

# Ocean Energy Safety Institute

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## Consortium Operations Document (COD)

This document details the Program Management Plan of the Ocean Energy Safety Institute

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1.0	April 18, 2022	Initial COD
1.1	May 17, 2022	Internal Comments Implemented and Shared with JSC
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1.9	January 26, 2024	Added a section on COI

## Table of Contents

<b>Introduction.....</b>	<b>4</b>
<b>Purpose.....</b>	<b>4</b>
<b>Participant Definitions.....</b>	<b>5</b>
<b>Operational Structure.....</b>	<b>7</b>
<b>Conflicts of Interest Process.....</b>	<b>9</b>
Introduction:.....	9
Participants and Responsibilities:.....	9
Process:.....	9
1. Firewall for OESI Activities:.....	10
2. Firewall for RFP Development:.....	11
3. Proposers and Reviewers COI:.....	11
4. Firewall for Portfolio Development:.....	12
<b>Roadmap Process.....</b>	<b>14</b>
Introduction:.....	14
Participants and Responsibilities:.....	15
Process:.....	16
1. App Team Brainstorming:.....	17
2. Roadmap Workshop:.....	17
3. Target and Pathway Finalization:.....	18
4. Expert Panel Workshop:.....	19
5. IAB and JSC Feedback:.....	24
6. Roadmap Finalization:.....	25
<b>Annual Plan Process.....</b>	<b>26</b>
Introduction:.....	26
Participants and Responsibilities:.....	27
Process:.....	27
1. Annual Plan Development:.....	27
2. Annual Plan Finalization:.....	28
<b>Project Call Process.....</b>	<b>30</b>
Introduction:.....	30
Participant Responsibilities:.....	31
Process:.....	32
1. RFP Development:.....	32
2. Proposal Development:.....	33

3. Proposal Review and Portfolio Development:	34
4. Award Negotiation:	37
<b>Project Execution Process:</b>	<b>39</b>
Introduction:	39
Participants and Responsibilities:	39
Process:	40
1. Plan:	41
2. Perform:	41
3. Monitor and Control:	42
4. Close:	42
<b>Membership Process:</b>	<b>44</b>
Introduction:	44
Participants and Responsibilities:	44
Process:	45
1. Membership Request Form:	45
2. Membership Agreement:	46
3. Member Onboarding:	47
<b>Refresh Process:</b>	<b>48</b>
Introduction:	48
Participants and Responsibilities:	48
Process:	49
1. Stakeholder Input Collection:	49
2. App Team Input Consolidation:	50
3. Stakeholder Workshop Planning and Execution:	50
4. Refreshed Roadmap Finalization:	51

## Introduction

The Ocean Energy Safety Institute (OESI) is a consortium with participation from industry, government, and academia created to develop the technology and workforce needed for increased offshore energy production that is safer, more sustainable, and more cost-effective.

The OESI is organized under an agreement between the Texas A&M Engineering Experiment Station (TEES) and the U.S. Department of the Interior's (DOI) Bureau of Safety and Environmental Enforcement (BSEE), and the U.S. Department of Energy (DOE).

The objectives of the OESI are to:

- Increase the energy security of the U.S. and enable jobs and increased economic activity through responsible and sustainable ocean energy production;
- Develop knowledge, technologies, and training that increase the U.S. ability to produce ocean energy resources safely and sustainably; and
- Engage the very best technologists, managers, facilities, and standard and policy developers who have the best chance to achieve the goals in the most efficient and collaborative environment possible.

## Purpose

This document will serve as the Project Management Plan (PMP) and describes the OESI operational structure and processes. The OESI operational concepts are rooted in best practices leveraged from TEES' management and engagement with other national public-private partnerships. These best practices have been tailored to meet the specific needs and objectives of the OESI.

## Participant Definitions

For a comprehensive understanding of the operational concepts of the OESI, it is important to achieve a common understanding of key terms used throughout this document. Figure 1 provides a list of key participant definitions.

Participant	Definition
Application Team (App Team)	A working group of Subject Matter Experts (SMEs) within the OESI consortium focused on a specific ocean energy safety application area (Oil & Gas, Wind, and Marine)
Application Team Lead	A consortium member SME assigned as the lead under the OESI Program for the application area (Oil & Gas, Wind, and Marine)
Contributing Participant	Member or non-member stakeholder that provides a supporting action as part of an OESI process
Cross-Functional Team (CFT)	A working group of SMEs within the OESI focused on a cross-cutting technology area with impact across all OESI application areas
Expert Panel	A panel consisting of a single appointee from the following: App Team, CFT, JSC-approved industry representatives from all three application areas, the IAB Coordinator, and the OESI Director.
Government SMEs	Government SMEs nominated by the Joint Steering Committee (JSC) to support specific OESI activities
Industry Advisory Board (IAB)	An advisory body of the OESI made up of experienced professionals from Industry with representation across all three OESI application areas
Industry SMEs	Industry SMEs nominated by the Industry Advisory Board (IAB) to support specific OESI activities
Joint Steering Committee (JSC)	Governing body of the OESI made up of members from the BSEE and the DOE
JSC Chairs	A group of individuals who serve as co-chairs from the BSEE and DOE that provides guidance and direction to the OESI Operations Team
Member Organization	An organization that was approved and has executed the OESI Consortium Agreement
OESI Consortium Member	An individual of a Member Organization
OESI Director	TEES representative responsible for the overall execution of the OESI
OESI Operations Team	TEES OESI program staff and contractors supporting execution of the processes outlined in the Consortium Operations Document (COD)

OESI Project Manager	Individual member of the OESI Operations Team and assigned to manage projects as assigned by the OESI Director in support of the OESI Program
OESI Stakeholders	A diverse group of individuals (or) organizations with a vested interest in promoting safety within the ocean energy sector
Primary Participant	Stakeholder primarily responsible for a step or process within the OESI COD
Project Review Committee	Non-advocate SMEs with relevant expertise with project calls from Academia, Industry, and Government
Project Team Lead	Designated main point of contact and manager for a Team associated with an awarded project
Project Team Members	Individuals that have committed to execution of an awarded Project
Proposal Team Lead	Designated main point of contact from OESI Consortium member organization submitting an application to a Project Call on behalf of a Proposal Team
Requesting Organization	An organization applying for membership in the OESI
Roadmap Participants	Academic, Industry, and Government Stakeholders with knowledge in ocean energy safety that contribute to one or more activities in the Roadmap process
TEES Contracts	TEES office focused on executing contracts and agreements
TEES Ethics and Compliance Office	TEES office focused on compliance with all federal requirements and managing organizational conflict of interest
TEES Staff	Individuals that are part of TEES who are associated with the OESI through their services (administration, marketing, communications, etc.)

*Figure 1: OESI Key Participant Definitions*

## Operational Structure

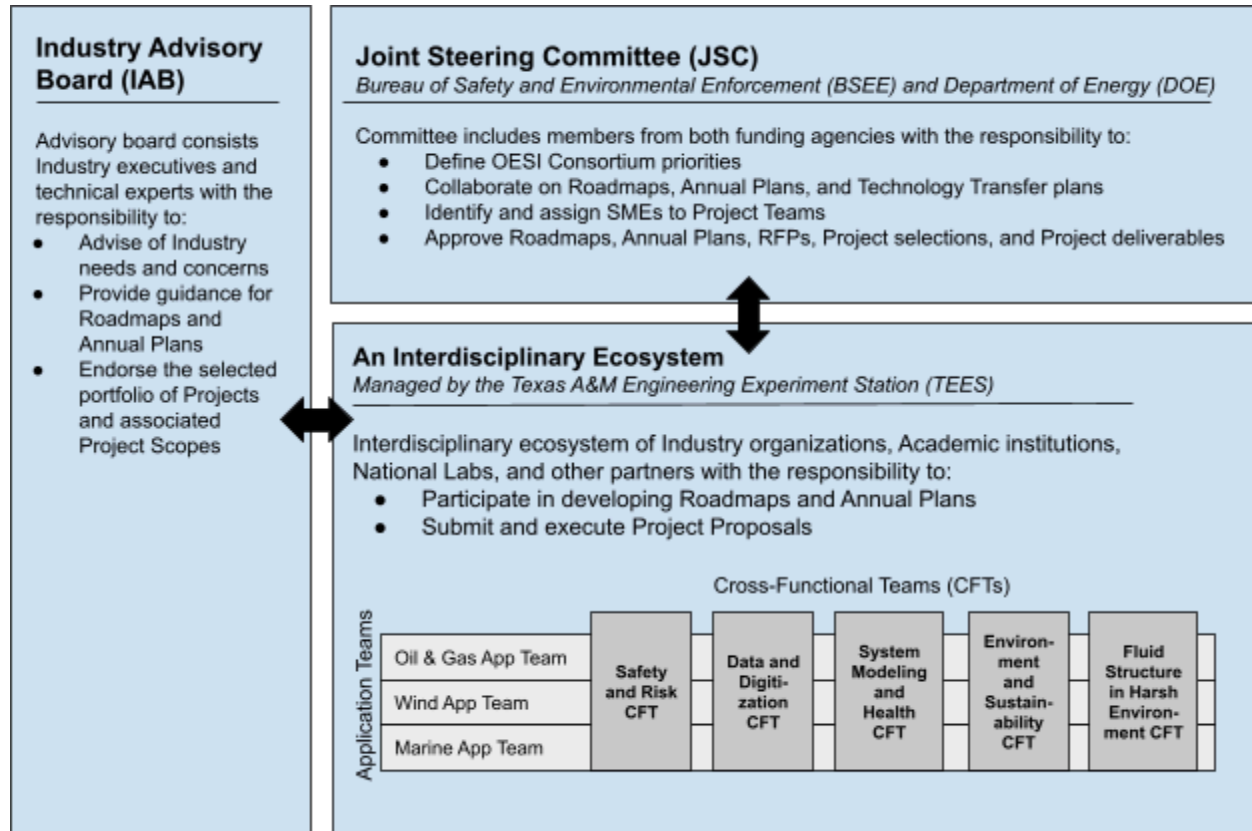
The OESI operational structure is broken down into three major components 1) the Joint Steering Committee (JSC), 2) the Interdisciplinary Ecosystem, and 3) the Industry Advisory Board (IAB), see Figure 2. The operational structure of the OESI is designed to enable collaboration between public and private stakeholders necessary to deliver critical impacts to ocean energy safety.

The first major operational component consists of representation from the two federal funding agencies, BSEE and DOE. To manage their investment in the OESI, the two agencies have established a governance body, the JSC, to be 1) a key collaboration partner in OESI activities from the unique perspective of the federal government and 2) an approval authority ensuring that activities within the OESI are addressing the funding intent, priorities, and objectives.

The second major operational component consists of the system partners managed by the TEES. The interdisciplinary system consists of 1) a TEES leadership team with support staff to develop and execute critical consortium processes and 2) OESI working groups in specific applications of interest (App Teams) and key cross-functional technology areas (CFTs) to drive efficient consortium engagement.

To enable efficient engagement with Industry, the OESI has established the final major operational component, the IAB, to represent Industry needs and challenges to the consortium leadership. IAB operations are conducted in accordance with the IAB by-laws. It consists of representation from key Industry executives across the three application areas of offshore Oil & Gas, Wind Energy, and Marine Energy.

Specifics regarding the responsibilities and communication of the JSC, interdisciplinary ecosystem, and IAB are shown in Figure 2 and described in subsequent sections of this document.



*Figure 2: OESI Operational Structure*



## Conflicts of Interest Process

### Introduction:

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This section describes how the OESI Ops Team handles conflicts of interest (COI). This process is designed to identify, manage, record, respond, and report to situations where the interests of the OESI stakeholders may potentially compromise with the missions and objectives of the OESI. This process is designed to maintain transparency, integrity, accountability, and objectivity of the OESI operations and OESI's commitment to upholding the highest ethical standards in its operations.

### Participants and Responsibilities:

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Figure 3 details the participants and their responsibilities in executing the COI process.

