

***Terms of Reference
of the Governance and Management Structure
for the Joint Programming Initiative
“Water Challenges for a Changing World”***

As approved by GB15 decisions.

1. Preamble

On May 4th 2010, the High Level Group for Joint Programming (GPC) endorsed the Joint Programming Initiative (JPI) “Water Challenges for a Changing World” (the Water JPI). The initiative was defined through a Vision Document which identified Research, Development and Innovation (RDI) needs at a high level. These are further developed and detailed in the Strategic Research & Innovation Agenda (SRIA).

European water policy has ambitious goals and calls for the strengthening and further integration of European RDI in the field of water. In addition, the world will face a number of global challenges in the coming decades. With an estimated population of 9.7 billion inhabitants by 2050, there will be a rise in water, energy and food demand (50 %, 30 % and 40 % respectively, with 2005 as the base year).

This will require the development of new knowledge and the reinforcing of mechanisms for knowledge and technology transfer to end-users. Joint Programming Initiatives focus on the harmonisation of public research and innovation activities. The Water Joint Programming Initiative aims at tackling the ambitious challenge of achieving sustainable water systems for a sustainable economy in Europe and abroad. This will be obtained through a multi-disciplinary approach encompassing economic, ecological, societal and technological considerations.

This document sets out the Terms of Reference of the Water JPI.

2. The Water JPI Management Structure

2.1. Composition

The Water JPI Management Structure shall be composed of:

- **Governing Board (GB);**
- **Management Board (MB);**
- **Advisory Boards (AB);**
- **Task Forces (TF); and**
- **Coordinator and Secretariat.**

The Governing Board (GB) is the decision making body. It will seek advice from the Management Board (MB), the Advisory Boards (AB) and Task Forces (TF). The MB will support the GB in all aspects concerning the preparation and implementation of decisions. TFs will be conceived as “ad-hoc” groups. They will be set up to respond to specific technical, scientific or administrative demands of the GB and/or the MB. The JPI Coordinator and Secretariat will organise the day to day management and will implement the tasks assigned to it by the GB and the MB, reporting to both of them.

These JPI bodies will exert their mandate with the utmost regard to transparency and fairness. Decisions will be governed by equal treatment of all partners and taking all relevant ethical considerations into account. This management structure shall have an initial lifespan of five years. Modifications to this management structure shall be approved by the GB.

2.2. Participation

Three levels of membership are proposed to Partner Countries willing to participate in Water JPI activities, from to the lowest level of engagement to the most:

- **Observer:** for those having mutual interest in funding research and innovation in Water challenges and willing to know more about Water JPI activities with an engagement on a pilot joint action;
- **Associated Partner:** for those which began a successful cooperation with the Water JPI and are willing to engage more by committing to the Water JPI Vision and means of getting involved in more than one joint multilateral action; and finally
- **Full member:** for those which have strong commitment to the Water JPI Vision and Missions (Alignment, European Networking, International Cooperation, ...), a history of successful cooperation with the Water JPI and want to get involved in more than one joint action and to contribute to the JPI strategy and functioning. Full member status gives access to voting at the GB with the corresponding duties of contributing to JPI functioning via fees and/or in-kind).

Any **Member State (MS) of the European Union or any Associated Country (AC)** to the European Framework Programme can be a Partner of this JPI. All JPI Partners will be represented at the GB.

Others countries (neither MS nor AC) can participate in Joint Research Calls without being full members, associated partners or observers. Such countries may join the Water JPI as observers and launch some cooperation by participating to JPI Joint activities. After a period of 2 years of association in activities, they may be integrated as full Members, with the approval of the GB. See section 2.10 below for further details.

Candidates should inform the Chair of the GB in writing of their intention to join. Equally, JPI Partners whatever their level of membership can cease any time by informing the Chair of the GB in writing. The Chair of the GB will, in turn, inform all Partners of these changes. GB meetings will start by reviewing changes in the composition of the Water JPI participating countries.

2.3. The Governing Board (GB)

The GB is the ultimate body responsible for the JPI, dealing with JPI policy and strategic issues. Its strategic decisions are based on advice provided by the MB and AB. The GB is composed of a Chair, a Vice-Chair and members (Water JPI participating countries and the European Commission).

Representation and voting rules:

All Water JPI partner countries are to be represented in the GB through national delegations (National delegates). At least one of the national delegates must be affiliated to a **programme owner institution**. Additional country representatives (Technical Advisors) can attend GB meetings to advise the National Delegate. GB members must be nominated in writing by RDI Programme Owner Institutions within each Partner Country.

A voting member of the GB or their technical advisors may not simultaneously be members of the AB, the Coordinator and secretariat, participant in a JPI supporting project or evaluator of proposals for the JPI, in order to avoid any conflict of interest related to the implementation rules of the Water JPI. This rule will not apply to projects co-funded by the European Commission (EC) to support JPI activities.

The voting role resides with the national delegates affiliated to programme owner institutions that are full members of the Water JPI. Each national delegation can only have one vote (**one country = one vote**). If national delegations are represented by more than one programme owner institution, delegates will agree on a unique national position and they will vote accordingly (the one country–one vote principle will still apply).

Any GB full member may be represented at the GB by another natural person by virtue or written proxy. Nonetheless, any GB member may only hold three proxies for another JPI GB full member.

Associated Partners and Observer countries are invited to participate in the discussions, although they cannot participate in decision making processes. Therefore, the EC, Associated and Observer countries act as non-voting members.

