

# JPI CLIMATE GOVERNANCE

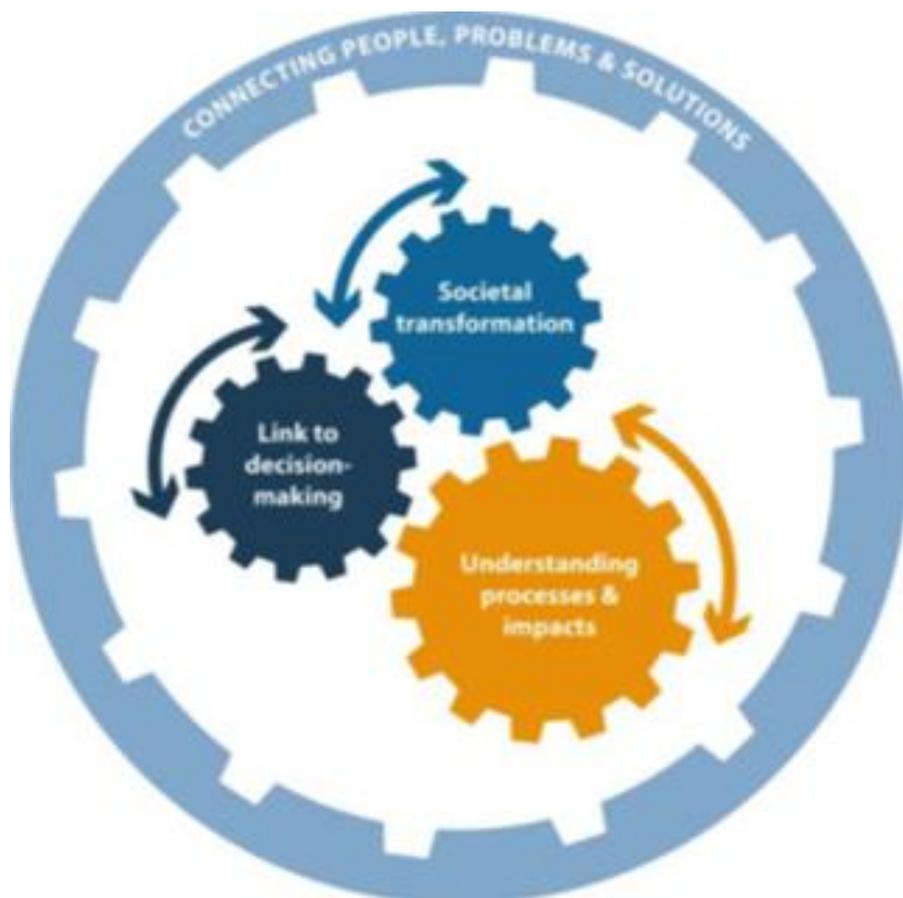


Fig.1 Connecting People, Problems & Solutions

## Contents

1. TERMINOLOGY .....		4
1.1 Full Members.....		4
1.2 Associated Members .....		4
1.3 Observers.....		4
1.4 Stakeholders .....		5
1.5 Partners .....		5
2. GOVERNANCE PRINCIPLES.....		6
2.1 Sustainability principle .....		6
2.2 Stakeholder orientation principle .....		6
2.3 Adaptability principle .....		7
2.4 Transparency principle .....		7
2.5 Cost efficiency principle .....		7
3. GOVERNANCE STRUCTURE AND TERMS OF REFERENCE .....		8
3.1 Governing Board (GB).....		8
3.1.1 Mandate .....		8
3.1.2 Membership of the GB .....		9
3.1.3 GB meetings and quorum.....		10
3.1.4 Chair(wo)manship .....		10
3.1.5 Executive Committee (ExCom) .....		10
3.1.6 Admission of experts to the GB meetings .....		10
3.1.7 Voting .....		11
3.1.8 Operational budget .....		11
3.1.9 Conflict of Interest.....		12
3.1.10 Confidentiality .....		12
3.2 Transdisciplinary Advisory Board (TAB).....		12
3.3 Action Groups (AGs) .....		13
3.4 Central Secretariat (CS) .....		14



3.5 SRIA Scoping Forum..... 15

ANNEX 1: GOVERNANCE PRINCIPLES IN DETAIL ..... 17

ANNEX 2: JPI CLIMATE TRANSDISCIPLINARY ADVISORY BOARD - MANDATE, RULES AND PROCEDURES 21

## 1. TERMINOLOGY

### 1.1 Full Members

JPI Climate Full Members are countries – EU Member States and Associated Countries<sup>1</sup> – that have formally declared their commitment and willingness to actively contribute to JPI Climate operations (with their work force, financial resources, existing research and innovation investments, etc.) by signing a Letter of Intent and contribute to the operational budget and by that acquire full voting rights and are eligible to [co-]lead Action Groups (see section 3.1.8).

Potential new Full Members can be officially invited to the following Governing Board (GB) meeting by the JPI Climate Chair (in consultation with the JPI Climate Executive Committee - ExCom). Their membership has to be approved by the GB.