*\*Stakeholders may be added/removed as necessary for the specific needs required by each Refresh Process.*

Participant	Responsibilities
TEES Ethics and Compliance Office	Focuses on compliance with all federal and contractual requirements and manages the OESI's COI
OESI Operations Team	Record and monitor the COI Process.

***Figure 3: Stakeholders involved in COI Process***

### Process:

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The OESI COI process is broken down into *four* stages: 1) Firewall between OESI Members, 2) Firewall in RFP Development, 3) Proposers and Reviewers COI, and 4) Firewall in Portfolio Development

1	<b>Firewall for OESI Activities</b> Establish firewall for Operations Team, identified TEES staff, Contractors, and JSC.
2	<b>Firewall for RFP Development</b> Establish firewall for Operations Team, identified TEES staff and Contractors, as well as JSC in RFP Development.
3	<b>Proposers and Reviewers COI</b> The Operations Team receives appropriate COI Forms for Proposers and Reviewers.
4	<b>Firewall in Portfolio Development</b> Establish firewall for the Operations Team, Contractors, and JSC to maintain confidentiality in Portfolio Development.

*Figure 4: Step-by-Step Process of establishing firewall for OESI Activities*

## 1. Firewall for OESI Activities:

<u>Objective:</u> Establish firewall for confidentiality in OESI operations			
<u>Primary Participant:</u> TEES Ethics and Compliance Office		<u>Contributing Participants:</u> OESI Operations Team, JSC	
<u>Process:</u> Figure 5 details the step-by-step process used by the OESI in handling COI. Details about each step follow.			
STEP 1 Identify list of firewall personnel	STEP 2 Provide the list to the TEES Ethics and Compliance Office	STEP 3 Publish the firewall personnel on the OESI website (public)	STEP 4 Establish protocol to maintain consistent communication

*Figure 5: Step-by-Step Process of establishing firewall for OESI Activities*

The Ops Team develops a list of firewall personnel amongst themselves, TEES Staff, and JSC organizations. In the next step, this list is provided to the TEES Ethics and Compliance Office to establish a firewall for the identified personnel. These firewall personnel cannot engage, collaborate, or bid on the subject of the OESI RFP. This list is also published on the OESI website and available in the public domain. In the last step, a protocol for maintaining consistent communication is established that does not allow firewall personnel to communicate any details concerning the RFP process with anyone outside of the firewall.

## 2. Firewall for RFP Development:

Objective:

Identify and manage the conflicts of interest by establishing firewalls and protecting confidential information in RFP Development.

Primary Participant:

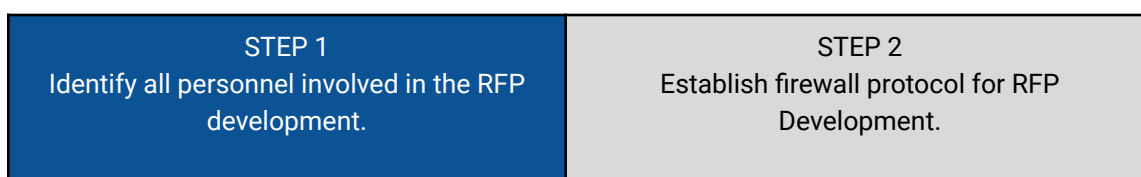
TEES Ethics and  
Compliance Office

Contributing Participants:

OESI Operations Team, JSC

Process:

Figure 6 details the step-by-step process used by the OESI in handling COI for RFP Development. Details about each step follow.



**Figure 6: Step-by-Step Process of establishing firewall for RFP Development**

Once the firewall for OESI Operations is established in stage 1, the next stage is to develop a firewall for these personnel for RFP development. Personnel on the other side of the firewall cannot participate in RFP development. For details, see RFP Development (Section 1 of the Project Call Process) of the COD. First step at this stage includes identifying all personnel from Ops Team, TEES Staff, and JSC that will have access and be involved in the RFP development. Identified firewall personnel cannot communicate regarding the RFP development. The next step is to establish a protocol that all identified firewall personnel cannot engage in any discussion with regards to RFP materials before publication. Any discussion outside of the firewall personnel may result in disqualification of the firewall personnel's organization from participation in proposals or review of proposals.

## 3. Proposers and Reviewers COI:

Objective:

Identify and manage the conflicts of interest by establishing firewalls and protecting confidential information.

Primary Participant:

TEES Ethics and  
Compliance Office

Contributing Participants:

OESI Operations Team, JSC

Process:

Figure 7 details the step-by-step process used by the OESI in handling proposers and reviewers COI. Details about each step follow.

<b>STEP 1</b> All proposers submit the COI forms as part of their proposal	<b>STEP 2</b> Provide access to the proposers COI Forms to the TEES Ethics and Compliance	<b>STEP 3</b> All nominated proposal reviewers submit their COI forms before receiving their review assignments	<b>STEP 4</b> Provide access to the proposers COI Forms to the TEES Ethics and Compliance	<b>STEP 5</b> Monitor the review process and inform TEES Ethics and Compliance of any potential COI	<b>STEP 6</b> In case of identified COI, the reviewer is removed from the review of the proposals in that particular pathway
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**Figure 7: Step-by-Step Process of the Proposers and Reviewers COI**

The TEES Ethics and Compliance Office provides appropriate COI Forms to the OESI Ops Team for proposers and reviewers. Proposers submit [COI forms](#) as part of their proposal submission and TEES Ethics and Compliance office is given access to these COI forms. Nominated proposal reviewers submit their [COI forms](#) before receiving their review assignments. Any competent subject matter expert can self-nominate as a potential reviewer. Reviewers' COI forms are made available for the TEES Ethics and Compliance office.

The OESI Ops Team identifies the RFP pathway-specific conformance questions in the reviewer evaluation forms for reviewer evaluation. Reviewers' Evaluation Metrics are kept confidential. The OESI Ops Team monitors the review process and in case of any identified COI, the reviewer is removed from assessing proposals in particular pathway and the COI identified is reported to the TEES Ethics and Compliance office.

#### 4. Firewall for Portfolio Development:

Objective:

Identify and manage the conflicts of interest by establishing firewalls and protecting confidential information.

Primary Participant:

TEES Ethics and Compliance Office

Contributing Participants:

OESI Operations Team, JSC

Process:

Figure 8 details the step-by-step process used by the OESI in handling COI. Details about each step follow.

<b>STEP 1</b> Firewall personnel from Ops Team and JSC organizations maintain confidentiality of the reviewers	<b>STEP 2</b> Firewall Ops Team maintains confidentiality of the proposals	<b>STEP 3</b> Firewall Ops Team confidentially applies objective and consistent metrics for recommended portfolio development	<b>STEP 4</b> Recommended portfolio undergoes project scope evaluation and then a redundancy check that leads to final selection by expert judgment requiring Ops Team consensus	<b>STEP 5</b> Recommended portfolio remains confidential to the firewall personnel until JSC approval
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***Figure 8: Step-by-Step Process of establishing firewall for portfolio development***

This process involves establishing a firewall for Ops Team and JSC organizations to develop confidentiality of the reviewers. Details of the firewall between reviewers and proposals are provided in Proposal Review and Portfolio Development (Section 3 of the *Project Call Process*) of the COD. In developing a portfolio, the OESI Ops Team ensures the confidentiality of the proposals. The Ops Team applies objective and consistent metrics in developing recommended portfolios. Recommended portfolio undergoes project scope evaluation and then a redundancy check that leads to final selection by expert judgment requiring Ops Team consensus. Scope evaluation judgment will be based on the reviewer evaluation for RFP scope compliance. Redundancy evaluation judgment includes determination if a lower ranked project proposal is redundant to a higher objectively ranked project proposal. In cases where redundancy is found in highly ranked project proposals, then the higher ranked project proposal will be recommended and moved forward. The recommended portfolio is kept confidential among the firewall personnel until it receives approval from JSC.

## Roadmap Process

### Introduction:

This section describes the Roadmap Process used by the OESI as part of its broader operations, see Figure 9. The Research Roadmaps developed as part of the OESI Consortium are owned by the OESI. The process is designed to deliver: 1) Industry-driven Targets and Strategic Pathways that address critical and impactful development needs, 2) an unbiased, transparent approach for prioritizing and finalizing Targets and Strategic Pathways that ensures the end product represents all stakeholders within the Industry sector, and 3) a common vision and set of desired outcomes for all members of the OESI Consortium to collaboratively work towards achieving.

The OESI Roadmap process drives the OESI Consortium's Annual Plans and Project Calls by providing information on the most impactful development needs of the Industry sector, as shown in Figure 9.

Roadmap	Annual Plan	Request for Proposals	Execution and Closure
<b>Purpose:</b> Provide the OESI with a comprehensive research plan to achieve vision	<b>Purpose:</b> Provide the OESI Membership and the JSC with the year's research activities	<b>Purpose:</b> Provide the OESI Membership with specific requirements to address research needs	<b>Purpose:</b> Provide the OESI Membership and the JSC with identified project deliverables and Technology Transfer Plan
<b>Description:</b> Document with a 5-year timeline containing the following elements: <ul style="list-style-type: none"> <li>• End-state vision for OESI activities</li> <li>• Clearly stated Targets and Pathways necessary to achieve the vision</li> <li>• Time-phased Pathways to methodically reach Targets</li> </ul>	<b>Description:</b> Document with a 1-year timeline containing the following elements: <ul style="list-style-type: none"> <li>• Goals and objectives for the year</li> <li>• Planned budget allocation for each application area</li> <li>• Background and issue statement for each pathway</li> <li>• A "case for action" for upcoming research needs</li> </ul>	<b>Description:</b> Document containing the following elements: <ul style="list-style-type: none"> <li>• Pathways and requirements</li> <li>• Research objectives to address "case for action"</li> <li>• Desired research outcomes</li> <li>• Proposal requirements inclusive of scope, methodology, and deliverables.</li> <li>• Proposal evaluation criteria</li> </ul>	<b>Description:</b> <ul style="list-style-type: none"> <li>• Project specific milestones and deliverables aligned with proposed research requirements to achieve Targets in the Roadmap</li> <li>• A comprehensive Technology Transfer Plan integrating research methodologies and findings for reproducible results or broader application within an ecosystem</li> </ul>

*Figure 9: The OESI Roadmap Process as part of the broader OESI operations*

## Participants and Responsibilities:

Figure 10 details the standard stakeholders and responsibilities necessary to successfully execute the OESI Roadmap Process.

*\*Stakeholders may be added/removed as necessary for the specific needs required by each individual Roadmap effort.*

Participant	Responsibilities
Application Team Lead	Propose Strategic Target and Pathway language during the Roadmap brainstorming step, and review and comment on Target and Pathway language during the finalization step
Expert Panel	Finalize the Strategic Pathway language, filter, and prioritize for inclusion in the Roadmap, and relay decision information back to relevant constituencies
Government SMEs	Propose Strategic Target and Pathway language during the Roadmap brainstorming step
IAB	Provide relevant Subject Matter Experts (SMEs) for filtering and scoring Candidate Strategic Pathways for the Roadmap
JSC	Final decision-making authority for the Roadmap
JSC Chairs	Provide general feedback on process step questions and facilitate the efficient review and approval by the JSC
OESI Operations Team	Manage and execute the Roadmap process
Roadmap Participants	Provide input into the critical needs, targets, and strategic pathways Includes members from: the JSC, App Team, Expert Panel, and OESI Operations Team

*Figure 10: Roadmap Process Stakeholders and Responsibilities*

## Process:

The OESI Roadmap Process is broken down into *six* stages: 1) App Team Brainstorming; 2) Roadmap Workshop; 3) Target and Pathway Finalization; 4) Expert Panel Workshop; 5) IAB and JSC Stakeholder Feedback; and 6) Roadmap Finalization, as shown in Figure 11. The *six* stages are subsequently detailed in this section.

