EUROPEAN COMMISSION

Community research

Survey on joint activities in individual ERA-NETs

Winter2006/2007

Aggregated results with comments

DG RTD
Unit B1

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Introduction:

This report presents the results of a survey conducted in the Winter 2006/2007 about the joint activities undertaken by ERA-NETs (Coordination Actions) funded by the European Commission.

The ERA-NET scheme was first launched in the Sixth Framework Programme (FP6) in 2002 with the aim to

> *"step up the cooperation and coordination of research activities carried out at national or regional level […] through the networking of research activities , including their mutual opening and the development and implementation of joint activities."*
> (EC 2005-2006 WP for "Support for the Coordination of Activities", p. 15)

A model with 4 progressive "steps" towards closer cooperation was envisaged:

(i) Systematic exchange of information and good practices on existing programmes
(ii) Identification and analysis of common strategic issues
(iii) Development of joint activities between national and regional programmes
(iv) Implementation of joint trans-national research activities

(EC 2005-2006 WP for "Support for the Coordination of Activities", p. 17-19)

Only the first two steps – exchange of information and analysis of common strategic issues – were made obligatory in this first period of the scheme. However, the ERA-NETs were free to strengthen cooperation beyond these two steps.

The first ERA-NET (CA) began in September 2003. As such, many ERA-NETs have now had a couple of years to establish the networks and develop joint activities. Hence the time is now ripe to take a first look at the overall impact of the ERA-NET scheme during FP6

This survey is intended to take stock of the progress made by the ERA-NETs, or, more specifically, to see to what extent the type of activities described under categories 3 and 4 have been undertaken. A particular focus was paid to "step 4"-activities, including joint calls for proposals, joint research programmes and joint pilot projects.

The goal was to have, for the first time, a *coherent* picture of the progress made by all ERA-NETs, with information gathered systematically across all research areas covered by the ERA-NETs. In this respect, a questionnaire was sent to the coordinators of 67 of the 71 ERA-NETS funded under FP6, leaving out the 4 ERA-NETs that had not yet begun. All coordinators, with the exception of one, contributed to the exercise, and often provided additional documentation and comments.

This report summarises the aggregated results of the survey, question by question. For each question a statistical overview, a graphic representation and a short summary of the "main messages" appearing from the data is given. In addition to this, references to comments made by the respondents or other considerations are added in italics, where appropriate.

The structure of the report follows the structure of the questionnaire, as do the colours for each section. To be sure, the grey sections (1, 5 and 6) were general questions meant for all respondents whereas the coloured sections were meant for projects which had joint calls, programmes or pilot

actions respectively. Projects with several calls or programmes filled in the appropriate sections one time for each of these actions.

Some questions from the questionnaire have been left out because the results were not suited for the kind of analysis given in the present report, because the answers given proved too sparse or incoherent, and/or because they would, in reality, present data about individual projects or countries, which was not the purpose of the survey. Consider, for example, question 5: "Title and/or subject(s) of the call".

As the questions 1-3 in Section 1 were often only answered by those respondents which had actually done joint activities, the basis for this data (number of respondents) was set to 71, which is the total number of Coordination Actions funded under the ERA-NET scheme in FP6. We can presume that the projects not participating in the survey have not had time to start joint research activities yet (indeed, 4 of 5 amongst had not yet started at the time) and thus calculate the share of *all* ERA-NETs having done calls, programmes and pilot actions.

In cases where a respondent had obviously misunderstood the question asked, the answer has been disregarded, but otherwise the data provided here are those provided by the ERA-NET coordinators. In questions where the respondents were asked to choose *one* option only, answers where several options were chosen are counted as "other". In spite of inaccuracies and/or changes that may have occurred since the questionnaires were completed, this survey should still ensure a fairly precise snapshot of the progress made by the ERA-NETs as of the winter 2006/2007.

In the “ERA-NET Review 2006”, the Expert Review Group, chaired by Professor Manfred Horvat, stressed the need for “collecting and synthesising the experiences and lessons to be learnt from running ERA-NETs […].” (p. VI) and “maintaining an overview of ERA-NET developments” (p. 29).

