JPI CLIMATE

Connecting Climate Knowledge for Europe

Governance

The governance principles and the organisational structure of the JPI described in this document are considered to be subject to iterative, ongoing learning processes and adjustments. They are therefore subject to a critical review and possible revision 12 months after adoption by the JPI CLIMATE Governing Board, followed by recurring reviews based on a schedule prepared by the GB.

The document has been prepared in reconciliation with the proposed governance principles set out by the GPC (March 2010).

adopted at the GB meeting in Helsinki, 30./31. May 2011

revised at the GB meeting in Amsterdam, 10./11. May 2012

1. Terminology

1.1 Members

JPI members are countries – EU member or associated states – that have formally declared their commitment and willingness to actively contribute to JPI operations (with their work power, financial resources, and existing research and innovation investments, etc.) by signing a Letter of Intent.

In order for a membership to be valid, a new member needs to be formally adopted by a JPI body (defined below).

The member countries are represented by institutions that are officially legitimised to represent the national research interests of the member countries and to take strategic decisions and engage resources from national research funds (e.g. ministries for science and research, academy of sciences, scientific institutions and agencies).

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

1.2 Partners

Partners of the JPI are linked to the JPI by overlapping objectives, providing the basis for mutual knowledge exchange and coordination of operations that are, however, not formally integrated in the decision-making process within the JPI.

Partners might be granted with the role of an observer in some committees and participation in JPI information channels (e.g. email lists, password-protected web space).

In order for a partnership to be valid, a new partner needs to be formally adopted by a JPI body (defined below).

Partner countries are represented by institutions that are officially legitimised to represent the national research interests of the member countries (e.g. ministries for science and research, academy of sciences, scientific institutions and agencies).

Partner institutions are supra-national institutions that facilitate research activities in the thematic field of the JPI, but do not conduct research themselves (e.g. ERA Nets, other JPIs).

2. Guiding principles

Several guiding principles on which JPI operations should be based have been explicitly and implicitly formulated in discussions up to this point. The principles derive from both the thematic contents addressed by the JPI as well as the strategic objectives of the JPI concept itself. The guiding principles provide support to assure coherence between 'what' we are working on and 'how' we are working.

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

In this respect it is important to note that these principles do not represent obligations. More accurately, the guiding principles represent procedural objectives that broaden the scope for advancements and provide motivation for constant improvement.

For these reasons the principles and related objectives have been formulated ambitiously and patently do not need to be adhered to immediately.

The following principles have been addressed in the context of different discussions on the JPI CLIMATE. Suggestions for the operationalisation of the principles are provided in the appendix to this document.

2.1 Sustainability principle

Objective:

Taking into account the challenges of climate change in the work of the JPI based on active reflection of operations (e.g. "green meetings") and formulating 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 the JPI, the members of the JPI governance seek to contribute to mitigating the carbon footprint of its work. In doing so, the JPI governance is committed to increasing the credibility of climate impact research and functioning as a role model for other groups of society in terms of responsible science.

2.2 Stakeholder orientation principle

Objective:

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

Rationale:

The JPI "Connecting Climate Knowledge for Europe" 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's thematic framework to respond to novel scientific insights and research requirements, current states of societal transformations and potential exigencies due to sudden social-ecological crises.

Rationale:

The JPI 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 the JPI's mission will be subject to shifting and novel research needs and priorities. The JPI's governance structure therefore needs to allow for the adaptation of the JPI's operations to these changing framework conditions where necessary.

2.4 Transparency principle

Objective:

To base the collaborative efforts encompassed within JPI 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 the JPI, fostering both is a prerequisite for successful completion of the JPI mission. Allowing access to knowledge and information within the JPI – 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.

2.5 Cost efficiency principle

Objective:

To limit superfluous duplication of scientific/technical 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 operations is therefore to use its existing resources in a cost-efficient manner. In order to meet this objective, the JPI 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.

