



CSA
OCEANS
JPI Oceans support action


SEVENTH FRAMEWORK
PROGRAMME

Scoping Pilot Actions



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TOWARDS PILOT ACTIONS: A BRIEF HISTORY

At an early stage in the development of JPI Oceans it became clear that one or a few pilot actions should be initiated apart from engaging in the process leading to the development of the SRIA. The added values of pilot actions are manifold, but the two most important reasons for developing pilot actions can be summarized as follows:

1. To show to stakeholders (and members of JPI Oceans) that the coordination platform JPI Oceans is indeed able to plan, prepare and execute joint actions;
2. to engage in a process of “learning by doing” with respect to new ways of collaborating and coordinating actions according to the principles of Joint Programming.

The different bodies of JPI Oceans, including the Management Board (MB) and the Strategic Advisory Board (StAB) adopted the idea of pilot actions with enthusiasm and asked for a framework in terms of definition and evaluation criteria. In spite of having received a reasonably high number of ideas and proposals, the MB decided to launch a small number of pilot actions with a restricted scope and temporal extent, considering their main aims as stated above. Nonetheless, this experience showed that member countries and their institutions have a very positive attitude towards joint actions and are willing to engage in activities coordinated by JPI Oceans.

When deciding to implement three pilot actions, the MB also tasked one member country (lead country) to take responsibility for the further development of each of the pilot actions. Having a committed leader (i.e., a JPI member country) was put forward as one of the main criteria and pre-requisites for adopting pilot actions in the context of JPI Oceans. The countries in charge of the pilot actions (The Netherlands, Ministry for Economic Affairs; Germany, Ministry for Education and Research) have agreed to implement the pilot actions in collaboration with partners inside and outside JPI Oceans. They will report to the MB on a regular basis.

In the meantime different countries and representatives within JPI Oceans have put forward new ideas for pilot actions, substantiating the view that joint actions are well-appreciated and that countries and institutions have growing confidence in Joint Programming as suitable and fruitful platform to coordinate research efforts with a trans-national dimension. One new pilot action has recently been adopted by the MB. All other ideas and initiatives have been set aside for further consideration as too many pilot actions may dilute attention and produce an action overload for the secretariat.

DEFINITION AND EVALUATION CRITERIA

To facilitate the process of proposing, selecting and eventually implementing pilot actions, different documents were prepared providing a working definition for pilot actions, a description of their general aims and purposes and developing evaluation criteria for pilot actions. These criteria as well as general thoughts on aims and purposes could serve as a basis for developing conceptual and procedural frameworks for full-fledged actions of JPI Oceans in future. In this way these preparatory documents and discussions leading to them fulfilled aim (2) as stated above. By engaging in this process all partners and JPI-bodies accumulated valuable knowledge and experience on collaborative actions. They can be considered core documents for this deliverable.

The definition and criteria for pilot actions as well as procedures for their implementation are closely related to WP2. These aspects will therefore be further discussed in several deliverables included in WP2, such as D2.4 (Proposal for procedures for design and management of joint actions) and D2.5 (Report workshop on selecting, evaluating, and monitoring different types of joint actions).

BACKGROUND & DEFINITION

Pilot actions are small-scale trials or test cases, limited in time and scope. They are called pilot actions because they will be implemented with the primary objective to test procedures and instruments of cooperation and coordination in the framework of JPI Oceans. Pilot actions are not based on the Strategic Research and Innovation Agenda (SRIA), which is currently in development. Routine procedures and well-known instruments such as simple calls for proposals shall not be the prime focus of pilot actions as they have been extensively tested through ERA-nets and other European initiatives. A pilot action should demonstrate the added value of JPI Oceans as a coordinating and integrating platform. Proposals for pilot actions should clearly be linked to the goals and objectives of JPI Oceans, as expressed in the Vision document. They should be fit for purpose and could take on a number of different forms (incl. any combination of them), as stated below. Pilot actions are also supposed to test and provide potential templates for activities to be developed on the basis of the SRIA.

A pilot action is an early action that aims at testing new instruments for cooperation and coordination in the framework of JPI Oceans. Pilot actions shall demonstrate the added value of joint programming.

GUIDELINES FOR THE EVALUATION OF PILOT ACTIONS

GENERAL

JPI Oceans aims at addressing societal needs and challenges related to marine and maritime issues by coordinating national research activities. Particular attention is given to activities promoting the aims and objectives of JPI Oceans as described in the Vision document.