GB's Role and Functions:

The roles and functions of the GB include:

- To elect the Chair and Vice-Chair for a period of two years;
- To establish and update a 10-year Vision Document of the JPI, including the definition of the challenges and objectives;
- To adopt the Terms of Reference (ToR) for different governance aspects;
- To establish and update a 5-year Strategic Research and Innovation Agenda (SRIA) covering the aspects of research, development and innovation needed to accomplish the JPI objectives;
- To elaborate the implementation plan of activities derived from the SRIA;
- To adopt the composition of the other JPI boards;

- To approve contributions from Partner Countries in joint actions and make budgetary arrangements;
- To adopt calls for proposals and other joint activities following the principle of variable geometry;
- To implement the guidelines for Framework Conditions; and
- To report to Full Member, Associated Partner and Observer Countries, to the High Level Group for Joint Programming (GPC) or upcoming equivalent Strategic Body, to the European Institutions and to any other political bodies.

JPI Chair and Vice-Chair:

Candidates for the chair of the Water JPI shall submit a proposal to the GB outlining their priorities for the upcoming period at least 3 months in advance of a GB meeting. If there is more than one candidate the GB shall decide on the new chair by a majority vote.

The Chair and the Vice-Chair should be appointed from among the JPI full members. They should propose to hold these positions in accordance with the JPI governance rules.

Upon her/his appointment as Chair and Vice-Chair, they will cease to be a member of the GB and should be replaced by their Country according to article 2 of these Terms of Reference.

The Water JPI Vice-Chair shall automatically take the place of the Chair if the Chair cannot attend to his/her duties.

At the end of the Chair's term of office, the Vice-Chair could be the incoming Chair. The transfer of vice-Chair to Chair will enter into force following approval by the GB.

The terms of office of Chair and Vice-Chair shall begin on the first day after their predecessors' term of office, with the possibility of one reappointment. In case of absence of nominee at this stage, the current Chair and/or Vice-Chair could remain in place for a maximum of 24 months more, at either first or second appointment, or until a replacement is found.

Meetings:

The GB shall meet at least once a year, although more meetings should be held if considered necessary. Additional meetings may be organised upon request of any of the members of the GB, or upon request of its Chair.

The Full Members of the GB may also participate in urgent meetings by telephone conference, videoconference or other means of communication. Any decision so taken by the GB shall only be valid and effective if confirmed in writing by at least 50% of the Full Members without undue delay after such a meeting.

A draft agenda for a GB meeting shall be forwarded to the full members of the Governing Board and shall be adopted at the beginning of each meeting. The draft agenda and other meeting documents should reach National Delegates at least one week before the meeting.

Decisions:

Points requiring decisions shall be indicated in the agenda. With the agreement of the Full members present, urgent questions may be added to the agenda at any time prior to the end of the meeting. Items on the agenda may be deleted or carried over to a subsequent meeting with the approval of the members present or represented.

More than half of the JPI Full Members shall constitute the quorum necessary for the GB meeting to be valid. In the absence of the quorum, the Chair may discuss the agenda items with the present partners, will close the meeting without making decisions and will convene another GB meeting as soon as possible.

Abstentions, blank or invalid vote do not count in the calculation of the majority.

The GB shall take its decisions as far as possible by consensus. However, in the absence of consensus, decisions shall be taken by a voting of its members present, upon suggestion from the Chair. Decisions at the GB will be made by majority.

Voting can be done by show of hand, by secret ballot (for sensitive matters and for any other purposes upon request of a minimum of 1/3 of the GB members present) or by electronic means in real time.

Without prejudices of the present ToR, voting can also validly be done by electronic voting or voting by correspondence prior to the GB meeting by giving written instructions to the JPI Chair. This electronic or by correspondence vote has to cast its vote without reserves, without presenting an amendment to the proposal and without submitting its vote in favour to any condition.

Every electronic vote or vote by correspondence validly cast two hours before the starting time of the GB meeting is taken into consideration for the calculation of the quorum of attendance. If the proposal on which an electronic or by correspondence vote had been cast is subsequently validly changed by the GB during the meeting, the said electronic or by correspondence vote is considered as null and void, but the nullity of the vote will not challenge the calculation of the attendance quorum.

The draft minutes - including the attendance list, a summary of the discussions, decisions and adopted resolutions - shall be forwarded to the Water JPI Members, Associated Partners and Observers shortly after the meeting. Comments and/or objections will be forwarded to the Chair, and a consolidated draft will be produced. The draft minutes shall be definitively approved at the beginning of the next GB meeting. The final minutes will be posted on the Water JPI Intranet.

A member of the GB or their technical advisors shall not participate in any decision where a situation or circumstance of a personal or professional nature can compromise his/her availability to decide in the interest of best performing his/her objectives and tasks. If a member of the GB or their technical advisors considers himself/herself to be in a situation of potential conflict of interest he/she shall raise the issue with the Chair. The GB will decide whether he/she may participate in the discussion.

2.4. The Management Board (MB)

The MB is the executive body of the Water JPI. The purpose of the MB is to implement the strategy defined and issued by the GB, to which the MB is subordinated. A high degree of coordination is expected between the GB and the MB.

The MB will be composed of up to 7 members, acting on the basis of in-kind contributions. The MB will be composed of natural persons and it will include:

- The Chair and the Vice-Chair of the Water JPI;
- GB members coordinating ongoing supporting project(s);
- Task Force leaders who will report back on progress made; and

- Additional MB members upon expression of interest and approval by the GB for 2-year mandates.

The MB is chaired by the JPI Vice-chair. The Water JPI coordinator is an Observer of the MB. The Chairs of the Scientific and Technological Board (STB) and Stakeholder Advisory Group (SAG) (and/or their delegates) could be invited to the MB for specific discussion.

Any member of the GB or Work Package (WP) / task leaders of supporting projects may be invited to attend a MB meeting as an observer at their own expense.