1	<b>App Team Brainstorming</b> Development of workshop read ahead materials
2	<b>Roadmap Workshop</b> Identification and validation of Targets and Strategic Pathways
3	<b>Target and Pathway Finalization</b> Finalize language for each Target and Strategic Pathway
4	<b>Expert Panel Workshop</b> Filter, prioritize, and sequence Targets and Strategic Pathways into draft Roadmap
5	<b>IAB and JSC Feedback</b> Solicit feedback from governments and industry SMEs
6	<b>Roadmap Finalization</b> Obtain JSC approval of Roadmap and publish to OESI Consortium Members

*Figure 11: OESI Roadmap Process*



## 1. App Team Brainstorming:

### Objectives:

1) Identify and develop critical Research Targets and Strategic Pathways, and 2) Stimulate thought coming into the workshop

### Primary Participant:

OESI Operations Team

### Contributing Participants:

App Team Leads, JSC Chairs, Government SMEs

### Process:

Figure 12 details the step-by-step process used by the OESI in App Team Brainstorming. Details about each step follow.

<b>STEP 1</b> Conduct brainstorming session with App Team	<b>STEP 2</b> Develop summary and solicit feedback from App Team	<b>STEP 3</b> Finalize draft as roadmap workshop pre-read material
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*Figure 12: App Team Brainstorming Stage Step-by-Step Process*

To begin this first stage, the OESI Ops Team holds a joint call with the relevant App Team Leads, the JSC Chairs, and Government SMEs. In this call, the OESI Ops Team solicits ideas from the group on potential Roadmap Targets, Strategic Pathways, and Gaps critical to increasing ocean energy safety in the relevant sector (Oil & Gas, Wind, or Marine). During the facilitation, the OESI Ops Team ensures that all viewpoints are heard to gather diverse perspectives helping to limit bias towards specific areas of interest of one individual. Following the meeting, the OESI Ops Team develops a summary document of the discussion. The OESI Ops Team provides the App Team Leads, JSC Chairs and Government SMEs with the summary document for review and comment. This step allows the group to 1) verify and validate their thoughts were accurately captured and 2) submit additional thoughts for consideration. Upon receipt of the comments, the OESI Ops Team adjudicates the feedback into a final draft that becomes the pre-read document for the Roadmap Workshop.

## 2. Roadmap Workshop:

Objective: Solicit feedback and additions from Roadmap Participants to the identified Targets, Strategic Pathways, and Gaps

### Primary Participant:

OESI Operations Team

### Contributing Participants:

Roadmap Participants, JSC

### Process:

Figure 13 details the step-by-step process used by the OESI in conducting the Industry Workshop. Details about each step follow.

<b>STEP 1</b> Perform situational assessment on Industry sector	<b>STEP 2</b> Prepare workshop materials and agenda	<b>STEP 3</b> Develop summary and solicit feedback from App Team	<b>STEP 4</b> Finalize draft as workshop pre-read material
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*Figure 13: Industry Workshop Stage Step-by-Step Process*

The OESI Ops Team works in partnership with Government and interdisciplinary system SMEs to develop the Roadmap Workshop materials, including workshop objectives, agenda, and a facilitation plan to detail the workshop’s run-of-show. The development of these materials is an iterative process with JSC input. Prior to the Roadmap Workshop, all participants are provided a copy of the pre-read document prepared previously in the App Team Brainstorming stage.

Professional facilitators take notes, and manage the logistics of the Roadmap Workshop. The function of the workshop is to have participants meet in a combination of organized plenary sessions and break-out sessions to 1) discuss and define the existing challenges and technological gaps in each target, 2) verify the strategic pathways that should address those challenges, 3) identify research already being conducted, and 4) provide recommendations for new or complimentary areas that need to be addressed by the OESI are also incorporated.

Following the workshop, the facilitation team, Professional facilitators develop a detailed final report that captures discussion themes, outcomes, and verified Targets and Strategic Pathways to be considered in the development of the Roadmap. The final report is then sent to JSC for information.

### 3. Target and Pathway Finalization:

Objective:

Finalize the Targets and Strategic Pathways based on feedback from the Roadmap Workshop

Primary Participant:

OESI Ops Team

Contributing Participants:

Application Team Lead

Process:

Figure 14 details the step-by-step process used by the OESI in Target and Pathway Finalization. Details about each step follow.

<p><b>STEP 1</b> Revise Targets and Pathways based on feedback</p>	<p><b>STEP 2</b> Review revised Pathways with the App Team</p>	<p><b>STEP 3</b> Finalize Targets and Pathways for use by the Expert Panel</p>
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*Figure 14: Target and Pathway Finalization Stage Step-by-Step Process*

Following the Roadmap Workshop, the OESI Ops Team develops a report that captures 1) the initial Targets and Strategic Pathways, 2) a summary of the feedback received from the workshop on each Target and Strategic Pathway, and 3) proposed revised language, as applicable, for each Target and Strategic pathway. This summary is sent to the relevant App Team Leads for review. A meeting is held with the App Team Leads to discuss their feedback and comments on the revised Targets and Strategic Pathways. Based on the feedback, a recommended list of Targets and Strategic Pathways is developed.

The recommended list of Targets and Strategic Pathways is sent to the JSC for review and comment. After JSC comments are considered, a final list of Targets and Strategic Pathways is produced for use in the Expert Panel Workshop.

#### 4. Expert Panel Workshop:

Objective:

Filter, prioritize, and sequence the Targets and Strategic Pathways from the stakeholders of the relevant application area. Provide a repeatable, transparent, and systematic approach to analyze and evaluate the identified targets and strategic pathways by filtering and prioritizing those that are best suited for the OESI.

Primary Participant:

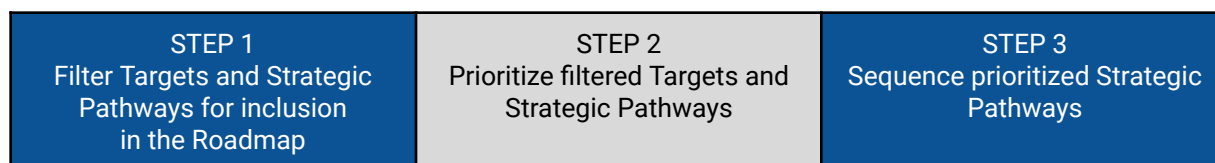
Expert Panel

Contributing Participants:

OESI Operations Team

Process:

Figure 15 shows the step-by-step process used by the OESI in conducting the Expert Panel Workshop. Details about each step follow.



*Figure 15: Expert Panel Workshop Stage Step-by-Step Process*

The OESI Operations Team prepares a summary of the input, methodology, and protocols for the Expert Panel. This approach ensures that the topics identified remain within the OESI's scope to pursue. At the Expert Panel Workshop, the panel begins the filtering step. For their analysis, the Expert Panel uses a two-phase filtration process:

Scope Filter: Fit/Forum Evaluation and Topic Appropriateness Evaluation

Value Filter: Effort/Resource Evaluation and Impact Evaluation

Each filter has two evaluation sets made up of standard questions. For each evaluation set, the Expert Panel answers these questions for all identified Targets and Strategic Pathways. The results are documented in the Component Evaluation Register, made up of the Expert Panel majority answers to the evaluation questions and the filter results. The questions in the evaluation sets require a simple "Yes" or "No" answer. For reference, a 'Guide' for each question is given to provide clarification and aid in consistency as to what the question indicates or is referring to. A "Yes" answer will be converted to a score of 1, and a "No" answer will be converted to a score of 0.

For the Scope Filter, the Expert Panel evaluates the fit/forum evaluation set and the topic appropriateness evaluation set. The questions for each evaluation set are shown in Figure 16 and Figure 17.

<b>Fit/Forum Evaluation</b>				
<i>Item No.</i>	<i>Question</i>	<i>Yes</i>	<i>No</i>	<i>*Note: A “yes” answer is scored at 1, and a “no” answer is scored at 0.</i>
1	Would the OESI have access to the input required to address the topic?			Guide: This question seeks consideration to determine if a project on this topic would need to access particular information that may not be easily available to the project team. This could include data such as measurements from ocean energy fields, confidential business information, or performance information on a company’s equipment, etc.
2	Would the OESI be clear of any reasonable legal or commercial challenges with the topic?			Guide: This question is considering the likelihood that the topic would face complications with antitrust laws, confidentiality provisions or be considered high TRL-level product development that should be completed by the technology owner.
3	Would the topic be addressed if the OESI did not seek to address it?			Guide: This question seeks consideration if OESI may be the only or one of a few entities which would invest in research in this safety-related topic. There are some topics that may not have any commercial advantage for Industry or Academia to invest in but could be beneficial to increase ocean energy-related safety.

**Figure 16: Fit/Forum Evaluation Set Questions**

<b>Topic Appropriateness Evaluation</b>				
<i>Item No.</i>	<i>Question</i>	<i>Yes</i>	<i>No</i>	<i>*Note: A “yes” answer is scored at 1, and a “no” answer is scored at 0.</i>
1	Is the topic of reasonable importance for ocean energy safety?			Guide: This question seeks to determine an objective view of the topic’s safety impact and importance to Industry, Government, or the public group of stakeholders. This evaluation question does include consideration for future challenges that have been identified and safety performance indicators from the recent past.
2	Is the topic reasonably free of overlap with other entities engaged in ocean energy research?			Guide: This question seeks an objective view if this safety-related topic is already being addressed by another entity or group of entities at the time of this evaluation. It may be the case that the topic may be more appropriate after other research within this topic is completed, therefore this question’s answer may change over time and be captured in the refresh efforts of the OESI.
3	Does the research topic have the ability to be monitored or measured?			Guide: This question is focused on determining the viability of solutions, deliverables, or results that could produce a measurable outcome on ocean energy-related safety. There may be topics that are valuable for ocean energy development but may be very difficult to measure or monitor. For example, efficiency gains alone may not have any measurable impact on safety outcomes.

**Figure 17: Topic Appropriateness Evaluation Set Questions**

Based on the Expert Panel answers to the question sets, the answers are converted into a score using the system detailed previously (“Yes” = 1, “No” = 0). The Expert Panel score is then aggregated and ranked using the objective ranking index shown in Figure 18.

### Objective Ranking Index: Scope Filter

<b>Very Ideal</b> for OESI is a fit/forum evaluation score of <b>3</b>	<b>Very On Target</b> for OESI is a topic app. evaluation score of <b>3</b>
<b>Ideal</b> for OESI is a fit/forum evaluation score of <b>2</b>	<b>On Target</b> for OESI is a topic app. evaluation score of <b>2</b>
<b>Slightly Ideal</b> for OESI is a fit/forum evaluation score of <b>1</b>	<b>Slightly On Target</b> for OESI is a topic app. evaluation score of <b>1</b>
<b>Not Ideal</b> for OESI is a fit/forum evaluation score of <b>0</b>	<b>Not On Target</b> for OESI is a topic app. evaluation score of <b>0</b>

**Figure 18: Objective Ranking Index to determine the position of an aggregated evaluation score for Scope Filter - Fit/Forum Evaluation (Left) and Topic Appropriateness Evaluation (Right)**

For the Value Filter, the Expert Panel evaluates the effort/resources evaluation set and the impact evaluation set. The questions for each evaluation set are shown in Figure 19 and 20.

Effort/Resources Evaluation				
Item No.	Question	Yes	No	*Note: A “yes” answer is scored at 1, and a “no” answer is scored at 0.
1	Would the topic require more time or funding than the OESI may reasonably have? (more than 1-3 years or \$500k per project)			Guide: This question seeks to determine if the topic would require projects to have a high probability of exceeding available OESI time or funding. In general, the time benchmark is a topic that would require projects that take 1-3 years to complete. In general, the funding benchmark is a topic that would require projects that require no more than \$500k to complete; however, cost-sharing may enable projects that require more than \$500k.
2	Would the topic require a significant amount of prerequisite research or data to achieve success?			Guide: This question seeks to determine if projects within this topic require initial research or data that would have to be acquired prior to being able to initiate a successful project. A topic may need to be sequenced behind a related topic so that this concern is addressed; thus, a refresh by OESI may change the answer to this question.
3	Would the topic involve significant complexity risk to conduct the research?			Guide: This question seeks to determine if the topic involves a high degree of technical risk in order to conduct the research and acquire the desired results within the budget. Very complex or technically difficult topics and associated projects may not be well suited for OESI given time and resource constraints.

