

2017 Water JPI Alignment Workshop

4th April 2017 - Stockholm, Sweden

What is alignment? GPC's perspective

Leonidas Antoniou
GPC Chair

Research Promotion Foundation, Cyprus

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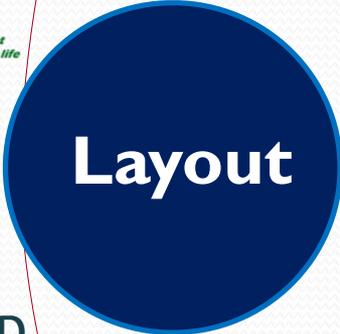
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Layout of Presentation



- Evolution and Milestones
- GPC Work on Alignment
- Conclusions and Main Message

3



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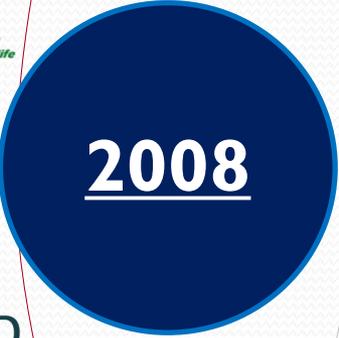


I. Milestones - Evolution


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MILE STONES

- **2017 Interim Evaluation of H2020 & FP9**
- **2016 Hernani Report**
- **2015 LUND Revisited**
- **2014 Council Conclusions**
- **2013 Dublin Conference**
- **2012 Acheson Report**
- **2011 Council approved the 2nd Wave of JPIs**
- **2010 1st wave of 3 JPIs was approved**
- **2009 LUND Declaration**
- **2008 Establishment of Joint Programming**



2008

Establishment

EC Communication (July 2008) - Council Conclusions (Dec. 2008)

Definition of JP

- MS engaging **Voluntary** and on the basis of **variable geometry** ...in the definition, development and implementation of **common strategic research agendas**...based on a common **vision** on how to address SC...



Rational

- R&I coordinated at EU level is **less than 10%** (FP+other) hence we need to have **more coordination**...
- issues are too complex for countries to tackle them individually and **budget is also limited**.
- necessity of improving the science/policy interface / dialogue - **more programmatic and strategic approach**

Criteria to identify JPIs

- ◉ **Commitment** of MS
- ◉ Theme: addresses a **European/global challenge**
- ◉ Clear and realistic **objectives**
- ◉ **Added value - Benefits citizens / competitiveness**
- ◉ Relevant **Stakeholders** have been involved

GPC
2009-10

Framework Conditions

- ◉ **peer review** procedures
- ◉ **foresight** activities and **evaluation** of JPI
- ◉ optimum **dissemination** and **use** of research findings
- ◉ funding of **cross-border** research
- ◉ **Involvement** of scientific and industry **communities**.



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**Lund
2009**



MORE YEARS

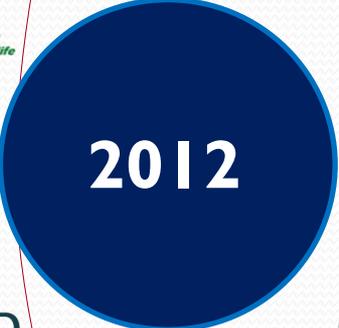
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Lund Declaration

- ...called upon MS and European Institutions to focus research on the grand challenges of our times **by moving beyond rigid thematic approaches and aligning European and national strategies and instruments...**




2012

Acheson Report

-  The overall conclusion reached by the Expert Group is that the **JPP has got off to a good start**, although the process can only reach its full potential if commitment and financial support from MS continues.
-  MS need to move away from the idea that JP is about bringing new funds to address specific research ideas in single joint calls, to a **realisation that it is about aligning existing national programmes** to tackle major societal challenges.
-  The MS should increasingly **align national strategies and programmes with the JPI SRAs**

JP Conference in Dublin

- The main conclusion gave huge emphasis on the “**alignment of strategies and research programmes and their joint implementation**”.
- MS need to renew their commitment to joint programming and **engage fully in the alignment of national research programmes**, in order to unlock the potential of joint programming and move from planning to implementation.
- The expectation was that **countries would adjust their national activities to the JPIs’ SRA/SRIA** and Implementation Plans and even to **align with the activities in other countries**.



