



## Responsible Offshore Science Alliance

Revised Framework to 2 September 2019

*This framework is intended to serve as the shared basis for creating a regional science organization for offshore wind and fisheries. This framework does not substitute for detailed by-laws, operating procedures, charters, conflict of interest statements, membership definitions and expectations, and other documents that will be required to formally and finally implement ROSA. The framework and approach will evolve as the organization is stood up. The framework does however provide the guideposts for the organizational work to follow.*

*Vision:* An improved understanding of ocean and coastal ecosystems that allows for informed compatibility of sustainable fisheries and offshore wind energy<sup>1</sup>.

*Mission and Goals:* To provide for and advance regional research and monitoring of fisheries and offshore wind interactions in US state and federal waters through collaboration and cooperation in order to:

- Increase salient and credible data on fisheries and wind development; and,
- Increase understanding of the effects of wind energy development on fisheries and their coastal and ocean ecosystems.

*Organizational Objectives:* ROSA's objective is to understand the ocean environment that fisheries and offshore wind energy activities occupy. ROSA provides a forum to reduce conflict, inform compatibility, and advance co-existence. ROSA will focus on research, communication, and regional collaboration. Specifically, ROSA will:

- Identify regional research and monitoring needs regarding fisheries and offshore wind development, operations and decommissioning;
- Provide a forum for coordinating existing research and monitoring programs;
- Advance regional understanding through collaboration, partnerships, and cooperative research to the greatest extent possible;
- Support research and monitoring to:
  - Explore impacts of offshore wind development on fisheries
  - Explore technologies and approaches that may advance co-existence of fisheries and offshore wind development
  - Consider regional scale issues such as ecosystem-based fishery management, socio-economic effects, and cumulative impacts

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<sup>1</sup> ROSA is focused on offshore wind development but may consider other forms of ocean-based renewable energy in the future.

- Aggregate and differentiate resources to increase efficiencies and reduce redundancies
- Administer research including pooling and distributing funds, drafting and awarding Requests for Proposals, and managing research projects and programs;
- Facilitate and improve standardization and access to data, protect confidentiality of data, conduct analyses, and create and encourage consistent use of existing data and research protocols to increase compatibility of data; and,
- Disseminate research and communicate issues, findings, and learning appropriately and effectively to key audiences and the public.

*Geographic Scope:* While ROSA’s initial geographic focus will be on offshore wind development and fisheries from the Gulf of Maine to North Carolina, it is structured to accommodate additional regions as wind energy development advances. The Council may determine relevant modifications to accommodate other regions should the need arise.

*Fisheries:* Fisheries, for the purposes of this document, are defined as the individuals, organizations, and communities involved in the harvesting of wild fish. It includes both fishermen and fish. A fishery may be further defined by some or all of the following: people involved, species or type of fish, area of water or seabed, method of fishing, gear type, class of boats, and purpose of the activities.

*Science, Research, and Related Activities:* Science, for the purposes of ROSA, is broadly defined as those technical and scientific endeavors that may include: hypothesis-centered study designs; developing common monitoring or data reporting protocols; advancing or improving regional monitoring networks and modeling; promoting best practices in various methodologies; conducting literature and study reviews; conducting meta-studies; collecting, organizing, and sharing data; and other tasks.

ROSA is expected to undertake the following scientific and technical activities:

- Help establish a widely shared and supported *ROSA Regional Research and Monitoring Needs* report;
- Organize and oversee planning and execution of work by committees;
- Provide input into project scoping, Request for Proposal (RFP) development, and research review for those research projects undertaken by some subset of ROSA members;
- Pool funds and administer such pooled research including researcher selection, researcher contracting and oversight, and research peer review and acceptance This may include:
  - Development, solicitation, and execution of research and monitoring request for proposals (grants);
  - Development, solicitation, and execution of contractual agreements and/or procurements to execute appropriate research and monitoring activities;

- Development and execution of cooperative agreements between government and non-governmental entities to carry out research planning and research and monitoring agreements;
- Conduct ROSA-sponsored research and monitoring efforts that are identified as a regional need to be carried out by ROSA in the *ROSA Regional Research and Monitoring Needs* report and not otherwise undertaken by others.
  - Activities related to ROSA-sponsored research may include meta-analyses and additional efforts to summarize or synthesize regional findings as well as developing regional monitoring protocols with federal, state, industry, and academic partners.

It is expected that the detailed scoping, funding and oversight of research and monitoring projects that align with the overall *ROSA Regional Research and Monitoring Needs Report* may be funded by a variety of sources, through a variety of means and mechanisms, including but not limited to ROSA.

