

APPENDIX III

I. Terms of Reference for Performance Evaluation (Revised September 1987)

During the life of the Ocean Drilling Program, JOI will periodically evaluate the management of the program and the performance of its subcontractors. This evaluation will be accomplished at two to three year intervals by a committee of experts appointed by the President of JOI. The President will consult with NSF, the JOIDES EXCOM, PCOM, and others as appropriate in the formation of the evaluation committee. The Performance Evaluation Committee (PEC) will report to the Board of Governors through the President of JOI. Terms of Reference for the evaluation will embody the following general procedures and criteria:

- A. The committee membership will consist of experts in the fields of engineering, management, and science to be appointed by the President of JOI in consultation with NSF, the JOI Board of Governors, JOIDES and others. The committee should be chaired by an eminent scientist who should be knowledgeable about ODP but not currently active in the program. Committee members should not be currently active in the program.
- B. The committee will review and evaluate the performance of Texas A&M, Lamont-Doherty, and other subcontractors in accordance with a schedule to be developed by the PEC chairman and approved by the President of JOI. JOI will provide for sufficient funds in the Performance Evaluation Committee budget to include the services of an Executive Secretary.
- C. The committee will be briefed by the Chairman of the JOI Board of Governors and the President in advance of any scheduled performance evaluation. Following completion of the evaluation and receipt of subcontractor comments and plans, the committee will report its results to the JOI Board of Governors.
- D. The committee will transmit in writing to the subcontractor being evaluated the scope and procedures of the evaluation together with any questionnaires or questions to be answered. Copies of such correspondence will be furnished to the President of JOI who will keep the Board of Governors informed.
- E. The committee will conduct its evaluation at the headquarters site of the principal contractor and subcontractors. Sufficient time shall be allocated for a thorough review. The drillship also will be visited for evaluation when appropriate and convenient. If

scheduling is impractical, interviews will be conducted with members of recent past crew and past scientific parties.

- F. The committee will evaluate the principal items of performance, including accomplishment of scope of work in the contract, particularly with regard to achievement of scientific objectives; program plan management and adherence; personnel policies and personnel management; overall management effectiveness and efficiency, including cost consciousness; subcontract management; reports and report management; public information, particularly in regard to scientific dissemination of data; liaison and relationships with JOIDES, JOI, NSF, and national and international scientific bodies; engineering maintenance, development, and application; attention to environmental conditions and adherence to environmental impact statements; safety procedures and safety record; staff morale; and other items considered important by the committee.
- G. After completion of each evaluation, the Chairman of the PEC will discuss the committee's findings with the senior official of the subcontractor and/or the subcontractor's staff, as is mutually agreed. This discussion and its content shall be communicated to the President of JOI who shall in turn inform the Board of Governors.
- H. Within two months of completion of site visits, the Chairman of the PEC will submit the performance evaluation report to the President of JOI who will discuss with and transmit the report to the subcontractors with a request for written comments, including plans for any action required.
- I. The President of JOI, after receiving the subcontractors' comments and plans, will arrange with the Chairman of the PEC to present the final report and implementing recommendations to the Board of Governors. The President will then transmit a copy of the report and implementation plans to NSF, the JOIDES EXCOM, and PCOM. This should occur within two months after receipt of the report from the Performance Evaluation Committee. Those recommendations requiring consultation with EXCOM and NSF will be reviewed with these organizations prior to implementing action.

The foregoing procedures for performance evaluation will be refined and/or modified as experience is gained. The ultimate objective is to achieve a reliable and effective evaluation system that will best serve the scientific community, NSF, and JOI.

II. General Guidance

- A. The PEC will visit JOI Headquarters in Washington, D.C., and the subcontractors at LDGO, TAMU, and the JOIDES office. The PEC will visit the JOIDES Resolution if the vessel is in a convenient part of the world.
- B. The PEC will interview selected members of EXCOM and PCOM.
- C. The Executive Secretary will transmit a list of issues and questions to be raised by the PEC, directly to the President of JOI and the subcontractors in advance of the visits. This document will be drawn up by the PEC Chairman and the Executive Secretary, who will also determine the type and style of paperwork to be provided, again in advance of interviews.
- D. The PEC will decide its own interview process. It may be necessary, occasionally, for people to be interviewed privately or on a group basis, e.g., marine technicians, etc.
- E. The PEC will have the right to call for any papers or information which it deems necessary.
- F. The PEC should have the right to propose specific studies of ODP and its operations by professional consultants, as appropriate.
- G. The report should consist of a descriptive section outlining activities, a section dealing with observations and impressions, and a section on conclusions and recommendations. The report must be accompanied by an executive summary. The draft report will be prepared by the PEC Chairman. It will then be circulated to other PEC members for comment, and revisions will then be made. The final report shall be submitted within two months following completion of site visits.
- H. A record of the interviews will be kept on a strictly confidential basis and will be deposited with the President of JOI.*

* The PEC II declined to comply with this guideline.