Dublin
2013

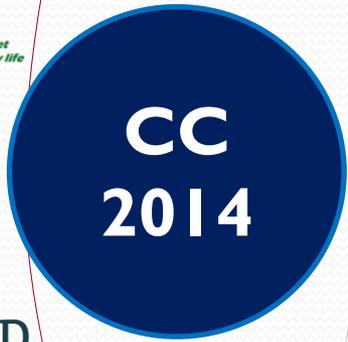


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JPI Climate





Council Conclusions

- The Conclusions considered that **the development of the ERA Roadmap should take into account alignment**, where possible, of national strategies and research programmes **with the Strategic Research Agendas of the JPIs.**




**LUND
2015**

Lund Declaration 2015

- During the last six years European institutions, MS and AC **have taken important steps to align and coordinate resources** and shift the focus towards SC...
- The **Lund Declaration 2015** therefore **emphasises the urgency of increased efforts in alignment at national and European level...**
- **4 Priority Areas:**
 - **ALIGNMENT**
 - Frontier Research and European Knowledge Base
 - Global Cooperation
 - Achieving Impact on SC



Priority Actions



- Provide **high-level political support** ensuring active participation of all MS and AC
- Step-up efforts to **align national strategies, instruments, resources and actors** to ensure an efficient and effective European approach including **smart specialisation strategies**
- Speed up necessary structural changes **to increase interoperability and openness of programmes**, in the context of national ERA roadmaps
- Agree on a common approach and design a process for **“smart alignment”** that allows **MS to jointly identify and address new challenges**.

**LUND
2015**

CULTURAL HERITAGE
A CHALLENGE FOR EUROPE

JPI
OCEANS

JPIAMR
Joint Programming Initiative
Antimicrobial Resistance

Water
JPI

JPI
a healthy diet
for a healthy life

JPND

FACCEJPI

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JPI Climate

URBAN@EUROPE

Hernani Report

- **premature to judge** whether the JPIs can be an enabler of alignment, as some of the SRA/SRIAs were only developed after 2013.
- **All of the JPIs give examples** of some countries adopting the SRA/SRIA in their national programmes but the **overall picture is quite mixed.**
- The degree of difficulty seems to vary **depending on the topic.**
 - Eg. JPND was on the research (and political) agenda of most countries and so it was easier to achieve alignment than for a more niche subject like Antimicrobial Resistance (AMR).
 - In the broader areas, such as Oceans and Urban Europe, the national landscape is more diverse and more ministries have an interest.