3. Governance structure
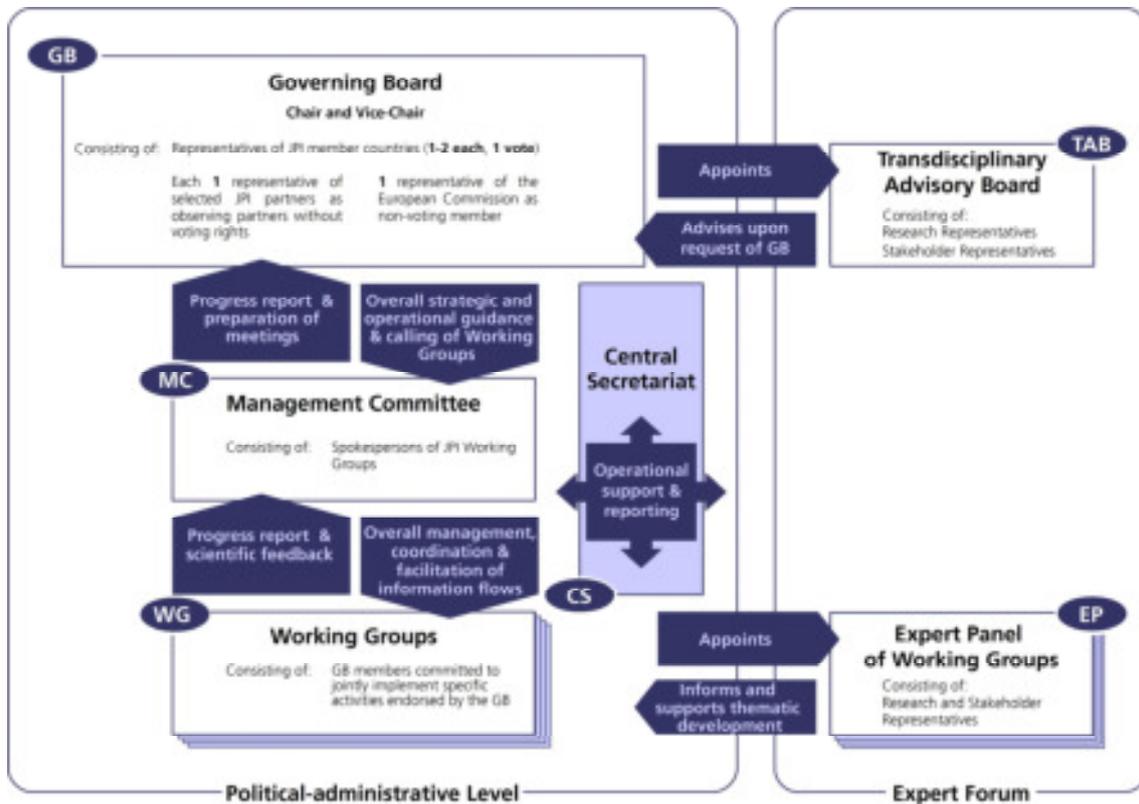
3.1 Governing Board (GB)

The Governing Board will provide guidance in terms of the overall strategic orientation and structure of the initiative. All member countries will be represented by representatives that are able to take strategic decisions and to engage resources from various sources at national level for JPI-related climate change research.

Actual priority topic implementation could be organised with a governance structure set up in accordance with principles established by the Governing Board, but which would not be bound by instructions from the GB. Implementation governance for priority topics would therefore abide by overall guidelines, but in the case of specifics, would essentially serve the individual needs of the variable partnerships supporting implementation of the different priority topics.

The Governning Board is advised by the Transdisciplinary Advisory Board as well as the Management Committee. It receives support in its operational activities by the Central Secretariat.

3.1.1 Mandate

The Governing Board is responsible for:

1. Nominating the Transdisciplinary Advisory Board (TAB)

2. Adopting the governance structure including the bodies of the governance structure and the respective rules of the governance

3. Mapping of national research programmes (current and future), informed by existing exercises and current and potential transnational joint initiatives and joint calls.

4. Preparing and adopting the scientific vision

5. Preparing and adopting a strategic research agenda

6. Preparing and adopting the first joint programming research agenda (if ready) and later the updates

7. Preparing and adopting the content and the implementation of joint programmes, including the content of programmes and in the case of any joint calls the extent of funding.