**Figure 19: Effort/Resources Evaluation Set Questions**

Impact Evaluation				
Item No.	Question	Yes	No	*Note: A “yes” answer is scored at 1, and a “no” answer is scored at 0.
1	Would the topic’s research have measurable safety performance			Guide: This question seeks to determine if the topic would have positive safety performance impacts that would be measurable. This question is trying to ascertain if the topic is likely to produce results that have a measurable impact.

	improvements at the application level?			
2	Would the topic's deliverables have a high degree of useability if the project(s) were successful?			Guide: This question seeks to determine if the topic's deliverables could apply to a large set of applications. A topic which only has limited application in certain ocean energy situations may not be a good project for OESI.
3	Would the topic's deliverables have a high probability of use?			Guide: This question seeks to determine if the topic's deliverables are very likely to be used by Industry or Government within or across energy sectors. This is a question targeted at the usefulness of the topic's outcomes.

**Figure 20: Impact Evaluation Set Questions**

Based on the Expert Panel answers to the question sets, the answers are converted into a score using the system detailed previously. The Expert Panel score is then aggregated and ranked using the objective ranking index shown in Figure 21.

### Objective Ranking Index: Value Filter

<b>Low Effort</b> for OESI is an eff./res. evaluation score of <b>3</b>	<b>High Impact</b> for OESI is an impact evaluation score of <b>3</b>
<b>Low-Medium Effort</b> for OESI is an eff./res. evaluation score of <b>2</b>	<b>Medium-High Impact</b> for OESI is an impact evaluation score of <b>2</b>
<b>Medium-High Effort</b> for OESI is an eff./res. evaluation score of <b>1</b>	<b>Low-Medium Impact</b> for OESI is an impact evaluation score of <b>1</b>
<b>High Effort</b> for OESI is an eff./res. evaluation score of <b>0</b>	<b>Low Impact</b> for OESI is an impact evaluation score of <b>0</b>



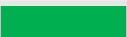


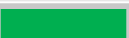


**Figure 21: Objective Ranking Index to determine the position of an aggregated evaluation score for Value Filter - Effort/Resources Evaluation (Left) and Impact Evaluation (Right)**

Based on the objective rankings, each Target, and Strategic Pathway receives a color (green, yellow, or red) for each filter based on the matrices below in figure 22. As a reminder, each Target and Strategic Pathway color is based on the results of the majority opinion from the Expert Panel.

Scope Filter					Value Filter						
Fit/Forum					Effort/Resources						
Topic Appropriateness		Very Ideal	Ideal	Slightly Ideal	Not Ideal	Impact		Low	Low-Medium	Medium-High	High
	Very On Target						High				
	On Target						Medium-High				
	Slightly On Target						Low-Medium				
	Not On Target						Low				

**Figure 22: Evaluation Matrices for Scope Filter (Left) and Value Filter (Right)**

Using the colors from each filter, each Strategic Pathway undergoes a Roadmap inclusion decision where it is given a recommendation on whether or not it should be included in the Roadmap process. The logic model behind the inclusion decision is shown in Figure 23.

Roadmap Inclusion Decision Process			
Scope Filter	Value Filter	Included in Roadmap	Not Included in Roadmap
		✓	
		✓	
			✓
			✓
Any	Any		✓

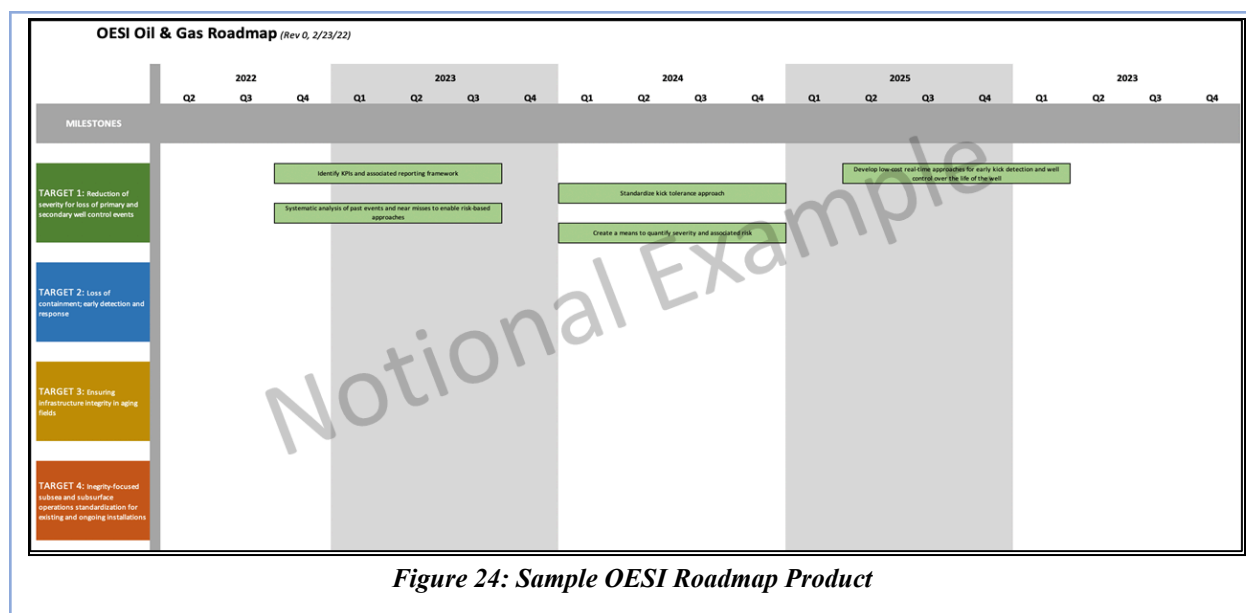
*Figure 23: Roadmap Inclusion Decision Process*

The systematic approach to filtering provides documented and transparent outcomes that allow for ease of review and a mechanism to re-evaluate Targets and Strategic Pathways during future Roadmap refreshes.

Following the filtering process, the OESI Ops Team walks the Expert Panel through an exercise where each Target and Strategic Pathway selected for inclusion in the Roadmap is prioritized. The prioritization of Strategic Pathways is done both within Targets and across all organized Strategic Pathways.

Once the Targets and Strategic Pathways have been prioritized, the Expert Panel uses their best efforts to 1) define an estimated time frame necessary to execute each Strategic Pathway and 2) identify each Strategic Pathway and their relationship as either a prerequisite, independent, or dependent, and 3) sequence the Strategic Pathways into a time-phased Roadmap. The Roadmap is structured to align with the Annual Plan cycles of the OESI. An example Roadmap is shown in Figure 24.





## 5. IAB and JSC Feedback:

### Objective:

Validate the results from the expert analysis with key Government and Industry stakeholders

### Primary Participant:

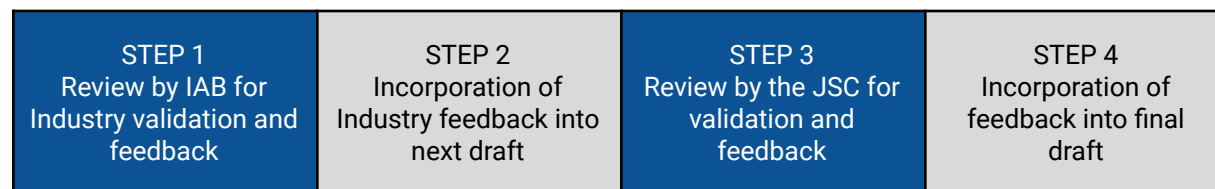
IAB, JSC

### Contributing Participants:

OESI Operations Team, Expert Panel (as needed)

### Process:

Figure 25 details the step-by-step process used by the OESI in conducting the IAB and JSC Stakeholder Feedback. Details about each step follow.



**Figure 25: IAB and JSC Stakeholder Feedback Stage Step-by-Step Process**

Upon completion of the Roadmap briefing document, the OESI Ops Team prepares the draft Roadmap for review. Accompanying the draft Roadmap is a document containing the Component Evaluation Registry, additional necessary context, and a process overview to aid in the understanding of how their input is being used at different steps of the process with language and clarity focused on ease of understanding in a concise and effective manner. Finally, the briefing document will include instructional information on how to provide feedback at the IAB meeting.

The IAB holds a facilitated meeting to discuss feedback.



Once the feedback has been received, the OESI Ops Team adjudicates the comments with the assistance of the Expert Panel as needed. As part of the adjudication process, an item-by-item analysis is conducted to ensure each suggested revision meets the vision, mission, and capabilities of the OESI. A resolution of stakeholder comments is documented for future evaluation in roadmap updates.

The document is then sent for review to the JSC. This review is conducted in a similar manner to the IAB Stakeholder review. Upon receiving feedback from the JSC, the OESI Ops Team adjudicates the comments with assistance from the Expert Panel as needed into a final Roadmap.

## 6. Roadmap Finalization:

### Objective:

JSC approval of the Roadmap and publish for OESI members

### Primary Participant:

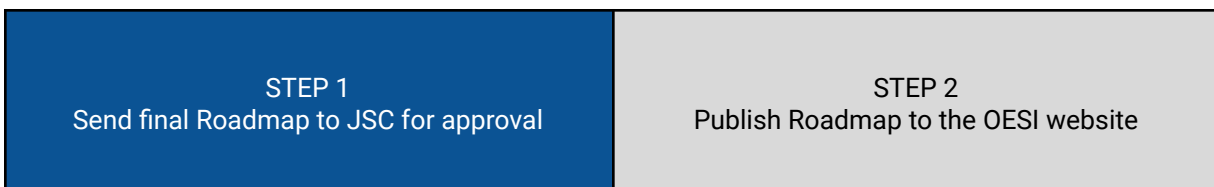
JSC

### Contributing Participants:

OESI Operations Team, OESI Consortium Members

### Process:

Figure 26 details the step-by-step process used by the OESI in Roadmap Finalization. Details about each step follow.



*Figure 26: Roadmap Finalization Stage Step-by-Step Process*

The OESI Ops Team provides a final Roadmap to the JSC for approval. Upon approval, the Roadmap is published on the OESI website.

## Annual Plan Process

### Introduction:

This section describes the Annual Plan Process used by the OESI. The OESI Consortium owns the Annual Plan. It describes the research areas, schedule, and budget supporting project calls for the year. The components of the Annual Plan include 1) research project topic definitions; 2) selected research Roadmap components; 3) estimated schedule; and 4) budget allocations. The Annual Plan is the key input towards the execution of Project Calls, as shown in Figure 27. An Annual Plan is produced annually based on each refresh of the current Roadmap. The Annual Plan will be one document with three sections: Oil & Gas, Wind Energy, and Marine Energy.

Roadmap	Annual Plan	Request for Proposals	Execution and Closure
<b>Purpose:</b> Provide the OESI with a comprehensive research plan to achieve vision	<b>Purpose:</b> Provide the OESI Membership and the JSC with the year's research activities	<b>Purpose:</b> Provide the OESI Membership with specific requirements to address research needs	<b>Purpose:</b> Provide the OESI Membership and the JSC with identified project deliverables and Technology Transfer Plan
<b>Description:</b> Document with a 5-year timeline containing the following elements: <ul style="list-style-type: none"> <li>End-state vision for OESI activities</li> <li>Clearly stated Targets and Pathways necessary to achieve the vision</li> <li>Time-phased Pathways to methodically reach Targets</li> </ul>	<b>Description:</b> Document with a 1-year timeline containing the following elements: <ul style="list-style-type: none"> <li>Goals and objectives for the year</li> <li>Planned budget allocation for each application area</li> <li>Background and issue statement for each pathway</li> <li>A "case for action" for upcoming research needs</li> </ul>	<b>Description:</b> Document containing the following elements: <ul style="list-style-type: none"> <li>Pathways and requirements</li> <li>Research objectives to address "case for action"</li> <li>Desired research outcomes</li> <li>Proposal requirements inclusive of scope, methodology, and deliverables.</li> <li>Proposal evaluation criteria</li> </ul>	<b>Description:</b> <ul style="list-style-type: none"> <li>Project specific milestones and deliverables aligned with proposed research requirements to achieve Targets in the Roadmap</li> <li>A comprehensive Technology Transfer Plan integrating research methodologies and findings for reproducible results or broader application within an ecosystem</li> </ul>

*Figure 27: The OESI Annual Plan Process as part of the broader OESI operations*

## Participants and Responsibilities:

Figure 28 details the standard stakeholders and responsibilities necessary to successfully execute the OESI Annual Plan Process.