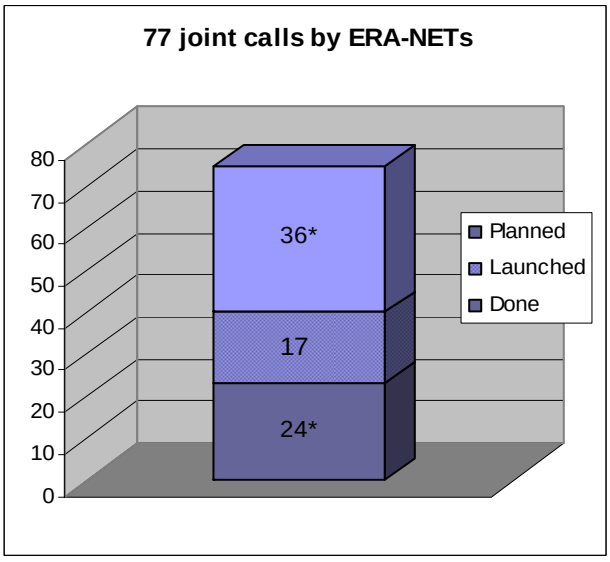
In this context, the present survey may serve as a first modest step towards a more sustained effort to collect and make use of experiences and lessons learned by the ERA-NETs. This will allow the ERA-NET team in the European Commission to have a clearer picture of the activities of the ERA-NETs, and, furthermore, it is hoped that the survey results will provide useful input for the ERA-NETs themselves in their work to develop future activities.

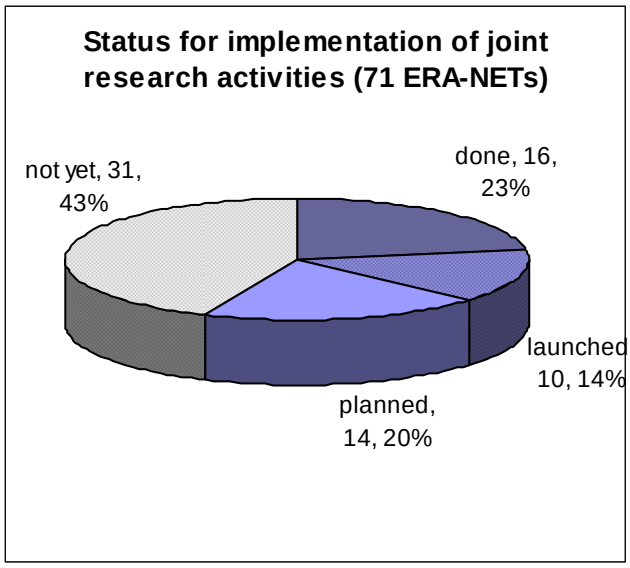
Section 1: Overview of joint activities

1 ***We would like to know if the ERA-NET has undertaken any joint calls. If this is the case, please indicate the number of calls according to the stage of their implementation.***

		ERA-NETs	1 call	2 calls	3 calls	Σ **calls**
1a	Number of calls that have been **done** (the final selection of projects for funding has been done)	16	11	2	3	**24**
1b	Number of calls that have been **launched** (the call has been published)	15	14	0	1	**17**
1c	Number of calls that have been **planned** (call not yet published but concrete planning of the call concerning the time schedule and budget has started)	28	21	6	1	**36**
1d	Other:	2				
Comments:		19				

Respondents: 71 (all ERA-NET CAs)





*) 2 calls (1 planned and 1 done) are calls for tender

Main messages:

- During the first three years of being active, ERA-NETs have implemented joint calls for proposals, thus moving well beyond the minimum requirements of the FP6 ERA-NET scheme: 77 joint calls have been implemented, launched, or planned, at this stage
- A majority of the ERA-NETs are already implementing joint research activities: 40 ERA-NETs, or 57% of all ERA-NETs, have done, launched or are planning a joint call or programme - a few ERA-NETs have already done several calls. (Note that some ERA-NETs have started three years ago, while others have started very recently)

→ *of these 77 calls, two are calls for tenders and are not included in the following, as their characteristics differ somewhat from calls for proposals.*

2 ***Did the ERA-NET set up a joint research programme?***

		∑	%
2a	Yes	**11**	15%
2b	No	**60**	85%
Comments:		9	

Respondents: 71 (all ERA-NET CAs)

Main messages:

- Joint research programmes are being set up by ERA-NETs, at least 11, thus 15% of all ERA-NETs have launched or are in the process of preparing a joint programme.
- The design of the different programmes varies greatly.
- Most of these programmes are still in the preparatory phase.

