



# Good Practice Case Studies in the implementation of JPIs within ERA-LEARN 2020

Annual summary report on good practices in the implementation of JPIs

---

<b>Project no.</b>	645782
<b>Project acronym:</b>	ERA-LEARN 2020
<b>Project full title:</b>	Strengthening joint programming in Europe
<b>Funding scheme:</b>	Coordination and support action
<b>Start date of project:</b>	1 January 2015
<b>Duration:</b>	42 months

## **Annual summary report on good practices in the implementation of JPIs**

### **Deliverable D 2.2**

**Due date of deliverable:** (M42)

**Actual submission date:** (M42)

**Dissemination Level:** PU

**Organisation name of lead contractor for this deliverable:**

AIT, Austria

**Key authors:**

Michael Dinges, Anna Wang, Anja Köngeter, Wolfram Rhomberg

## Table of contents

Summary on good practices in the implementation of JPIs .....	4
Selection criteria.....	4
Selection of topics and identification of good practices .....	4
The case studies and their targeted audiences.....	5
First annual report: 2016.....	5
Second annual report: 2017 .....	6
Third annual report: 2018 .....	7
Good Practice Case Study within ERA-LEARN 2020 : JPIAMR’s Approach to Policy Coordination.....	9
1      Background and Ambition.....	10
2      JPIAMR’s Approach .....	11
2.1    Cooperation with the WHO .....	11
2.2    Cooperation with the G20 / G7.....	12
2.3    Research funding coordination.....	13
2.4    International collaboration .....	13
2.5    Third countries .....	14
3      Challenges and Lessons Learned .....	14
3.1    Key challenges.....	14
3.2    Lessons learned.....	14
4      Conclusion .....	15
5      References .....	16
Good Practice Case Study within ERA-LEARN 2020: A structured approach for international outreach for P2Ps: The Case of JPI HDHL .....	17
6      Background and ambition .....	18
6.1    Objectives and achievements of JPI HDHL.....	18
6.2    Ambition for Collaborations with Third Countries.....	19
7      A Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries .....	20
7.1    Aim and structure .....	21
7.2    Selection criteria, methodology & results .....	21
7.3    Implementation Status and Outlook .....	22
8      Preliminary results .....	24
8.1    Key benefits and drivers .....	24
8.2    Obstacles and lessons learned.....	26
9      Conclusion .....	27
References.....	29
Annex .....	30

## Summary on good practices in the implementation of JPIs

The main objectives of the ERA-LEARN 2020 Work Package 2 were to provide **specific learning and training material** and to facilitate **knowledge transfer** and good practices stemming from Public-Public-Partnership (P2P) community. The specific objectives of Task 2.2 were to highlight activities **and progress made** among JPIs in relation the **successful implementation** of JPIs, which are thought to be essential for an effective development and implementation of Joint Programming Initiatives (JPIs).

Throughout the ERA-LEARN 2020 project, this was being achieved by elaborating **good practice case studies** focussing on relevant **cross-cutting issues and the provision of tailored workshops** in the course of the annual conference, which informed the community about progress made and options for proceeding in the Joint Programming Process.

### Selection criteria

For identifying good practice case studies in the relevant topic areas, the following **propositions** were taken into consideration:

- *Results*: The implementation of the topic within the JPI is not in an initial/starting phase, i.e. more than preparatory steps have been taken to address the topic (at least documented interim results are available).
- *Transferability*: The results have potential to have a high degree of transferability or usefulness for adaption in other settings/JPIs.
- *Approach*: The JPI has made use of novel instruments/approaches, which consulted for instance to a high degree relevant stakeholders at national level.
- *Success*: JPIs are able to demonstrate achievements or to have overcome significant challenges in the course of their operation.

For each topic an additional criteria was to provide a range of cases that are **differing in nature in order to provide key insights for different JPIs** at all stages of their development.

### Selection of topics and identification of good practices

The case study analysis followed the following **steps**, bearing in mind that the overall aim was to highlight good practice cases, for which key principles and had a high degree of transferability or usefulness for adaption in other settings can be assured:

1. *Screening*: A first screening of JPI websites highlighted whether and to which extent the topic to be analysed is present on the JPIs web platform. In particular, a check and documentation of the workplan of the Coordination and Support Actions of the JPIs and official documents of JPI governing boards were screened.
2. *Selective interview(s)* with JPI representatives clarified whether and to which extent the topic has been covered by the JPI.
3. *Summary*: A short internal bulletin provided information on the status quo of the JPIs' activities

in relation to the topic and allowed to select the in-depth case study.

4. *Good practice case study*: In depth analysis of case by means of document analysis and if necessary additional interviews.
5. *Case study report*: Stylised facts on the good practice case.
6. *Discussion and recommendation*: Discussion of key success factors, transferability and suitability.

A limited number of topics for which good practice examples should be highlighted in relation to the successful implementation of JPIs were selected in the project. In the first phase of the ERA-LEARN 2020 project, relevant topics emerged from consultation with the members of the GPC and the ERA-LEARN 2020 advisory board.

### The case studies and their targeted audiences

All case studies derive key benefits, success factors, barriers and potentials of implementation for other JPIs. They are **geared towards JPI practitioners**, dealing with distinct tasks of setting up or advancing programmatic activities within the governance structures of their JPIs. From 2016 – 2018 three rounds of case studies have been conducted. Each year, they focussed on specific topics relevant for the Joint Programming Process:

#### First annual report: 2016

The first [\*annual report on good practices in the implementation of JPIs in 2016\*](#) presents four case studies that have been conducted in the course of the ERA-LEARN 2020 project. The report addresses two major topics of JPIs, **selection and inclusion of stakeholders** and **Open Knowledge** in Joint Programming Processes:

*Selection and inclusion of stakeholders in Joint Programming Processes*: Various stakeholder groups from academia, policy, intermediary agencies, industry and societal organisations play an important role in the joint programming process. Involvement of stakeholders is of particular importance to help to transfer knowledge and experience, to co-ordinate the use of resources and facilitate the dissemination of research results (OECD 2012). The ERAC-GPC on Joint Programming further identifies four challenges for JPIs (ERAC-GPC 1310/14, p.148):

- Creating a clear concept of stakeholder involvement
- Identifying stakeholders, and determining which organisations and institutions to involve
- Finding out how to address the relevant target groups, and which communication channels to use
- Determining at which stages to involve stakeholders in the whole programming cycle.

Three case studies of the first annual report deal with the issue of [\*Stakeholder Involvement\*](#) at various stages of the Joint Programming cycle:

- The case study **“Co-creation of a Strategic Research and Innovation Agenda in a Joint Programming Initiative - A New Stakeholder Involvement Approach of JPI Urban Europe”** demonstrates how a co-creational process design can be used to integrate the perspectives of heterogeneous stakeholders across different countries when setting up a strategic research and innovation agenda (SRIA). The case study shows that a co-creational process design bears potential to establish sustainable stakeholder commitment and provide a nucleus for (in-)formal stakeholder networks. Co-creation approaches can therefore be regarded as a SHI modality to which other JPIs may refer to in general.
- The case study **“JPI Oceans Explores the Potential of Foresight Exercises”** shows how a participatory, stakeholder involving foresight process can serve as a tool to identify future research needs, challenges and solutions. The case study in particular presents the conceptualisation of strategic and thematic foresight plus insights into the implementation of a test run in the field of microplastics.
- The case study **“Bridging the gap towards Innovation - The Water JPI Activities on Stakeholder Involvement”** provides information on the Water JPI approach to addresses the complex challenge of stakeholder involvement (SHI) throughout the policy cycle of a JPI with different activities and instruments. Specific attention is given to means to involve innovation-driven end-users (i.e. economic sector respective water suppliers and utilities).