The MB will seek to meet, where possible, once every three months. Its roles and functions include:

- To draft the implementation plan for the strategy elaborated by the GB;
- To advise the future Call Steering Committees (CSC) on the Terms of Reference for calls for proposals and the Guides for proposers for each call;
- To coordinate the implementation and follow-up of other Joint Activities;
- To elaborate a financial plan proposal for the Water JPI (in connection with the supporting projects); and
- To coordinate the Forward Looking Activities (FLA), the programme research activities (calls for proposals), the assessment of JPI impact, the training activities, and the dissemination of results.

Attendance and Personnel time in relation to the MB activities should be provided as in-kind contributions by its members.

A draft agenda for a MB meeting shall be forwarded to the members of the MB and GB and shall be adopted at the beginning of each meeting. The draft agenda and other meeting documents should reach MB and GB members one week before the meeting.

The MB shall adopt resolutions as far as possible by consensus. However, in the absence of consensus, resolutions shall be taken by a voting of its members present, upon suggestion from the Water JPI Coordinator.

The draft minutes - including the attendance list, a summary of the discussions, decisions and adopted resolutions - shall be forwarded to the MB members shortly after the meeting. Comments and/or objections will be forwarded to the Water JPI Coordinator, and a consolidated draft will be produced. The draft minutes shall be definitively approved at the beginning of the next MB meeting. The final minutes will be posted on the Water JPI Intranet.

A member of the MB shall not participate in any decision where a situation or circumstance of a personal or professional nature can compromise his/her availability to decide in the interest of best performing his/her objectives and tasks. If a member of the MB considers himself/herself to be in a situation of potential conflict of interest he/she shall raise the issue with the Water JPI Coordinator. The MB will decide whether he/she may participate in the discussion. A member in the MB may not (at an individual level) simultaneously be a member of the AB, a participant in a JPI project or an evaluator of proposals for the JPI. This rule will not apply to projects co-funded by the EC to support JPI activities.

2.5. The JPI Coordinator

The JPI Coordinator will be selected by the MB, elected by the GB for a mandate of at least 3-years with the possibility of reappointment and will be appointed by the GB member hosting the

Coordination and Secretariat (C/S) team as decided by GB. The term of office of the JPI Coordinator shall begin on the first day after their predecessors' term of office ends. He/she will be responsible for the organisation and realisation of JPI activities (under the GB control), in collaboration with the JPI secretariat and the satellite institutions ^{Note 1}, in order to implement all the identified JPI tasks within agreed timeframes and to the appropriate quality.

Note 1 *Satellite institutions*

Satellite institutions are institutions located remotely from the C/S team who carry out some of the activities of the Water JPI. Any team proposing to operate these satellite activities should have the necessary skills, tools and time commitment to ensure that they can carry out the activities to a high standard and within the expected timeframe. The team to which the tasks will be delegated shall sign a letter of commitment on the terms of reference for the specific tasks. Once approved by the GB, the Water JPI Coordinator will ensure the distribution and quality control of tasks.

The JPI Coordinator, who is the head of the JPI Secretariat, has specific responsibility for:

- Coordination of JPI activities, by facilitating the process of the joint activities (such as SRIA development, joint calls, alignment activities, knowledge hubs and communication), ensuring coherence in the long-term operational activities of the Water JPI and monitoring the follow-up of the different joint actions;
- Ensuring efficient coordination between the different bodies and supporting the exchanges between them;
- Implementation of tasks assigned by MB and GB - Assisting the GB, the MB, the TFs, and the AB by proposal of agendas, moderation of the exchanges, proper planning and implementation of the measures/decisions of the JPI bodies;
- Proposing strategy, procedures and action plans to the MB and the GB and overseeing their implementation;
- Ensuring coherence in the long-term operational activities of the Water JPI and monitoring the follow-up of the different JPI actions;
- Managing election and renewal process of the AB, in close cooperation with the MB;
- Answering inquiries on behalf of the Water JPI in cooperation with the relevant key partners;
- On request of the GB, developing new institutional links with the key stakeholders, the EC, the other JPIs and ERA-NETs, ensuring efficient communication with new stakeholders; and
- Communication and dissemination of information about the Water JPI activities at institutional (International, European and national levels) as well as at conferences, workshops and relevant events.

2.6. The JPI Secretariat

The Water JPI will have a permanently staffed Secretariat hosted by a Water JPI member. The Water JPI Secretariat reports to the Coordinator and provides technical support to the Chair, Vice-Chair, the GB, the MB, the AB and TFs, taking care of the administrative implementation of JPI internal instruments. It will be staffed by suitably qualified technical staff and supervised by the Coordinator of the Water JPI.

Its **roles and functions** include:

- Making necessary arrangements for the proper organisation and timetable of the meetings within the management structure;
- Assisting the GB, MB, AB and TFs with the preparation of documents, reviews and reports;

- Ensuring the necessary logistical coordination and communication among different bodies of the management structure and the TFs;
- Organising communication activities (meetings, stakeholder public consultations, relevant events ...) and dissemination materials (generic presentation, posters, flyers...) with the relevant JPI Partners, Ensuring the dissemination of information with relevant stakeholders (Water JPI public consultation, events / workshop invitations, roundtable participation, ...);
- Maintaining the IT tools for communicating on JPI daily life; Ensuring and following general and regular updates of the website and intranet; Assisting Partners in their requests of updates and/or IT issues;
- Maintaining and updating the databases and platforms providing information on Water related RDI projects, infrastructures, etc;
- Compiling, archiving (filing) and transmitting reports and other documents (minutes of the meetings) submitted to it;
- Implementing the necessary budgetary arrangements to run the management structure;
- Organising communication activities;
- Reporting to the Partner Countries (whatever their level of membership) and the EC, other JPIs and GPC or upcoming equivalent Strategic Body on purely administrative issues; and
- Any other duties requested by the JPI Coordinator.

See the reference **Duties** document for the list of activities of the different components of the Water JPI structure. The GB will have to approve any change of duties of C/S tasks.