8. Facilitating the preparation of the proposal for a Coordination and Support Action (CSA)

9. Assuring the transfer of information to JPI members, the European Commission, the GPC and ERAC (European Research Area Committee, former CREST) by means deemed appropriate. Additionally, the GB will be responsible for the following tasks:

10. The GB may establish temporary and permanent Working Groups (WG) on specific issues in order to facilitate the implementation of the JPI, for example peer review procedures, foresight activities, or evaluation of joint programmes or implementation groups. The GB nominates members of the Working Groups and the Management Committee.

3.1.2 Membership of the Governing Board

- All members of the JPI CLIMATE are represented on the Governing Board.

- New JPI 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 the JPI (with their work power, financial resources, and existing research and innovation investments, etc.) by signing a Letter of Intent.

- JPI 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.

- Each country participating in the JPI will be represented in the GB as a member by a maximum of two representatives, a designated spokesperson and a designated voting member. Each JPI member has ONE vote. These representatives have a governmental mandate (from ministries, research organisations, funding bodies, research councils, etc.) and are nominated by the competent authority.

- In cases of force majeure, when 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.

- The chair of the Transdisciplinary Advisory Board or his/her representative will be invited to attend the meetings of the Governing Board as an observer without voting rights in order to follow discussion. Countries that have expressed an intention to participate in the JPI, but which are unable to engage from the outset, may send one representative to GB meetings as an observer without voting rights.

- Representatives of the Central Secretariat will attend the GB and TAB meetings in order to facilitate reporting and communication. In the GB nomination process, gender balance should be considered.

- The GB may grant JPI partners roles as observers without voting rights in the GB meetings or its Working Groups as well as participation in JPI information channels (e.g. email lists, password protected web space).

3.1.3 Admission of other 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 members may submit suggestions to the Central Secretariat, which will subsequently circulate the information to the whole GB.

- Suggestions of experts must be submitted to the Central Secretariat 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.

- Experts do not have a right to vote.

3.1.4 Chairmanship

- The GB appoints a chair from among its members, who takes up office for a term of 2 years with the possibility of reappointment following approval by the GB.

- The GB appoints a vice-chair with a term of office of 1 year

- The role and responsibility of the chair and the vice-chair is to prepare the agenda of GB meetings in consultation with the GB and assisted by the Central Secretariat. A further role is to moderate and preside over meeting discussions from a neutral position with the objective of integrating different perspectives with the view to find consensus in case of conflict.

- During meetings, the chairs transfer their voting rights and functions as their respective country's spokesperson to their co-representatives to enable them to chair the meeting from a neutral position.

- The chair of the GB acts as the JPI spokesperson and formally represents the JPI vis-à-vis external bodies as regards GB opinions, ongoing reporting, integration and forwarding requested information to the GB, if necessary in collaboration with the CS.

- Assisted by the CS, the chair assures the transfer of ongoing communication and information flows to JPI partners.

3.1.5 Governing Board Meetings

- The Governing Board meets at least once a year.

- 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 additional meeting.

- If appropriate, members of the Governing Board may also participate in meetings by telephone conference, video-conference or other means of communication.

- Meeting minutes will be prepared by the Central Secretariat and approved by the respective GB chairs. The minutes will encompass adopted items, relevant minority opinions and important information on the work of the JPI provided during the meeting. The minutes are to be sent out to GB members within one week, with submission of return comments required within 10 working days. Following expiration of this term, the minutes will be considered accepted by the representatives. The 10 working days term recommences where a revised version of the minutes based on commentaries in the original version is sent out.

- Insofar as possible, meeting dates will be fixed one year in advance.

3.1.6 Preparatory documents

- Preparatory documents for GB meetings will be forwarded to the members by the Central Secretariat at least 14 working days prior to each meeting.

3.1.7 Operational budget

- The GB may decide to vote on a specific annual budget for the operational costs (e.g. CS) of the JPI. The agreement on budgetary matters should be sought in the common interest of the members, to make the JPI operational without detracting from individual financial willingness and availability.