*Open Knowledge, Open Access and IPR policies:* The implementation of open access and open knowledge policies within JPIs are relevant not only for dissemination of research findings and transfer of research results, but open data and respective databases may also induce new impetus for research and innovation. A key question for JPIs, raised by ERAC-GPC in the working group on Framework Conditions on Joint Programming, has been how to implement open access and open knowledge policies in JPIs. Key issues analysed therefore refer to a presentation of effective activities pursued by JPIs in order to facilitate knowledge circulation, access to open data, etc. :

- The case study *JPI Climate Guidelines on Open Knowledge Policies* provides information on the process of establishing and disseminating open Knowledge Policies within a JPI. JPI Climate is among the first JPIs contributing to the development of Open Knowledge policies in the area of Joint Programming. The JPI Climate Guidelines on Open Knowledge summarize a set of policy recommendations geared at both internal (i.e. JPI Climate governance) and external (i.e. JPI Climate network activities) level. The Guidelines provide a solid basis for kicking-off Open Knowledge guidelines in other JPIs.

#### Second annual report: 2017

The *second annual report on good practices in the implementation of JPIs in 2017* focused on **Monitoring and Evaluation** approaches and their implementation. P2Ps, as highly complex system innovation platforms, are driven by *“collective search and learning”* - which also applies to their *Monitoring & Evaluation* processes. A joint research strategy calls for a joint approach toward monitoring and evaluation of the instruments used and joint actions conducted to gain evidence on the performance of JPIs toward their objectives and expected impacts. Monitoring and Evaluation is

considered essential for the effective development and implementation of JPIs (Joint Programming Initiatives).

The second annual report analyses activities and progress made among JPIs in the area of successful evaluation and impact assessment practices in order to provide good practice examples to the wider JPI (and P2P) community.

The report contains three case studies that examine the approach to Evaluation and Impact Assessment at three JPIs and presents the key lessons learned. The case studies illustrate how tailored approaches promote effective monitoring, evaluation, and impact assessment and could provide inspiration to the JPI community. The case studies outline the main benefits and challenges practitioners have faced when putting in place such approaches, and the key factors for their successful implementation. The main target audience for this publication are JPI monitoring and evaluation teams as well as the wider P2P community:

- The example of **“FACCE JPI’s Monitoring and Evaluation Framework”** depicts the process of applying a stepwise assessment of three impact targets: 1) To improve the alignment of national and European research programmes; 2) To increase high quality transnational research activities within food security, agriculture and climate change; 3) To improve the societal impact on the challenge of food security, agriculture and climate change.
- The case study **“Recalibration of JPND’s Evaluation Framework: A tool for organisational learning, management, and impact creation”** shows that the development of a monitoring and evaluation framework is a learning process, in which continuous adjustments have to be made, taking into account the maturation of the JPI
- The case study **“Indicators for Assessing Progress of P2Ps: The Case of JPI MYBL”** is an example of a Joint Programming Initiative in which a set of performance indicators has been set up in an early phase of the programme and the set of key indicators was later used in an independent evaluation in order to assess the progress made in the JPI.

The case studies highlight a variety of benefits commonly accruing to JPIs that set up adequate Monitoring & Evaluation frameworks and activities, including: (i) the development of a comprehensive, focused set of indicators beyond operational objectives and the explicit linking of the JPI’s vision, aims, and objectives to the indicator framework; ii) tool for organisational learning, where impact assessment provides the opportunity to reflect on internal organizational processes that can feed back into revisions of Strategic Research Agendas (SRAs); iii) assisting the overall coordination and giving direction for future activities; and iv) raising awareness among key stakeholders and improving impact communication.

#### [Third annual report: 2018](#)

The final annual report on good practices in the implementation of JPIs, which are presented in this volume, focuses on the increasing relevance of the **international dimension** of Joint Programming Processes.

The case studies provided in this report show how sustainable collaborations with partner countries outside of the European Union and with International Organisations can be established due to i) the work of the governing bodies of the JPIs, ii) their efforts in setting up an overarching research strategy, and iii) the close ties of JPIs with their respective research and innovation communities:

The case study “**A healthy diet for a healthy life: a structured approach for international outreach for P2Ps**” presents a novel and **structured approach for international alignment**. It is based on the Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries of the Joint Programming Initiative and incorporates experiences made during the ongoing implementation.

The case study “**JPIAMR’s Approach to Policy Coordination**” showcases a possible approach to fulfilling a specific function as a **policy-coordinating instrument** to serve as inspiration to other JPIs and the wider P2P community.

Both case studies show, that the focus of interest for JPIs increasingly shifts towards their impact on the European and global policy agenda and their specific role in the governance and orientation of structuring research and innovation in Europe.

## Good Practice Case Study within ERA-LEARN 2020 : JPIAMR's Approach to Policy Coordination

Author: Anna Wang

### Abstract

With the maturation of Joint Programming Initiatives (JPIs) and P2Ps more generally, the focus of interest has increasingly shifted to their impact on the European and global policy agenda. The GPC (High Level Group for Joint Programming) believes that *“P2Ps, and JPIs in particular, deserve a **central role in the governance and organization** of (...) research and innovation in Europe (...) as they are of considerable importance for **structuring national and European R&I systems.**”*<sup>1</sup> P2Ps have the potential to contribute to policy coordination and the structuring of the R&I landscape in their respective areas by developing into and emphasizing their role as **strategic hubs** on a given topic. The GPC maintains that all P2Ps should be instrumental in shaping a coherent research landscape and strengthen their role in the definition of future R&I programs in the next FPs. To this end, this ERA-LEARN 2020 case study on good practices of JPIAMR showcases a possible approach to fulfilling its function as a policy-coordinating instrument to serve as inspiration to other JPIs and the wider P2P community. The case study does not aim to evaluate and assess JPIAMR's outputs and achievements as such.

---

<sup>1</sup> High Level Group for Joint Programming (2017). GPC opinion on the “Future of Joint Programming to address societal challenges” in the context of the mid-term review of Horizon 2020 and the preparation of the 9<sup>th</sup> EU Framework Programme for research and innovation. [https://www.era-learn.eu/gpc/output-documents/gpc-opinion-on-the-future-of-joint-programming/201706Opinion\\_on\\_the\\_future\\_of\\_JP.pdf](https://www.era-learn.eu/gpc/output-documents/gpc-opinion-on-the-future-of-joint-programming/201706Opinion_on_the_future_of_JP.pdf)

## 1 Background and Ambition

In 2015, the WHO announced antimicrobial resistance, including antibiotic resistance, as one of the greatest threats to public health. It endorsed a global action plan to tackle AMR that underscores the “one health”<sup>2</sup> approach involving coordination among numerous sectors and actors, including human and veterinary medicine, agriculture, environment, and finance. Since then, AMR has shot to the top of the global health agenda with various institutions weighing in: The [Council of the European Union conclusion](#), the [G7 communiqué](#), the [G20 declaration](#), and the [UN declaration on AMR](#). There have been no new classes of antibiotics since the 1950s and rising resistance threatens the ability to treat infectious diseases and undermines many other advances in health and medicine. JPIAMR stresses the importance of combating resistance and sees itself as a key actor to identify and coordinate research priorities for funding. Its joint calls focus on the pre-clinical stage of drug development.

JPIAMR was formed in 2011 by 15 European countries and now comprises 27 countries globally (including almost all G7 member states)<sup>3</sup>. It is an international collaborative platform that coordinates national funding and supports collaborative basic and exploratory research on new antibiotics, stewardship of existing antibiotics, and studies and control of the spread of antibiotic resistance between humans, animals, and the environment in a One Health perspective. JPIAMR coordinates national research programs on antimicrobial resistance (AMR) through its [Strategic Research Agenda](#) that defines six priority topics through which actions will be translated into new prevention and intervention strategies to improve public health and deliver economic and societal benefits.

