of Scientific Group members, and Scientific Group members listed by order of contribution to paper.
  - ii. HSRG Subset Paper—Authorship for these papers should be determined in order of the relative contribution of the various authors. Care should be taken to ensure that Scientific Group members not listed as authors on the paper are comfortable with the proposed publication and the author list. Obviously, members that make a material contribution to the manuscript should be included as authors.
  - iii. Proprietary Papers—Sometimes there will be little distinction between this type of paper and the HSRG Subset Paper described above. In general, proprietary papers would be ones where the core or genesis for the paper occurs in the process of a Scientific Group assignment; however, development of the idea into a manuscript for publication goes well beyond the work conducted within the Scientific Group assignment and may or may not involve other Scientific Group members. Authorship for these papers should be determined in order of the relative contributions of the various authors to the manuscript.
- d. Publication Costs—Publication costs for Scientific Group papers and Scientific Group subset papers will be covered by the Scientific Group. Publication costs for proprietary papers will be at the discretion of the Scientific Group or the Chair.
- e. Replication—It is the practice of the Scientific Group to make its scientific tools and regional review processes publicly available, as models that can be adopted for similar challenges elsewhere. The Scientific Group requests that it be cited appropriately as the source of these tools and processes. The Scientific Group further requests that where tools and processes are modified for other applications, it be made clear that these adaptations differ from the original products of the Scientific Group.

**J. Soliciting, Reviewing and Deciding on Grant Requests**

**Hatchery Scientific Review Group Policies and Procedures,  
Adopted April 14, 2000; Revised February 13, 2002 and December 10, 2003**

The US Congress has directed the Scientific Group to oversee a competitive grant program funding scientific research projects that support the goals of hatchery reform in Puget Sound and Coastal Washington. The Scientific Group has established the following procedures for administering this grant program:

1. The Washington State Interagency Commission for Outdoor Recreation (IAC) shall be the administrative agency for the grant program.
2. The steps involved in the grant program each fiscal year could include:
  - a. A Request for Pre-Proposals will be issued by the Scientific Group.
  - b. Pre-Proposals received will be reviewed and evaluated by the Scientific Group. Applicants with pre-proposals selected for further consideration will be asked to prepare final proposals.
  - c. Final proposals will be reviewed, evaluated and accepted or rejected by the Scientific Group.
  - d. Applicants will be informed by the Scientific Group whether their proposal was accepted.
  - e. Funds will be disbursed by IAC to accepted research proposals.
  - f. Progress reports and final reports will be provided to the Scientific Group by funded researchers.
3. Proposals will be judged—using a standardized evaluation system— based on scientific merit, the qualifications of the investigators, ability to provide quantifiable results and the potential to achieve results applicable to hatchery reform goals. Preference will also be given to projects that show collaboration with multiple researchers between sectors and agencies of the salmon restoration community and commitment of other resources to the project (matching funds; non-federal and/or federal).
4. The Scientific Group will use its *Scientific Framework for Artificial Propagation of Salmon and Steelhead* to identify research needs. Innovative research in other areas of Hatchery Reform will also be considered.
5. Multiple-year projects are encouraged, but funds will only be awarded on a year-to-year basis. Successful grants from the previous year must submit pre-proposals to be considered for a second year of funding.
6. Although the Scientific Group respects and understands the need for protecting the intellectual property contained in research proposals, Washington state law requires that materials submitted in response to this grant announcement shall become the property of the IAC and shall be deemed public records.
7. Applications approved for funding will be required to sign a Project Agreement that incorporates the full proposal, negotiated parameters and any required federal terms and conditions as appropriate.

***References***

*The Reform of Salmon and Steelhead Hatcheries in Puget Sound and Coastal Washington to Recover Natural Stocks While Providing Fisheries, Gorton Science Advisory Team, May 7, 1999.*

**Hatchery Scientific Review Group Policies and Procedures,  
Adopted April 14, 2000; Revised February 13, 2002 and December 10, 2003**

*Washington State Hatchery Reform Language, FY 2000 Consolidated Appropriations Act, US Fish and Wildlife Service, Resource Management, Page H12365*

*Washington State Hatchery Reform Language, FY 2001 Department of the Interior Appropriations Act, House of Representatives, 106 914, Conference Report to Accompany HR 4578, September 29, 2000.*

*Scientific Framework for Artificial Propagation of Salmon and Steelhead, Hatchery Scientific Review Group, December 2000.*

*Hatchery Reform Recommendations, Hatchery Scientific Review Group, February 2002.*

*Scientific Framework and Hatchery Review Program, Hatchery Scientific Review Group, March 2002.*