*\*Stakeholders may be added/removed as necessary for the specific needs required by each Annual Plan.*

Participant	Responsibilities
JSC Committee Chairs	Approve the Annual Plan
OESI Operations Team	Facilitate the creation of the draft Annual Plan

*Figure 28: Annual Plan Process Stakeholders and Responsibilities.*

## Process:

The OESI Annual Plan process is broken down into two stages: 1) Development; and 2) Finalization. The two stages are shown in Figure 29 and are defined in detail later in this section.

1	<b>Annual Plan Development</b> Develop draft Annual Plan
2	<b>Annual Plan Finalization</b> Review process resulting in approval of the Annual Plan

*Figure 29: OESI Annual Plan Process.*

### 1. Annual Plan Development:

<u>Objective:</u> Create a draft Annual Plan	
<u>Primary Participant:</u> OESI Operations Team	<u>Contributing Participants:</u> JSC Chairs
<u>Process:</u> Figure 30 details the step-by-step process used to develop the draft Annual Plan. Details about each step follow.	

STEP 1 Select Roadmap components and convert to Project Call topics	STEP 2 Roadmap components justification development	STEP 3 Develop Target estimated budget requests	STEP 4 Develop Annual Plan draft
--	--	--	-------------------------------------

*Figure 30: Annual Plan Development Process.*

*Figure 30: Annual Plan Development Process.*

To begin the process, the OESI Ops Team starts by identifying and selecting the relevant Roadmap components. Since each application Roadmap is structured to align with Annual Plan cycles, the selection effort is anticipated to be minimal. However, if there are any issues or schedule conflicts that arise, it will be up to the OESI Ops Team's discretion to provide a recommendation on a resolution in the development of the Annual Plan. Following the selection of specific Roadmap components, the OESI Ops Team develops Project Call topic areas aligned to each component based on the information gathered during the Roadmap process.

Next, the OESI Ops Team develops a justification for each Roadmap component describing the reason for the selection of the activity based on the scope and value filters from the Roadmap process. The justification language should provide enough information and context for the JSC to validate the funding requests for the year.

After completing the justifications, the OESI Ops Team uses its best efforts to estimate the anticipated budget needed per each Target in the plan. The Annual Plan research justification should be supported by stakeholder discussions which have been documented throughout the Roadmap process and the allocated funding available.

Based on this information, the OESI Ops Team completes the template and develops a draft Annual Plan for the JSC Chairs to review.

## 2. Annual Plan Finalization:

### Objective:

Implement an iterative review process resulting in approval of the Annual Plan

### Primary Participant:

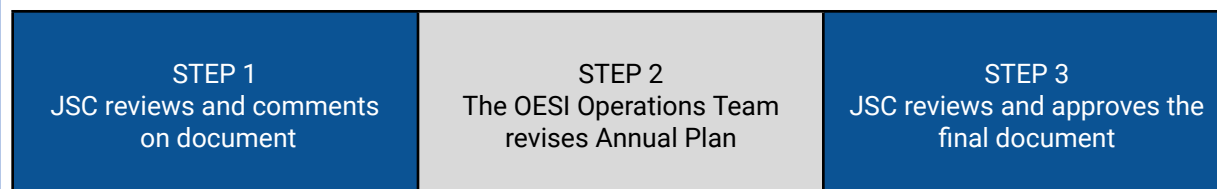
JSC

### Contributing Participants:

JSC Chairs, OESI Operations Team

### Process:

Figure 31 details the step-by-step process used for approval of the draft Annual Plan. Details about each step follow.



*Figure 31: Approval Stage Step-by-Step Process*

Upon completion of the draft, the OESI Ops Team provides the JSC Chairs with the document for review. In the review, the JSC Chairs are expected to provide the OESI Ops Team with feedback to ensure that the planned activities and budgets for the year are acceptable.

Based on the feedback received, the OESI Ops Team revises the document as required. The adjudicated document is now submitted to the JSC for approval. The approved Annual Plan is published to the JSC Members. A revised Annual Plan which removes the financials is published to the OESI Consortium Members through the OESI website and communications platforms.

## Project Call Process

### Introduction:

This section describes the Project Call process used by the OESI. The process is designed to deliver: 1) a repeatable, transparent, unbiased approach for the selection and award of competitive projects to ensure the OESI maintains its position as an effective research facilitator; 2) a streamlined application process; and 3) project deliverables that are driven by critical stakeholder needs identified in the roadmap to maximize the impact of the OESI advancements.

The OESI Project Call process is derived from the Annual Plan with the target of producing impactful outcomes for ocean energy safety for that plan year, as shown in Figure 32.

Roadmap	Annual Plan	Request for Proposals	Execution and Closure
<b>Purpose:</b> Provide the OESI with a comprehensive research plan to achieve vision	<b>Purpose:</b> Provide the OESI Membership and the JSC with the year's research activities	<b>Purpose:</b> Provide the OESI Membership with specific requirements to address research needs	<b>Purpose:</b> Provide the OESI Membership and the JSC with identified project deliverables and Technology Transfer Plan
<b>Description:</b> Document with a 5-year timeline containing the following elements: <ul style="list-style-type: none"> <li>End-state vision for OESI activities</li> <li>Clearly stated Targets and Pathways necessary to achieve the vision</li> <li>Time-phased Pathways to methodically reach Targets</li> </ul>	<b>Description:</b> Document with a 1-year timeline containing the following elements: <ul style="list-style-type: none"> <li>Goals and objectives for the year</li> <li>Planned budget allocation for each application area</li> <li>Background and issue statement for each pathway</li> <li>A "case for action" for upcoming research needs</li> </ul>	<b>Description:</b> Document containing the following elements: <ul style="list-style-type: none"> <li>Pathways and requirements</li> <li>Research objectives to address "case for action"</li> <li>Desired research outcomes</li> <li>Proposal requirements inclusive of scope, methodology, and deliverables.</li> <li>Proposal evaluation criteria</li> </ul>	<b>Description:</b> <ul style="list-style-type: none"> <li>Project specific milestones and deliverables aligned with proposed research requirements to achieve Targets in the Roadmap</li> <li>A comprehensive Technology Transfer Plan integrating research methodologies and findings for reproducible results or broader application within an ecosystem</li> </ul>

*Figure 32: The OESI Project Call Process as part of the broader OESI operations.*

## Participant Responsibilities:

Figure 33, details the standard stakeholders and responsibilities necessary to successfully execute the OESI Project Call process.

*\*Stakeholders may be added/removed as necessary for the specific needs required by each individual project call.*

Participant	Responsibilities
Proposal Lead	Produce a submission that addresses the Request for Proposal (RFP) requirements within the allocated budget and period of performance
JSC	<ul style="list-style-type: none"> <li>● Final decision-making authority for both RFP approval and project portfolio</li> <li>● Provide potential relevant Subject Matter Experts (SMEs) for participation in the Project Review Committee</li> </ul>
Project Review Committee**	<ul style="list-style-type: none"> <li>● Provide a non-advocate review of applicant submissions based on RFP evaluation criteria</li> <li>● Consists of Industry, Government, and Academia</li> </ul>
OESI Operations Team**	<ul style="list-style-type: none"> <li>● Manage and execute the project call process</li> <li>● Facilitate review, compile results, and provide ranked results to JSC for selection</li> <li>● Establish a project review committee</li> </ul>
OESI Project Manager	Prepares materials for award negotiations and works with the Proposal Lead and TEES Contracts to finalize the Statement of Work and Subaward contract.
TEES Contracts	Award negotiations and execution of subaward agreements
TEES Ethics and Compliance	Oversee establishing of firewalls and avoidance of organizational conflicts of interest (OCI)

**Figure 33: Project Call Process Stakeholders and Responsibilities.**

*\*\* Firewalled and not eligible to submit proposals.*

## Process:

The OESI Project Call process is broken down into *four* stages: 1) Request for Proposal (RFP) Development; 2) Proposal Development; 3) Proposal Review and Portfolio Development; and 4) Award Negotiation. The standard process is shown in Figure 34. The *four* stages are defined in detail later in this section.

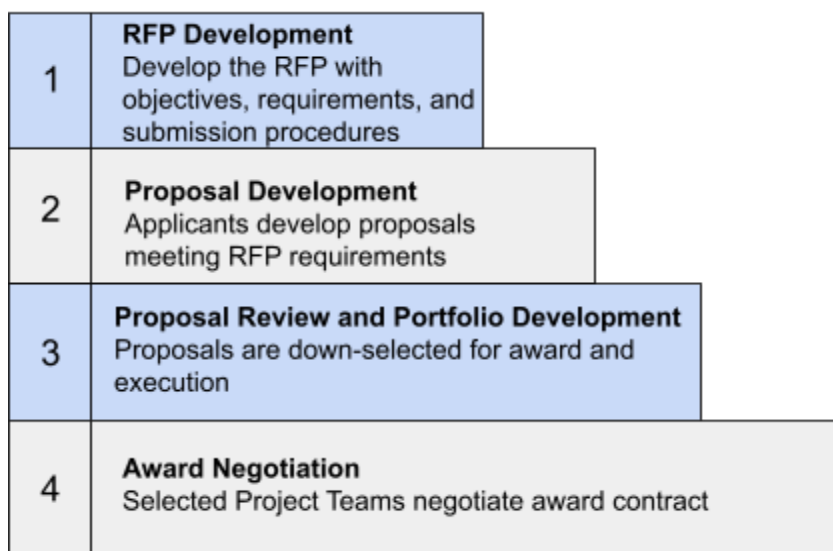


Figure 34: OESI Project Call Process

## 1. RFP Development:

### Objective:

Develop the RFP with clear and concise objectives, requirements, and submission procedures

### Primary Participant:

OESI Operations Team

### Contributing Participants:

JSC

### Process:

Figure 35 details the step-by-step process used by the OESI to develop RFPs. Details about each step follow.



Figure 35: RFP Development Stage Step-by-Step Process

The RFP development stage begins by creating a firewall between members of the OESI Ops Team and the Proposal Leads. This firewall is intended to remove any conflicts of interest by ensuring the creators of the RFP, the OESI Ops Team, are not submitting proposals against it.



After the firewall has been established, the OESI Ops Team selects Strategic Pathways and associated Targets from the appropriate Annual Plan. A working session with the JSC chairs is arranged to translate the Roadmap components and add any additional elements required by the RFP template. These Strategic Pathways serve as the topic areas that form the foundation of the RFP. These topic areas are inputted into the OESI specific RFP template containing a standard set of proposal requirements and evaluation criteria as detailed later in this section.

After the RFP draft has been completed based on the approved Annual Plan, the OESI provides the final draft of the RFP to the JSC for review. Any comments received by the JSC are incorporated into the final RFP.

Upon approval by the JSC, the OESI Ops Team publishes the RFP to the OESI website. It is important to note that the OESI Consortium Membership should already be aware of the upcoming opportunity release based on the published Annual Plan.