2.7. The Advisory Boards (AB)

The ABs give advice to the GB and MB on specific issues as requested. **Two independent bodies**, the Scientific and Technological Board and the Stakeholder Advisory Group perform these tasks. The GB decides on the size and membership of these bodies according to its needs. ABs are appointed in accordance with procedures agreed by the GB and outlined in Appendix 1 below.

The members of the AB work in an honorary capacity and are not employed by the Water JPI to undertake their role. Members are reimbursed for their travel expenses related to the Water JPI activities.

2.7.1. The Scientific and Technological Board (STB)

The STB is comprised of Academic and Industrial experts conducting research, development and innovation in the fields of interest of the Water JPI. Members of the STB shall be visionary senior experts with recognised leadership in the specific relevant fields covered by the Water JPI. They shall come from public or private research and development institutions. The members of the STB, up to a maximum number of 11, shall serve in their individual capacity, independent of national or institutional affiliation. They shall be elected from among the most pre-eminent scientists in the field. Their integrity shall be beyond doubt.

Criteria for nomination are:

- Expertise in at least one of the SRIA areas which are connected to key challenges for water issues;
- Outstanding academic record (publications in peer-reviewed journals, patents / licenses) and international visibility and reputation;
- Recent and active participation at European and International levels (e.g.: RTD projects, evaluation committee); and

- Participation in science-policy initiatives.

Members of the STB shall be appointed by voting of the GB for a term of 3 years, with the possibility of a second and subsequent appointment. GB also approves a “reserve list” to support decision in case of any renouncement or too low profile participant.

The STB Chair and STB Vice-Chair shall be elected from among its members, for a term of 3 years, with the possibility of a second appointment.

The purpose of the STB is:

- To provide input to the GB, from a scientific and technological perspective, on the main JPI documents and activities;
- To support the Management Board in assessing and monitoring the progress and the impact of the JPI outputs and activities;
- To provide advice for the alignment and harmonization of the research priorities and programmes of the Partner countries;
- To identify scientific topics in synergy with those mentioned by the EC within each Work Programme and by the Partner Countries;
- To propose these topics to the GB for approval, closely related to the Strategic Research and Innovation Agendas (SRIAs) and the Implementation Plans (IPs) defined at the Water JPI Partners countries and at the EU; and
- To provide advice and support for evaluation procedures and any other scientific and lobbying activity.

Its **roles and functions** include:

- To inform on the scientific and technological issues requested by the GB or expressed by stakeholders from an Academic/Industrial perspective; and
- To contribute to the JPI long term strategy.

Meetings:

The STB shall meet as deemed necessary by its members in order to fulfil the requirements of the JPI, as requested by the GB or the MB. Members of the GB and MB may attend the STB meetings as observers. The STB shall take its decisions by consensus of its members present or by voting (simple majority), on proposal from the STB Chair.

The STB, or some of its members, may be required to advise the GB or MB without the need for a formal meeting.

Decisions:

Each decision adopted shall be reflected on at meetings of the STB. A statement of the views may be entered in the minutes along with the decision, if a member so requests.

A member of the STB shall not participate in any decision where a situation or circumstance of a personal or professional nature can compromise his/her availability to decide in the interest of best performing his/her objectives and tasks and must leave the room on this particular agenda point. If the member of the STB considers himself/herself to be in a situation of potential conflict of interest he/she should raise the issue with the Chair of the STB, who in turn shall inform the members of the STB. The STB shall decide on whether he/she may participate in the discussion.

2.7.2. The Stakeholder Advisory Group (SAG)

The SAG will represent the water industry, local/national policy makers, users, NGOs, etc. with one representative per institution. The members of the SAG, up to a maximum number of 12 and appointed by the Institution they are affiliated to, shall contribute to the board with the views of their respective institutions. They shall be elected among the most pre-eminent institutions and professionals in the field. Their independence and integrity shall be beyond doubt.

The purpose of the SAG is:

- To serve as the key means for stakeholders to interact with the Water JPI;
- To provide input to the GB from the RDI user perspective;
- To define urgent research, development and innovation needs in synergy with those mentioned by the EC, within each Work Programme of the Framework Programme and by the Member States and the Associated Countries; and
- To advise on the implementation of the SRIA and on the impact of the Water JPI actions for the stakeholders.

Members of the SAG shall be appointed by voting of the GB for a term of 3 years, with the possibility of a second and subsequent appointment.

The SAG Chair and SAG Vice-Chair shall be elected from among its members, for a term of 3 years, with the possibility of a second appointment.

Its **roles and functions** include:

- To provide input to the GB from the stakeholders' perspectives on the main JPI documents and activities;
- To provide and assess scientific issues from the stakeholders' perspectives; &
- To contribute to the Water JPI short term strategy.

Meetings:

The SAG shall meet as necessary to fulfil the requirement of the JPI, as requested by the GB or the MB. Members of the GB and MB may attend the SAG meetings as observers. The SAG shall take its decisions by consensus of its members present or by voting (simple majority), on proposal from the Chair.

The SAG or some of its members may be required to advise the GB or MB without the need for a formal meeting.

Decisions:

Each decision adopted shall be reflected on at meetings of the SAG. A statement of the views may be entered in the minutes along with the decision, if a member so requests.

A member of the SAG shall not participate in any decision where a situation or circumstance of a personal or professional nature can compromise his/her availability to decide in the interest of best performing his/her objectives and tasks and must leave the room on this particular agenda point. If the member of the SAG considers himself/herself to be in a situation of potential conflict of interest he/she should raise the issue with the Chair of the SAG, who in turn informs the members of the SAG. The SAG shall decide on whether he/she may participate in the discussion.

The AB will be the link between the JPI activities and ongoing national, international and EC-funded activities.

The rules governing the participation of AB members in Water JPI joint research calls are laid down in a separate document.

2.9. Task Forces (TF)

TFs are established on a temporary basis to address a specific issue.