- This operational budget is independent of any programming budget. The Central Secretariat will analyse the annual budgetary requirements and send a draft budget to GB members at least 4 weeks prior to the next meeting.

- Voting Members that are unable to pay despite their agreement on overall budgetary provisions, may allow other members to bear their costs according to the following procedure. In the event that 1-2 members fail to find the means to cover their part of the budget, two possibilities exist: 1) some or all of the other members may volunteer to cover the budget by contributing more; or 2) the other members may decline to pay additional costs, in which case the non-paying member(s) will revert to observer status for a maximum period of one year. If any members are still unable to pay following this period, they will be withdrawn from the JPI.

- The GB may decide to vote on a specific annual budget for the operational costs through a possible CSA (EC Coordination and Support Action), acknowledging the substantial contributions of the JPI members during the preparation phase of JPI Climate, committed through constituent national research investments.

3.1.8 Quorum

- To ensure the quality of discussions and the involvement of the JPI members, the presence of at least two-thirds of the participating members will constitute the quorum necessary for the meeting to be valid.

3.1.9 Voting

- Insofar as possible, decisions of the Governing Board will 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.

- The absence of one or several members does not affect the result of the vote as long as the quorum is respected.

- Each participating country will have one vote in the Governing Board, irrespective of the number of its representatives. The vote shall be indivisible. If the voting member cannot attend a specific meeting, the vote transfers to the second representative automatically if present. Alternatively, the vote may be transferred to a third party

(including other national representatives) by personal communication to the Central Secretariat.

- The required majority may vary for different issues:

  - Adoption of the operational budget: unanimity of all countries represented in the GB is required.

  - Adoption of governance rules: 2/3 of all countries represented in the GB, consensus is sought

  - Changes to Terms of Reference (TAB, Groups): 2/3 of all countries represented in the GB.

  - Adoption of the common vision papers and strategic papers: 2/3 of all countries represented in the GB.

- Considering the non-voting character of the membership of the European Commission, in principle, when matters under discussion in the GB relate to European Community aspects (e.g. EU RTD Framework Programme), decisions should be sought in a consensual process with the European Commission. However, the ultimate decision making powers of the Governing Board remain.

- Suggestions for specific initiatives: any number of countries willing to participate will suffice. In order to foster transparency, new initiatives are communicated to the Central Secretariat, which then immediately informs GB members of the issue and invites participation.

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

3.1.10 Written procedure

- Decisions of the Governing Board are 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 consented by the GB.

- A written procedure may take the form of an electronic 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.

- The JPI members are informed without delay on the outcome of a written procedure.

3.1.11 Conflict of Interest

- Members of the Governing Board 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.

- If any members of the Governing Board consider themselves to be in a situation that could give rise to a potential conflict of interest, they are to raise the issue with the chair, who in turn will inform the GB.

- The Governing Board then has to decide whether the member in question may participate in the discussion. The Governing Board will take a decision listing the situations considered as conflicts of interest.

3.1.12 Confidentiality

- Members or any other person attending the Governing Board are to respect the confidential character of Governing Board discussions.

3.2 Working Groups (WG)

The operational and programmatic activities of the JPI will be conducted by Working Groups, appointed by the GB and headed by up to two members. Members of the Working Groups will be the representatives of the JPI members. The Working Groups prepare working papers on the operational and programmatic activities of the JPI (e.g. this paper, see 'GB mandate') that are to be adopted by the GB.

The Working Groups can decide to demand advise for the activities by ad-hoc expert panels.

Possible Working Group *operational tasks* are:

- Revising the governance structure of the JPI

- Developing and revising the Strategic Research Agenda (SRA)

- Analysis and assessment of transnational activity vehicles such as joint initiatives and joint calls; developing and revising implementation schemes for research programs

- Developing and revising communication and dissemination schemes (dissemination and use of research findings, IPR)

- Developing and revising transnational activity evaluation procedures (peer-review)

- Monitoring and facilitating independent evaluations of the JPI according to its guiding principles

Possible Working Group *programmatic tasks* are:

- Implementing the SRA in terms of transnational activities based on the SRA (sub-) modules and joint research areas between the modules

- Communicating and reconciling programming activities with national and transnational partner initiatives

Each Working Group is to propose a spokesperson to the GB to represent the Working Group in the Management Committee. The Working Group spokespersons are recommended to be appointed in consideration of national representation within the Management Committee.