### 1.2 Associated Members

A EU Member State, or Associated Country<sup>1</sup> that considers becoming a Full Member, but which is not in the position to sign the Letter of Intent and contribute to the operational budget, but intends to actively discuss and contribute to JPI Climate operations, may become an Associated Member without voting rights. An Associated Member is not eligible to [co-]lead Action Groups.

Potential new Associated Members can be officially invited to the following GB meeting by the JPI Climate Chair (in consultation with the ExCom). Their associated membership has to be approved by the GB.

The status of an Associated Member will be revised after two years of associated membership. Such a revision aims to confirm whether a JPI Climate full membership is feasible.

Any other third country, not being considered as Associated Country, can also become associated member in JPI Climate by a formal expression of interest addressed to the JPI Climate GB, which will decide upon the request at its next meeting.

### 1.3 Observers

Supra-national institutions and organisations linked to JPI Climate by common objectives and facilitating research activities in the thematic field of JPI Climate may become observers of JPI Climate without voting rights.

Observers can be officially invited to the following GB meeting by the JPI Climate Chair (in consultation with the ExCom). A partnership with an observer is formally adopted and possibly ended if not considered appropriate by the GB.

---

<sup>1</sup> Associated Countries = Countries associated to Horizon 2020:

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/3cpart/h2020-hi-list-ac\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf)

## **1.4 Stakeholders**

The term ‘stakeholder’ refers to protagonists from governmental organisations, business, Non-Governmental Organisations (NGOs) and civil society operating on various levels that can be considered as the main users and addressees of the joint research activities facilitated by JPI Climate.

## **1.5 Partners**

Research Funding Organisations (RFO), Research Performing Organisations (RPO) or relevant initiatives that participate in activities of an Action Group and that are not members of JPI Climate. Other JPIs and international organisations such as the Belmont Forum are also considered as partners of JPI Climate.

## 2. GOVERNANCE PRINCIPLES

The governance principles derive from both the thematic contents addressed by JPI Climate, as well as the strategic objectives. They provide support to assure coherence between ‘what’ we are working on and ‘how’ we are working. In addition, they represent procedural objectives that broaden the scope for advancements and provide motivation for constant improvement.

Hitherto discussions have mostly addressed the rationales of these principles. In order to put them into effect in our work, we – however – need to reflect on what these principles mean to us and, more specifically, for our operations. The principles and related objectives have been formulated ambitiously. The GB may decide upon specific procedural rules allowing their implementation.

The following principles have been addressed in the context of different discussions on JPI Climate and approved by the GB. Several approaches to operationalise these principles are provided in Annex 1.

### ***2.1 Sustainability principle***

**Objective:** To take into account the challenges of climate change in the work of JPI Climate, based on active reflection of operations (e.g. “green meetings”) and to formulate the endeavour of constant improvement of the operations’ climate performance.

**Rationale:** In consideration of the grand societal challenge of climate change being central to research efforts that are initiated by JPI Climate, the members of JPI Climate seek to contribute to mitigating the carbon footprint of its work and activities. In doing so, JPI Climate governance is committed to increasing the credibility of climate impact research and to function as a role model for other groups of society in terms of responsible, climate-friendly science and research.

### ***2.2 Stakeholder orientation principle***

**Objective:** To integrate the knowledge, values and objectives of societal decision-makers in the implementation and operation of JPI Climate through the active participation of stakeholder group representatives (see section 1.4) in accordance with the JPI Climate mission.

**Rationale:** JPI Climate aims to improve the utilisation of scientific knowledge on climate change in societal decision-making processes. Therefore, the involvement of stakeholders from civil society, politics and the business sector is crucial when it comes to identifying themes and setting up research agendas.

## ***2.3 Adaptability principle***

**Objective:** To enable the JPI Climate’s thematic framework to respond to novel scientific insights and research requirements, current states of societal transformations and potential demands due to sudden socio-ecological crises.

**Rationale:** JPI Climate is setting up a research framework on a strategic, long-term basis. Alongside its overall objective of facilitating societal transformation by improving the utilisation of scientific knowledge on climate change in societal decision-making processes, in the course of its operations it is very likely that JPI Climate’s mission will be subject to shifting and novel research needs and priorities. The JPI Climate’s governance structure therefore needs to allow for the adaptation of the JPI Climate’s operations to these changing framework conditions where necessary.

## ***2.4 Transparency principle***

**Objective:** To base the collaborative efforts encompassed within the JPI Climate development and implementation on the notions of openness, mutual learning, mutual dependency and joint creativity; and to foster the free flow and sharing of information, experiences and opinions.