TFs are composed of delegates from the Water JPI member or partner countries who decide to voluntarily participate in specific activities proposed by the GB or the MB. Their mandate is therefore determined by the GB and/or the MB.

The number of members on a TF is not predetermined - its composition and duration being adjusted to emerging needs and the voluntary participation of Water JPI countries. Members of the STB and the SAG may be invited to join a TF.

TFs will meet as necessary in order to achieve the objectives for which they were created. The minutes of TF meetings as well as the work plan stemming from discussions will be made available under all circumstances to the MB and to the GB.

2.9. Funding and Finance

The secretariat will prepare a budget for the coming years. The budget has to be approved by the GB for a two years period.

The principles underlying the funding of the Water JPI are that i) membership should not be endangered by the introduction of fees; ii) each country to have a single vote regardless of the Member contribution paid and iii) JPI Member contributions should be shared between all members.

The aim is to move to a more sustainable funding model over time, while keeping the member participation affordable and allowing for the widening of the network. This model will:

- Maximise the use of EC funding via the available supporting projects for each year during the transition phase (2019-2020).
- Member contributions will then cover the remaining needs for financing the core C/S operations, with a hierarchy in the in-kind contributions before defining fees.

The transition phase of the move to a more sustainable financial model (2019-2020) shall be considered as a pilot for the long-term sustainability of the Water JPI. The GB should reconsider this decision after the transition phase at the end of 2020 taking account of the maturity and stability of the Water JPI project.

Each JPI member contributes annually to the costs of running the Water JPI through a fixed voluntary fee as approved by the GB. In addition, JPI members can offer additional cash contributions or in-kind contributions in order to meet the necessary requirements for a financially sustainable C/S team. Cost of chair/vice-chair shall follow the changes of chairmanship every 2 years.

The distribution of JPI member contributions (fees and in-kind contributions) will be presented to GB on an annual basis for adjusting tasks to be performed and budget allocated and effectively received.

If the basic fee approved by the GB is insufficient for covering the remaining essential costs, the GB may decide to introduce an additional differentiate fee which shall still consider the fair principles mentioned here above.

2.9.1 In-Kind Contributions

The in-kind contributions will be assessed from time to time by the MB in order to keep the C/S manageable and efficient. Special attention will be paid to the complementary skills in the C/S team, and to the distribution of efforts between the Partners. The following costs could be covered by “in-kind contributions” of members to the core JPI activities:

- Staff proposed by a JPI Partner, working in the Water JPI coordination and secretariat office (unique location);
- Costs for hosting staff (working rooms, laptops, IT support, etc.) or meetings (e.g. hosting Water JPI meetings);
- Costs for supporting AB members’ participation in the Water JPI activities (AB meetings, Exploratory Workshops, etc.);
- Website hosting, proofreading, payments of experts’ travel.

Tasks should be measurable with concrete deliverables for the JPI activities and the Water JPI will assess, from time to time, how such in-kind contributions are measured. Terms of Reference and letter of commitment for such tasks to be performed as satellite activities are required.

2.9.2 Integration of new candidates

As the membership is continuously enlarging in line with the Water JPI openness strategy set since its creation, a differentiation between:

- Non-EU G7 members
- Non-EU G20 members
- others

is proposed in relation to the fair principles mentioned above.

2.10. Membership Status

Membership of the Water JPI shall be based on the 3-level status and the associated procedure as outlined in Appendix 2.

A periodicity of 3 years is fixed for reassessing the status of JPI members on the basis of their effective contributions and commitments to Water JPI Activities.

The participation of the economic sector in the work of the Water JPI shall be kept under review and facilitated where appropriate.

2.11. Risk Management Plan

A table of risks to be managed for the long-term, sustainable governance of the Water JPI is shown in Appendix 3. The C/S team shall undertake continuous monitoring (6 months) and update of the Risk Management Plan. Any significant modification shall be discussed and approved by the GB.

2.12. Intellectual Property Rights (IPR)

In addition of the IPR issues of the JPI funded projects, which are managed under the separate consortium agreements, the Water JPI Partners generate results, documents, products etc. that should be managed in the future between different owners and Partners in terms of access rights and may need to be properly protected (i.e. copyrights).

The IPR will be addressed at the level of the General Assemblies of the EC supporting projects, after consultation with the legal divisions of each institution of the Consortia, or at the MB level for any IPR issues not covered by EC supporting projects.

The MB shall be responsible for drafting the general IPR rules and elaborating the IPR portfolio of the Water JPI for approval by the GB.

3. Amendments

The GB may approve amendments to the present ToR of the Management Structure for the Joint Programming Initiative “Water Challenges for a Changing World”. The present Terms of Reference shall be revised by decision of the GB, at the request of at least one of its members. Amendments to the present ToR shall enter into force as soon as they are adopted by the GB.

DRAFT

APPENDIX 1 - PROCEDURE FOR RENEWAL OF WATER JPI ADVISORY BOARD MEMBERS

There are two advisory boards in the Water JPI – a Scientific and Technological Board (STB) and a Stakeholder Advisory Group (SAG) with 12 members on the SAG and 11 members on the STB. Both are appointed for a period of 3 years.

Appointments to SAG

The identification of the 12 most relevant stakeholder bodies is made by the Water JPI and SAG members (plus substitutes) are nominated by those different bodies. As a result, the only requirement of the Water JPI is to review the selection of the most relevant stakeholder bodies from time to time and to monitor the participation of the current stakeholder bodies in the work of the SAG. A “reserve list” of relevant stakeholders has been constituted with additional suggestions from current Advisory Boards and Water JPI members. This reserve list will be used to replace any low profile SAG member for GB decision-making.

Appointments to STB

A 6-step approach to the renewal of the STB from 2018 onwards is outlined below.