Based on its 2015 [mapping on AMR](#) research funding, projects, centres, infrastructures, and industry alliances in the period of 2007-2013, JPIAMR identified the need for increased and new investment across all member states. So far, it has launched six transnational calls for proposals and supported 52 projects with a total budget of EUR 77.2 million (GBP 67.35 million)<sup>4</sup>. It is currently undertaking an update of the 2015 mapping and will provide an extension of the aspects covered previously. JPIAMR also aims to support AMR research through activities such as the [JPIAMR Virtual Research Institute](#) and actions to promote [alignment](#) of national and European strategies with its SRA.

Due to the nature of AMR, the initiative assumes a global approach by actively engaging countries beyond Europe as members, by cooperating with key international platforms (WHO, G7, TATFAR – Transatlantic US-EU Task Force on AMR, etc.), and by establishing relationships with the pharmaceutical industry (the JTI Innovative Medicines Initiative, industry associations like EFPIA). This case study explores JPIAMR’s approach to cooperation activities with key international agenda setting institutions and policymakers. It will highlight good practices of internationalization and policy coordination, lessons learned, and success factors to serve as an example and inspiration for other JPIs and the wider P2P community.

---

<sup>2</sup> More on the concept of One Health can be found here: <http://www.onehealthinitiative.com/>

<sup>3</sup> Members: Argentina, Belgium, Canada, Czech Republic, Denmark, Egypt, Estonia, Finland, France, Germany, Greece, Ireland, Israel, Italy, India, Japan, Netherlands, Norway, Poland, Romania, South Africa, South Korea, Spain, Sweden, Switzerland, Turkey, United Kingdom

<sup>4</sup> More information on call topics and selected projects: <https://www.jpiamr.eu/supportedprojects/>

## 2 JPIAMR's Approach

JPIAMR's focus is on **identifying and defining research priority areas** and on subsequently **coordinating national and international funding** efforts to ensure complementarity and synergies in AMR and antibiotics research funding. The aim of its coordination activities is not necessarily to set policy objectives but to build and contribute to the (scientific) evidence base for what those policy objectives should be and support **coordination between various stakeholder categories**. Through its research funding and networking activities, JPIAMR can provide a **coordinated, unified voice of the AMR research community**, which allows it to ultimately enable and enhance active dialogue between AMR research and AMR policy actors. JPIAMR pursues a range of activities with a variety of counterparts/partners that fall into the category of international coordination or that contribute to it. Its main partners in this regard are the WHO, G20/G7, the pharmaceutical industry as well as policymakers at the EC, the JPI member states, and third countries. The following sections detail JPIAMR's activities and approaches toward engaging and collaborating with various institutions.

### 2.1 Cooperation with the WHO

In May 2015, the World Health Assembly, the WHO's decision-making body, endorsed a global action plan to tackle antimicrobial resistance. This step reflects its recognition of AMR as posing a profound threat to human health. Since then, the WHO has been working on the development of a global strategic research agenda with extensive multi-stakeholder consultations at different global and regional levels. Due to JPIAMR's leadership position and early establishment as an initiative working in the AMR field, its work and especially its SRA are used as a basis and model for the ongoing WHO development of a global strategic research agenda. Specifically, JPIAMR's SRA is referred to in the global action plan as being a possible initial framework for the further development of a similar document applicable globally<sup>5</sup> to avoid overlaps and doubling efforts. The JPI is directly involved in the development of the global action plan and global research agenda and contributed scientific comments, gave feedback on the plans' strengths and weaknesses, and suggested specific projects that could possibly be implemented. Some JPIAMR members have also participated as expert members on specific committees dedicated to the development of the global research agenda.

The coordination with the WHO also involves JPIAMR funding topics and priorities that were identified in the WHO action plan. Having this **flexibility to react and adapt** to new developments in the field is an important component of effective coordination.

Moreover, JPIAMR cooperates closely with the WHO, and by extension the UN, on various other activities. As an initiative that brings together the AMR research community and provides them with a common voice, it has extensive knowledge and contacts in the scientific community. By using this advantage, it managed to refer scientific contacts to the WHO and provide scientific input on the pipeline analysis for the [report on antibacterial agents in clinical development](#). It also collaborates actively with the [ad-hoc Interagency Coordination Group on Antimicrobial Resistance \(IACG\)](#), co-chaired

---

<sup>5</sup> WHO (2015), Global Action Plan on Antimicrobial Resistance, 9.

by the UN Deputy Secretary General and the Director General of the WHO, that coordinates the activities of relevant UN agencies, other international organizations, and individual experts across different sectors. JPIAMR provides support with the identification of critical research needs around the world. It is also planning to co-host one of its meetings in 2018.

An important success factor was JPIAMR's **pioneer role** in developing a comprehensive strategic research agenda that covers all aspects of antimicrobial resistance, including human health, animal health, plant health, food safety, the environment, agriculture, and finance. The SRA was deliberately created to have a global basis and to contextualize the full research field. In addition, JPIAMR was formed at a time before antimicrobial resistance moved to the top of the global health agenda, and could thus establish itself as one of the first large-scale initiatives in the field. When global health policymakers turned their attention to AMR in 2015, JPIAMR's activities could speak for itself. Its SRA was finalized and ready to be used as an initial guideline and framework on the development of such a document on global scale.

JPIAMR also **involved key international stakeholders** like the WHO and the European Centre for Disease Prevention and Control (ECDC) early by inviting them to comment and give feedback on early drafts of the SRA. This was a decision taken to ensure a high-quality SRA but had the unforeseen side effect of establishing trust and kickstarting a good working relationship, which then allowed JPIAMR to play a role in global antimicrobial policy coordination. Moreover, regular correspondence and meetings with key players is essential to maintaining these relationships. JPIAMR finds it more effective to engage with key stakeholders directly and informally than with official stakeholder meetings. It maintains regular informal discussions with key players on specific topics and involves these people in JPIAMR events.

## 2.2 Cooperation with the G20 / G7

JPIAMR's relationship with the G7 and G20 is still in an early development phase. In both G7 and G20 resolutions, JPIAMR was in discussions with them before. As a result, JPIAMR was highlighted as a key element to combat AMR by both G7 and G20 resolutions. Member states of the G7 and G20 are usually represented by their respective health departments, i.e., policymakers, JPIAMR is positioning itself as a bridge between the policy, research, and research funder communities. The JPI is now working intensively on establishing its connections with the G20, particularly in matters related to the planned [global R&D collaboration hub on AMR research](#) announced during the German G20 presidency in 2017. The goal of this cooperation is to coordinate with the research hub to **ensure complementarity** and avoid duplications of the work done by the two initiatives. Moreover, JPIAMR tries to encourage the dialogue between policy makers and scientific actors in this process to facilitate discussions on the roles and activities of different actors (policy, research, research funding, etc.) by representing the research community with a single voice. The current focus of its coordination efforts with the G20 R&D hub is on the planned mapping exercise: JPIAMR has already completed a mapping of AMR research funding in 2015 and is cooperating closely with the global hub so that its existing work can be used as a basis of the new mapping exercise to avoid duplication and inefficiencies.

### 2.3 Research funding coordination

The central element of JPIAMR activities is to coordinate public research funding efforts among its members. It identifies research priorities for funding and coordinates calls among its members to ensure the optimal allocation of funds. Beyond this core function, JPIAMR is part of the **global AMR funder forum** of international private and public funders which meets regularly to discuss priority areas and how to coordinate funding on a global scale, i.e., what can be funded nationally, what needs to be funded internationally? This is especially important considering the political attention paid to the AMR threat recently, which caused a flood of new policies but also increased funding available. Many countries have doubled or even tripled the national budgets allocated to AMR research, making coordination of policies, priorities, and funding essential. JPIAMR plays a central role in this process by coordinating the activities of a number of countries and thus being able to represent them as a single contact point in these discussions.