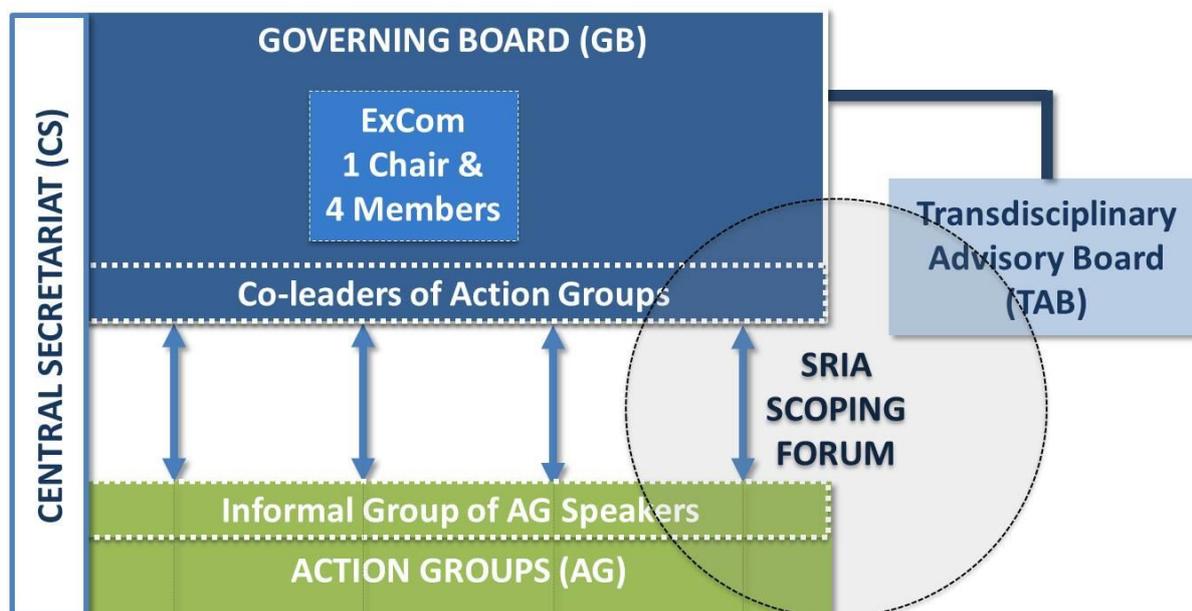
**Rationale:** Access to knowledge and information is a prerequisite for individual and mutual learning processes. Given the grand and complex societal challenge that is addressed by JPI Climate, fostering both is a prerequisite for the successful completion of the JPI Climate mission. Allowing access to knowledge and information within JPI Climate – a multi-level, multi-stakeholder institution – for both internal work and external information is not a trivial task and therefore requires active and continuous deliberation and promotion.

## ***2.5 Cost efficiency principle***

**Objective:** To limit superfluous duplication of scientific/technical outputs, research and funding activities.

**Rationale:** Joint Programming is based on coordinating European research efforts to increase its capacities to tackle grand societal challenges, such as climate change. An understood objective of JPI Climate operations is therefore to use its existing resources in a cost-efficient manner. In order to meet this objective, JPI Climate needs to assess the availability of present and potential joint initiatives and joint calls at European and international level pertaining to the same or related topics to build up inter-linkages and streamline activities with potential partner initiatives.

### 3. GOVERNANCE STRUCTURE AND TERMS OF REFERENCE



#### 3.1 Governing Board (GB)

The Governing Board (GB) takes all the strategic decisions and provides guidance and direction in terms of the overall strategic orientation and structure of the initiative to support JPI Climate activities. The GB is advised by the Transdisciplinary Advisory Board, as well as by the Informal Group of Action Group Speakers.

It receives strategic and operational support by the Executive Committee (ExCom) and the Central Secretariat (CS).

##### 3.1.1 Mandate

The responsibilities of the GB are - amongst others - to:

- Revise and adopt the Strategic Research and Innovation Agenda (SRIA) as case may be;
- Revise and adopt periodically the Implementation Strategy and Plan of the JPI Climate's SRIA, as well as to plan and decide on activities to implement the JPI Climate's SRIA;
- Establish Action Groups, with specific mandates limited on time, in order to facilitate the activities to implement the JPI Climate's SRIA;
- Elect the Board Chair and the members of the Executive Committee;
- Appoint the Transdisciplinary Advisory Board;
- Appoint the Executive Director of the CS;
- Establish *ad hoc* groups when necessary;

- Revise the governance structure, and terms of reference for JPI Climate;
- Approve the annual operational budgets and reports;
- Assure the exchange of knowledge and information, with the help of the ExCom and of the CS, between JPI Climate members, the European Commission, the GPC (High Level Group on Joint Programming) and ERAC (European Research Area and Innovation Committee) and other stakeholders by means deemed appropriate;
- Assure the implementation of the SRIA Scoping Forum (see 3.5).

### 3.1.2 Membership of the GB

All members of JPI Climate shall be represented in the GB by entities that are legally allowed to take strategic decisions on behalf of and engage resources from national research funds (e.g. ministries for science and research, academies of sciences, scientific institutions<sup>2</sup> and agencies<sup>3</sup>) and thereby to represent the national research interests of the members.

The European Commission holds the status of a non-voting member of JPI Climate.

New JPI Climate memberships need to be adopted by all of the GB members after formally declaring to the GB their commitment and willingness to actively contribute to the operations of JPI Climate (with their work force, financial resources, and existing research and innovation investments, etc.) by signing a Letter of Intent.

JPI Climate members can resign from their membership by formal declaration to the GB after having officially passed on their current duties to other members, which requires confirmation by the GB.