Step 1

The Water JPI Management Board (MB) reviews the participation and contribution of the existing STB members and decides on the 5 to be replaced in 2018.

Step 2

The MB agrees a list of disciplines that should, ideally, be represented on the STB (e.g. environmental engineering, hydrology, chemistry, biology, microbiology, public health, sociology, resource economics etc.).

Step 3

GB members are asked to list their best experts in each of the disciplines identified in step 2. No contact is made with these experts at this stage.

Step 4

The MB appoints a Task Force (TF) to look at the careers and publications of the nominated people and the TF ranks the nominees or selects the top 2 or 3 in each discipline. The TF also suggests which disciplines should be appointed in 2018 and which should wait until 2019.

Step 5

The suggested disciplines and shortlist of experts in each discipline are presented to the GB for their approval. The GB makes the final decision on the ranking and proposes a candidate and a reserve for each vacant position on the STB if numbers allow. The Water JPI Coordinator writes to the top 5 experts inviting them to join the STB for a period of 3 years. If an expert refuses then the position is offered to the reserve in that discipline.

Step 6

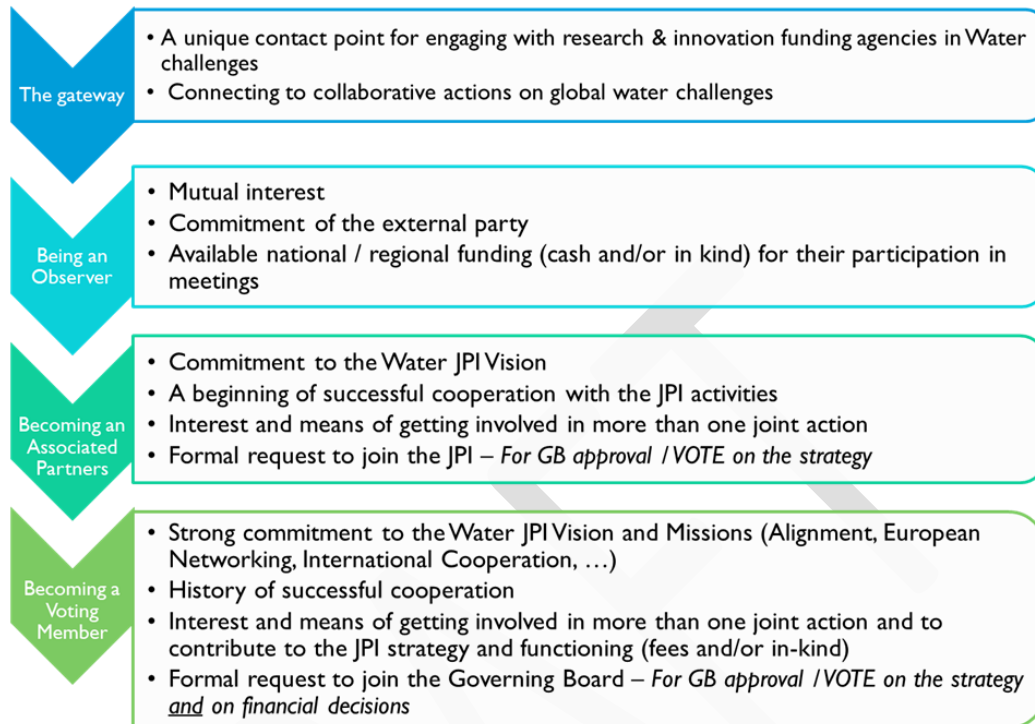
In 2019 step 5 is repeated for the other 5 positions falling vacant

In this way there will be a 1 year overlap with half of the previous STB followed by a 2 year period with the new board. The entire process is repeated in 2021 and every 3 years thereafter.

APPENDIX 2 - ENGAGING WITH THE WATER JPI

Proposal for “Associated Partner” (in joint activities), “Observer” and “Member”

Engaging with the Water JPI - Funders



SHARED VALUES

- **Complementarity willingness and ability** : being active in the same field and conducting similar / complementary work or planning to do so in future
- **Action-oriented**: launching jointly concrete and feasible proposals for cooperation
- **Impact-driven**: seeking international cooperation in those strategic research and innovation areas in which greater impact is ensured through such cooperation
- **Sustained interest-driven**: as set out in the Water JPI SRIA, identifying priorities for international cooperation based on the strategic interests of its member and only take forward those actions for which the member countries can maintain the level of engagement necessary to bring the cooperation to a successful outcome.
- **Reciprocal commitment**: considering the synergies between the JPI SRIA and the national priorities to align in the future their national research objectives
- **Openness**: being open to: i) external partners and, where relevant, have some budget or resource to finance and support joint actions, and ii) new emerging topics in order to achieve critical mass and develop innovative solutions in the most appropriate timing.
- **Added Value**: building on and complementing existing cooperation initiatives which have high impact and visibility, especially where these enable channels to 'end-users'
- **Efficient**: seeking and covering low transaction cost actions, as international cooperation is inherently expensive and time consuming
- **Shared values**: applying these values in their actions (e.g. for Responsible Research and Innovation)

APPENDIX 4 - RISK MANAGEMENT PLAN

In the table below all significant risks to the Water JPI operation, as well as the likelihood, impact and associated response strategy are listed.