### 2.4 International collaboration

JPIAMR collaborates closely with TATFAR, the Transatlantic Taskforce on Antimicrobial Resistance, which was created to **improve cooperation between the US and EU** to reduce the threat of AMR. Its members comprise government agencies relevant to the field from the US, EU, Canada and Norway, and is co-chaired by DG Sante and the US Department of Health and Human Services. JPIAMR participates in regular TATFAR meetings to bring its perspectives and priorities into the transatlantic dialogue and to facilitate the compatibility of the US and European agendas. It also co-organizes workshops, panels, and other events with transatlantic partners such as the US National Institute of Health and the US National Institute of Allergy and Infectious Diseases or the US National Institute of Food and Agriculture (USDA NIFA) that aim to facilitate the transatlantic dialogue in the field of AMR and encourage transatlantic scientific collaboration.

Furthermore, it is engaged in coordination activities with various other key players such as the JTI Innovative Medicines Initiative (IMI) and EFPIA, the European Federation of Pharmaceutical Industries and Associations. These activities focus on the coordination of priorities and the better connection of the academic researcher community to industry. For example, JPIAMR consulted on IMI decisions regarding their allocation of funding to topics. Particular attention is paid to the triangulation of dialogue between JPIAMR, IMI, and the SME community, through the BEAM Alliance, to reduce the number and complexity of coordination discussions. For example, JPIAMR is a member of the IMI Infectious Diseases Strategic Group. JPIAMR's advantage is that by engaging JPIAMR one is able to **engage multiple partners**, mainly research funders but also researchers, **in one conversation**.

JPIAMR also acts as a sort of **neutral platform** between parties that might not be in frequent contact. It regularly invites various external stakeholders to its workshops and meetings to exchange information and discuss possible cooperation and coordination activities. Such meetings include ones that may bring together representatives from the pharmaceutical industry and regulators from Europe, the US, and other countries. Opening up the dialogue between these two groups is an important contribution to improving coordination, and ultimately, new and better antibiotics.

## 2.5 Third countries

JPIAMR is very successful in attracting countries beyond Europe as members. It now has 27 member states, including almost all G7 countries, and the number is growing. These countries are mostly attracted to JPIAMR by the opportunity to **work and learn from a range of countries at once** instead of having to engage in multiple bilateral relationships. Since AMR is a global threat, particularly in countries outside Europe, JPIAMR is now trying to strategically attract third countries to become members. Its **Strategic Working Group 3**, led by Germany, is dedicated to extending membership to key countries on other continents. Considerations include the benefits that JPIAMR can offer to its members, but also on how to manage expectations of candidate countries. Starting in 2018, JPIAMR has placed a greater focus on actively approaching countries where membership could mutually benefit both sides, such as countries in Eastern Europe, Asia, and Latin America. In 2017, Egypt, India, South Africa, and South Korea became members. One of the approaches is through its workshops and events dedicated to establishing the JPIAMR Virtual Research Institute, where the JPI strategically invites key countries of interest and key players into the discussion.

## 3 Challenges and Lessons Learned

### 3.1 Key challenges

One of the challenges is that international coordination is very difficult since countries have **different needs and perspectives**. This makes trying to find a common strategy and approaches quite challenging. An approach to trying to overcome these difficulties is to build trust among those involved by having regular face-to-face meetings where each country may share their experiences so that others can see similarities and be more comfortable in sharing and working together.

Another general challenge to solving the AMR threat is that the international (policy) focus is on antibiotics and drug development, whereas there is **less attention paid to reducing resistance**. Here, JPIAMR is attempting to change the narrative in the next years by involving new/other players such as those in agriculture or environment, following the One Health principle.

### 3.2 Lessons learned

**Building trust** is a key success factor in international coordination. Requisites to coordination are people that voluntarily work together, share their experiences and challenges, are willing to discuss to find common ground, and share data. JPIAMR's success in collaborating with the WHO, G7, G20, etc. was that representatives from these institutions were involved early on in the lifetime of the JPI and some were offered the opportunity to be consulted on key JPIAMR outputs such as the SRA. The leadership of JPIAMR also managed to **maintain these relationships over time** by meeting often to build and maintain trust, inviting relevant policy-makers to JPIAMR events and activities, and maintaining **frequent informal contact and discussions** on topics of mutual interest.

Another key success factor is to have activities that are **impactful and of interest** to the relevant policymaking institutions. Only by being able to deliver such outputs did JPIAMR attract the interest of important stakeholders and made them interested in working with it. An example is that JPIAMR funds

topics and areas that were previously new or underfunded, where first results of such funding opportunities can now be seen. Moreover, JPIAMR puts an emphasis on AMR as not just a medical or drug development problem, but is **looking at the problem comprehensively** as an area that needs the involvement of other fields. Inviting people of interest to important events such as strategic workshops can highlight areas where partners might see **value added** in cooperation and coordination with JPIAMR.

JPIAMR's positioning as the key **information hub** where one finds a comprehensive overview on the global AMR field also contributes to its success in international coordination. JPIAMR is the place to go for information on the newest developments, the kinds of AMR research being done currently, who is funding which activities, which researchers and networks are involved, etc. Before joining JPIAMR, many countries did not have this in-depth overview on AMR research in their own country. This key information hub role of JPIAMR is now a major selling point for non-JPI members and various governmental and non-governmental bodies when considering cooperation and coordination with JPIAMR. These actors can see the value added and success of engaging with JPIAMR in coordination activities. A related success factor is that engaging JPIAMR in discussions and coordinating activities, a third country / international organization / non-profit (e.g., Bill and Melinda Gates Foundation) is **effectively engaging multiple countries**, i.e., all 27 JPI members, in one conversation. This increases efficiency and speed by working with a number of countries at once instead of having to engage in multiple bilateral relationships. JPIAMR also takes on a similar role for the AMR research community. Through its contacts and involvement of scientists in JPIAMR activities, it can provide a **coordinated voice for the scientific community**, and can thus tackle issues that transcend national boundaries.

## 4 Conclusion

Antimicrobial resistance shot to the top of the global health agenda after the WHO resolution in 2015. Since then, many other international organizations, governmental forums, politicians, and private actors have intensified their attention and efforts on solutions for AMR. As a result, countries have introduced a multitude of new policies and increased their budgets dedicated to AMR research. Thus, coordination among this large and varied group of actors is more important than ever to ensure synergies and complementarity, enhance efficiency and effectiveness, and avoid duplicating each other's work. JPIAMR plays a key role in AMR policy and funding coordination, not only among its 27 members, but more importantly, on a global scale. Its cooperation with key international policymakers such as the WHO, G7, and G20 is a key contribution to better and more effective coordination of global activities. Major lessons learned from JPIAMR's experience, such as the importance of building trust with key partners early on, the benefits of positioning oneself as a key information hub, and highlighting the value added of coordination and cooperation with the JPI to relevant (potential) partners are applicable to other JPIs, and the P2P community at large, that want to engage in policy coordination.

## 5 References

High Level Group for Joint Programming (GPC). 2017. *GPC opinion on the “Future of Joint Programming to address societal challenges” in the context of the mid-term review of Horizon 2020 and the preparation of the 9<sup>th</sup> EU Framework Programme for research and innovation*. [https://www.era-learn.eu/gpc/output-documents/gpc-opinion-on-the-future-of-joint-programming/201706Opinion\\_on\\_the\\_future\\_of\\_JP.pdf](https://www.era-learn.eu/gpc/output-documents/gpc-opinion-on-the-future-of-joint-programming/201706Opinion_on_the_future_of_JP.pdf)

JPIAMR. *JPIAMR Implementation Plan 2014-2018*. <https://www.jpiamr.eu/wp-content/uploads/2016/06/Implementation-Plan03-04-16.pdf>

JPIAMR. 2013. *Strategic Research Agenda*. [https://www.jpiamr.eu/wp-content/uploads/2014/05/SRA1\\_JPIAMR.pdf](https://www.jpiamr.eu/wp-content/uploads/2014/05/SRA1_JPIAMR.pdf)

JPIAMR. 2017. *JPIAMR Strategy 2018-2020*. [https://www.jpiamr.eu/wp-content/uploads/2017/03/JPI-strategy-2018-20\\_JPIAMR\\_forMB.pdf](https://www.jpiamr.eu/wp-content/uploads/2017/03/JPI-strategy-2018-20_JPIAMR_forMB.pdf)

## Interviews

Laura Marin, Coordinator of JPIAMR. March 1, 2018.