## 2. Proposal Development:

### Objective:

Proposal Leads develop teams and concepts to address the requirements and objectives in the RFP

### Primary Participant:

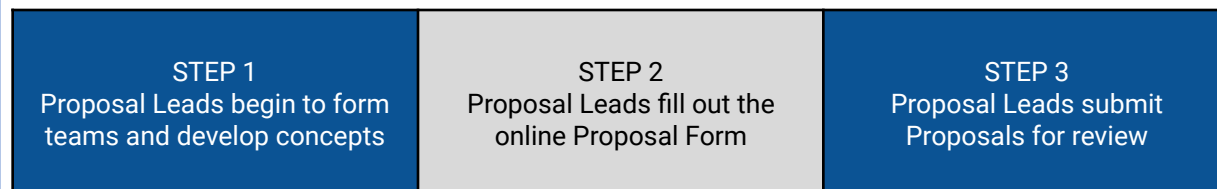
Proposal Leads

### Contributing Participants:

OESI Operations Team

### Process:

Figure 36 details the step-by-step process used by the OESI in proposal development. Details about each step follow.



*Figure 36: Proposal Development Stage Step-by-Step Process*

The OESI Ops Team prepares the web portal for Proposal submissions and conducts an RFP workshop to clarify RFP expectations. After the release of the RFP, Proposal Leads begin forming teams and developing concepts to address the requirements. When forming teams, Proposal Leads are encouraged to have industry participation if appropriate. However, the specific teaming constructs are determined by the requirements in each RFP. To avoid conflict of interest, anyone who is within the firewall of the OESI Ops Team is not eligible to participate on a Proposal Team. The OESI Director and other OESI staff can only participate on project teams if they are not behind the firewall for a given RFP. If they are outside of the firewall, they are eligible to participate on project teams.

For submission, Proposal Leads fill out and complete the proposal web-based form deployed via the OESI website. This form collects a standard set of universal project application fields

from each applicant to ensure all project proposals are gathered together in a consistent and efficient manner. The universal project application fields, at minimum, include:

1. Descriptive Project Title
2. Project Team Identification (names and organizations)
3. Key Project Team Qualifications (2-page qualification summaries for each key project team member)
4. Project Scope Statement (500 words or less descriptive statement)
5. Project Foundation Statement (250 words or less statement on what this proposed research is building on with any applicable references cited)
6. Project Deliverables Statement (250 words or less statement clearly outlining what the project deliverables will be and their desired outcomes)
7. Project Roadmap Applicable Area (identify which part of the OESI Roadmap this project would fit within)
8. Consortium Member Status (identify if the prime organization submitting the proposal is an OESI Consortium Member or they acknowledge that the project award is contingent on them becoming a consortium member)
9. Project Application Statement (250 words or less statement on how the project team will ensure the deliverables will have clear application to impact safety)

Upon completion, Proposal Leads submit their full proposals by following the submission instructions in the RFP.

### 3. Proposal Review and Portfolio Development:

#### Objective:

Review and rank the proposals based on the greatest potential to deliver meaningful impact towards the objectives and requirements in the RFP

#### Primary Participant:

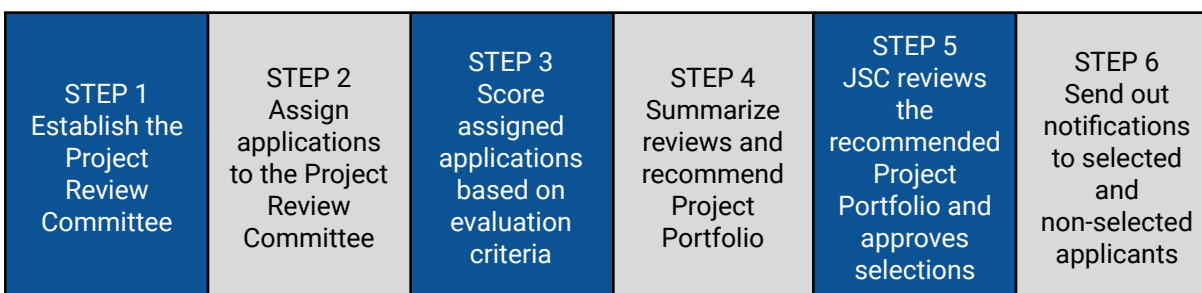
Project Review Committee, JSC

#### Contributing Participants:

OESI Operations Team, TEES Ethics and Compliance

#### Process:

Figure 37 details the step-by-step process used by the OESI in proposal review. Details about each step follow.



**Figure 37: Proposal Review Stage Step-by-Step Process**

The proposal review stage begins by creating a firewall between members of the Project Review Committee and the Applicants. This firewall, proctored by TEES Ethics and Compliance, is intended to adjudicate conflicts of interest to maintain a firewall between Proposal Teams and the Project Review Committee. As part of the conflict of interest protocols, the Project Review Committee members shall not review any proposals within a Target area for which they have submitted a proposal. Additionally, Project Review Committee members will not review proposals when the submitted proposal team consists of their organization or another organization they may be affiliated with.

Once full proposals have been submitted, the OESI Ops Team performs an administrative review to ensure that they are compliant with all structural requirements. Ineligible and/or incomplete proposals are subject to elimination from further review. Moving forward this review will highlight any potential compliant elements of the proposal and develop a Pathway-specific set of questions for the Project Review Committee. The OESI Ops Team then assigns Reviewers to all Pathways and provides them with a reviewer guide containing scoring descriptions and submission instructions, Pathway-specific Reviewer forms and a link to the Proposals they are to review. Reviewers will have approximately 21 days to conduct their review; however, this time frame is subject to change based on the timelines declared in the RFP and the number of applications received.

Next, proposals move to the Project Review Committee for review. The Project Review Committee is comprised of non-advocate volunteers from Industry, Government, and Academia with expertise in project call target areas. The OESI Ops Team assigns Reviewers to all Target areas to ensure full coverage.

As a standard, each Project Review Committee member performs an evaluation of the scope, technical merit, team, and cross-functional applicability for each submission, except as may be stated differently in each individual RFP. Each category is weighted in the review, reflecting the operation team's ability to negotiate during the contracting phase. For each category, there are sub-elements that will be scored on a scale of 1 to 5.

The scope evaluation is intended to determine if the scope fits within the OESI realm, delivers useful outcomes, and captures any initial important feedback opportunities. The scope evaluation will include the following considerations:

- 1 to 5 scale of the Reviewer's assessment on scope relevancy to one of the RFP topic areas, with guidance on what defines a 1, 3, and 5.
- 1 to 5 scale of the Reviewer's assessment if the completed scope can achieve the desired outcomes, with guidance on what justifies a 1, 3, and 5.
- 1 to 5 scale of the Reviewer's assessment if the deliverables would be useful in achieving the desired outcomes, with guidance on what justifies a 1, 3, and 5.
- Allow Reviewers to provide input on scope adjustments that would make the desired outcomes more achievable.
- Capture the Reviewer characteristics:

- Academia, Government (BSEE, DOE, Other Federal Agency, State and Local Government), Industry (OCS leaseholder or operator, OCS Service Company, Other Industry)

The technical merit evaluation is intended to help illuminate the technical merit of the proposal with regard to the OESI mission. The technical merit evaluation will include the following considerations:

- 1 to 5 scale of Reviewer's assessment if the proposed project is scientifically novel, building upon state-of-the-art knowledge.
- 1 to 5 scale of Reviewer's assessment on the project's technical merit in terms of scientific verifiability and repeatability.
- 1 to 5 scale of Reviewer's assessment on the project's broad applicability with equal technical merits.

The team evaluation is intended to help identify if the proposed team is qualified and able to deliver the scope and project deliverables. The team evaluation will include the following considerations:

- 1 to 5 scale of the Reviewer's assessment on if the team has the expertise required to successfully complete the scope.
- 1 to 5 scale of the Reviewer's assessment on the team's composition (researchers, end users, external parties) value to the project scope.
- 1 to 5 scale of the Reviewer's assessment on the team's ability to get the required data or input to successfully complete the scope.
- 1 to 5 scale of the Reviewer's assessment on the team's ability to be internally accountable in delivering the desired outcomes.
- Capture the Reviewer's assessment on what type of team additions would positively impact the overall execution of the project.

The cross-functional applicability evaluation is intended to help identify increased value due to the application of research deliverables beyond the application area as per the given RFP. Additionally, the cross-functional expertise within the proposed team can facilitate the development of robust solutions. The cross-functional applicability evaluation will include the following considerations:

- 1 to 5 scale of Reviewer's assessment on if the team represents adequate diversity of the cross-functional and application areas. For reference, please see the OESI structure graphic in Figure 2.
- 1 to 5 scale of Reviewer's assessment on the proposed scope applicability to other application areas outside of the given RFP. For reference, please see the application areas of the OESI structure graphic in Figure 2.

The Project Review Committee provides feedback to rationalize the scoring and provide potential requirements and considerations if the reviewed proposal is awarded. The OESI Ops Team will develop the recommended Project Portfolio for JSC approval by compiling the selection recommendations based on the Project Review Committee's rankings, funding limitations, and potential redundancy. Proposals with "Remove" with confirmed RFP compliance issues will be removed. The OESI Operation Team will develop a recommended project portfolio considering 1) RFP Conformance 2) Project Review Committee Members' review ranking, 3) Proposal Costs (Value), 4) Project Review Committee Members' feedback to improve proposal scope or outcomes, and 5) Overall impact of the project portfolio. The OESI Ops Team will recommend high-quality projects for the JSC as part of the portfolio. Overall project proposal score statistics and detailed project proposal review dashboards for selected projects will be issued to the JSC with proper justifications. The JSC still retains the right not to select (and fund) any specific project(s) within the recommended project portfolio. Once final selections have been made, the OESI Ops Team develops a press release of the awards to publicize the results to the OESI membership and broader ocean energy safety community and sends out notifications to compliant proposals with feedback from Reviewers as well as non-compliant proposals along with feedback on the non-compliance. As part of the notification, the Proposal Leads receive the proposal review dashboard containing feedback on their submission.

#### 4. Award Negotiation:

<u>Objective:</u> Efficiently execute contracts and initiate research projects				
<u>Primary Participant:</u> OESI Project Manager, TEES Contracts		<u>Contributing Participants:</u> Proposal Lead		
<u>Process:</u> Figure 38 details the step-by-step process used by the OESI in award negotiation. Details about each step follow.				
STEP 1 Assign selected Proposal an OESI Project Manager	STEP 2 Provide Project Teams with negotiation timeline and documents	STEP 3 Work with Application Team to define Project outcomes	STEP 4 Finalize the complete SOW and budget for the Project	STEP 5 Finalize the subaward contract with the Applicant

*Figure 38: Award Negotiation Stage Step-by-Step Process*

To begin, the OESI Project Manager will coordinate with the Proposal Leads and TEES Contracts to initiate award negotiations. As part of this process, the OESI Project Manager: 1) details the anticipated negotiation timeline; 2) provides a checklist of items that are needed

during negotiation; 3) gives the Proposal Leads documentation, including the sub-award contract; and 4) the communications cadence between the Project Team and the OESI. Additionally, there will be documented confirmation that the Project Team has adequately addressed all requirements and considerations from the Proposal Review Committee.

The first step is the execution of the subaward contract, the OESI Project Manager works with the Proposal Leads to detail the specific project outcomes, including deliverables and milestones. This first step in the execution of the contract is important so that both sides are in agreement on what is to be delivered during the duration of the contract.

Once the project outcomes have been clearly defined, the Proposal Lead and the OESI Project Manager work to finalize the Statement of Work and associated budget to achieve the desired project outcomes.

Upon completion of the Statement of Work (SOW) and budget, the Proposal Lead and the OESI Project Manager work with TEES Contracts to finalize the sub-award contract. Once the sub-award contract is fully executed, the OESI Project Manager will set up an account for the project to begin work.

## Project Execution Process

### Introduction:

This section describes the Project Execution Process used by the OESI. The process is based on project management best practices established by the Project Management Institute (PMI)® <https://www.pmi.org>. The process shown in Figure 39 is designed to deliver: 1) project outcomes within scope, cost, and schedule; 2) provide for clear communication of project status to the JSC and other stakeholders; and 3) facilitate project outcomes that can rapidly fill critical safety gaps for the industry.