Pilot actions are important for the development of JPI Oceans for several reasons. Firstly, they provide practical examples which can be used to test procedures for setting up and implementing joint actions in the framework of JPI Oceans, accounting for the principle of variable geometry and aiming at exploring and exploiting synergies among participating countries to the benefit of all. In this way, pilot actions will pave the way towards full-fledged actions of JPI Oceans based on the SRIA. Secondly, pilot actions will be launched in order to demonstrate the added value and benefits of cross-border coordination of national research activities. Successful pilot actions will strongly enhance the credibility of JPI Oceans as a useful and strong platform to align national research

agendas and to initiate novel joint actions, that surpass the traditional model of joint funding calls. Thirdly, they can provide valuable input on how the SRIA of JPI Oceans can be implemented, especially with respect to testing procedures and establishing baselines for monitoring, reporting and communication.

To achieve these goals, pilot actions will have to be rather limited in scope and in time, and the approach to their implementation will be practical and pragmatic, drawing on established structures, processes and funds. Yet, pilot actions will add value to existing national and international initiatives by creating smart links between them.

The selection of pilot action proposals should be based on a critical assessment of their relevance, feasibility, and added value for JPI Oceans. Based on these principles, criteria have to be developed to facilitate the selection process for evaluating and adopting new proposals for pilot actions. These criteria and principles may also be used as basis for developing assessment criteria for future actions of JPI Oceans based on the SRIA.

CRITERIA FOR THE EVALUATION OF PILOT ACTIONS

The following criteria should facilitate the assessment of proposals for pilot actions. They provide a simple tool for assessing the relevance and maturity of proposed pilot actions prior to taking them forward in the direction of implementation. A fact sheet, to be filled in by proposers of pilot actions, is supposed to provide all relevant information for this assessment. The criteria can be grouped into four equally important categories. Pilot actions considered for implementation should be assessed positively on all of the four main criteria.

❖ BASIC REQUIREMENTS & FEASIBILITY

- The pilot action addresses cross-cutting issues in line with the goals and objectives of JPI Oceans, as expressed in the VISION DOCUMENT.
- The pilot action will have a quick start, making primarily use of existing capacities and resources. Pilot actions should ideally be aimed at “low hanging fruit”.
- The pilot action requires the support of at least 4 countries represented in JPI Oceans.
- The pilot action has a committed leader¹.

❖ RELEVANCE & IMPACT

- The pilot action explores and utilises synergies and complementarities between countries and /or capacities and/or scientific fields and/or science-industry-society to reach a common goal.
- The pilot action avoids unnecessary duplication of efforts by enhancing cooperation and/or coordination.
- The pilot action can potentially produces tangible outcomes within a time frame of 1-3 years.

❖ ADDED VALUE FOR JPI OCEANS

- The pilot action tests modes of collaboration among countries for aligning national research programs, thereby contributing to an operational model for joint programming.

¹ *i.e., a member country of JPI Oceans*

- The pilot action strengthens structures or processes that facilitate future collaboration of partners in JPI Oceans.

PROPOSED CRITERIA FOR THE SELECTION OF PILOT ACTIONS

The following criteria should guide and facilitate the assessment of proposals for pilot actions by the Management Board and shall serve as a basis for evaluating the relevance of proposed pilot actions for JPI Oceans. Consequently, the proposed criteria should be used as a guideline for a preliminary assessment of how well a proposed pilot action fits the primary purpose of testing new modes and instruments and cooperation relevant to JPI Oceans. It is important to highlight that these criteria have not been devised to provide a ranking of proposals. The suggested criteria should serve as guideline for the MB to choose the most relevant and feasible pilot actions. They merely provide the StAB and the MB with some tools for assessing the relevance and maturity of proposed pilot actions prior to taking them forward in the direction of implementation.

The following criteria have been developed:

<i>General eligibility</i>		
1	May the pilot action cause a prejudice to any of the partners in JPI Oceans?	YES/NO
2	Does the pilot action clearly address cross-cutting issues between the marine environment, climate change and the maritime economy, relevant for JPI Ocean (as described in the vision document)? Which ones in particular?	<i>explain</i>
3	Does the pilot action fit the goals and objectives of JPI Oceans? Which ones in particular?	<i>explain</i>
<i>Relevance</i>		
4	Does the pilot action test procedures, instruments and ways of cooperation, that may become part of standard tools and instruments of JPI Oceans? Which ones in particular?	<i>explain</i>
5	Does the pilot action have a clear European dimension in terms of its objectives?	YES/NO
6	How many countries have expressed their interest in participating in the pilot action?	<i>give #</i>
7	Does the pilot action reflect societal, scientific and/or economic needs, calling for an integrative, coordinated approach? Which ones in particular?	<i>explain</i>