**Hernani
2016**

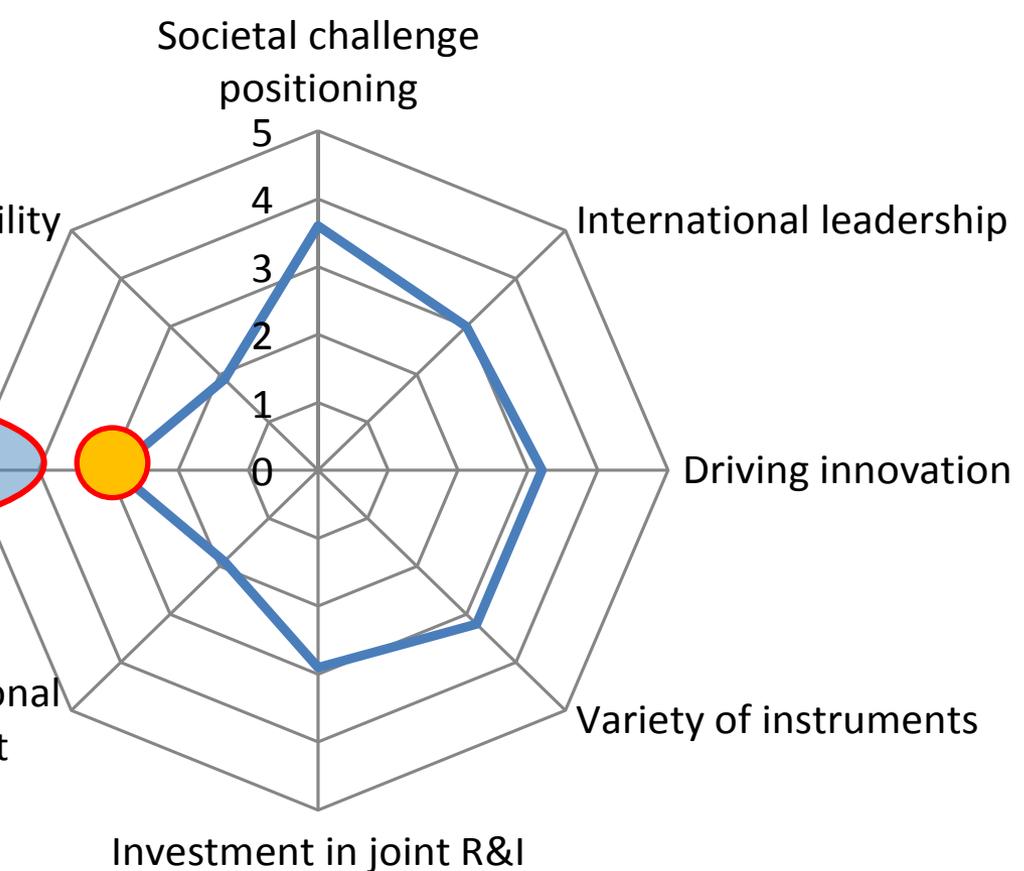


Performance Indicator

Degree of National Alignment : the extent to which the national programming systems are being aligned to the SRA/SRIA.

MOBILISATION

Degree of national alignment



JPI AVERAGE

IMPACT

Logos and text on the left side of the slide:

- CULTURAL HERITAGE A CHALLENGE FOR EUROPE
- JPI OCEANS
- jpiamr Joint Programming Initiative in Antimicrobial Resistance
- Water JPI
- JPI a healthy diet for a healthy life
- JPND
- FACCEJPI
- MORE YEARS BETTER LIVES
- JPI Climate
- URBANEUROPE

National alignment.

- a JPI has to **reach a certain level of activity**, for a country to consider it significant enough to influence national strategies, **not just the “promises” of the SRIA.**
 - the **level of representation**, both from ministries and funding agencies, would influence the importance of a JPI at the national level.
 - the national actors involved (possibly coming from different ministries) **need to be highly coordinated** to build together solid positions.
 - to be addressed in the **forthcoming National ERA Roadmaps.**
 - more **top-down commitment** and **spread of good practice** is clearly needed

Hernani
2016



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16



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WG “Alignment in the context of JPIs”

Chaired by Mogens Hørder - DK

II. GPC Work on Alignment

IG2 “Alignment and Improving Interoperability”

Chaired by Karin Schmekel – SW



WG on Alignment

Recommendations: Acheson Report - Dublin Conference



The Working Group was tasked:

- to explore the **concept of alignment** and to develop a common understanding of the ways of alignment in the context of Joint Programming
- to produce **practical recommendations** and implement actions that leads to alignment
- to make proposals for establishing **measurable targets to help monitoring** the progress of alignment



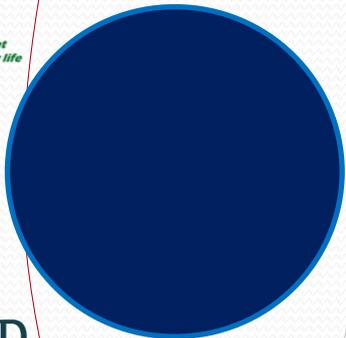


Definition

“Alignment is the strategic approach taken by MS’ to *modify their national programmes, priorities or activities* as a consequence of the adoption of joint research priorities in the context of Joint Programming with a view to implement changes *to improve efficiency of investment in research at the level of MS and ERA.*”

Successful alignment

- Mapping of current research and gaps in MS
- Joint transnational calls
- Knowledge Hubs – networking and capacity building
- Catalysing development of national strategies
- Calibration and standardization of methodologies
- Development of transnational procedures for prioritizing, evaluation and decisions on funding



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Barriers for Alignment

- The lack of national priorities of research within the field of the SRA of the JPI
- Bottom-up approach to research funding makes it difficult to identify areas for alignment
- More than one funding agency in one MS and non-synchronized timing of funding transnational
- Lack of capacity building on JP/Alignment in MS- leads to lack of trust and confidence –and building of experience
- Excellence as THE ultimate priority does not always lead to alignment



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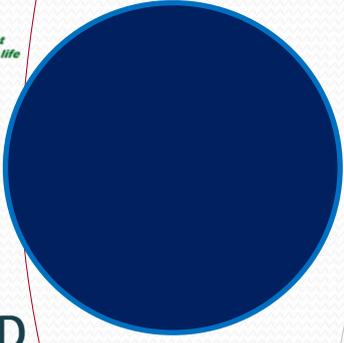
Recommendations - MS