3 ***Did the ERA-NET launch any pilot actions/projects implemented without a prior call for proposals?***

		∑	%
3a	Yes	**10**	13%
3b	No	**61**	87%
Comments:		8	

Respondents: 71 (all ERA-NET CAs)

Main messages:

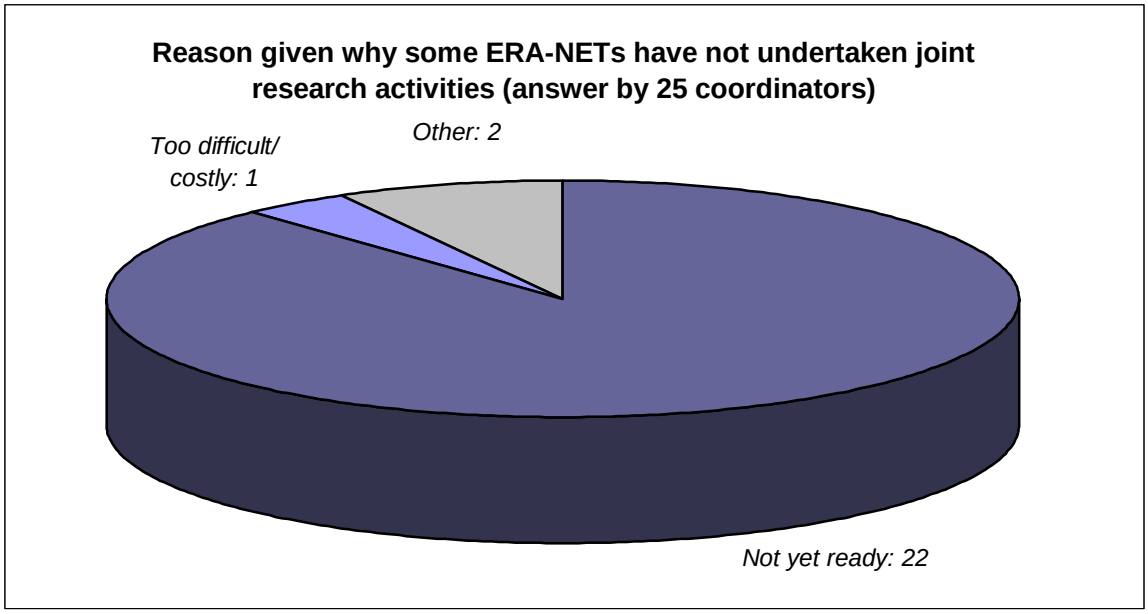
- Pilot actions without a prior call for proposals are also done by some ERA-NETs.
- Examples include: training courses for PhD students, workshops, bi- or trilateral projects to test cooperation procedures, establishment of a databases.

→ *Examples of both joint research programmes and pilot actions exist. No general model or tendency can be identified at this stage, but the cases can serve as inspiration for others.*

4 ***If NO joint activities have been undertaken, what do you see as the principal reason for this? (one answer only)***

		∑	%
4a	Our ERA-NET is not yet ready to undertake joint research activities	**22**	88%
4b	A joint call is too difficult and/or costly to organise	**1**	4%
4c	Transnational research is not relevant in this field	**0**	0%
4d	Other	**2**	8%
Comments:		17	

Respondents: 25



Main message:

- Most coordinators for ERA-NET which have not undertaken joint research activities give the reason, that they are not yet ready. Only one answered definitively that it is too difficult and no coordinators replied that joint calls or programmes are irrelevant.

→ One can expect most of these ERA-NETs to develop joint research activities at a later stage. Indeed, this expectation is reinforced by comments made by the respondents: Some already foresee the launch of a call at a later stage. In some cases this is foreseen in the Description of Work.