Type: General / Internal / External **Probability / Impact:** Low / Medium / High

Activities	Risk	Type	Probability & Impact	Mitigation action
JOINT GLOBAL ACTIVITIES				
Vision Document	1 - Failure to involve water end-users for effective RDI results uptake. 2 - Failure to attain critical mass of research programmes. 3 - Failure to reach effective, sustainable coordination of European Water RDI. 4 - Failure to harmonise national water RDI Agendas and activities in partner countries. 5 - Failure to support European leadership in science and technology.	External/ Internal	1-4 - Medium 5 - Low	1-5 - Focus on excellence. 1-5 - Promote continuous improvement. 1-5 - Enhance strategic and business planning. Improved focus and perspective on risk. 1-5 - Sound communication strategy for the dissemination and exploitation of research results. 1-5 - Translation of research results into specific policy recommendations. 1-5 - Ensure powerful political support to the Water JPI.
SRIA flexible and full updates	1 - Lack of input from AB members 2 - Lack of input from all/some interest groups (as flexible updates are done on an open consultation basis)	External/ Internal	1-2 - Medium	1/2 - Active dissemination of the impact already achieved via SRIA actions to motivate contribution. 1/2 - Coordination/MB will keep regular communication with AB members to encourage participation and to show their participation is valued. 1/2 - When required, the AB are requested to submit deliveries, like information papers, reports, etc.. 1/2 - Coordination/MB will consider the possibility to select/invite other members/participants. 1/2 - Involve AB members and selected interest groups in dissemination events or others. 1/2 - Identify the barriers to participation in order to determine the AB members/participants capacities in terms of time and make the necessary adjustments.

Activities	Risk	Type	Probability & Impact	Mitigation action
JOINT TRANSNATIONAL CALLS				
Launch of Joint Transnational Calls (JTC)	1 - Low level of dissemination of call 2 - Low response from researchers 3 - Inadequate budget / low funding commitments 4 - Major countries not participating 5 - Change of partner during the activity Withdrawal of a funder from the call	External/ Internal	1 - Low 2 - Low 3 - Medium 4 - Medium 5 - Low	1 - Sound communication strategy. Exploitation of intranet/social media. 2 - The SRIA covers all priority research topics/needs and is regularly reviewed and updated with the engagement of the research community and relevant stakeholders. 3 - Rules set to balance the requested vs the funds available and reinforce them. Rules for the use of the Cofund. 4 - Funding agencies are encouraged to participate in the identification of research needs and general and regional challenges. Sound communication strategy for the dissemination and exploitation of research results. 5 - Ensure the Memorandum of Understanding (MoU) includes contingency actions to change of partners during the activity or withdrawal of a funder.
Eligibility conditions for participating in JTC	1 - Changes in eligibility during the call 2 - Changes between two calls 3 - Participation of several funders from the same country or region	Internal	1 - Low 2 - Low 3 - Low	1-3 - Well-structured MoU, with clearly defined rules and procedures. 2-3 - Well structures call documents, with clearly defines rules and procedures. 1-3 - Hold workshops on good practices to harmonize procedures among participants.
Final evaluation of proposals	1 - High quality projects not funded due to shortfall in budget	Internal	1 - Low	1 - The engagement of this Principal Investigator in the Knowledge Hub and Thematic Annual Programming (TAP) instruments will be encouraged and supported.
Monitoring and final evaluation of JTC funded projects	1 - Funded projects do not provide excellent science nor respond to the societal challenge 2 - Solo-runs from funded projects going to press/media in their local region on unverified results (reputational risk for Water JPI)	External	1 - Low 2 - Low	1 - The mid-term evaluation identifies all barriers to the good development of the projects and makes recommendations /suggestions for improvement when needed to both the PIs and the Steering Committee. 2 - The Project Management Guidelines clearly regulates the PIs duties to Water JPI.
Changes in EC rules during the activities	1 - Changes in H2020 rules (e.g. ethics, reporting templates, conditions for Cofund, ...) 2 - New rules for FP9	External	1 - Low 2 - Medium	1/2 - Good and regular communication with the EC officers. 1/2 - Good and regular communication among Water JPI members and associate partners. Information is timely available to all partners along with clear instructions on feedback/actions needed.

Activities	Risk	Type	Probability & Impact	Mitigation action
Current Cofund Additional Activities	1 - Show limited ambition and delivery for the implementation of the Water JPI as a whole	Internal	1 - Low	1 - Focus on strategic goals and priorities. Explore new opportunities. Ex ante impact analysis of the planned activities.
Thematic / exploratory workshops	1 - No budget for experts 2 - Low interest in participation	Internal	1 - Low/ Medium 2 - Low	1 - Appropriate budget to tasks and participant partners/experts is thoroughly planned. Definition of a more mature and stable financial plan for the Water JPI. More efficient use of existing resources, better pooling of efforts. Better exploitation of opportunities. 2 - Good communication plan that can attract and engage agencies, researchers and stakeholders. Prior to the development of the workshop explain the importance of knowing participants opinions and encourage their active contribution.
ALIGNMENT				
Establish first knowledge hub	1 - No budget for the knowledge hub activities 2 - Low interest of researchers and stakeholders to participate in the knowledge hub 3 - Failure to ensure the sustainability of the knowledge hub after the end of the supporting project	Internal	1 - Low/ Medium 2 - Low 3 - Medium	1/2 - Good communication plan that can attract and engage agencies, researchers and stakeholders. 1/2 - Appropriate budget to tasks and participant partners/experts is thoroughly planned. 3 - Definition of a more mature and stable financial plan for the Water JPI. More efficient use of existing resources, better pooling of efforts. Better exploitation of opportunities.
Establish infrastructure/ mobility platform	1 - No budget to fund the support to mobility / infrastructure, or to fund a new scheme 2 - Low interest of researchers in infrastructures/ mobility platform 3 - Failure to ensure the sustainability of the platform after the end of the supporting project	Internal	1 - Medium 2 - Low 3 - Medium	1 - Appropriate budget to tasks and participant partners/experts is thoroughly planned. 1/2 - Comprehensive communication plan that can attract and engage funding agencies, researchers and stakeholders. 3 - Definition of a more mature and stable financial plan for the Water JPI. More efficient use of existing resources, better pooling of efforts. Better exploitation of opportunities.
Other alignment activities	1 - No willingness to commit resources (cash and in-kind) to support / facilitate the case studies	Internal	1 - Medium / High 2 - Low	1/2 - Sound communication strategy capable of attracting and engaging funding agencies, researchers and stakeholders. Appropriate budget to tasks and participant partners/experts is thoroughly planned.

