



Governance Structure, Guiding Principles & Terms of Reference

(Version 1 – approved by DOSI Core Team August 2019)

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1. Mission:

Box 1: The DOSI Mission

DOSI seeks to integrate science, technology, policy, law and economics to advise on ecosystem-based management of resource use in the deep ocean and strategies to maintain the integrity of deep-ocean ecosystems within and beyond national jurisdiction.

2. Rationale

The overarching aim of the DOSI network is to facilitate interdisciplinary collaboration and develop, implement, promote and monitor science-policy engagement activities that lead to the **advancement of science in policy**. DOSI's unique strength lies in its voluntary proactive collaboration among experts from across the globe and across disciplines and sectors to achieve the DOSI mission (Box 1). DOSI, by design, is a relatively informal network with the flexibility to be adaptive and responsive, maintaining the ability to evolve. DOSI provides a mechanism by which science can be translated and fed directly into policy processes, transferring knowledge in multiple directions. Marine scientists also learn about the policy implications of their work. DOSI is an unincorporated non-profit association.

3. DOSI Guiding Principles

The following principles guide the activities of the DOSI Core Team and Working Group Members:

- We deliver the DOSI programme elements at the most appropriate level, using the best-placed members of the DOSI network, to deliver national, regional and global results
- We demonstrate mutual cooperation, non-competition and dedication to the effective implementation of the DOSI programme
- We allocate resources to the part of DOSI responsible for delivery
- We communicate openly and transparently to keep each other informed of plans and activities
- We reflect a collaborative and inclusive culture, whilst maintaining expert credibility and representation
- We encourage appropriate behaviours and ethics, courteous communication and respect for each other's culture, roles, mandates and opinions
- We promote and encourage open access to DOSI-led and/or policy relevant publications
- We act with integrity to deliver the best available science for management decisions
- Collective DOSI responses may be provided upon approval by the Core Team, Advisory Board and relevant WG Leads. Network members should only represent DOSI when requested to do so by or after seeking permission from one of these

bodies.

- We strive to achieve environmentally responsible behaviour during the course of our work (e.g. minimizing carbon emissions, minimizing use of plastics).
- We work towards empowerment of DOSI community members and beyond, at all educational levels, disciplines, sectors and in all countries, to engage in policy discussions

4. Terms of Reference

- I. Provide critical scientific input on the deep ocean at the international level to aid the development of:
 - (1) a legally-binding instrument for the conservation and sustainable use of biodiversity beyond national jurisdiction (BBNJ);
 - (2) regulations for deep-sea mineral exploitation and aspects of environmental management undertaken by the International Seabed Authority;
 - (3) the consideration of the impacts of climate change on the deep ocean at the UNFCCC COPs (United Nations Framework Convention on Climate Change - Conference of Parties) and other relevant meetings;
 - (4) guidelines and practices for sustainable management of living marine resources and the ecosystems they rely on (FAO)
 - (5) other international processes relevant to deep-ocean stewardship.
- II. Provide scientific input to policy makers and regulators at national and regional scales, including building capacity and awareness of deep-ocean issues in developing nations
- III. Advance science at national and regional scales, including building capacity for deep-ocean science in developing nations.
- IV. Raise public awareness and educate students at all levels about deep-ocean biodiversity, resources, and ecosystem services, along with direct and indirect human impacts.
- V. Serve as an information/ communication hub for deep-sea science and activities relevant to deep-ocean environmental regulation, management, conservation and policy.

5. Governance Structure

The DOSI Core Team (CT) comprises three core components:

- DOSI Executive Committee (EC) (5 members with 2 members overseeing all operations and administration)
- DOSI Advisory Board (AB) (16 members)
- DOSI Working Group Co-Leads (WGL) (currently 19 leads)

DOSI has linkages across some DOSI Working Groups (overlapping memberships and similar scientific themes that may inform more than one group), and also with external groups such as INDEEP (International network for scientific investigation of deep-sea ecosystems), DOOS

(Deep-Ocean Observing Strategy) and the DSBSoc (Deep-Sea Biology Society) with whom we work in order to achieve our collective goals, enhancing communication across the deep-sea science community and to fulfil our collective Sustainable Development Goal [Voluntary Commitments](#).