<i>Added value</i>		
8	Does the pilot action address an issue that clearly profits from a multi-national approach, as compared to national actions?	YES/NO
9	Does the pilot action contribute to avoiding duplication at the national, and creating critical mass at the European level?	YES/NO
10	Does the pilot action contribute to reducing fragmentation on a European level?	YES/NO
11	Does the pilot action explore and/or utilize supranational synergies and complementarities? Which ones in particular?	<i>explain</i>
12	Why should this action be implemented by JPI Oceans as opposed to another national or international body?	<i>explain</i>
<i>Impact</i>		
13	Does the pilot action impact on societal, economic, scientific, technological and/or political drivers of importance to the goals and objectives of JPI Oceans? Which ones in particular?	<i>explain</i>
14	Does the pilot action establish structures or processes that facilitate future collaboration of partners in JPI Oceans? Which ones in particular?	<i>explain</i>
15	Can the pilot action be conducted with the current capacities and resources of the interested countries?	YES/NO
16	Can the pilot action be realized within a realistic time frame?	YES/NO
17	Does the pilot action overlap with or duplicate ongoing initiative at the European level?	YES/NO
<i>Other issues</i>		
18	Does the pilot action require a substantial amount of seed money?	YES/NO
19	Is it feasible to implement the pilot action with in-kind contributions?	YES/NO
20	Will the pilot action deliver tangible outcomes? Which ones in particular?	<i>explain</i>

21	Will the pilot action deliver outcomes on a relatively short term (< 2 years)?	YES/NO
22	Will the pilot action deliver outcomes aimed at (1) providing policy advice, (2) scientific progress, (3) societal relevance, (4) economic development	Yes/NO

INITIAL PILOT ACTIONS

The Management Board of JPI Oceans has decided to launch three pilot actions with the aim to promote alignment of national research activities and to test new modes of collaboration which can later be implemented in full-fledged operations of JPI Oceans. All of these actions are well underway and they are expected to produce relevant output within 2014-2015. More extensive descriptions have been produced by the lead countries in the form of internal communications which can be requested from JPI Oceans. All three pilot actions are implemented under the principle of variable geometry: all members of JPI Oceans have the opportunity to join or not to join any of these actions, depending on their own priorities. This allows for flexibility which is needed in a broad consortium such as JPI Oceans.

PILOT ACTION 1 – MULTI USE OF INFRASTRUCTURE FOR MONITORING

Lead: Netherlands (Ministry for Economic Affairs, minEZ)
 MB member: Ino Ostendorf
 Partners: BE, DE, DK, FR, IR, NO, SE, UK
 Type of action: Coordination action

This pilot action aims at exploring synergies between existing monitoring activities (e.g., International Bottom Trawl Survey, IBTS) and data acquisition and marine monitoring required by MSFD (and possibly other regulations). Different marine surveys, including IBTS, are regularly undertaken by different countries around the North Sea. MSFD and other regulations ask for collecting data on parameters which are currently not acquired in a common way or not acquired at all. Organizing specific surveys would be very costly. This pilot action of JPI Oceans aims at providing a platform for coordinating relevant monitoring activities, thereby promoting an integrated approach to monitoring of the North Sea. A detailed project plan and an international workshop held on 9 October 2013 in The Netherlands has paved the way to implementation of this pilot action in 2014-15.

This pilot action will provide knowledge and expertise on setting up collaborative actions aimed at sharing infrastructure, knowledge and expertise. Member countries are responsible for funding and organizing the participation of their scientists in this action.

PILOT ACTION 2 – ECOLOGICAL ASPECTS OF DEEP SEA MINING

Lead: Germany (Federal Ministry of Education and Research, BMBF)
 MB member: Christian Alecke
 Partners: BE, FR, MT, NL, NO, SE, PT, UK
 Type of action: Joint expedition

This pilot action is based on the generous offer by Germany to provide up to 90 days of ship time (free of charge) on a newly built research vessel to carry out multi-disciplinary research in and around the international concession areas for deep sea mining in the Pacific. This cruise will deliver novel insight into the ecological and environmental status of deep-sea systems which may later be used to develop and refine environmental standards for economic deep-sea activities. Partner countries have nominated researchers to sail on this international expedition. The in-kind contribution of Germany (ship-time and support) will be combined with in-kind contributions by partner countries (scientists and equipment) to embark on this joint project. The results shall not only be of great scientific value, but might also contribute to much-needed international policy development with respect to environmental standards for deep sea mining. Based on a couple of international workshop and coordination meetings, a joint science plan has been developed and shall be ready for implementation by mid-2014. The expedition is scheduled for the first quarter of 2015.