Countries that have expressed an intention to participate in JPI Climate, but which are unable to engage from the outset, may become associated members without voting rights and eligibility to lead an Action Group. Their associated member status shall be revised after two years. Such a revision aims to confirm whether a JPI Climate full membership is feasible.

The associated member countries are represented by entities that are legally allowed to take strategic decisions on behalf of and engage resources from national research funding organisations (e.g. ministries for science and research, academy of sciences, scientific institutions and agencies) and thereby to represent the national research interests of the member countries.

Each country participating in JPI Climate either as member or associated member shall be represented in the GB by a maximum of two representatives, having spokesperson and voting responsibilities. These representatives have a governmental mandate (from ministries, research organisations, funding bodies, research councils, etc.) to take strategic decisions and to engage resources from various sources at national level for JPI Climate-related activities. In the GB composition, gender balance should be considered.

In cases where neither mandated representative is able to attend a meeting, the representative (voting member) may nominate a third person on a temporary basis to attend the meeting.

---

<sup>2</sup> Including Research Performing Organisations (RPOs)

<sup>3</sup> Including Research Funding Organisations (RFOs)

### **3.1.3 GB meetings and quorum**

Ordinary Board meetings of the GB shall be held at least once a year.

Extraordinary Board meetings may be requested by any of the GB members or called by the Chair. An electronic vote is then carried out, with a minority vote of 30% required to call an Extraordinary Board meeting.

The necessary quorum for a meeting to be valid shall be reached with at least two-thirds of the members present.

Members of the GB may also participate in GB meetings by telephone conference, videoconference or other means of communication.

Preparatory documents for GB meetings will be sent to the members and, if appropriate, to associated members and JPI Climate observers by the CS at least 10 working days prior to the meeting.

Meeting minutes will be prepared by the CS and shall be distributed for approval by the GB Chair within two weeks.

The Chair of the Transdisciplinary Advisory Board or his/her representative will be invited to attend the meetings of the GB to present recommendations developed by the TAB and to follow and give input to the discussions.

### **3.1.4 Chair(wo)manship**

The GB shall appoint from among its Full Members a Chair for a term of 2 years, renewable once.

The Chair of the GB prepares the agenda for the GB meetings in consultation with the GB and assisted by the CS, presides over meetings and represents JPI Climate *vis-à-vis* external bodies. The Chair may ask any other member of the GB to represent him/her on individual occasions.

### **3.1.5 Executive Committee (ExCom)**

The GB shall elect from among its Full Members an Executive Committee (ExCom) for a period of 2 years, renewable once. The members of the ExCom shall support the Chair in between meetings to lead the implementation of JPI Climate activities, consistent with decisions taken by the GB, advice on recommendations or positions where immediate action is required, help to perform representative functions or perform any other functions or tasks decided on and entrusted to them by the GB.

The ExCom shall meet (in person or by video/telephone conference) on a regular basis, at least twice between regular GB meetings. The work of the ExCom will be carried out and distributed according to an internal procedure.

### **3.1.6 Admission of experts to the GB meetings**

If items on the agenda require additional expertise, external experts can be invited to the GB meetings. Any such decision will be taken by the GB. JPI Climate members may submit suggestions to the CS, which will subsequently circulate the information to the whole GB.

Suggestions for experts must be submitted to the CS no later than 20 days prior to a meeting. Invitations to experts will be issued no later than 10 working days prior to the meeting.

### 3.1.7 Voting

**Decisions of the GB should be taken by consensus.** However, in the absence of consensus and following a commensurate proposal from the Chair, decisions are to be taken by simple majority vote of the members present – except if one of the following specific rules applies:

- The adoption of an operational budget requires unanimity of all Full Members;
- The revision of the governance or adoption of new governance rules requires 2/3 of all Full Members represented in the GB;
- Changes to the Terms of Reference (TAB, Action Groups, *ad hoc* groups) require 2/3 of all Full Members represented in the GB;
- Adoption of the common vision papers and strategic papers requires 2/3 of all Full Members represented in the GB;
- Considering the non-voting membership of the European Commission, in principle, when matters under discussion in the GB directly affect the interests of the European Commission, decisions should be sought in a consensual process with the European Commission.

Decisions of the GB shall usually be taken during meetings. In exceptional cases, where circumstances do not allow for a (virtual or real) meeting, decisions of the GB may also be taken by means of written procedure following a proposal from the Chair and consented by the GB. A written procedure may take the form of an electronic and confidential vote. The members of the GB have 10 working days to approve or reject a decision. The absence of reaction is considered as a neutral position. JPI Climate members are informed without delay on the outcome of a written procedure.

### 3.1.8 Operational budget

The GB may decide to vote on a specific annual budget for the operational costs (e.g. CS) independent from any programming budget.

The CS will analyse the annual budgetary requirements and send a draft budget to GB members at least 4 weeks prior to the next meeting where a decision needs to be taken.

Full Members that are unable to make their contribution may ask other members to make that contribution on their behalf. If neither of the other members is able to cover the contribution, the defaulting member will lose its voting right for a maximum period of one year. If after that period the defaulting member is still unable to make its contribution for the following period, the full membership in JPI Climate will be withdrawn.