3.3 Management Committee (MC)

The Management Committee consists of one spokesperson from each Working Group appointed by its members. A member state not represented in the Management Committee by a spokesperson may nominate on a voluntary basis one national representative to attend the Management Committee meetings.

The Management Committee is responsible for:

- Overseeing operational management and implementation of the JPI;

- Facilitating activity coordination as well as the communication and information flow between Working Groups;

- Reporting to the Governing Board on Working Group progress;

- Maintaining the information flow on Working Group activities to JPI members.

The Management Committee is headed by a rotating chair, to be appointed by all members of the Management Committee at the end of each meeting for the following period. Supported by the Central Secretariat, the chair will be responsible for scheduling, preparing and chairing the Management Committee.

3.4 Central Secretariat (CS)

- The overall coordination and day-to-day management of the initiative will be supported by the Central Secretariat, set up as early in the process as possible. The office will work with the GB and MC chairs and report to the Governing Board and Management Committee.

- Specific parts of the JPI can be managed by separate programme nodes, including partner programmes, represented in the GB.

- The CS consists of permanent staff members and can be extended by associated staff members, e.g. from JPI partners . The composition will be discussed and adopted by the GB.

- Central Secretariat tasks will be:

1. to assist JPI bodies (GB, MC, WGs, expert boards) by preparing meetings;

2. to assist the chair of the GB in preparing the agenda for GB meetings;

3. to take minutes of GB, MC and TAB meetings – the minutes are to be sent out to participants and GB members within one week, with submission of return comments required within 10 working days. Following expiration of this term, the minutes will be considered accepted by the representatives. The term of 10 working days recommences where a revised version of the minutes based on commentaries in the original version is sent out.

4. to ensure proper implementation of the GB decisions and to monitor follow-up of the action lists established by the GB and its WGs;

5. to assure an efficient coordination between the various JPI bodies (GB, MC, WGs, expert boards);

6. to disseminate information and structure the collaboration with other initiatives;

7. to assure institutional links through information provided by GB and expert board members;

8. to identify and communicate with stakeholders groups (e.g. decision-makers from politics, business and civil society) in order to provide information to the GB and MC;

9. to identify and assure coordination with other European and international initiatives (ERA-NETs, other JPIs, other initiatives in same research areas) in order to provide information to the GB and MC;

10. to link with the Working Groups;

11. to ensure the communication and dissemination of information concerning this JPI;

12. to facilitate the process of joint activities (e.g. joint strategic planning, joint calls).

3.5 Expert Forum

- The group of experts from both science and the relevant societal stakeholder groups that provide information and support the development and implementation of the JPI are framed within the JPI Expert Forum (EF)

- The CS registers these experts within an EF database in order to facilitate continuity in terms of expert involvement as well as facilitate procedural transparency in JPI operations.

- For the sake of transparency, the GB and MC are informed about experts who are invited by individual GB members to contribute to specific tasks in JPI operations.

3.5.1 Transdisciplinary Advisory Board (TAB)

- The GB will appoint a Transdisciplinary Advisory Board (TAB) consisting of scientists and representatives of relevant stakeholder organisations (e.g., policy-making/administration, business organisations, civil society / NGO). Upon request by the GB, the TAB advises the GB on scientific orientation and revisions of the JPI.

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

- The term of office of members of the board will be two years. Corresponding to the specific requirement for expertise at the respective state of JPI development and implementation, a board member may be reappointed following approval by the GB.

- The members of the TAB are among the members of the Expert Forum.