ROSA is also expected to provide for common resources and assistance such as, but not limited to:

- Creating a general clearinghouse for such items as a listing of on-going research and technical activities occurring in the region; literature reviews and meta-analysis of specific issues or topics; and a calendar of events and related activities of ROSA members;
- Coordinating to help diverse parties across jurisdictions learn, connect, and avoid duplication;
- Brokering to help parties convene, connect, develop common proposals, partner, and pool funds under any number of mechanisms; and,
- Coordinating closely with numerous other organizations and efforts around data management.

*Form:* ROSA will be organized as a not-for-profit 501(c)3 – a mission-driven research organization intended to serve the public interest in a cooperative and collaborative manner across sectors engaged on these issues. Participation in ROSA does not create legal or regulatory obligations beyond those in existing law.

*Governance:* ROSA will have a governance structure as follows:<sup>2</sup>

1. *Board.* As a non-profit, ROSA will have a small and balanced Board whose primary purpose is fiduciary and operational oversight. The Board will be comprised of one representative from each ROSA-supporting wind energy developer holding one or more

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<sup>2</sup> Nothing in the governance or operation of ROSA should be construed to commit any participating federal or state agency to obligate agency funds, property, or services; enter into any contract or binding obligation; spend funds on any particular project or purpose; or limit or affect in any way the authority or legal responsibilities of the federal or state parties.

federal leases and an equal number of fishing industry representatives. The Board will have two co-chairs, one from fishing and one from wind energy. The co-chairs shall be appointed from each of the two sectors. The co-chairs shall rotate at least every two years. The Board's role is fiduciary oversight, including: reviewing and approving annual budgets, income streams, oversight of any required audits, supporting the regular operations and procedures of the organization, selection and review of the Executive Director, and guiding the Executive Director once selected (in person or by webinar). The Board will operate by consensus (all members can live with the decision) to the greatest extent possible, but would use majority voting if needed to resolve differences. As a 501(c)3, independent organization, Board meetings would not be open to the public.

2. *Council.* A Council of up to 40 members will be formed to provide substantive direction and focus. The Council will include members from: ROSA-supporting developers holding one or more federal leases; fishing industry representatives representing a breadth of fisheries and/or gear types; federal agencies including the National Marine Fisheries Service (NMFS) Greater Atlantic Regional Fisheries Office, NMFS Northeast Fisheries Science Center, and the Bureau of Offshore Energy Management (BOEM); one representative each from the New England and Mid-Atlantic Fishery Management Councils and the Atlantic States Marine Fisheries Commission (ASFMC); and interested states. The Board would approve the final membership consistent with this framework. The federal agencies would serve in an ex officio capacity<sup>3</sup> to provide information, insight and guidance on the federal perspective. The two Fishery Management Councils and the Commission would be voting representatives. The Council would meet at least twice per year and provide overall leadership and strategic guidance for the alliance. This would include creating a list of regional research needs, producing a report titled *ROSA Regional Research and Monitoring Needs*, commenting on various ROSA protocols and procedures, conflict of interest policies, and appointing Research Advisory Board members and Committee Chairs. Members would be expected to have fisheries, technical, collaborative and cooperative research experience. Offshore wind expertise is expected to be provided by the developer members. To the extent possible, participants on the Council will participate regularly and actively in its activities, support the effort through in-kind or financial resources, and seek to align their research projects and programs relevant to ROSA's regional needs. The Council will operate by consensus. Consensus will be defined as all or most members of the Council can live with a proposed action or decision.<sup>4</sup> Council meetings would be open to the public.

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<sup>3</sup> Federal agencies will share information, collaborate, and cooperate with ROSA at all levels regarding areas of mutual interest related to regional research and monitoring issues associated with promoting the coexistence of fisheries and offshore energy development. To abide by federal administrative laws, including the Federal Advisory Committee Act (FACA), both ROSA and federal agencies will maintain their respective independent authorities, and neither ROSA, nor federal agencies, will control or advise on the activities and operations of the other entity.

<sup>4</sup> Should the ROSA Council decide further elaboration is needed on decision-making, they may do so in their early organizational meetings.

3. *Executive Committee of the Council.* The Executive Committee will be formed by the Council to help the Council undertake its work. The Executive Committee would be comprised of the Co-Chairs of the Board and additional members elected by the Council members within the following categories: 1) a federal member from a federal agency or entity; 2) a fishermen from New England and the Mid-Atlantic; 3) a state from New England and the Mid-Atlantic; 4) a New England and Mid-Atlantic wind energy developer. The terms will be rotating to ensure fuller participation over time. The Executive Committee would work with the Executive Director to plan and coordinate the Council. The Executive Committee would plan agendas, meetings, and work, help address issues, problems, or conflicts that arise in Council meetings, and generally ensure the smooth functioning of the Council. Executive Committee meetings would not be open to the public.
  