### **3.1.9 Conflict of Interest**

Members of the GB should not participate in any decision in which a circumstance of personal or professional nature could compromise their ability to make a decision in the interests of best accomplishing their objectives and tasks.

If any member of the GB considers herself/himself to be in a situation that could give rise to a potential conflict of interest, she/he is to raise the issue with the Chair, who in turn will inform the GB. The GB then has to decide whether the member in question may participate in the discussion. The GB will take a decision listing the situations considered as conflicts of interest.

### **3.1.10 Confidentiality**

Members, observers and any other person attending GB meetings are to respect the confidential character of the GB discussions.

## ***3.2 Transdisciplinary Advisory Board (TAB)***

The GB shall appoint a Transdisciplinary Advisory Board (TAB) (up to 25 persons) consisting of scientists and representatives of relevant societal stakeholder organisations (e.g. policy-making/administration, business organisations, civil society/ NGOs) (with at least 50% share of stakeholder representatives) to give advice on long-term strategic matters and scientific quality and orientation.

In addition to the GB, the TAB can also provide advice on strategic and scientific matters upon direct request by the Action Group members.

The TAB will critically review and provide advice on:

- The common strategic vision presented by the GB. Review is particularly demanded with respect to global priorities (e.g. UN COP Process, GEO, Sustainable Development Goals, Future Earth) and the status of research based on the JPI Climate Strategic Research and Innovation Agenda (SRIA);
- The list of priority themes presented by the GB as a basis for developing and implementing research programmes and programming activities, such as calls or other co-alignment activities;
- New proposals for Action Groups (AGs), as presented by the GB or suggested by the TAB;
- The lists of evaluators presented by the GB in order to facilitate independent evaluations of JPI Climate operations, when deemed necessary;
- Other key JPI Climate documents yet to be adopted by the GB. These key documents are to be identified and communicated by the GB in the course of JPI Climate operations;
- The implementation of the Strategic Mechanism by JPI Climate; the themes and participants of Scoping Forum events organised to enhance stakeholder interaction in JPI Climate.

The members of the TAB will serve in their individual capacity as independent experts.

The term of office for the TAB members will be three years. A TAB member may be reappointed following approval by the GB. TAB appointments will be staggered such that not more than 1/3 of members rotate off the TAB in any given year.

Representatives of the CS will attend TAB meetings as facilitators in order to facilitate organisation, reporting and communication.

Each recommendation adopted by the TAB is recorded. A statement of opinions may be entered in the minutes along with the recommendation, if a member so requests.

Members of the TAB should not participate in any decision in which a situation or circumstance of personal or professional nature could compromise their ability to make a decision in the interests of best accomplishing their objectives and tasks.

A detailed description of the mandate, rules and procedures for the TAB can be found in Annex 2: *“JPI Climate Transdisciplinary Advisory Board – Mandate, Rules and Procedures”*.

### **3.3 Action Groups (AGs)**

Action Groups (AGs) are established for a limited time by the JPI Climate GB in order to prepare and/or implement operational and programmatic activities of JPI Climate.

Each AG shall be coordinated by at least **two** co-leading Full Members of the JPI Climate GB that are able to commit the necessary resources (financial and human) and **two** additional countries that are interested in participating in the AG, with ensured financing of the actions. The GB reserves the right to exceptions and it is the responsibility of the GB to define those exceptions.

New AGs can be proposed to be established by four interested countries, including two co-leading full members of JPI Climate, at any GB meeting.

Members of the AG shall be either JPI Climate GB members or alternates mandated to represent the interests of a member. The AG members can decide to involve other experts or stakeholders (including representatives of the JPI Climate observers) in an advisory capacity.

Each AG shall be established with a specific mandate and time horizon to be reviewed on a regular basis by the GB. Each AG shall work independently, but report periodically to the GB about their progress. Each AG shall elect a speaker and a substitute for that purpose who present the AG at GB meetings and together form an Informal Group of AG Speakers that supports the Chair, the ExCom and the CS to prepare any meetings aimed at the programmatic development of JPI Climate.

The main task of an AG is to implement the SRIA challenges in terms of national activities and transnational activities as laid down in its specific Terms of Reference (ToR). This may include:

- Management of consortia<sup>4</sup> to deploy national or transnational supporting instruments;
- Communicating and reconciling programming activities with national and transnational partner initiatives;
- Developing and revising implementation schemes for national research programmes;
- Analysis and assessment of transnational activity vehicles such as joint initiatives and joint calls;
- Developing and revising evaluation procedures (peer-review);
- Monitoring and facilitating independent evaluations of JPI Climate, according to its governance principles;
- Developing and revising communication and dissemination schemes<sup>5</sup>;
- Contributing to the JPI Climate Scoping Forum.

### **3.4 Central Secretariat (CS)**

The overall coordination and day-to-day management of the initiative will be supported by the CS of JPI Climate. The CS is instructed by the GB, works closely with the ExCom and the JPI Climate Chair and reports to the GB.

