B. Manager's Checklist for Conducting a Peer Review

> This checklist is designed to help managers identify key actions that need to be performed to effectively plan, design, implement and follow-up on a peer review. The checklist is based on the recommended practice described in the EERE Peer Review Guide. Completing the checklist helps managers efficiently work through the many steps and decision points necessary for achieving success with the peer review process.

1. Title of Program/Subprogram/Project Under Review:
_____

2. Program/Subprogram/Project Manager:
_____

Preparation

Peer Review Leadership

❑ Choose a peer review leader for the project and a review steering committee if more participation and oversight is warranted. *(Note: The peer review leader is the person responsible for planning and implementing the peer review.)*
   Name of peer review leader: _____
   Alternate peer review leader:

❑ Plan to establish a role for, and recruit, a review chairperson *(Note: The chairperson assists in the selection of members of the review panel, helps define evaluation criteria and questions, and helps provide independent oversight of the process.)*

❑ Review the EERE R&D Peer Review Guide

Scope, Purpose and Evaluation Criteria

❑ Identify the purpose of the peer review and the information needed from the review (e.g. what budget or other decisions will be made based on the outcome of the review).

❑ Prepare draft evaluation criteria and review questions (criteria and questions to be finalized once review chairperson is chosen).

❑ Define the scope of the peer review, including determination regarding which sub-programs and projects of the program will be reviewed.
   Program components to be peer reviewed: _____

❑ Establish timeline for review

❑ Define the data collection and analysis processes

❑ Identify audience to be present – public vs. closed review

Program Manager's/Office Director's Concurrence (and Steering Committee, if applicable) on Purpose of Evaluation Criteria:

Name: _____   Date of Concurrence:_____

Costs and Preliminary Logistics

❑ Identify resources available for the peer review:

- Funding Source: *B&R Number* _____

- Location: _____

- Logistic Support & Other Contractors:_____

❑ Determine the review date and work deadlines.

Date of Review: _____   Preparation Start Date: _____

Final Report Due Date: _____

❑ Develop a detailed budget for the review.

❑ Draft the agenda for the review considering constraints of potential peer reviewers, logistics, decision and work deadlines.

❑ Set up a formal peer review record or file. (see Separate Peer Review Record Checklist below)

❑ Reserve venue and meeting space.

❑ Have a data collection and analysis plan – a process for collecting information for reviewers and from reviewers.

Program Manager's/Office Director's Concurrence on Review Timeline, Budget, and Data Collection & Analysis Plan:

Name:_____   Date of Concurrence:_____

Pre-Review Activities – Selection of Reviewers

❑ Determine the expertise required for the peer review.

❑ Define criteria and determine the process by which peer reviewers will be nominated and selected. (must include input from external parties, e.g., professional societies, co-nomination)

❑ Develop a list of possible reviewers and nominate

❑ Gather background information

❑ Develop initial selection list

❑ Consider potential conflicts of interest when reviewing candidates for the review chairperson and review panel.

❑ From the candidate list, facilitate selection of a review chairperson, and have that person sign a DOE/ EERE Conflict of Interest form and Non-disclosure agreement (where applicable).

Name of Chairperson: _____

❑ Facilitate the selection of the peer reviewers and formally invite them to participate. (working with the review chairperson and/or steering committee)

❑ Have the DOE/EERE Conflict of Interest form signed by all peer reviewers.

❑ Have the EERE Non-disclosure agreement signed by all peer reviewers, where applicable.

Pre-Review Activities – Logistics, Evaluation Tools, Preparation Materials

Logistics and Costs

❑ Secure equipment, food, hotel rooms, etc.

❑ Confirm peer reviewer participation.

❑ Publicize the Peer Review date.

❑ Identify the Principal Investigators, presenters.

Develop evaluation guidelines and tools

❑ Finalize the evaluation criteria and questions (working with the review chairperson)

❑ Determine the length of time required for the review and the minimum amount of time the peer reviewers will be given to ask questions during each session.

❑ Draft and finalize the peer review agenda.

❑ Develop standardized guidelines for Project Information Sheets for the projects under review and issue to the Principal Investigators.

❑ Develop slide presentation guidelines and issue to the Principal Investigators.

❑ Develop and provide guidance for reviewers.

❑ Develop a rating system (if applicable) and the evaluation forms needed by reviewers and the review chairperson.

Materials Obtained and Sent to Reviewers

❑ Provide the peer reviewers with evaluation guidelines, Project Information Sheets, and other essential documents, data, and information for them to prepare for the review.

Conduct of the Review

On-Site Instructions

❑ Repeat review guidelines to reviewers and answer any questions.

Facilitation of Review

❑ Discuss with review chairperson the need to monitor interactions among participants to be certain all perspectives are heard, and effectively manage time.

❑ Have someone facilitate logistics of session(s) so the chairperson can concentrate on the technical aspects of the review.

❑ Distribute and collect on-site the completed questionnaire for evaluating the peer review process.

Analysis and Summarization of Evaluation Data

❑ Obtain written comments and/or forms from all peer reviewers before they leave.

❑ Obtain clarification or additional information from the peer reviewers if necessary.

❑ Summarize and consolidate reviewer ratings and comments.

Post-Review

❑ Provide draft report to review chairperson and reviewers to check for accuracy and completeness.

❑ Provide Review Report to program manager for response.

❑ Consult with appropriate experts/ staff/ managers on the review findings within two weeks of receiving the reviewers' report to identify program responses and actions where warranted.

❑ Complete the Program Manager's response to review findings (or Steering Committee's response, if applicable) and issue direction to Principal Investigators.

❑ Add the program response to complete the Final Review Report.

❑ Distribute the Final Review Report to the program, EERE senior management, and to Principal Investigators.

❑ Track and document progress and impact of program actions.

❑ Formally thank reviewers for their efforts.

❑ Analyze and summarize the completed evaluation questionnaires of the peer review process.

❑ Complete logistics, such as organizing all documentation of the peer review for the record.

Documentation of Peer Review – Items to retain for the record

Program Manager's/Office Director's Concurrence on Peer Review Record:

Name: _____ Date of Concurrence: _____

Preparation Stage:

❑ Name of Review Leader
❑ Brief description of what program elements will be reviewed
❑ Evaluation criteria and review questions
❑ List of data collected and presented
❑ Data collection and analysis plan
❑ Review timeline
❑ Copy of the detailed budget for the review
❑ Copy of the review agenda

Pre-Review Stage:

❑ Description of the reviewer nomination and selection process
❑ Name, affiliation, and background of the review chairperson and each reviewer
❑ Guidelines sent to reviewers with criteria, etc.
❑ Signed Conflict of Interest forms for the review chairperson and each reviewer
❑ Signed Nondisclosure agreements for the review chairperson and each reviewer and audience where applicable
❑ Project Information Sheet prepared by Principal Investigator for each reviewed project
❑ Copies of other data and materials provided and presented to reviewers

Conduct of Review Stage:

❑ Copies of all slide presentations given by the Principal Investigator
❑ Completed written comments from the review chairperson and each reviewer
❑ Completed evaluation forms used to obtain feedback on ways to improve the peer review process
❑ Review Report (if prepared by panel)
❑ Review Report prepared by review leader and chairperson, as forwarded to program manager

Post-Review Stage:

❑ Program response added to complete the Final Review Report
❑ Summary report on the findings from the evaluation questionnaire on the peer review process
❑ Status reports from program manager (or Principal Investigators) on actions taken in response to the peer review findings