6. Key Roles and Responsibilities of the DOSI Core Team

DOSI Executive

- Oversee and monitor progress of the DOSI programme of work to include budget management (decision-making on use and specific allocation of funds) and liaising directly with the funders.
- Ensure activities are conducted in accordance with funders' requirements including timely and appropriate delivery of outputs and reports.
- Oversee the membership of the Advisory Board (AB) and Working Group Leads (WGL) and conduct credential checks prior to their engagement. Work to create appropriate lines of communication and linkages among working groups.
- Respond to calls for proposals and seek funding opportunities for specific DOSI activities and missions
- Seek comment on DOSI outputs from appropriate members of the Core Team and, where appropriate, Working Group Members
- Ensure delivery and coordination of internal and external communications, and of relationships with project partners and external actors
- Make recommendations in terms of studies and activities to be promoted within DOSI
- Report all activities to the DOSI community in a timely fashion, ensuring transparency and record-keeping across DOSI.
- Approve DOSI outputs and use of DOSI branding (e.g. policy briefs, interventions, letters of support to community etc.), usually alongside DOSI AB and WGL
- Addressing conflicts which may arise, alongside DOSI AB and WGL
- Serve as point of contact for agencies attempting to communicate and coordinate with DOSI.
- DOSI Office (currently Dr Maria Baker, University of Southampton) to facilitate monitoring and reporting of DOSI activities, knowledge exchange, capacity-building activities and impacts; facilitate communications throughout the network and beyond, including management of mailing lists, member data (including deep-sea experts database), social media, DOSI website, production of informal newsletter (Deep-Sea Life) twice per year, DOSI newsletters to community; support the delivery of events (including workshops and meetings), activities and outputs; development, implementation and reviews of the DOSI communication strategy and protocols with communication professional advice; fundraising; public outreach; budget control; regular updates of DOSI Governance documentation .

Advisory Board

- Support and advise the DOSI Executive (DE) and WGL on strategy, progress and future directions for DOSI
- Provide oversight for DOSI risks

- Championing the DOSI network in their own circles, thereby broadening engagement, especially looking to increase membership from developing nations and minority stakeholders
- Provide scientific and technical oversight for the planning and implementation of DOSI activities
- Bring new opportunities for DOSI engagement to the attention of the DOSI Executive, Working Group Leads and Advisory Board
- Advising the DOSI Executive on philosophical underpinnings for decisions associated with approval status for DOSI name or logo endorsement for proposals, projects, new DOSI working groups, statements, letters and policy briefs (to lend legitimacy to outputs via this process). It is accepted that an output may not have the support and sign-on of every individual member, but should be broadly representative.
- Help coordinate one or more key DOSI projects, tasks or action items (desirable)
- Raise awareness of DOSI and promote DOSI activities and scientific sessions
- Represent DOSI when appropriate at high-level planning meetings, the writing of white papers, policy discussions and workshops.
- Engage with potential funders and help seek support
- Coordinate DOSI activities with other relevant scientific/expert panels and bodies as well as other stakeholders
- Attend DOSI online meeting approximately every 6 months or as matters arise
- Address conflicts which may arise, alongside DOSI AB

Working Group Leads

- Guide development of plans of action for Working Group and implement actions
- Coordinate working group member activities (alongside DOSI Office)
- Report working group activities to DOSI Core Team
- Engage with working group members on a regular basis
- Promote DOSI specific working group goals
- Maintain transparent workflow highlighting internal consultation process for compiling a DOSI commentary (consistent across working groups)

7. Levels of DOSI Network Membership

The DOSI Core Team coordinates the work of DOSI, prioritizes plans and budgets, and builds capacities both within the DOSI network membership and externally for specific missions. They also undertake fund-raising to augment core funds and support and enable specific DOSI activities.

The DOSI network members comprise over 650 individuals affiliated with academic institutions (e.g. deep-sea scientists, marine scientists, social scientists), government agencies, inter-government agencies, non-governmental agencies, industries, as well as lawyers, policy makers, economists, and students from over 50 different countries. All DOSI network members receive relevant information about deep-sea science and policy, are requested to provide expert support on missions where they are able (where priorities and

capacities align with the DOSI mission) and are requested to provide relevant information for dissemination to the network.

DOSI Working Group members have selected to join a group with specific goals and have opportunities to engage in the group activities.

8. Network Membership Conditions

DOSI Executive Committee

The DOSI Executive Committee will consist of no more than five members at one time. At present, the Executive Committee comprises four individuals who were selected based upon their volunteering/election during the inaugural meeting of DOSI in April 2013 (Baker, Levin, Gjerde & Escobar) and one individual (Harden-Davies) who was selected based upon extensive contributions to DOSI's core work. When one of the DOSI Executive members steps down, the Core Team will decide if a) we require the position to be filled and b) if so, with whom – by Core Team member election.