The tasks of the CS are:

- to assist JPI Climate bodies (GB, ExCom, AGs, TAB and SRIA Scoping Forum) by preparing meetings and in-between meetings;
- to assist the Chair of the GB in preparing the agenda for GB and ExCom meetings;
- to take minutes of GB, ExCom and TAB meetings;
- to facilitate the proper implementation of the GB decisions and to monitor the follow-up of the actions;
- to ensure an efficient coordination of the work and communication between the various JPI Climate bodies (GB, ExCom, AGs, TAB and SRIA Scoping Forum); and particularly support the exchange between the TAB and the GB, as well as with the Informal Group of AG Speakers;
- to disseminate the results of JPI Climate and reach out to other initiatives and stakeholders.

---

<sup>4</sup> e.g. Research Funding Organisations and/or Research Performing Organisations

<sup>5</sup> As dissemination and use of research findings, Intellectual Property Rights, etc.

### **3.5 SRIA Scoping Forum**

The Scoping Forum shall be the tool to implement the JPI Climate Strategic Mechanism, as described in the SRIA. It shall be organised every two years as a major exchange forum for researchers and stakeholders of different horizons, all invested in, relying on, or using climate change knowledge. Based on the insights and results of this biennial foresight Forum, an Implementation Strategy and Plan (IS&P) with concrete actions will be developed for adoption by the JPI Climate GB.

The Scoping Forum agenda and list of invitees shall be prepared by the ExCom, together with the Informal Group of AG Speakers, and formally convened by the Chair of the GB. The TAB will critically review and provide advice on the agenda and list of invitees.

The SRIA Scoping Forum is preceded by a series of scoping workshops (each involving different groups of researchers and stakeholders under the same topic) and will build upon the outcomes of these workshops.

These scoping workshops will help define those themes best suited to underpin the SRIA. They should thus be held to revisit the existing set of implementation actions of JPI Climate - this is the existing set of action groups at a given time – and discuss their strategic orientation as well as new elements for implementation. These scoping workshops will be the setting for in-depth discussions on what kind of research would be needed to fill gaps corresponding with the JPI Climate vision, mission and challenges in a strategic and effective manner.

A scoping workshop pulls together the input related to all the identified challenges of the SRIA. The input into the workshops shall be specific proposals for actions developed by either existing AGs, individual or groups of funding agencies or the TAB. Proposals of other provenience may be considered during preparation on a case-by-case basis.

Each proposal can be supported by e. g. mappings of research areas, studies or surveys and prepared by specific meetings or workshops. At the scoping workshop, the proposals shall be discussed and evaluated against strategic objectives of JPI Climate, as described in the SRIA. For this evaluation, JPI Climate will not be able to work with one uniform set of criteria, but will define the purpose of an action in a given research area depending on its strategic direction and its intention to be more science-driven or user-driven. However, each action will have to be evaluated on the basis of a thorough assessment of its stakeholder approach, including appropriate choice of means and instruments needed to address and involve stakeholders and decision-makers, from the definition of the research to the communication of results. Another overall implementation criterion will be the degree to which an action addresses one or more of the strategic challenges of the SRIA and why an action presents a particularly strategic and effective research funding opportunity for a JPI Climate member. Finally, each action will need to be consistent with the framing principles.



The result of each scoping workshop will feed into the SRIA Scoping Forum, which will then lead to specific recommendations for a revision, extension or termination of certain elements of the JPI Climate IS&P. It shall be discussed and decided upon by the GB in a dedicated session on the basis of the advice provided by the TAB, as well as indications of preferences and resource availability by the individual JPI Climate members. Based on these criteria, the GB reserves the right to decide which actions to further pursue. The implementation of an action sufficiently supported by the GB shall either become part of the mandate of an existing AG or be the subject of establishment of a new one with a new mandate.

The financing of the SRIA Scoping Forum and its related workshops can be ensured by budgets of relevant AGs or other resources, such as European Cofund projects, in the context of additional activities.

## ANNEX 1: GOVERNANCE PRINCIPLES IN DETAIL

The governance principles derive from both the thematic contents addressed by JPI Climate, as well as the strategic objectives of the JPI concept itself. The governance principles provide support to assure coherence between ‘what’ we are working on and ‘how’ we are working. In addition, they represent procedural objectives that broaden the scope for advancements and provide motivation for constant improvement.

Hitherto discussions have mostly addressed the rationales of these principles. In order to put them into effect in our future work, we – however – need to reflect on what these principles mean to us and, more specifically, our operations.

For these reasons, the principles and related objectives have been formulated ambitiously. The GB may decide upon specific procedural rules allowing their implementation.

The following principles have been addressed in the context of different discussions on JPI Climate:

### **Sustainability principle**

#### ***Objective:***

To take into account the challenges of climate change in the work of JPI Climate, based on active reflection of operations (e.g. “green meetings”) and to formulate the endeavour of constant improvement of the operations’ climate performance.

#### ***Rationale:***

In consideration of the grand societal challenge of climate change being central to research efforts that are initiated by JPI Climate, the members of this JPI seek to contribute to mitigating the carbon footprint of its work and activities. In doing so, JPI Climate's governance is committed to increasing the credibility of climate impact research and to function as a role model for other groups of society in terms of responsible, climate-friendly science and research.