Jonathan Pearce, member of the JPIAMR Steering Committee. March 14, 2018

## Good Practice Case Study within ERA-LEARN 2020: A structured approach for international outreach for P2Ps: The Case of JPI HDHL

Author: Anja Köngeter

### Abstract

This case study presents a novel and **structured approach for international alignment**. It is based on the Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries of the Joint Programming Initiative “A healthy diet for a healthy life” (JPI HDHL) and incorporates experiences made during its still ongoing implementation.

JPI HDHL was one of the first JPis that has expanded its scope beyond Europe and included non-European partners in a Coordination and Support Action. The JPI’s ambition has been to establish **sustainable collaborations with associated and Third Countries** to build critical mass for tackling societal challenges related to food, nutrition and health.

The presented Strategy and Action Plan aims to provide broad strategic guidance with a view to outlining more specific actions about with whom, how and when to engage at the governance, strategic and joint activity levels. It therefore explores “opportunities for alignment, engagement and collaboration” using two data sources: the first includes secondary data collated from government and global reports, the second an analysis of a survey. Concretely, the Strategy & Action Plan has **supported the choice of appropriate collaboration partners in a well-grounded and transparent manner by identifying Third Countries with the highest potential for efficient and effective collaboration**. The approach’s novelty lies not only in the Strategy and Action Plan itself but the manner how JPI HDHL’s international partners represent a link to targeted regions.

### ACKNOWLEDGEMENTS

The author is grateful to Jolien Wenink (Coordinator of JPI HDHL) and Mary-Jo Makarchuk (Assistant Director of the Institute of Nutrition, Metabolism and Diabetes, Canadian Institutes of Health Research) for their useful inputs. The author would also like to thank the ERA-LEARN Consortium partners and Advisory Board for their suggestions on earlier drafts of this case study.

## 6 Background and ambition

### 6.1 Objectives and achievements of JPI HDHL

The Joint Programming Initiative “A healthy diet for a healthy life” (JPI HDHL) was launched 2010 bringing together 26 countries of which 22 are full members with the purpose to achieve a common vision “by 2030 that all citizens will have the motivation, ability and opportunity to consume a healthy diet from a variety of foods, have healthy levels of physical activity and that the incidence of diet-related diseases will have decreased significantly”. The Strategic Goal is to change dietary patterns based on developments in **food-, nutritional-, social-, and health sciences**, and to develop evidence-based recommendations and innovative product formats that will, together with concomitant changes in physical activity, have a major impact on **improving public health, increasing the quality of life and prolonging productive life**<sup>6</sup>.

To address these aims, the JPI HDHL’s Strategic Research Agenda<sup>7</sup> defined **three research pillars** that cover the determinants of **1) diet and physical activity, 2) diet and food production and 3) diet in the context of diet-related chronic diseases**<sup>8</sup>. The core principle of the JPI HDHL is to facilitate coordination between policy makers within the countries involved to support collaboration between scientists to generate new scientific knowledge, share existing knowledge and expertise, and bring together important datasets. The JPI HDHL therefore takes an **integrated multi-sector approach**, which embraces education, (public) health care, agriculture, environment, food and drink industry, transport, advertising and commerce. Their **heterogeneous stakeholder groups** include, amongst others, the scientific community, policy-makers, food and drink industry, public health organisations, educational institutions, media and the civil society. Many of these stakeholders are represented in the Stakeholder Advisory Board of the JPI HDHL. The scientific community is represented in the Scientific Advisory Board. To account for the presented transdisciplinarity and cross-sectoral ambitions, JPI HDHL has **four horizontal themes**: 1) Alignment of National Research Policies & Programmes, 2) Strategic Collaborations, 3) Communications, and 4) Underpinning Sectoral policies.

JPI HDHL’s **key achievements** to date include the launch of 13 Joint Actions resulting in 4 Knowledge Hubs and 39 research projects funded – one of these Joint Action is still in the phase of reviewing the proposals. Of these 13 Joint Actions, 2 are co-funded by the European Commission and 2 Joint Actions make use of the infrastructure of an ERA-Net Cofund.

---

<sup>6</sup> JPI HDHL Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries. Coordination and Support Action CSA JPI HDHL 2.0. Deliverable 2.3. Lead beneficiary: Health Research Council of New Zealand; with the contribution of beneficiary Instituto Salud Carlos III, Spain.

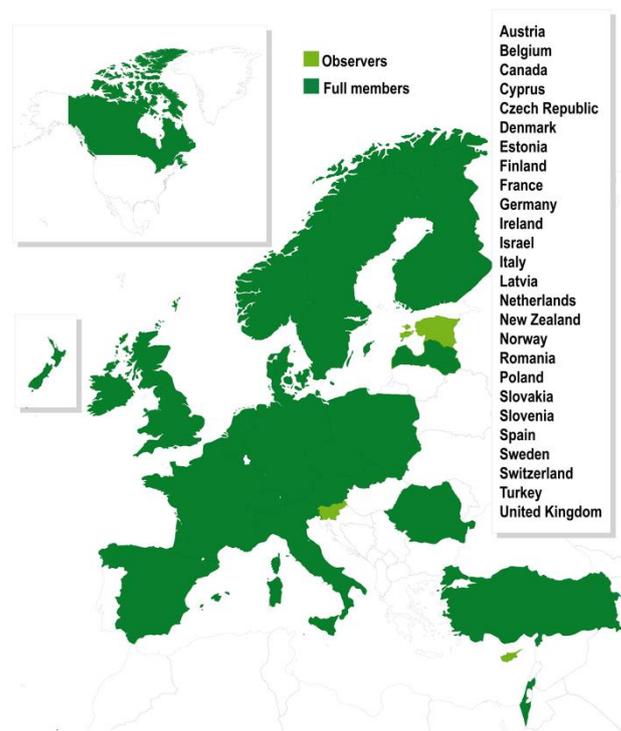
<sup>7</sup> The first version was launched in 2012, a second updated edition was published in 2015.

<sup>8</sup> JPI HDHL. Strategic Research Agenda 2012 -2020 and beyond. 2<sup>nd</sup> edition. June 2015.

<http://www.healthydietforhealthylife.eu/index.php/hdhl-documents-2/key-documents/sra/download>

JPI HDHL. About. <http://www.healthydietforhealthylife.eu/index.php/about>

In the framework of this Joint Programming Initiative, **26 full members** are engaged<sup>9</sup>. Amongst these, there are six non-EU countries: Canada, Israel, New Zealand, Norway, Switzerland, and Turkey<sup>10</sup>. These countries signed, like all European full member countries, an MoU and are full members represented in the Management Board, their representatives have voting rights and get access to the meeting documents; in return, JPI HDHL expects active participation. Slovenia, Cyprus, Estonia are observer countries without these rights.