Advisory Board

This group consists of 16 members selected by the DOSI Executive and Working Group Leads, following a call for interest to the DOSI network members in January 2018. Current membership can be found on the DOSI website [here](#). An extensive master list was compiled of those applicants with the expertise required for this role (including all original AB members who expressed an interest in remaining in the role). CVs and statements were required for the application process. The AB was elected taking into account motivations, expertise, career stage, gender, and geographic location. AB Members will have a system of rotation and serve for staggered 2 year terms to ensure that those who wish to engage in these roles have the opportunity. The DOSI AB are champions for DOSI but remain an independent oversight committee on contentious issues within DOSI. Advisory Board members may also be members of ad-hoc task teams for specific projects and/or activities to provide support as issues arise but cannot be WG leads during their term. They may NOT be concurrent Working Group leads to avoid conflict of interest.

Working Group Leads

This group has been selected following expressions of interest from the DOSI network membership. They are NOT to be concurrent AB members in order to avoid conflict of interest. There are usually 2 or more co-leads per working group to share the workload which can be extensive. Working Group Leads serve a term of 2 years after which time their progress will be reviewed by the Core Team and Advisory Board and will either continue, be replaced or the working group disbanded if there is no further need for it. Working Group Leads can establish ad-hoc sub-committees to deliver specific projects and/or activities.

Working Group Members

This group has the opportunity to comment on draft statements and submissions and take part in surveys aimed at providing broad community views. Working group members can also introduce and lead new activities, scientific sessions, capacity building and outreach efforts, and publications in coordination with other WG members and the leads.

Network Members

Many network members are passive receivers of deep-sea information from the DOSI office. However, all members, even though not affiliated to a specific working group, have the opportunity to reach out to their fellow community members via the DOSI office.

Resignation

The process for resignation of any Core Team member should follow the protocol of a signed written resignation letter to the DOSI Executive, giving as much notice as practically possible.

Removal

Removal of Core Team members who are unable to fulfil their role will require full consensus of all leaders.

9. DOSI Governance Meetings

The DOSI Core Team will routinely conduct business by email and via online conferencing at least twice per year.

10. Operations

Receiving of funds

- Contracts for DOSI funds should be managed by DOSI Executive members – either via the University of Southampton, UK (led by Maria Baker), or Scripps Institution of Oceanography, USA (led by Lisa Levin). This will ensure (1) we have charitable status under these institutions; (2) legal support should the need arise; (3) academic status. However, this process may be open to change in light of future funding options and requirements.

Submissions to national or international policy processes

- Usually the relevant working group leadership will make the submission with support from the DOSI Executive:
 - Identify key issue(s) and question(s) to address and appropriate form of action (i.e. policy brief, submission, intervention)
 - Seek input from all relevant Core Team and WG members, where possible.
 - Attribute authorship when applicable (e.g. policy briefs)
 - Formation of expert task team for production of output (elements could include research, wider consultation, workshops, surveys)
 - Draft circulated to wider interest group or Core Team for comment and approval
 - Peer review may be necessary depending upon product
- Adhere to DOSI format (e.g. for policy briefs, presentations, reports etc.). Templates provided by DOSI Executive or WGL, with approved DOSI preamble text (insert here) and agreed way of acknowledging contributions and endorsements (e.g. authorship, sign on).
- Ensure correct logos used on submissions – DOSI and relevant funders
- Ensure DOSI Executive and DOSI AB have approved submission (usually via email)

- Anyone who speaks on behalf of DOSI (including students, volunteers and people from other institutions) are covered by the University of Southampton personal liability insurance.

Publications

- To include peer-reviewed papers and reports
- Circulate to DOSI network members and other interested parties

Communications – internal and external facing

- Mailing list management
- Emails to community
- Website
- Twitter
- Instagram
- DOSI Core Team Communications
- Periodic newsletter to community
- Deep-Sea Life
- Working Group Leads communications to WG members
- OceanArchive collaboration
- Books (Natural Capital and Exploitation of the Deep Sea - in prep & children's books - Message in a Bottle - deep-sea litter; Treasure of the Deep - deep seabed mining)
- Supporting international communications – DOSI network members are from many countries around the world creating difficulties in online meeting time zones and internet connections and expense of travel. Moreover, as an initiative with core environmental concerns, the public perception of air travel as an environmental protection issue, makes venues for meetings and events a fundamental issue that will be considered when weighing the value of face-to-face relationships against the monetary and environmental costs of flights. Most meetings will be held remotely, with minutes and, if warranted, recordings of meetings being made available to all members afterwards, and further discussion and input encouraged. Where appropriate opportunities present themselves for face-to-face meetings and events, these will be arranged to ensure maximum involvement, including remote participation. Meeting and event planning will take into account time zone issues to ensure maximum support for attendance across the membership by rotation of benefit to different regions. Sharing of documentation online will aid in the inclusivity of communications among network members.

11. Governance Document Review

There are regular reviews of this document (every 2 years) to ensure the DOSI Terms of Reference remain relevant and comprehensive. Anthropogenic pressure on the deep-sea is increasing and as a result DOSI's contribution to the international community will only grow with time.