Mandate

The Transdisciplinary Advisory Board will critically review and comment on

1. the common strategic vision presented by the GB. Review is particularly demanded with respect to global priorities (e.g. UN COP Process, GEO, Millenium Development Goals, ICSU Grand Challenges and Global Change Programmes) and the status of research based on the JPI Strategic Research Agenda;

2. the list of priority themes presented by the GB by the end of 2011, as a basis for developing and implementing research programmes and calls;

3. the lists of evaluators presented by the GB in order to facilitate independent evaluations of JPI operations, when deemed necessary;

4. other key JPI 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 operations.

In order to fulfil these functions and produce the outputs defined in the terms of reference, supported by the Central Secretariat, intercommunication between both the TAB members themselves and with the GB and MC is expected between meetings.

Composition of the Transdisciplinary Advisory Board

The TAB will consist of up to 25 persons from relevant research fields and stakeholder groups (to be defined by the GB) with at least 50% share of stakeholder representatives.

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:

- Members of the TAB will be elected from a list established by the Central Secretariat in cooperation with JPI members: The GB representation of each JPI member can nominate up to 4 scientific and 4 stakeholder candidates for the TAB. A synthesis list of all candidates will be prepared by the CS and sent out to the JPI members.

- The election of the TAB is organised by the CS in a virtual and confidential mode (via Email or web-tool) in which each JPI member has 8 votes for the scientific candidates and 4 votes for the stakeholder candidates.

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;

- 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:

1. Representation of a broad group of stakeholders at a strategic, long-term level;

2. Active involvement in and experience with decision making and societal innovation in the context of climate change

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.

Chairmanship of the Transdisciplinary Advisory Board

The chair of the TAB will be elected from among its members and serve for 1 year with the possibility of reappointment following approval by the GB.

Transdisciplinary Advisory Board Meetings

- The TAB will meet at least once a year. It is expected that TAB members will communicate with each other and, if necessary, also with the Governing Board to meet the objectives of the JPI.

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

- Subject to notification to the TAB chair at least 5 working days in advance, two representatives of the Governing Board, including the GB and MC chair if possible, may attend the TAB meetings as observers nominated by the GB.

- Representatives of the Central Secretariat will also attend TAB meetings.

Quorum

- To ensure the quality of discussions and the involvement of most TAB members, the presence of at least two-thirds of the scientific TAB members AND two-thirds of the stakeholder organisation TAB members will constitute the quorum necessary for the meeting to be valid.

- 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 tele-conference.

Voting

- The Transdisciplinary Advisory Board shall take its decisions as far as possible by consensus of its members present or by voting, on proposal from the Chair. In the case of a vote, at least two-thirds of the present scientific board members AND two-thirds of the present members of stakeholder organisations in the Transdisciplinary Advisory Board are needed to pass a decision.

- Insofar as possible, decisions of the Transdisciplinary Advisory Board will be taken by consensus or by simple vote of the members present following a commensurate proposal from the chair. In the case of voting, to adopt a decision the presence of at least two-thirds of the scientific TAB members AND two-thirds of the stakeholder organisation TAB members is required.

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

Conflict of Interest

- 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.

- If any members of the TAB consider themselves to be in a situation that could give rise to a potential conflict of interest, they are to raise the issue with the chair, who in turn will inform the TAB members. The TAB then has to decide whether the member in question may participate in the discussion. The Governing Board will take a decision listing the situations considered as conflicts of interest.

3.5.2 Expert Panel of Working Groups (EP)

- Each Working Group may appoint an Expert Panel in agreement with the GB to provide information for its operations.

- The members of the Expert Panel will serve in their individual capacity as independent experts.

- The members of the Expert Panel are listed among the members of the Expert Forum.

- Each WG decides on the size, composition and term of office of its expert panel in agreement with the GB.

- Given the orientation of the JPI vision and activities towards societal innovation and utilisation of research findings, each WG is advised to include representatives of relevant stakeholder organisations (e.g., policy-making/administration, business organisations, civil society/NGO) in its advisory board. Each WG will report to the GB on its approach of stakeholder participation in the advisory board to assure that stakeholder perspectives are taken into account.

Mandate

- Advise the WG in developing research objectives and setting up a list of priority themes as a basis for developing and implementing joint activities.