## 6.2 Ambition for Collaborations with Third Countries

The strategic Communication document on international collaboration<sup>11</sup>, released by the European Commission in 2012, claims that the development of a **multipolar** research and innovation (R&I) system and rapidly developing information and communication technologies<sup>12</sup> make international collaboration beyond EU borders increasingly vital. Hence, the “EU will need to access this knowledge” in **Third countries, i.e. “countries that are neither an EU Member State nor a state associated to the research framework programmes.”(ibid.)**.The “intensification of international cooperation” activities focused on

<sup>9</sup> JPI HDHL. Partners. <http://www.healthydietforhealthylife.eu/index.php/about/partners>

<sup>10</sup> These are all associated non-EU countries that are automatically eligible for funding; full list of associated countries: European Commission. Associated Countries. [http://ec.europa.eu/research/bitly/h2020\\_associated\\_countries.html](http://ec.europa.eu/research/bitly/h2020_associated_countries.html)

General information on country classification and funding eligibility:  
COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS - TOWARDS JOINT PROGRAMMING IN RESEARCH: Guidance note— Funding of applicants from non-EU countries & international organisations. August 2017  
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/3cpart/h2020-hi-3cpart\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-3cpart_en.pdf)

<sup>11</sup> COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS - TOWARDS JOINT PROGRAMMING IN RESEARCH: Enhancing and focusing EU international cooperation in research and innovation: A strategic approach. September 2012.  
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/3cpart/h2020-hi-int-coop\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-int-coop_en.pdf)

<sup>12</sup> shown by the increasing number of internationally co-authored scientific publications, the mobility of researchers, research organisations with offices abroad and companies are investing outside their home countries

“engaging with partners outside of Europe on equal terms and in programmes and activities of high mutual interest” is therefore recommended (ibid p 3). The strategic document includes P2Ps as meaningful instruments in this respect (ibid. p 8).

Against this background, JPI HDHL’s **ambition** is to establish **sustainable collaborations** with EU Associated and Third Countries to build critical mass for tackling societal challenges related to food, nutrition and health. Efforts at a global scale are of utmost importance to achieve this objective in research **areas with a high degree of global intertwining** and need for standardisation, for instance in the realm of food security.

JPI HDHL was one of the first JPIs that has expanded its scope beyond Europe and included non-European partners in its Coordination and Support Action accordingly to its international alignment strategy. The collaboration principle of JPI HDHL can be summarised by a **general openness and flexibility towards Third Countries**: every country is welcome to observe, to apply for membership and to suggest individual activities.

JPI HDHL is regularly invited to speak at international conferences and bilateral meetings to share information about the JPI and discuss strategic issues. However, the expansion to non-EU countries is not an end in itself but **true commitment and participation** of these countries in JPI HDHL is expected.

Part of the JPI HDHL approach is that JPI HDHL aims at **collaborating with those full member countries that already have extensive experience with collaboration with non-EU countries/regions that have potential for future collaboration**. This approach can help to overcome barriers of culture, country/region specific terminology, sometimes differences in the language - and also have some starting points based on existing networks.

Besides the ISCIII in Spain holding relevant knowledge on the Latin-American region and hosting the secretariat of a Union - Latin America and the Caribbean Foundation (EU-LAC), two important non-European member countries are Canada and New Zealand. The collaboration partner in Canada is the Canadian Institutes of Health Research, represented by the Institute of Nutrition, Metabolism and Diabetes (CIHR; full member since 2013) that indicated to be willing to connect with relevant partners in the USA (without engagement in the CSA). In New Zealand, two partners collaborate with JPI HDHL, i.e. the Ministry of Business, Innovation and Employment and the Health Research Council (HRC; full member since 2016). The HRC obtains a key role for the implementation of the Strategy and Action Plan holding knowledge and networks in the Asian and Pacific region presented in the following and is a beneficiary in the CSA project that supports the JPI HDHL.

## 7 A Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries

The JPI HDHL strives for a structured approach for global outreach with the “**JPI HDHL Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries**” that was finalised in 2017 under the Coordination and Support Action “JPI HDHL 2.0” with the HRC (New Zealand) as a lead beneficiary and was contributed by the beneficiary Instituto Salud Carlos III (Spain).

## 7.1 Aim and structure

The Strategy and Action Plan aims to provide broad strategic guidance with a view to outlining more specific actions about with whom, how and when to engage at both the governance, strategic and joint activity levels. Its aim is to **successfully involve Third Countries in a long term and sustainable collaboration** focused on meeting the objectives of the JPI HDHL. According to the Strategy and Action Plan, it therefore explores “opportunities for alignment, engagement and collaboration” (ibid. p3). Based upon discussion with and direction provided by the Management Board, the **scope** of a Strategy and Action Plan includes **Third Countries in the Asian and Pacific region first** (this will then be repeated with eligible countries in Latin America and the Caribbean), that can “meaningfully engage in, contribute to and capture the benefits from participation in the JPI HDHL” (ibid.). Developing countries have therefore not been included at this point in time.

The Strategy & Action Plan is structured as follows: it starts with the rationale and **objectives of the strategy** before detailing the **methodology** and presenting and **discussing the results**. This leads to an outline of the **Action Plan** and a summary of **recommendations**.

## 7.2 Selection criteria, methodology & results

The **selection criteria** for Third Countries are developed in an attempt to establish successful **collaborations** (taking into account the goals and objectives of the JPI HDHL and the work programme). Direction was provided by the MB, and HRC in New Zealand and the ISCIII in Spain hold relevant third-country specific knowledge of the two targeted regions. Criteria include **existing alignment** with the strategic objectives and work programme of the JPI HDHL, **compatibility of funding procedures**, and **mechanisms available to participate in international collaborations**.

On this basis and together with HRC New Zealand, the countries **Australia, Singapore, Japan, and China** were identified as showing a potential good match with the JPI HDHL strategy and scope of the Asia-Pacific Region in the field of healthy diet health life related research and the development and implementation of national-level policies and interventions.

**Two data sources** have informed the Strategy and Action Plan: the first includes a summary of secondary data collated from **government and global reports** on the health status, relevant funding bodies countries, and information about R&I strategy targeting the societal challenge at stake of the four target countries; the second includes an analysis of a **survey** that was sent to relevant organisations in the four target countries. HRC (New Zealand) designed the survey and sent it out (ISCIII will have a similar role in the Latin American and Caribbean region). The survey gathered **detailed information on the interest and opportunities of collaboration of Third Countries**. According to the Strategy and Action Plan, the following topics were particularly considered:

- Existing **alignment with the strategic objectives** and work programme of the JPI HDHL;
- **Compatibility** at the political and national **policy level**;
- **Levels of research investment** over the past 5 years, and whether this is growing or there is a downward trend in investment;

- The **available funding mechanisms and research infrastructure** available to currently support research activity in this area;
- The **capacity and capability** available to undertake this work, and any identified areas of existing strength or gaps they hope to target and address;
- **Potential to leverage investment** and add value
- **Opportunities to finance and support international collaborations** and any existing relationships with countries or research organisations and research teams in the EU;
- **Initiative or opportunities** arising from the strategic goals and objectives and current work programme of the JPI HDHL they are most interested in, and/or provide the greatest **incentive** regarding further involvement;
- **Interest and readiness** to engage and participate in the JPI HDHL to collectively address this grand societal challenge
- **Other organisations, agencies** within their country with responsibility for or involvement in Healthy Diet Healthy Life-related work.

The **results** are presented in a clear and transparent manner using both country-specific profiles and cross-country comparisons (with national systems response to promote healthy diet and physical activity). The recommendations **synthesize secondary data and survey data** and conclude with recommendations by country regarding future collaboration. Based on the country-specific results, the **recommendation** was drawn to undertake a **pilot with Australia or Singapore** because:

- Australia and Singapore have the **highest levels of dedicated research funding**, and both have additional **funding mechanisms** able to support research in HDHL and the necessary research infrastructure;
- The contacted funding agency in Australia has an **international strategy** and a track record of international collaboration (including current involvement in the JPI Neurodegenerative Disease); the contacted funding agency in Singapore has **funding platforms** that can be leveraged to participate in international collaborations (including joint grant calls, joint symposiums, and exchanges through researcher mobility programmes).
- Singapore also has established relationships with industry and extensive phenotype **data** specific to Asian nutrition.
- In both cases, there is opportunity and potential to **leverage investment**, co-ordinate funding activities, and take a more global approach.
- Other considerations with respect to efficiency are the strength and **track record of existing relationships**: New Zealand has had successful international co-funding research partnerships with both Australia and Singapore.