4. *Research Advisory Board.* The Research Advisory Board (RAB) would be comprised of up to 15 members selected by the Council with demonstrated expertise and experience in conducting collaborative fisheries research and monitoring from any number of research institutions or organizations in the scientific and technical areas where ROSA operates. Selection would be based on eminence, expertise, and ability to work in collaborative processes, not by sector or by organization. RAB members may come from state or federal government, Fishery Management Councils or the Commission, consulting firms, academic institutions, and independent research entities or non-profits. The RAB would generally provide independent, scientific, input to the Council and committees. More specifically, the RAB would help identify detailed scientific needs based on Council direction and committee work; review scientific input from committees; help develop consistent monitoring protocols and other common tools; review and assist with developing RFPs; to provide for peer review for various work done under or connected with the auspices of ROSA. The RAB would provide technical input and is not a decision-making body. Detailed Conflict of Interest procedures would need to be established for RAB members to ensure scientific integrity and independence. RAB meetings would be open to the public.
  
5. *Committees.* The detailed, core work of ROSA would be done by area- or topic-specific committees. The committees would be chaired by a chair or co-chairs selected by the Council. Participants might include any person with relevant collaborative research and monitoring expertise in the applicable topical area. To begin, two sub-regional committees will be formed for New England and for the Mid-Atlantic, comprised of those states, who may solicit input from existing state-organized fishery advisory groups as well as other interested fishermen representatives. It is expected fishermen, federal scientists, state fishery management agencies, wind energy developers, academics, consulting scientists and non-profit organizations supporting the mission of ROSA would be active in committees. The committees would explore research needs, issues, and gaps, identify potential important research needs for RAB review and integration and Council approval, develop proposal concepts and, as needed, draft RFPs for specific projects or research, and review and consider new data, studies, and results as they

develop. The committees will operate by consensus. Consensus will be defined as all or most members of the committee are able to live with a proposed action or decision. ROSA committee meetings would be open to the public.

*Coordinating with Others.* ROSA staff will be expected to coordinate with the numerous other shared enterprises that collect, hold, and synthesize data related to offshore wind and fisheries. Some of these entities include, but are not limited to, NMFS, the Northeast and Mid-Atlantic data portals (NROC and MACO), the Regional Associations of Coastal Observing Systems (NERACOOS and MERACOOS), the National Oceans Partnership (NOP), and many others.

*Staffing:* ROSA would begin with an Executive Director, a Research Scientist, and necessary administrative staff. The Executive Director will be hired and reviewed by the ROSA Board. However, the Executive Director would work closely with the Council, its Executive Committee, and the Research Advisory Board regarding the execution of process, procedures, and research.

*Funding:* ROSA's initial expected budget would need to cover a full-time Executive Director, a Research Scientist, and an administrative staff person, as well as basic costs such as phone, office (if needed), website, administration, staff and fisheries members' travel, and so forth. The intent is to secure stable core funding for multiple years for operations and staffing as well as variable funding for specific research and monitoring projects and activities that may vary in scope and scale from year to year. ROSA would seek funds for the following purposes:

- To carry out ROSA operations, which include activities (staffing and meeting costs) required to operate the Council, RAB, committees and sub-bodies.
- To publish solicitations (grants and procurements) and establish cooperative agreements as described in ROSA's annual operating plan and guided by the *ROSA Regional Research and Monitoring Needs Report*.
- To conduct, when applicable, ROSA-sponsored research identified as a regional need to be carried out by ROSA staff in the *ROSA Regional Research and Monitoring Needs Report*.

ROSA would be funded by the following income streams:

- *Baseline Operating Funding*
  - Baseline operating funding will be provided by the ROSA-contributing leaseholders in sufficient shares to meet the Board approved budget with a preferred financial commitment of multiple years;
  - Baseline funding may also be supported by other contributors such as federal agencies, states, and other industry contributors (prospective lease holders; supply chain companies, fish organizations, and other grants). In the future, the Board will further determine financial contribution expectations from others as appropriate.
- *Activities and Tasks Funding*
  - Activities funding such as ROSA meetings, workshops, and other events and specific tasks beyond the baseline may be funded by participating federal and state agencies, as available.

- *Research Project Funding*
  - Specific research projects prioritized in the Regional Research and Monitoring Needs Report may be funded as follows: 1) by an individual Council member; 2) by two or more Council members through any number of mechanisms; 3) by pooled funds granted to ROSA with ROSA-specific oversight of that research. ROSA will charge an overhead fee to oversee such pooled fund research.