This pilot action aims at showing the added value of sharing big infrastructure among members of JPI Oceans and will provide an practical example of how this approach can unleash synergies among countries, institutions and scientific disciplines, based on coordination by JPI Oceans. Participating member countries (funding agencies and/or institutions) fund the involvement of their own scientists in this expeditions. Germany funds the cruise including the transfer of the vessel to the research sites.

PILOT ACTION 3 – ECOLOGICAL ASPECTS OF MICRO-PLASTICS IN THE MARINE ENVIRONMENT

Lead: Germany (Federal Ministry of Education and Research, BMBF)
MB member: Christian Alecke
Partners: BE, DK, FR, IR, MT, NL, NO, ES, SE, UK
Type of action: Joint research, including a joint call

Plastic litter in the (marine) environment represents a growing threat to ecosystems and to human health as components of plastic litter are not unlikely to harm ecological functions and they may enter the human food chain via different routes. Nevertheless, no internationally agreed standards for measuring and monitoring (micro)plastics have been established so far, thereby hindering scientific progress and effective policy development. This pilot action focuses on the establishment of a joint strategy and common methodology for the reliable quantitative and qualitative monitoring of micro-plastics in the marine environment. Partner countries will join forces (in-kind and cash contributions) to develop an appropriate science program for this joint research effort.

A group of scientists was asked to produce a research outline, highlighting and prioritizing the main issues to be dealt with. Based on this report and on a couple of workshops and discussion meetings, this pilot action can be implemented in the second half of 2014. This will most likely be done in the form of a joint transnational call for proposals, using a lead agency approach. The preparatory phase of this pilot action was also used as an example for testing the foresighting procedures developed in WP7, deliverable D7.2. The joint call will provide an excellent opportunity to make use of the templates and procedures for a joint call, which were developed in WP2, deliverable D 2.3.

PILOT ACTION 4 – SCIENTIFIC INTERCALIBRATION EXERCISE OF THE WFD COASTAL AND TRANSNATIONAL WATERS

Lead: Belgium
MB member: Rudy Herman
Partners: DE, FR, NO, BE, IE, NL, DK, UK, PT
Type of action: Joint intercalibration exercise, research

This pilot action aims at supporting the implementation of Water and Marine Strategy Framework directives, proving the comparability of different assessment methods. Primarily, the main focus of this pilot action is directed towards joint funding by national environmental authorities, thereby fragmentation and achieving a cost efficient scientific support to policy. This implies an interaction with different public authorities and will impact on the quality of the assessments too.

This pilot action will show the capacity of JPI Oceans to coordinate and execute integrative research programmes, including foresighting, a call for proposals, in-kind contributions by members and exchange of knowledge and researchers. From an organizational point of view, this will be the broadest pilot action, thereby providing input for different instruments which are under development for the so-called “tool box” of JPI Oceans.

COMMUNICATION AND OUTREACH

As part of the communication and outreach on the proposals for pilot actions a poster was developed in which the first three pilot actions are explained. In addition a PPT presentation in which the pilot actions are outlined for policy makers was developed. As such the pilot actions were presented as a concrete outcome of JPI Oceans at the 43 events and meetings on which the initiative was presented during 2013. Finally an explanation of all pilot actions was uploaded on the JPI Oceans website, featured on the homepage and spread through the social media channels.

In addition a workshop on open data and information flux within the pilot actions was held with CSA Oceans partners and the JPI Oceans secretariat. The conclusions of the workshop have been partially included in deliverable 2.4.

CONCLUSIONS AND OUTLOOK

1. Due to the general enthusiasm of member countries and their institutions, scoping pilot actions has proved easier than expected and their anticipated impact on JPI Oceans’ future procedures and activities may be larger than initially supposed, owing to the positive attitude of JPI Oceans bodies towards pilot actions and the sustained interest and commitment in developing new and promising ways of collaboration.
2. Pilot actions have significantly and consistently enhanced the visibility, and raised the reputation of JPI Oceans for stakeholders and partners on a national and international level.
3. Procedures developed for pilot actions can in future be used as a basis for scoping, evaluating and implementing future joint actions pertaining to the SRIA. Pilot actions hence provide valuable input for the “tool box” which will be developed through CSA Oceans.

4. Implementing the current pilot actions has provided good evidence that fruitful collaboration within JPI Oceans can assume different forms and that the aims of a chosen action should dictate the instruments used, and not *vice versa*. In other words, these pilot actions give hope that JPI Oceans is able to tackle timely problems by developing and deploying purpose-built solutions and instruments.
5. Future (pilot) actions may seek an earlier and possibly stronger involvement and dialogue with research performing organizations and relevant, external partner organizations in order to save time creating a sound scientific basis and an appropriate policy context for joint actions of JPI Oceans.