### 7.3 Implementation Status and Outlook

The implementation of the Strategy and Action Plan is still ongoing. As a result of the data-based analysis presented, Australia was chosen as a pilot country. A workshop and variety of bilateral meetings in Australia have already been taken place and the Strategy and Action Plan is refined at present and will be rolled-out with additional Third Countries that meet the criteria. According to the

Action Plan, the overall activities after having conducted the analysis are as follows (currently executing step 3):

1. **Engaging with the pilot country** Australia on the basis of the survey results, the background assessment of the current ecosystem and recommendation from the JPI HDHL Management Board.
2. Undertaking a **workshop** with Australian representatives, involving key organisations and agencies identified through the survey and background research exercise.
  - The aim of the workshop was to **effectively communicate** the strategic objectives and goals, current joint research activity areas of the JPI HDHL, the governance structure, progress and achievements to date, as well as where the JPI HDHL is looking to both further consolidate, develop, grow and share knowledge.
  - From this point the next steps were to actively **explore potential** for alignment, channels or mechanisms for effective means of engagement and collaboration at both strategic and operational levels, including any examples of models that are currently working well, opportunities to create political buy-in and engage national level-influencers and policy makers, and opportunities to leverage investment, infrastructure and other key resources, including people.
3. **Refining the Strategy and Action Plan** following the experiences with the pilot country. At present, JPI HDHL looks into ways to define next steps in order to find angles to **build towards concrete collaboration** with Australia.
4. **Undertaking workshops with three countries.**
5. Refining and **finalising the Strategy and Action Plan** for the Management Board's consideration.

The **JPI HDHL aims at leveraging existing relationships and membership of international forums**, such as the Heads of International Research Organisations and the Global Alliance for Chronic Disease and the E-Asia network. Other opportunities will include to explore potential alignment and involvement of the newly established International **Bioeconomy Forum** (newly established by the Directorate General RTD) covering agricultural research aiming at sharing knowledge on policy, strategies and actions.

**Examples of bilateral interaction/collaboration** are:

- HRC in New Zealand organized and coordinated a mission. The mission included a series of bilateral meetings with key research groups/universities, national funding bodies as well as with the ministries of health. Furthermore a workshop brought together heterogeneous

perspectives including the view of NGOs, science, health professionals and the funders/ governments.

- A Canadian Workshop was held in 2016 in conjunction with the Canadian Nutrition Society (CNS) annual meeting, and it was co-sponsored by the CIHR Institute of Nutrition, Metabolism and Diabetes, CNS and the International Institute of Life Sciences (ILSI) North America, entitled “Global partnerships in food and nutrition to align research agendas and improve public health”. This workshop featured JPI HDHL, and speakers included the Chair of the Management Board for JPI HDHL, along with the Vice-Chair of the Scientific Advisory Board<sup>13</sup>.
- JPI HDHL has recently been selected by the BILAT USA 4.0 project<sup>14</sup> (funded by the European Union to enhance, support and further develop the research and innovation cooperation between the European Union and the United States of America) as a JPI that could realise collaboration with USA governmental bodies, in particular the U.S. Department of Agriculture - National Institute of Food and Agriculture (USDA NIFA) and potentially the National Institutes of Health. To date, JPI HDHL had a couple of bilateral meetings with the USDA NIFA; and a representative of the U.S. Department of Agriculture and NIFA participated in a JPI HDHL workshop defining the topic for the next call on the topic of Intestinal Microbiome with research funded by USDA NIFA. A joint workshop/ event in the USA (with Canadian partners) is planned for 2019.

## 8 Preliminary results

The following preliminary key results relate to benefits and obstacles experienced **to date** and hence refer to the analysis and experiences with the first steps of the Action Plan’s implementation. It also incorporates lessons learned through collaboration practices with non-EU countries.

### 8.1 Key benefits and drivers

JPI HDHL have gathered valuable experiences regarding the benefits and drivers of collaborations with Third Countries and associated countries during the implementation of the Strategy and Action Plan.

#### *Benefits*

- The Strategy & Action Plan enabled...
  - the **well-grounded and transparent choice of appropriate collaboration partners**;
  - relevant knowledge for potential future collaboration;
  - first interaction via participation in the survey.

---

<sup>13</sup> Ma DWL, Hentges E, Makarchuk MJ, et al. Key attributes of global partnerships in food and nutrition to align research agendas and improve public health. *Applied Physiology, Metabolism and Nutrition* (accepted for publication).

<sup>14</sup> <http://www.euussciencetechnology.eu/about/project>

- For JPI HDHL and Third Countries alike, key motivation for collaboration in general is to share best practices, enable synergies through joint funding, bring together the world's best researchers in order to **increase the impact of excellent research** that can tackle societal challenges effectively and efficiently (e.g. by applying “**fair data principles**”).
- According to the Canadian partner, the Assistant Director of the Institute of Nutrition, Metabolism and Diabetes, the opportunity to collaborate via instruments such as JPIs is very appealing for **Third Countries**, because they offer:
  - **Long-term relationships with political impact:** JPIs are theoretically open-ended instruments and offer stability, continuity, and sustainable networking opportunities. JPIs can additionally facilitate the interaction with policy makers both at national and at EU level.
  - **Flexibility of collaboration:** Depending on the shared interest and capability of Third Countries, different forms of collaboration are possible (ranging from full membership, joint activities, observer status, or knowledge exchange). Also the flexibility for the partners in terms of their ability to participate in joint calls, referred to as variable geometry is attractive because it allows partners to choose to participate in only those joint actions that align with their objectives and are a high priority.
  - **Each country funds their own researchers**, so research funds do not leave their respective countries
  - **Relatively low effort regarding regulation and bureaucracy** in terms of legal documents (compared to Horizon 2020 research projects).
  - **Efficient use of resources:** In the case of the collaboration with CIHR Canada, the interview partner was convinced of the “good use of our resources” after the first joint call. (The general feedback on the Joint Calls by the Canadian researchers was also very positive. Also, other Canadian institutes reported positive experiences with the Joint Programming Initiatives JPND and MYBL.)

### *Drivers*

- **Shared strategic objectives** are key driver and starting point for setup of any kind of collaboration with Third Countries according to both interview partners.
- **Network of partners as ‘access points’:** Collaboration partners can help to ‘bridge’ the network and allow access to new partners in Third Countries. As it is the case for JPI HDHL, New Zealand and Canada facilitated communication, provided knowledge on the Third Country's R&I systems and its multiple actors in a specific research field, their terminology and their motivation for collaborations.
- **Opportunity for open feedback:** In case of unforeseen challenges, e.g. operational alignment issues, it is enormously helpful to receive support and feedback by the secretariat and the MB.

## 8.2 Obstacles and lessons learned

While JPI HDHL has successfully managed to develop and implement the first part of the Strategy and Action Plan, it had to overcome challenges – often being drivers of collaboration at the same time. These challenges and their lessons learned are:

- **Complexity of national R&I ecosystem:** According to the coordinator of JPI HDHL, “despite the support from a full member country like New Zealand holding knowledge on the Australian R&I ecosystem, it turned out to be still difficult to get an overview” and to connect with all relevant governmental bodies and funders. This is particularly the case if no specific governmental body in the lead. In this case of Australia, compartmentation of research<sup>15</sup> (often due to ownership of the ministries) and the regional funding scheme were key barriers. HRC New Zealand has helped enormously to connect with Australian stakeholders in the health sector - however, the agricultural sector was not covered.
  - Lesson learned is to apply an **explorative approach: a thorough analyses of multiple actors** of a national R&I system right from the beginning is recommended.
- **Limited knowledge on funding procedures:** According to the coordinator of JPI HDHL, most non-EU countries have “limited knowledge on funding procedures” in the EU at the beginning of collaboration.
  - **“Take time to explain – and allow time to understand”:** Understanding of funding procedures is key for a sustainable collaboration and building trust. The coordinator of JPI HDHL has observed a steep learning curve here.
  - Finding a **“balance of the time invested and what to get out of it”** is key as per the coordinator of JPI HDHL, especially communication efforts by the secretariat with non-EU countries. All in all, both interview partners consider the time spent as good value for money.
- **Operational alignment:** The first joint call with Canada brought differences of funding procedures and timelines to light (though they were most professionally handled by the JPI HDHL secretariat as per the interviewee of CIHR Canada).
  - From the perspective of the Canadian partner, the **opportunity for open feedback** at secretariat level and Management Board level was a key success factor. For the Canadian partners, it took time to explain the call procedures to Canadian researchers; here, the JPI HDHL secretariat was again reported to be extremely supportive.
- **Differences in the time zones of partners and the distance to travel to attend meetings in Europe** are common barriers in daily work.
  - As per the Canadian interview partner, a lesson learned is to schedule **“teleconference meetings at the best time to accommodate partners** that are outside of the European times zones, and booking meetings so that they take into consideration travel costs and distances facilitates collaboration”.