Roadmap	Annual Plan	Request for Proposals	Execution and Closure
<b>Purpose:</b> Provide the OESI with a comprehensive research plan to achieve vision	<b>Purpose:</b> Provide the OESI Membership and the JSC with the year's research activities	<b>Purpose:</b> Provide the OESI Membership with specific requirements to address research needs	<b>Purpose:</b> Provide the OESI Membership and the JSC with identified project deliverables and Technology Transfer Plan
<b>Description:</b> Document with a 5-year timeline containing the following elements: <ul style="list-style-type: none"> <li>End-state vision for OESI activities</li> <li>Clearly stated Targets and Pathways necessary to achieve the vision</li> <li>Time-phased Pathways to methodically reach Targets</li> </ul>	<b>Description:</b> Document with a 1-year timeline containing the following elements: <ul style="list-style-type: none"> <li>Goals and objectives for the year</li> <li>Planned budget allocation for each application area</li> <li>Background and issue statement for each pathway</li> <li>A "case for action" for upcoming research needs</li> </ul>	<b>Description:</b> Document containing the following elements: <ul style="list-style-type: none"> <li>Pathways and requirements</li> <li>Research objectives to address "case for action"</li> <li>Desired research outcomes</li> <li>Proposal requirements inclusive of scope, methodology, and deliverables.</li> <li>Proposal evaluation criteria</li> </ul>	<b>Description:</b> <ul style="list-style-type: none"> <li>Project specific milestones and deliverables aligned with proposed research requirements to achieve Targets in the Roadmap</li> <li>A comprehensive Technology Transfer Plan integrating research methodologies and findings for reproducible results or broader application within an ecosystem</li> </ul>

*Figure 39: The OESI Project Execution Process as part of the broader OESI operations*

### Participants and Responsibilities:

Figure 40 details the standard stakeholders and responsibilities necessary to execute the OESI Project Execution Process successfully.



*\*Stakeholders may be added/removed as necessary for the specific needs required by each individual project.*

<b>Participant</b>	<b>Responsibilities</b>
JSC	Review and approve deliverables. Identify and Assign Government SMEs to project teams
OESI Project Manager	Responsible for the implementation of the Project Execution Process
OESI Stakeholders	Subject Matter Experts (SME) that are nominated on a project specific basis by either the JSC, IAB or Operations Team
Project Team Lead	Accomplish all project deliverables within scope, schedule, and budget. Provide project status briefings and reports as required
Project Team Members	Conducting research as directed by the Project Team Lead
TEES Contracts	Responsible for development, negotiation and execution of sub-award project contracts

*Figure 40: Project Execution Process Stakeholders and Responsibilities*

### **Process:**

The OESI Project Execution Process is broken down into four stages: 1) Plan; 2) Perform; 3) Monitor and Control; and 4) Close. The standard process is shown in Figure 41. The four stages are defined in detail later in this section.

<b>1</b>	<b>Plan</b> Create and implement a comprehensive Project Plan
<b>2</b>	<b>Perform</b> Conduct research in accordance with the Project Plan
<b>3</b>	<b>Monitor and Control</b> Monitor Project progress utilizing established reporting procedures
<b>4</b>	<b>Close</b> Establish transition plan for deliverables. Document performance and deliverables

*Figure 41: The OESI Project Execution Process*



## 1. Plan:

### Objective:

Develop a comprehensive Project Plan which documents how the project will be managed, controlled, documented, and communicated

### Primary Participant:

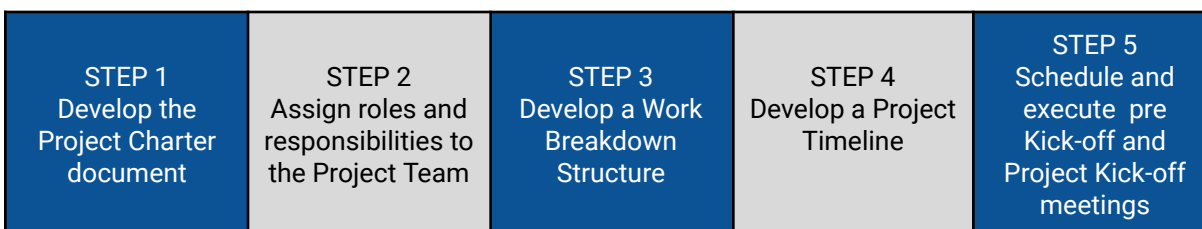
Project Team

### Contributing Participants:

OESI Project Manager, Project Team Lead, OESI Stakeholders

### Process:

Figure 42 details the step-by-step process used by the OESI and Project Teams to develop a comprehensive project plan which addresses scope, schedule, and budget. Details about each step follow.



*Figure 42: Project Planning Stage Step-by-Step Process*

The planning stage begins with the OESI Project Manager providing the Project Team with a Research Progress Report and Technology Transfer Template(s).

The Project Team develops a work breakdown structure (WBS) assigning responsibility for each task, creates a Stakeholder engagement plan, and provides a detailed timeline.

As a final step, the OESI Project Manager will provide a meeting agenda template and schedule a Pre Kick-off meeting with the Project Team Lead prior to the formal Kick-off meeting intended to agree on the stakeholder engagement strategy and the technology transfer plan with input from OESI stakeholders. This Kick-off meeting will be attended by Project Team Members as well as the OESI Stakeholders.

## 2. Perform:

### Objective:

Teams execute projects resulting in the successful accomplishment of goals and objectives

### Primary Participant:

Project Team

### Contributing Participants:

OESI Project Manager, OESI Stakeholders

### Process:

Figure 43 details the step-by-step process used by Project Teams to execute projects. Details about each step follow.



*Figure 43: Proposal Execution Stage Process*

Work on the project begins at the conclusion of the Kick-off meeting. The OESI Project Manager is responsible for hosting engagement meetings and facilitating arrangements at the appropriate milestones per the project-specific Stakeholder Engagement Plan. Research findings will be documented as the project proceeds. The OESI Project Manager will document the Project's performance with regards to scope, schedule, and budget. The Project Team completes the Project and provides the Project deliverables.

### 3. Monitor and Control:

Objective:

Implement a repeatable process resulting in consistent reporting of project status to the OESI Project Manager and consolidate project information to inform the JSC of progress

Primary Participant:

OESI Project Manager

Contributing Participants:

Project Team, JSC

Process:

Figure 44 details the step-by-step process used by the OESI Project Manager to Monitor and Control the execution of projects. Details about each step follow.



**Figure 44: Monitoring and Control Stage Step-by-Step Process**

The OESI Project Manager will provide a template for quarterly and final deliverables. Each Project Team will be required to include a summary of work (SOW) accomplished, documented Stakeholder Engagement with impact statements, risks/concerns, budget status, and Technology Transfer reports.

The OESI Project Manager will provide the JSC with quarterly updates on active projects and establish a project archive repository.

### 4. Close:

Objective:

Efficiently close out projects

Primary Participant:

OESI Project Manager

Contributing Participants:

Project Team, Project Team Lead, TEES  
Contracts

Process:

Figure 45 details the step-by-step process used by Project Teams to efficiently close out projects. Details about each step follow.



*Figure 45: Closure Stage Step-by-Step Process*

Each Project Team will be required to provide a final report using an OESI provided template(s) for final deliverables. They will also be responsible for a close-out briefing. Deliverables are made available for Industry and Government for appropriate action. The final report will be due within 30 days after the completion of the project.

OESI Project Manager will provide contract close-out documents as required to TEES Contracts.

The OESI Project Manager will place the project files in the project archive repository.

## Membership Process

### Introduction:

This section describes the Membership Process used by the OESI. The process is designed to enable the seamless integration of new organizations with relevant interests in ocean energy safety into the OESI Consortium. The process is structured in a way that allows for 1) a streamlined, step-by-step procedure for efficiently admitting new organizations into the consortium; 2) a simplistic vetting process to ensure organizational alignment and eligibility; and 3) an onboarding introduction to the OESI to enable new organizations to become engaged in the consortium rapidly.

### Participants and Responsibilities:

Figure 46, details the standard stakeholders and responsibilities necessary to execute the OESI Membership Process successfully.

*\*Stakeholders may be added/removed as necessary for the specific needs required by each individual organization.*

Participant	Responsibilities
Member Organization	Engage with the OESI on various topics of interest
OESI Ops Team	Receive membership applications, review requesting organization's eligibility, and approve membership if appropriate
OESI Director	Approve or decline the membership of the Requesting Organization in consultation with TEES Ethics and Compliance Office and the JSC
Requesting Organization	Provide the OESI with all necessary information for membership approval and negotiate consortium agreement
TEES Ethics and Compliance Office	Vet the new organizations being admitted
TEES Contracts	Execute the Membership Agreement with approved Requesting Organizations

**Figure 46: Membership Process Stakeholders and Responsibilities**

## Process:

The OESI Membership Process is broken into *three* stages: 1) Membership Request Form, 2) Membership Agreement, and 3) Member Onboarding. The standard process may be seen in Figure 47. The *three* stages are defined in detail later in this section.

1	<b>Membership Request Form</b> Organizational application for membership in the OESI Consortium
2	<b>Membership Agreement</b> Execution of Membership Agreement to receive OESI benefits
3	<b>Member Onboarding</b> Introduction and overview of the OESI Consortium including how to engage

*Figure 47: OESI Membership Process*

## 1. Membership Request Form:

### Objective:

Validate requesting organizations are aligned with the objectives of the OESI and ensure that they meet federal eligibility requirements

### Primary Participant:

OESI Operations Team

### Contributing Participants:

Requesting Organization, OESI Director, TEES Contracts

### Process:

Figure 48 details the step-by-step process used by the OESI in submitting and evaluating the membership request form. Details about each step follow.

<b>STEP 1</b> Complete Membership Request Form on the OESI website	<b>STEP 2</b> Request is reviewed by the OESI Director for alignment	<b>STEP 3</b> Request is vetted by TEES Ethics and Compliance	<b>STEP 4</b> Requesting Organization is notified of approval or decline
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*Figure 48: Membership Request Form Stage Step-by-Step Process*

The Membership Process begins with an interested organization visiting the OESI website membership page. On the membership page, the organization selects “Become a Member.” By selecting this button, the organization would then be taken to the Membership Request Form. The Membership Request Form is a simple online form which captures basic information of an organization to ensure its eligibility to participate in the OESI Consortium. The Membership Request Form will include information such as:

- Basic Organization Information (Legal Name, Type, Industry, Size, Address)
- Submitter Contact Information (Name, Position, Email, Phone)
- Detailed Organization Information (Interests in OESI, Current Engagement in Ocean Energy Safety)

Once submitted, the OESI Ops Team receives an email with the information filled out by the Requesting Organization. The OESI Ops Team conducts an initial review of the information, ensuring that 1) the organization is U.S. based or has a U.S. entity, 2) the interests of the organization align with the objectives of the OESI, 3) the organization is currently involved in the ocean energy industry and 4) the organization is capable of applied research. If the OESI Ops Team has any questions, they may reach out to the Requesting Organization to clarify any responses in the original submittal form. The OESI Ops Team discusses the Requesting Organization's responses with the OESI Director. Based on the review by the OESI Director, the Requesting Organization may either be approved or declined of the OESI Membership. If the Requesting Organization is accepted, the OESI Ops Team provides the Requesting Organization with an acceptance notification and a copy of the Membership Agreement for their review. TEES Contracts is notified of the new member. If the Requesting Organization is rejected, the OESI Ops Team provides the Requesting Organization with a rejection notification along with an explanation of the rejection.

## 2. Membership Agreement:

### Objective:

Execute agreement on the terms and conditions of participating in the OESI

### Primary Participant:

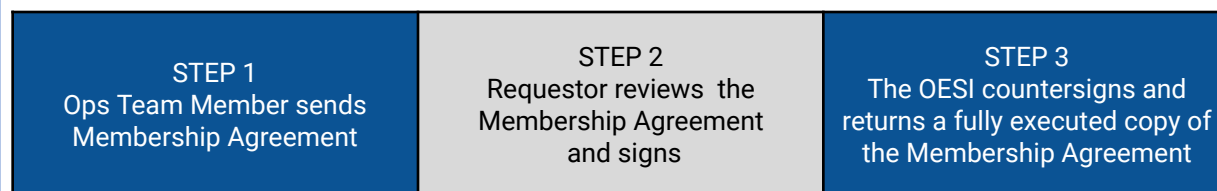
TEES Contracts

### Contributing Participants:

Requesting Organization, OESI Operations Team

### Process:

Figure 49 details the step-by-step process used by the OESI in the execution of the membership agreement. Details about each step follow.