Section 2: Description of joint calls

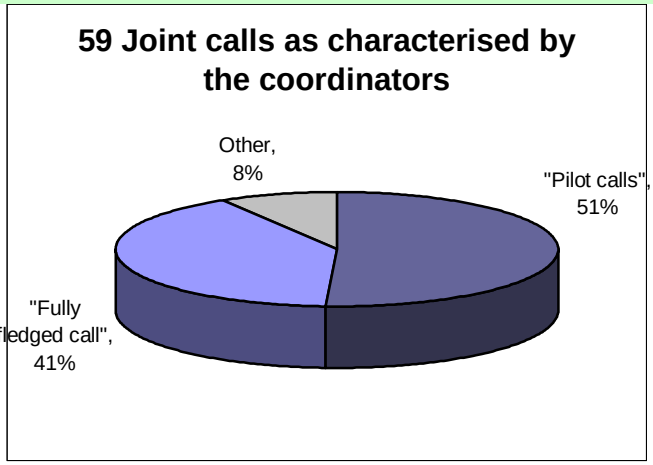
In section 2, the data is split to reflect the state of implementation of the calls (cf. question no. 1).
A distinction is made between data from:

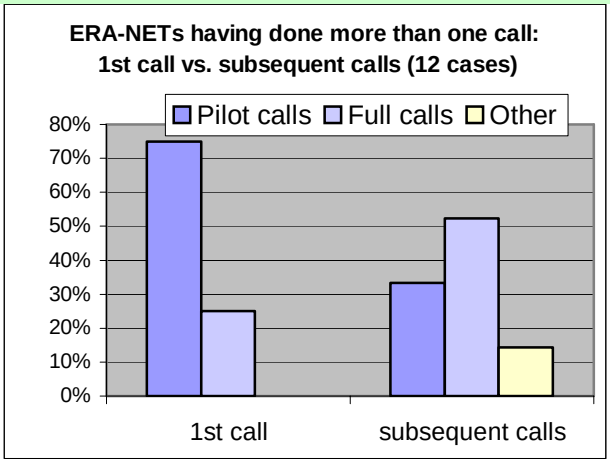
- calls already done (D)
- calls that have been launched (L)
- calls currently under planning (P)

6 ***Which of the following two options most accurtately characterises the call?***

		D	L	P	∑	%
6a	A 'pilot' or 'test' call meant to explore possibilities and methods for future cooperation	9	11	10	**30**	51%
6b	A fully fledged call addressing strategic research interests of the participants	10	4	10	**24**	41%
6c	Other	3	1	1	**5**	8%
Comments:		18				

Respondents: 59





Main message:

- To date, a majority of all ERA-NET calls are "pilots", but a non-negligible part (41%) of the all calls are considered "fully fledged" by the coordinators.
- Experience from cases where ERA-NETs have done more than one call indicates that ERA-NETs tend to start with a pilot call, but then move on to "fully-fledged" calls.

→ It seems that most ERA-NETs are still in a testing phase, but experience shows that it is possible to move from there to fully-fledged calls. More ERA-NETs can be expected to follow suite in the future.

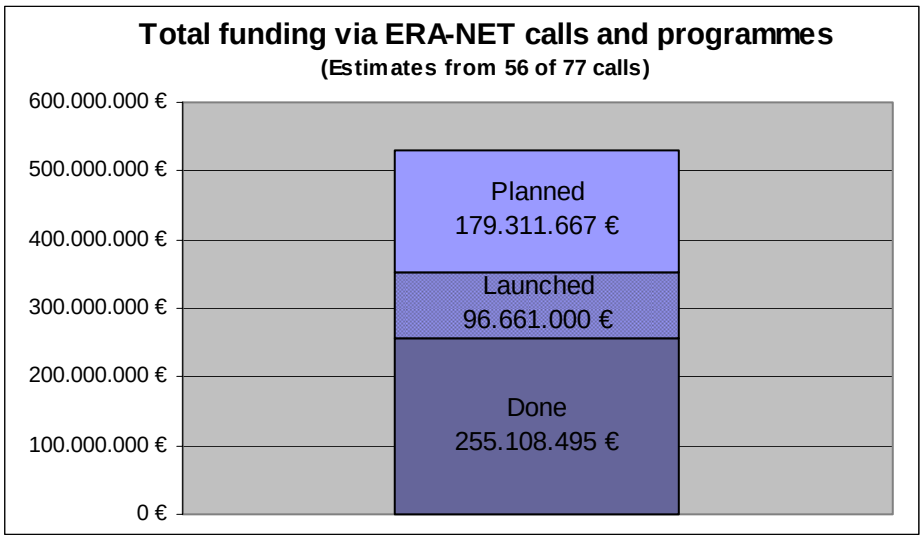
→ Several respondents commented on this question saying that their "pilot" calls to test procedures also reflected the interests of the participants. The dividing line between "pilots" and "full" calls is not clear-cut.