- Stronger interministerial coordination is needed, involving commitment and funding from several ministries (and their related funding agencies).
- New ways of engaging institutions should be addressed by policy makers, by developing a coordinated approach for institutional and project-based funding.
- Alignment is catalysed when there is a national top-down (i.e. strategic) programme/strategy in the domain. Member States do not necessarily need thematic programmes that exactly mirror a JPI's SRA but they do need a national strategic approach towards the respective challenge. It is essential that this engagement is visible and long-standing.
- Special awareness is needed if JPIs are funded entirely bottom-up by a MS, ie national programmes do not exist in that domain.

GPC WG



Recommendations for actions of JPIs



- JPIs should look into aligning all actions spanning the programming cycle: from joint foresight, development of strategic research agenda to joint processes of research practices, funding, implementation and ex-post evaluation. Mobilization of in kind resources (e.g. joining up research infrastructures)
- JPIs should use different actions and tools based on the type of challenge they are dealing with, on the kind existing national programmes and on the available economic, human and technical resources and based on the phase of development they are in at a given point in time.
- Different actions that enable alignment within participating Member and Associated States are brought together in a JPI. Good practices should be further developed and eventually become best practices, shared among JPIs and promoted throughout Member States. Actual good practices will change over time depending on the three phases of the JPI.

Recommendations for Alignment in the perspective of ERA

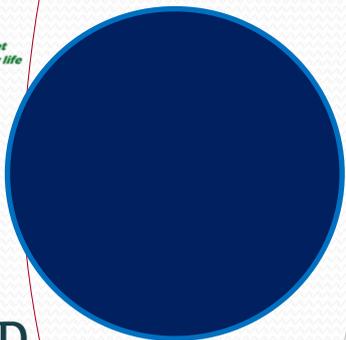
- The alignment of national policies/programmes towards JPIs is pivotal for the role of JPIs in ERA.
- JPIs should become platforms for strategic programming and foresight for Member States working jointly together according to the identified good practices for alignment.
- The European Commission should facilitate the process of alignment by mapping, monitoring and evaluating the synergetic actions taken in the domains of societal challenges between Member States and between Member States and the EU-level.

GPC WG



Recommendations for monitoring the progress of alignment

- The JPI should continuously define which good practices for alignment it will apply and then monitor the implementation of these. With time it can test different alignment activities. Overall JPIs will gain experience and a growing number of good practices will be applied and implemented.
- The MS should identify how much its own “programmes, priorities and activities” have changed since its commitment to the JPI and/or the adoption of the SRA.-e.g. change in the:
 - content of research
 - volume of research ,
 - way the programme/activity is executed
 - research output.
- The GPC should regularly monitor the progress of alignment as achieved by the individual JPIs and MS.



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Governance of the national JPI process



GPC IG2

“The aim is not to state how the national alignment should be achieved, but rather to describe the goal and find good arguments for the work towards efficiency and better alignment of tools and processes. Every country will have its own way to accomplish this.”



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For the roles and responsibilities in the national JPI process

Concern of the government:

- commitment to the joint programming process in the context of ERA
- national governance of the JPI process
- financial support and steering
- result assessment
- active participation in GPC

Support to the government from the national JPI representatives:

- sharing best practice
- highlight benefits for society
- annual reporting from each JPI is recommended/example of best practice
- identifying obstacles that cannot be solved at the individual JPI level

GPC IG2



For the communication between the government and the JPIs

The national JPI governance structure should facilitate coordination at all levels.

- All relevant ministries have the joint responsibility to process shared experiences and formulate a common national policy for the JPIs
- JPIs benefit from inter-ministerial advisory groups/dialogue
- A national working group should exchange experiences which would then constitute the basis for policy making
- The GPC representative(s) should participate in/drive the national JPI governance coordination

GPC IG2



Mutual Learning Exercise (MLE)

- conducted within the **Policy Support Facility** to explore new ideas and solutions for:
 - (i) increasing the commitment of the MS and AC to the JPP,
 - (ii) **enhancing alignment of strategies and programmes**, and
 - (iii) improving interoperability between ERA and EU instruments
- The first MLE sequence: **National Coordination**
Duration: July 2016 - June 2017
To support MS in designing, implementing and/or evaluating different policy instruments in relation to:
 - National preconditions for participation in JPP/JPI
 - National governance structures
 - Communication flows and visibility