#### ***Operationalisation:***

- In general, the organisation of virtual and non-virtual meetings within the JPI Climate governance shall be organised in acknowledgement of the UNEP Green Meeting Guide<sup>6</sup>.
- Acknowledging the importance of personal meetings to promote team building and direct exchange among members, the JPI Climate governance, however, seeks to explore virtual, carbon-friendly modes of inter-personal exchange. Novel forms of communication, such as

---

<sup>6</sup> <http://www.greeningtheblue.org/resources/meetings>

videoconferences and web-based, and joint development of working documents are expected to increase in their utility and application in the course of establishing the working infrastructure and working groups of JPI Climate.

- For the case of non-virtual meetings, JPI Climate members are encouraged to use (night-) trains as a mode for long distance travel within Europe to attend the meetings. The venue and timing of the GB meetings will be set in accordance with this recommendation (accessibility/centrality of venue within Europe, arrival and departure times of important train connections).
- In case the venue and scheduling of a non-virtual meeting does not allow for the use of trains to attend the meeting, the respective participants are encouraged to make use of carbon offsetting schemes for their air travels.

## **Stakeholder orientation principle**

### ***Objective:***

To integrate the knowledge, values and objectives of societal decision-makers in the implementation and operation of JPI Climate through the active participation of stakeholder group representatives in accordance with this JPI's mission.

### ***Rationale:***

JPI Climate aims to improve the utilisation of scientific knowledge on climate change in societal decision-making processes. Therefore, the involvement of stakeholders from civil society, politics and the business sector is crucial when it comes to identifying themes and setting up research agendas.

### ***Operationalisation:***

- Integration of relevant stakeholder groups (e.g. from politics, business, civil society) into the governance structure.
- Allow stakeholders an active collaboration within JPI Climate that goes beyond mere consultation, in order to ensure that their voice and perspectives are integrated into the work of this JPI.
- To make use of timely and user-oriented means of dissemination to reach out to stakeholders outside of the scientific community.

## **Adaptability principle**

### ***Objective:***

To enable JPI Climate's thematic framework to respond to novel scientific insights and research requirements, current states of societal transformations and potential requirements due to sudden socio-ecological crises.

### ***Rationale:***

JPI Climate is setting up a research framework on a strategic, long-term basis. Alongside its overall objective to facilitate societal transformation by improving the utilisation of scientific knowledge on climate change in societal decision-making processes, in the course of its operations it is very likely that JPI Climate's mission will be subject to shifting and novel research needs and priorities. The governance structure of JPI Climate therefore needs to allow for the adaptation of the JPI's operations to these changing framework conditions where necessary.

### ***Operationalisation:***

- Biennial revision of governance structure.
- Biennial revision of research themes and priorities.
- Allow bottom-up initiatives and partner institutions to propose novel research topics for further definition.
- Allow changing (or, at least, discussion of) mandates if the formal conditions (e.g. funding, personal availability) do not guarantee the proper performance of a certain body.

## **Transparency principle**

### ***Objective:***

To base the collaborative efforts encompassed within JPI Climate's development and implementation on the notions of openness, mutual learning, mutual dependency and joint creativity; and to foster the free flow and sharing of information, experiences and opinions.

### ***Rationale:***

Access to knowledge and information is a prerequisite for individual and mutual learning processes. Given the grand and complex societal challenge that is addressed by this JPI, fostering both is a prerequisite for the successful completion of JPI Climate's mission. Allowing access to knowledge and information within JPI Climate – a multi-level, multi-stakeholder institution – for both internal work and external information is not a trivial task and therefore requires active and continuous deliberation.

### ***Operationalisation:***

- Accessibility to working documents (work in progress) for all JPI Climate members.
- Involvement of all JPI Climate members in e-mail conversations on issues concerning the overall operations of this JPI.
- Accessibility and continuous updating of adopted working documents on the JPI Climate's webpage for both internal and external use.
- Use of copyleft<sup>7</sup> access rights of JPI Climate's documents based on the Creative Commons license<sup>8</sup>.
- Recommendation of using open data formats (e.g., \*.odt, \*.odf).
- Promote and actively support open access publication of research findings, resulting from JPI Climate's activities.
- Promote and actively support permanent and free access of obtained qualitative and quantitative data and meta-data, resulting from JPI Climate's activities.

### **Cost efficiency principle**

#### ***Objective:***

To limit superfluous duplication of scientific/technical outputs, research and funding activities.

#### ***Rationale:***

Joint Programming is based on coordinating European research efforts to increase its capacities to tackle grand societal challenges, such as climate change. A deduced objective of JPI Climate's operations is therefore to use its existing resources in a cost-efficient manner. In order to meet this objective, JPI Climate needs to assess the availability of present and potential joint initiatives and joint calls at European level pertaining to the same or related topics to build up inter-linkages and streamline activities with potential partner initiatives.

#### ***Operationalisation:***

- Mapping potential partner initiatives.
- Establishing continuous communication with these initiatives.
- Reconciling agendas and operations with important partner initiatives interested in cooperation; exploration of joint initiatives.
- Involving important partner initiatives interested in cooperation as observers in JPI Climate's governance.
- Using common evaluators' databases.