- Propose to the WG the competences needed to cover the boundaries defined

- Propose to the WG approaches to the proposed research questions

- Advise the WG on JPI implementation

4. Appendix: Guiding principles in detail

Several guiding principles on which JPI operations should be based have been explicitly and implicitly formulated in discussions up to this point. The principles derive from both the thematic contents addressed by the JPI as well as the strategic objectives of the JPI concept itself. The guiding principles provide support to assure coherence between 'what' we are working on and 'how' we are working.

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

In this respect it is important to note that these principles do not represent obligations. More accurately, the guiding principles represent procedural objectives that broaden the scope for advancements and provide motivation for constant improvement.

For these reasons the principles and related objectives have been formulated ambitiously and patently do not need to be adhered to immediately.

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

4.1 Sustainability principle

Objective:

Taking into account the challenges of climate change in the work of the JPI based on active reflection of operations (e.g. "green meetings") and formulating 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 the JPI, the members of the JPI governance seek to contribute to mitigating the carbon footprint of its work. In doing so, the JPI governance is committed to increasing the credibility of climate impact research and functioning as a role model for other groups of society in terms of responsible science.

Operationalization:

- In general, the organisation of virtual and non-virtual meetings within the JPI governance shell is organised in acknowledgement of the UNEP <u>Green Meeting Guide</u>[1].

- Acknowledging the importance of personal meetings to promote team building and direct exchange among members, the JPI governance, however, seeks to explore <u>virtual, carbon-friendly modes of inter-personal exchange</u>. Novel forms of communication, such as video conferences and web-based, 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 the JPI.

- For the case of non-virtual meetings, the JPI members are encouraged to use <u>(night-) trains as mode for long distance travel</u> 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 <u>carbon offsetting</u> schemes for their air travels.

4.2 Stakeholder orientation principle

Objective:

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

Rationale:

The JPI "Connecting Climate Knowledge for Europe" 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.

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[1]   http://www.greeningtheblue.org/resources/meetings

Operationalization:

- Integration of relevant stakeholder-groups (e.g. from politics, business, civil society) into the governance structure

- Allow stakeholders an <u>active collaboration</u> within the JPI that goes beyond mere consultation, in order to ensure that their voice and perspectives are integrated into the work of the JPI

4.3 Adaptability principle

Objective:

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

Rationale:

The JPI 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 the JPI's mission will be subject to shifting and novel research needs and priorities. The JPI's governance structure therefore needs to allow for the adaptation of the JPI's operations to these changing framework conditions where necessary.

Operationalization:

- Biennial revision of <u>governance structure</u>

- Biennial revision of <u>research themes and priorities</u>

- Allow <u>bottom-up initiatives and partner-institutions</u> to propose novel research topics for further definition.

4.4 Transparency principle

Objective:

To base the collaborative efforts encompassed within JPI 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 the JPI, fostering both is a prerequisite for successful completion of the JPI mission. Allowing access to knowledge and information within the JPI – 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.

Operationalization:

- Accessibility to working documents (work in progress) for all JPI members

- Involvement of all JPI members in email conversations on issues concerning the overall operations of the JPI

- Accessibility and continuous updating of adopted working documents on the JPI homepage for both internal and external use

- Use of copyleft[2] access rights of JPI documents based on the creative commons licence[3]

- Recommendation of using open data formats (e.g., *.odt, *.odf)

4.5 Cost efficiency principle

Objective:

To limit superfluous duplication of scientific/technical 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 operations is therefore to use its existing resources in a cost-efficient manner. In order to meet this objective, the JPI needs to assess the availability of present and potential joint initiatives and joint calls at European level pertaining to

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[2] http://en.wikipedia.org/wiki/Copyleft

[3] http://creativecommons.org

the same or related topics to build up inter-linkages and streamline activities with potential partner initiatives..

Operationalization:

- Mapping <u>potential partner initiatives</u>

- Establishing <u>continuous communication</u> with these initiatives

- <u>Reconciling agendas and operations</u> with important partner initiatives interested in cooperation; exploration of joint initiatives

- Involving important partner initiatives interested in cooperation <u>as observers in JPI governance.</u>