**GPC
MLE**



IG3 "Monitoring and Evaluating JPIs"



**GPC
IG3**



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Topic dimensions facets		Engagement dimensions facets		Governance dimensions facets		Results dimensions facets		
Value Added	Relevance	Critical Mass	Number of Countries	Value Added	Alignment	Value Added	Societal Benefits	
	Societal Benefits		Quality of Actors	Focus	Leadership		R&D&I	
	Internationalisation		Track Record		Maturity	Strategic Vision	Focus	Internationalisation
	Track Record		Commitment	Resources		Leadership	Maturity	Leadership
Focus	Internationalisation		Robustness	Sustainability	Maturity	Strategic Vision	Efficiency	Knowledge Transfer
	R&D&I			Relevance		Commitment		Fragmentation
	Resilience	Track Record		Robustness	Sustainability	Structuring Effect	Internationalisation	
Inclusiveness	Quality of Actors	Openness	Alignment					
Structuring Effect	Inclusiveness	Coverage	Inclusiveness	Robustness	Openness	Structuring Effect	Internationalisation	
Coverage	Alignment		Openness		Strategic Vision			Alignment

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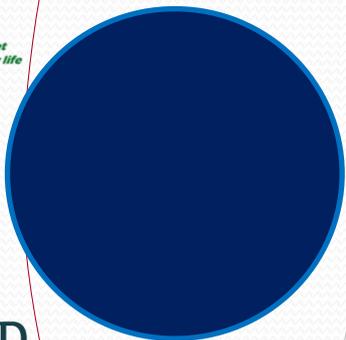
III. Conclusions and Main Message

JP contribution to ERA

- Creation of a **shared vision on specific societal challenges** and on a **mission-oriented process to address them** with a variety of appropriate tools.
 - Create synergies by reducing **fragmentation** and by **aligning** national agendas
 - Increasing the **impact** of national R&I investments and fostering innovative approaches to cross-border collaboration
 - Gateways for **scientific excellence, societal relevance** and **international cooperation**.
- Using their SRIA as a basis, the JPIs have engaged in a broad variety of joint actions such as calls, knowledge hubs, infrastructure and data sharing, foresight, mapping and international outreach.

Conclusions

- There were expectations in the beginning of the process that through JPIs substantial additional funds for research on societal challenges could be mobilized.
- These expectations have not been realistic and could not be fulfilled. In times of budgetary constraints, it was naïve to believe that MS would mobilize large additional resources for transnational initiatives with a pilot character.
- The JPIs have refined their concept and developed into strategic hubs/platforms for their respective challenge in pursue of strategic alignment. Performing calls is still an objective, but by far not the only one or the most important one. The GPC fully supports this development and its further pursue.



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Main Challenges

Impact

- Pay close attention to, and **monitor the impact of JPIs** on alignment and added value for science and society at a national, European and global scale.
- The JPP should have a clear focus on **science/policy interface**, as well as **Open Access**, proactive **knowledge transfer** and other **innovation actions** including a closer link with innovation-oriented initiatives (KIC, EIP, JTI...).

Future Role of JP

- The P2Ps **have the potential to successfully contribute to the task** of tackling SC by structuring the R&I landscape in their areas.
 - JP can be an **extensive and successful** attempt for advancing alignment of national policies and programmes targeting common SC.
 - In the next FP, **P2Ps should act as major partner of the EC** in the definition of future R&I programmes in the area of SCs.
 - In order to be able to play such a political role, P2Ps **need to focus more on developing into strategic hubs** for their respective challenges.

Conclusions



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Next steps:

- Implement the suggested national governance process
- Inter-country alignment and interoperability needs → MLE
- Potential future targets:
 - Institutional alignment
 - Design of national programs in the spirit of European alignment
 - Full common pot and generous virtual common pot calls
 - Legal entity alternatives for JPIs



Main Message:

- recognizes: **room for further development and improvement**
- considers the achievements of the JPIs and the overall JPP as **promising and as a highly valuable contribution** to the advancement of the ERA.
- considers the resources and efforts invested in the JPP are an **obligation to continue and strengthen** this form of partnership.
- **supports further investment** into JPIs and the JPP in general.
- **willing to be open** to an evolving world, adapt to changes in a flexible way, and to learn and improve.

Conclusions



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Thank You



lanto@research.org.cy - +357 22 205024 - www.research.org.cy