---

<sup>7</sup> <http://en.wikipedia.org/wiki/Copyleft>

<sup>8</sup> <http://creativecommons.org>

## **ANNEX 2: JPI CLIMATE TRANSDISCIPLINARY ADVISORY BOARD - MANDATE, RULES AND PROCEDURES**

### **Mandate**

The JPI Climate Transdisciplinary Advisory Board (TAB) responds to requests from the Governing Board (GB), as well as provides input deemed relevant by the TAB members themselves. The TAB will critically review and provide information on:

- The common strategic vision presented by the GB. Review is particularly demanded with respect to global priorities (e.g. UN COP Process, GEO, Sustainable Development Goals, Future Earth) and the status of research based on the JPI Climate Strategic Research and Innovation Agenda (SRIA);
- The list of priority themes presented by the GB as a basis for developing and implementing research programmes and programming activities, such as calls or other co-alignment activities;
- New proposals for Action Groups (AGs), as presented by the GB or suggested by the TAB;
- The lists of evaluators presented by the GB in order to facilitate independent evaluations of JPI Climate operations, when deemed necessary;
- Other key JPI Climate documents yet to be adopted by the GB. These key documents are to be identified and communicated by the GB in the course of JPI Climate operations;
- The implementation of the Strategic Mechanism for JPI Climate; the themes and participants of Scoping Forum events organised to enhance stakeholder interaction in JPI Climate.

In order to fulfil these functions and produce the outputs defined in the Terms of Reference, intercommunication between both the TAB members themselves and with the GB, the Executive Committee (ExCom) and the AGs is expected between meetings with active support by the Central Secretariat (CS).

### **Composition of the TAB**

The TAB will consist of up to 25 persons from relevant research fields and stakeholder groups with at least 50% share of stakeholder representatives.

Candidates for TAB membership can be submitted by GB members and by the TAB.

Members of the TAB will be elected from a list established by the CS in cooperation with the JPI Climate GB and TAB members: The GB representation of each JPI Climate member country (full and associated) can nominate up to 4 scientific and 4 stakeholder candidates for the TAB.

The TAB can suggest the same number of candidates as there are rotating off TAB members in any given year. A synthesis list of all candidates will be prepared by the CS and sent out to the GB members.

Members of the TAB should be appointed by the GB, preferably by consensus. If a consensus is not reached, the following formal procedure will be followed: The election of the TAB is organised by the CS in a virtual and confidential mode (via e-mail or web-tool) in which each JPI GB member has 8 votes for the scientific candidates and 8 votes for the stakeholder candidates.

In case of rotating off TAB members in the course of their mandate, the TAB will suggest appropriate candidates to replace them, among whose the GB will choose one to be appointed for the TAB until the end of the mandate. This appointment can be carried out in written procedure organised by the CS. Prior agreement of the GB member having suggested the leaving TAB member will be required in written procedure organised by CS.

Criteria pertaining to nomination of scientific board members are:

- Recent and active participation in international scientific expertise and foresight (e.g. IPCC, GEO panel, EU FP RTD project coordination);
- Expansive vision in terms of societal decision-making and transformation in the context of climate change;
- Outstanding academic record and international prominence;
- Proven ability to work productively in inter- or transdisciplinary groups;
- They should cover diverse disciplines and perspectives relevant to the scope of this JPI.

Criteria pertaining to nomination of stakeholder representatives to the board are:

- Representation of a broad group of stakeholders at a strategic, long-term level;
- Active involvement in and experience with decision-making and societal innovation in the context of climate change;
- Outstanding professional experience at European and international level;
- Proven ability to work productively in inter- or transdisciplinary groups;
- They should cover a broad spectrum of sectors and address a variety of aspects relevant to the scope of this JPI.

The composition of the TAB strives for a gender balance (50% female, 50 % male). Not more than two-thirds of the adopted TAB should belong to one gender. The geographical balance within the TAB membership shall also be aimed at.

Membership in relevant networks by TAB members shall be considered as beneficial.

## **Chair(wo)manship of the TAB**

The Chair of the TAB will be elected from among its members and serve for 2 years with the possibility of reappointment following approval by the GB. The TAB Chair will attend GB meetings as the TAB representative. The TAB Chair is therefore crucial to maintain the bidirectional flow of information between the GB and the TAB.

## **TAB Meetings**

The TAB will organise a physical meeting at least once a year. It is expected that TAB members will communicate with each other and, if necessary, also with the GB between meetings to meet the objectives of JPI Climate.

If appropriate, the members of the TAB may also participate in meetings by telephone conference, videoconference or other means of communication.

Subject to notification to the TAB Chair at least 5 working days in advance, two representatives of the GB may attend the TAB meetings as observers nominated by the GB.

Representatives of the CS will also attend and take the minutes of TAB meetings.

## **Quorum**

To ensure the quality of discussions and the involvement of most TAB members, the presence of at least half of the scientific TAB members AND half of the stakeholder TAB members will constitute the quorum necessary for the meeting to be valid. Participation can be physical or via live telecommunications.

In case the quorum is not reached in a meeting, the consultation and decision-making in exceptional cases may be performed subsequent to the meeting by electronic vote or teleconference.