**Figure 49: Membership Agreement Stage Step-by-Step Process**

Once the OESI Ops Team provides the Requesting Organization with the Membership Agreement as part of their acceptance notification, the Requesting Organization is asked to review the document to ensure they understand the terms and conditions of membership in the OESI Consortium. If needed, the OESI Ops Team is available to answer any questions the Requesting Organization may have. After completing their review and signing the document, the Requesting Organization provides the partially executed document to the OESI Ops Team

for full execution. The OESI Ops Team serves as the liaison to TEES Contracts for obtaining signatures and a fully executed Membership Agreement. Upon full execution, the OESI Ops Team provides the Requesting Organization with a copy of the fully executed Membership Agreement for their records. The Requesting Organization is now officially a Member Organization of the OESI Consortium.

### 3. Member Onboarding:

Objective:

Provide new Member Organizations with an OESI overview for a quicker integration into the consortium

Primary Participant:

OESI Ops Team

Contributing Participants:

Member Organization

Process:

Figure 50 details the step-by-step process used by the OESI in member onboarding. Details about each step follow.

<b>STEP 1</b> Ops Team Member provides a link to onboarding materials	<b>STEP 2</b> Ops Team Member send overview documents	<b>STEP 3</b> Member provides responses to initial data calls	<b>STEP 4</b> Member becomes engaged with the OESI Consortium
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*Figure 50: Member Onboarding Stage Step-by-Step Process*

Now that the new Member organization is part of the OESI Consortium, the OESI Ops Teams' first order of business is to provide a link to the onboarding materials. The onboarding materials include the following:

- The OESI vision, mission, and objectives
- The OESI staff to include roles, responsibilities, and contact information
- The current OESI research portfolio
- Engagement opportunities to include upcoming events and project calls
- Where to find additional documentation

In addition to the presentation materials, the OESI Ops Team will provide access to the OESI Membership Communications Portal (Ryver). The Member Organization is now ready to engage in active participation in the OESI Consortium.

## Refresh Process

### Introduction:

This section describes the Refresh Process used by the OESI as a part of the broader OESI operations. This refresh process is implemented to maintain the relevancy of the OESI research roadmaps. This refresh process is designed to deliver:

- Broad stakeholder input for validation or adaption for existing Targets and Strategic Pathways
- Identification of new potential Targets and Strategic Pathways
- Remove obsolete, redundant, or out of scope Targets and Strategic Pathways
- Documented justification of Roadmap's Targets and Pathways that include the
  - Background (i.e., state-of-the-art)
  - Issue Statement (i.e., the problem to be solved)
  - Gaps (i.e., the knowledge needed for closure of the issue)
- Organize stakeholder alignment to a set of updated Targets and Strategic Pathways for all OESI Consortium members to work collaboratively

The OESI Refresh Process drives project calls by providing up-to-date information on the most impactful development needs within the scope of OESI.

### Participants and Responsibilities:

Figure 51 details the standard stakeholders and responsibilities necessary to execute the OESI Refresh Process successfully.

*\*Stakeholders may be added/removed as necessary for the specific needs required by each Refresh Process*

Participant	Responsibilities
App Teams	Development of the pre-read materials to stimulate thoughts regarding the Gaps, Background, and Issue Statements for Candidate Target and Strategic Pathways
Cross Functional Team (CFT)	Working group of SMEs within the OESI focused on a cross-cutting technology area with impact across all OESI application areas
Government SMEs	Provide feedback on existing Roadmap and provide Candidate Pathways for consideration
Industry SMEs	Provide feedback for filtering and scoring Candidate Targets and Strategic Pathway updates for the Roadmaps.
JSC	Final decision-making authority for Refreshed Roadmaps
OESI Operations Team	Manage and execute the Refresh Process.

**Figure 51: OESI Key Participants and Responsibilities**



## Process:

The OESI Refresh Process is broken down into *four* stages: 1) Stakeholder Input Collection; 2) App Team Input Consolidation; 3) Stakeholder Workshop Planning and Execution; 4) Refreshed Roadmap Finalization.

1	<b>Stakeholder Input Collection</b> Collect and connect input on associated Gaps, Background, and Issue Statements
2	<b>App Team and Government SME Input Consolidation</b> Analyzing and consolidating input to develop the Candidate Roadmap
3	<b>Stakeholder Workshop Planning and Execution</b> Develop a Stakeholder Workshop plan to validate the Targets and Strategic Pathways
4	<b>Refreshed Roadmap Finalization</b> Obtain JSC approval of Refreshed Roadmap and publish to the OESI Consortium Members

*Figure 52: OESI Refresh Process*

## 1. Stakeholder Input Collection:

### Objectives:

- 1) Collect stakeholder input on potential Research Roadmap updates in a systematic manner
- 2) Connect Candidate Roadmap updates to associated Gaps, Background, and Issue Statements

### Primary Participant:

OESI Operations Team

### Contributing Participants:

App Teams, IAB, JSC, OESI Consortium Members

### Process:

Figure 53 details the step-by-step process used by the OESI in App Team Brainstorming. Details about each step follow.

<b>STEP 1</b> Development of general Roadmap Update consideration form	<b>STEP 2</b> Solicit focus areas from relevant App Team Leads and JSC SMEs	<b>STEP 3</b> Disseminate Input form to OESI Stakeholders	<b>STEP 4</b> Collect OESI Stakeholder input responses
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*Figure 53: Stakeholder Input Collection Stage Step-by-Step Process*

The OESI Ops Team develops a general Roadmap Update Consideration form that captures the necessary Topic, Gap, Issue Statement, and Desired Outcome. Then, the OESI Ops Team holds a call with the relevant App Team Leads. In this call, the OESI Ops Team solicits focus

areas from the group on where potential Roadmap Targets and Strategic Pathways may need specific information to support targeted Roadmap updates. During this facilitation, the OESI Ops Team ensures that all viewpoints are heard to gather diverse perspectives, helping to limit bias toward specific areas of interest of one individual. The OESI Ops Team develops a focused Stakeholder Roadmap Refresh Input Survey following the meeting.

The OESI Ops Team then leverages the OESI Consortium Membership, IAB, and the JSC to help identify and distribute the link for stakeholders to provide their input via the developed Stakeholder Roadmap Refresh Input Survey.

The OESI Ops Team then organizes the received stakeholder input for the App Team's consideration in the next step.

## 2. App Team Input Consolidation:

### Objectives:

- 1) Leverage the App Team Leads expertise to analyze and consolidate the Stakeholder input to the Roadmaps
- 2) Leverage the App Team expertise to build out the Gaps, Background, Issue Statements, and Desired Outcomes for all the Candidate Roadmap updates

### Primary Participant:

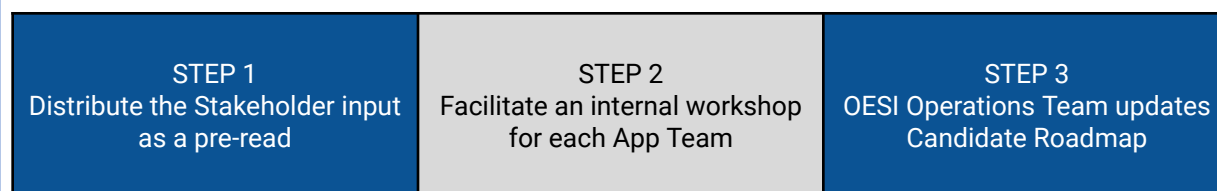
OESI Operations Team

### Contributing Participants:

App Teams, Government SMEs

### Process:

Figure 54 details the step-by-step process used by the OESI in the App Team Input Consolidation. Details of each step are presented below.



*Figure 54: App Team Input Consolidation Stage Step-by-Step Process*

First, the OESI Ops Team distributes the collected stakeholder input to the App Team Leads as a pre-read for an internal working session with each App Team. Second, the OESI Ops Team facilitates an internal working session with each App Team Lead to organize and consolidate the Stakeholder input into clear, concise Target or Strategic Pathway Candidates (including Issue Statements and Desired Outcomes) for a Refreshed Roadmap. During this working session, each App Team Leads will also identify any cross-functionality that could be present for each Candidate's Strategic Pathway. The OESI Ops Team will develop the refreshed Candidate Roadmap.

## 3. Stakeholder Workshop Planning and Execution:

### Objectives:

- 1) Develop a Stakeholder Workshop Plan to address or validate the Candidate Targets and Strategic Pathways
- 2) Validate the Candidate Target and Strategic Pathways through in-person workshop and SME interviews.

Primary Participant:

OESI Operations Team

Contributing Participants:

Industry SMEs, Government SMEs, JSC, App Teams

Process:

Figure 55 details the step-by-step process used by the OESI in the Stakeholder Workshop Planning. Details about each step follow.

<p><b>STEP 1</b> OESI Ops Team organizes the Candidate and Target Pathways</p>	<p><b>STEP 2</b> OESI Ops Team develops the pre-workshop feedback plan</p>	<p><b>STEP 3</b> OESI Ops Team develops an interactive Stakeholder Workshop plan</p>	<p><b>STEP 4</b> OESI Ops Team finalizes the workshop plan</p>
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*Figure 55: Stakeholder Workshop Planning Stage Step-by-Step Process*

The OESI Ops Team conducts an in-person workshop with Industry and Government SMEs and incorporates the collected feedback. Then, the OESI Ops Team conducts interviews intended to validate the refreshed Candidate Roadmap. The OESI Ops Team will present the developed Stakeholder Workshop Plan to the JSC and incorporate their feedback. Finally, the OESI Ops Team will compile the results from the workshop into a report that 1) captures which Candidate Target and Strategic Pathways were addressed and how they were addressed, 2) captures which Candidate Target and Strategic Pathways were validated, 3) captures any refinement to validated Candidate Target and Strategic Pathways, their Gaps, Background, Issue Statement, and their Desired Outcome.

#### 4. Refreshed Roadmap Finalization:

Objectives:

- 1) To seek approval of the refreshed overall OESI roadmap with cross-functionality identified.
- 2) To publish the refreshed overall OESI roadmap to the consortium and public.

Primary Participant:

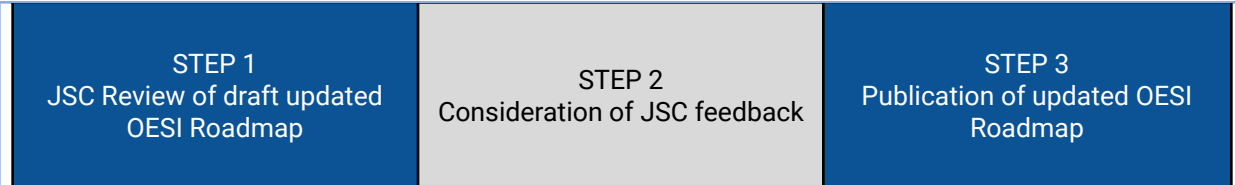
OESI Ops Team

Contributing Participants:

JSC

Process:

Figure 56 details the step-by-step process used by the OESI in the Roadmap Refresh Processing. Details about each step follow.



***Figure 56: App Team Input Consolidation Stage Step-by-Step Process***

First, the OESI Ops Team translates the Candidate Roadmap into a draft Roadmap document. Next, the OESI Ops Team conducts a workshop with the JSC Chairs to collect feedback on the draft Roadmap. The final draft with associated support language (Gaps and Background Statements) is submitted for JSC approval. Once approved, the OESI Ops Team incorporates any required edits from the JSC and publishes the updated OESI Roadmap to the OESI Consortium and public.

**End of Document**