---

<sup>15</sup> HRC New Zealand has helped enormously to connect with Australian stakeholders in the health sector - however, the agricultural sector was not covered.

- **Rotation schedules** as a fair solution for collaborations with significant time shift: The burden of the time shift is distributed in a just manner and make all partners feel engaged equally. This also communicates a welcoming culture and can strengthen commitment on both sides.
- **Differences in terminology and possible cultural differences** can be a barrier according to the interviewees.
  - **Sensitive communication** is a prerequisite. For instance, JPI HDHL uses the term “non-EU country” instead of “Third Country” in their direct communication as the partner might understand that the term means that they are “less important”.
  - Canada and New Zealand anticipated and explained the potential new collaboration partners’ motivation and ‘interpret’ different terminology.
- **Sustainability** of collaboration beyond the run time of the CSA is an issue for all partners and it seems advisable to develop a strategy in this regard.
- **General risks:** JPI HDHL provides a good overview of general risks and risk mitigation regarding collaboration with Third Countries (see [Annex](#)).

## 9 Conclusion

The JPI HDHL Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries is a novel and structured approach for international alignment. JPI HDHL therefore developed a clear Strategy & Action Plan for efficient collaboration with Third Countries by supporting the choice of appropriate collaboration partners in a well-grounded and transparent manner. Additionally, the knowledge gained by the analysis is highly valuable for future communication and the survey has potential to trigger interaction. With this approach, the JPI HDHL selected Third Countries with the highest potential for efficient and effective collaboration. The approach’s novelty lies not primarily in the Strategy and Action Plan itself but the manner how JPI HDHL’s international partners represent a link for the Latin American and Caribbean region. As the overall process is still ongoing, the following **preliminary conclusions** can be drawn:

- The Strategy and Action Plan with its **selection criteria and questionnaire** provides **useful strategic guidance** about with whom and how to establish successful and efficient engagement of the Third Countries. It therefore shows a reasonable methodology for the selection of Third Countries, well-documented results, a realistic Action Plan, and recommendations.
- A key finding regarding the overall process is that it was **challenging to connect with all relevant governmental and funding bodies** - despite the support from a full member country New Zealand holding highly valuable knowledge on the Australian R&I ecosystem is able to **‘bridge’ networks and facilitate communication** with contacts.
- For the practical side, success factors were **rotation schedules** as a fair solution for collaborations with a significant time shift and the **opportunity for direct feedback** at secretariat and Management Board level.

- Given that the overall process of the Action Plan is still ongoing, JPI HDHL's structured approach can be seen as an interesting case international alignment and outreach. It seems advisable to follow up the future development of the overall approach, especially the role of the existing collaborating member countries that link potentially new Non-EU countries.
- This approach can straightforwardly be adapted to other JPIs with similar ambitions regarding international outreach of research activities.

This case provides relevant **aspects for future collaboration approaches** with non-EU countries in P2P context. In general, the experiences made during the presented overall process has fostered aspirations of all partners to further develop **operational alignment**<sup>16</sup>. It is furthermore recommended to share experiences among JPIs in this regard as well as to consider the exchange (and/or development) of clear and understandable information material for international partners that explain how JPIs work.

---

<sup>16</sup> In the case of Canada, further international outreach is planned to be part of the institute's strategic plan and JPI HDHL also continues to put effort in this cause.

## References

**BILAT USA 4.0. Project.**

<http://www.eusscienceandtechnology.eu/about/project>

COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS - TOWARDS JOINT PROGRAMMING IN RESEARCH: Guidance note— Funding of applicants from non-EU countries & international organisations.

August 2017

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

COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS - TOWARDS JOINT PROGRAMMING IN RESEARCH: Enhancing and focusing EU international cooperation in research and innovation: A strategic approach. September 2012.

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

**European Commission. Associated Countries.**

[http://ec.europa.eu/research/bitly/h2020\\_associated\\_countries.html](http://ec.europa.eu/research/bitly/h2020_associated_countries.html)

**JPI HDHL Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries. Coordination and Support Action CSA JPI HDHL 2.0. Deliverable 2.3. Lead beneficiary: Health Research Council of New Zealand; with the contribution of beneficiary Instituto Salud Carlos 111, Spain. 2017.**

<http://www.healthydietforhealthylife.eu/index.php/hdhl-documents-2/key-documents/strategy-and-action-plan-international-collaboration/download>

**JPI HDHL. About.**

<http://www.healthydietforhealthylife.eu/index.php/about>

**JPI HDHL. IMPLEMENTATION PLAN 2016-2018. April 2016.**

<http://www.healthydietforhealthylife.eu/index.php/hdhl-documents-2/key-documents/implementation-plan-2016-2018/download>

**JPI HDHL. Partners.**

<http://www.healthydietforhealthylife.eu/index.php/about/partners>

**JPI HDHL. Strategic Research Agenda 2012 -2020 and beyond. 2<sup>nd</sup> edition. June 2015.**

<http://www.healthydietforhealthylife.eu/index.php/hdhl-documents-2/key-documents/sra/download>

## Annex

### Managing Barriers, Risks and Expectations

Source: *Strategy and Action Plan for Flexible and Efficient Collaboration with Third Countries* p 31 f

- **Lack of national interest:** in certain fields of research (however important/priority fields at EU level) to take a joint approach and to align national research towards joint agendas.
  - o Proposed risk mitigation measure: keeping momentum, maintaining interactions and creating real benefits for research. Putting strong emphasis on sharing good practices should dilute worries about the benefit of Alignment/Joint Actions.
  
- **Constraints for cross-border collaboration** in the research programming system.
  - o Proposed risk mitigation measure: by identifying barriers and constraints, we can provide recommendations on how to overcome them and to increase awareness among national research agencies involved in health and food research.
  
- **Lack of buy-in to tackling the societal challenge** - not seen as the most important core driver to participate in JPI HDHL by all member countries.
  - o Proposed risk mitigation measure: conducting more and better research, more international cooperation and pooling of research and researchers are seen as equally important or more important drivers to participate within JPI HDHL
  
- Another key obstacle concerns **alignment and the extent to which the strategic goal, objectives and Joint Action Areas** for the JPI HDHL have already been identified and defined. Given that there are a number of key differences across multiple domains for countries in the Asia and Pacific region, this may prove to be an investment and participation.
  
- There is also likely to be a steep learning curve involved for those countries and agencies who have not worked with Europe previously, and have no experience with Joint Programming Initiatives. The structure is very complex, and there are **hidden costs with respect to time and resource to have a working knowledge of the breadth and depth of the JPI HDHL** and its associated work programmes and activities.

- There is also a risk that the promoted benefits of engaging with the JPI HDHL will not be realised, because the research **findings and associated impacts are not as directly relevant to Third Countries, or they do not translate well, or the flow of knowledge back does not occur.** This potential risk requires careful planning to ensure as far as possible that the Third Countries can and do capture the benefits. By the same token, it is important to actively manage the expectations of Third Countries and ensure, as far as possible, that they are realistic with