Activities	Risk	Type	Probability & Impact	Mitigation action
	2 - No interest from Water JPI partners and associate members to participate in alignment activities.			Definition of a more mature and stable financial plan for the Water JPI. More efficient use of existing resources, better pooling of efforts. Better exploitation of opportunities.
DISSEMINATION AND EXPLOITATION OF RESULTS				
Exploitation of results	1 - insufficient exploitation of RDI results or JPI activities outputs	Internal / External	1 - Medium	Develop and apply Dissemination and Exploitation Plan for all funded projects and a general one for the JPI.
Outreach activities: Conference Public relations with EC/EP, main stakeholders Impact of JPI communication	1 -No budget for such activities No budget for inviting experts No human resources and budget for such activities 2 - Low impact on stakeholders communities	Internal	1 - Low 2 - Low	1/2 - Sound communication strategy. Exploitation of intranet/social media. Regular analysis of statistics on the use of the Water JPI webpage to monitor visitors flow and increase the diffusion in time. Engagement with local media and other existing networks to increase the visibility of the Water JPI. Definition of a sustainability plan. Follow-up of the indicators
Communication on water JPI activities	1 - Insufficient communication			Sound communication strategy. Exploitation of intranet/social media.
JPI MANAGEMENT				
JPI Membership	1 -Reduction of the current membership 2 - High turnover in the partnership 3 - Lack of information of the relevant people for each activity 4 - Loss of key personnel from the partnership, consortium, governance and management bodies 5 - Low level of engagement in activities	External/ Internal	1 - Low 2 - Medium 3 - Low 4 - Medium 5 - Medium	1-5 - Close monitoring. Understanding of the underlying questions and mitigation plan tailored to the specifics of the situation identified. 1 - Expand the strategic scope of the Water JPI by targeting international partners. 2 - Coordination will promote members engagement through meetings with member organisations in order to explain the relevance and added value of the Water JPI and encourage them to increase their level of commitment. 3 - Coordination/MB will keep regular communication with Water JPI members and associate partners to discuss potential barriers and tackle them as soon as they are identified. 4 - Explain the importance of the activity and the problems and goals that will not be addressed because of reduced participation or reduced funding. If situation does not change other partners will be engaged in the tasks. 5 - Prioritize partners which have shown a high level of commitment. Identify actions/activities that can be performed by members without major funding. Coordination will meet with WP leaders and participants to identify the skills they feel they

Activities	Risk	Type	Probability & Impact	Mitigation action
				would benefit from or need to acquire in order to participate in an activity. 1-5 - Ensure powerful political support to the Water JPI.
Activities “à la carte”	1 - Continuity of the partnership Economic, social and political uncertainties impacting JPI partners 2 - Insufficient Information on activities occurring in other areas / supporting projects	External/ Internal	1 - Low 2 - Medium	1 - Implement a more sustainable funding model. 2 - Sound communication strategy for the dissemination of activities and exploitation of results. Coordination will use the internet and social media to disseminate information on ongoing activities.
Governance	1 - Governance discrepancies between the JPI and the supporting projects management bodies	Internal	1 - Medium	1 - If happening, the JPI GB should discuss the situation in order to clarify goals and propose solutions. Coordination will meet with the supporting projects management bodies to present an action plan and obtain agreement that priorities and values remain unchanged. Explain the problems and goals that will not be addressed if changes in priority/commitment occur. ToR defines the different roles, duties and responsibilities. Sound communication strategy.
Change Water JPI Chair / Vice-Chair Renewal of MB	1 - No volunteer to take over the Chairmanship of the Water JPI/MB	Internal	1 - Medium	1 - ToR defines the different roles, duties and responsibilities. Necessary skills and resources to take over the C/S (human, infrastructure and financial resources) are clearly defined. At least 6 months before ending its term, the co-Chair / MB presents to the GB a short report listing the ongoing tasks, future commitments, immediate steps, etc. Communication space is provided to partner in order to inform about the overall development of the JPI and to express and discuss concerns.
Change Coordinator and Secretariat	1 - No volunteer to take over the C/S	Internal	1 - Medium	1 - ToR defines the different roles, duties and responsibilities. Necessary skills and resources to take over the C/S (human, infrastructure and financial resources) are clearly defined. At least 6 months before ending its term, the Coordinator presents to the GB a short report listing the ongoing tasks, future commitments, immediate steps, etc.

Activities	Risk	Type	Probability & Impact	Mitigation action
				Communication space is provided to partner in order to inform about the overall development of the JPI and to express and discuss concerns.
Launch of new joint activities in cash	1 - No coordinator for proposal 2 - Poor commitment from funders 3 - Loss of continuity	Internal/ External	1 - Medium 2 - Medium 3 - Medium	Several different types of national funding organisations gives more flexibility to participate
Monitoring of all ongoing activities	1 - Administrative burden 2 - Risk of double funding of activities planned in different supporting projects (reporting)	Internal	1 - Medium 2 - Low	1 - Good pooling of efforts within the JPI partners. Clear objectives with reasonable deadlines. Check and balance mechanisms to make each partner accountable for its responsibilities and activities. 2 - Thoroughly planned work programs and budgets to tasks and participants.
Tasks to be performed	1 - Insufficient quality of tasks to be performed by the C/S team, by the satellites, by the JPI members in charge of planned activities 2 - Delays in the tasks and deliverables	Internal	1 - Medium 2 - Medium / High	1/2 - Information of MB (and eventually of GB) for mitigation actions, Information of identified performers for requiring mitigation actions Procedure for replacement and reallocation of tasks if necessary

Version November 2019.

ENDS.