8 ***What is the total public funding of the call? (in €)***

		Done *	Launched**	Planned ***	Σ
	Calls <1M	4	5	3	**12**
	Calls 1M € -> 5M €	5	2	3	**10**
	Calls 5M € -> 10M €	5	3	6	**14**
	Calls > 10M €	8	4	6	**18**
	Average per call:	11.595.841 €	6.904.357 €	9.961.759 €	**9.834.836 €**
	Total budget all calls:	255.108.495 €	96.661.000 €	179.311.667 €	**531.081.162 €**

Answers: 54

*) Based on budget estimates from 22 of 24 done calls
**) Based on budget estimates from 14 of 17 launched calls
***) Based on preliminary budgets from 18 of 33 planned calls



Main message:

- The fact that more than 500 million euros are foreseen to be coordinated in joint calls launched in the years 2003-2007 underlines the strategic importance and impact of the ERA-NET scheme for structuring the ERA.
- The size of joint calls varies greatly – from 80.000 to 32,5M euros.

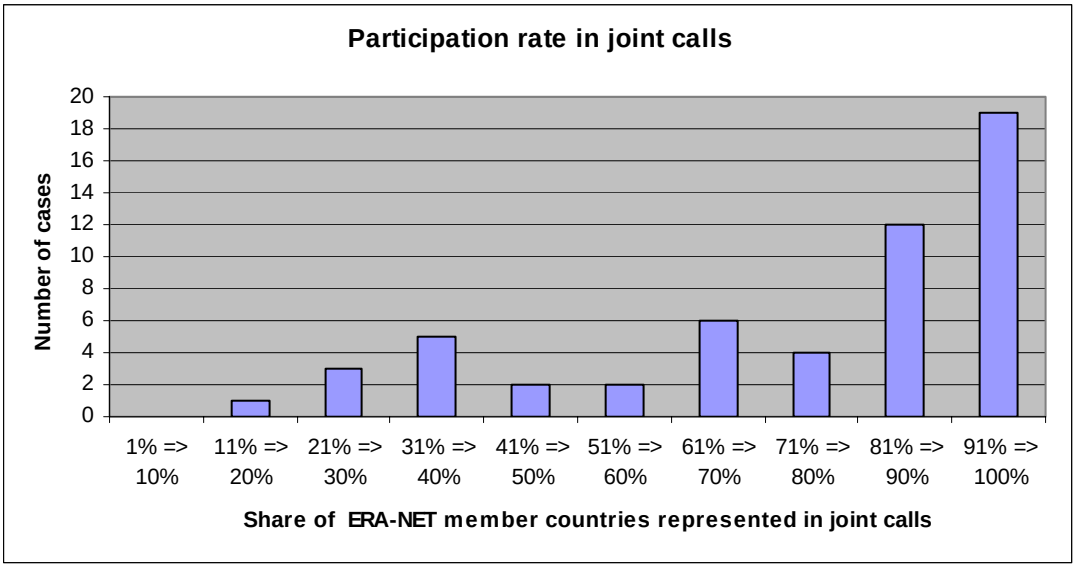
→ Budget estimates for "planned" calls – most of them to be launched in 2007 - were not available in more than half of the cases. The total amount granted through planned calls is likely to be substantially higher than what is indicated here.

→ All figures above refer to public funding. Private contributions to the funded projects (question 9 of the questionnaire) are frequent, especially in the area of industrial technologies, but it seems that these contributions are difficult to measure .The data provided is too scattered to say anything definitive on the question. In some of the cases, a private contribution of 30%-50% is required.

10 ***How many programmes participate by making funding contributions to the joint call?***

		D	L	P	Σ
10a	Number of naitonal programmes/countries participating in the call	10	9,9	9,3	**9,8**
10b	Percentage of national programmes/countries participating in the call over total number of participants in the ERA-NET	80%	72%	66%	**77%**
Comments:		32			

Answers: 57



Main messages:

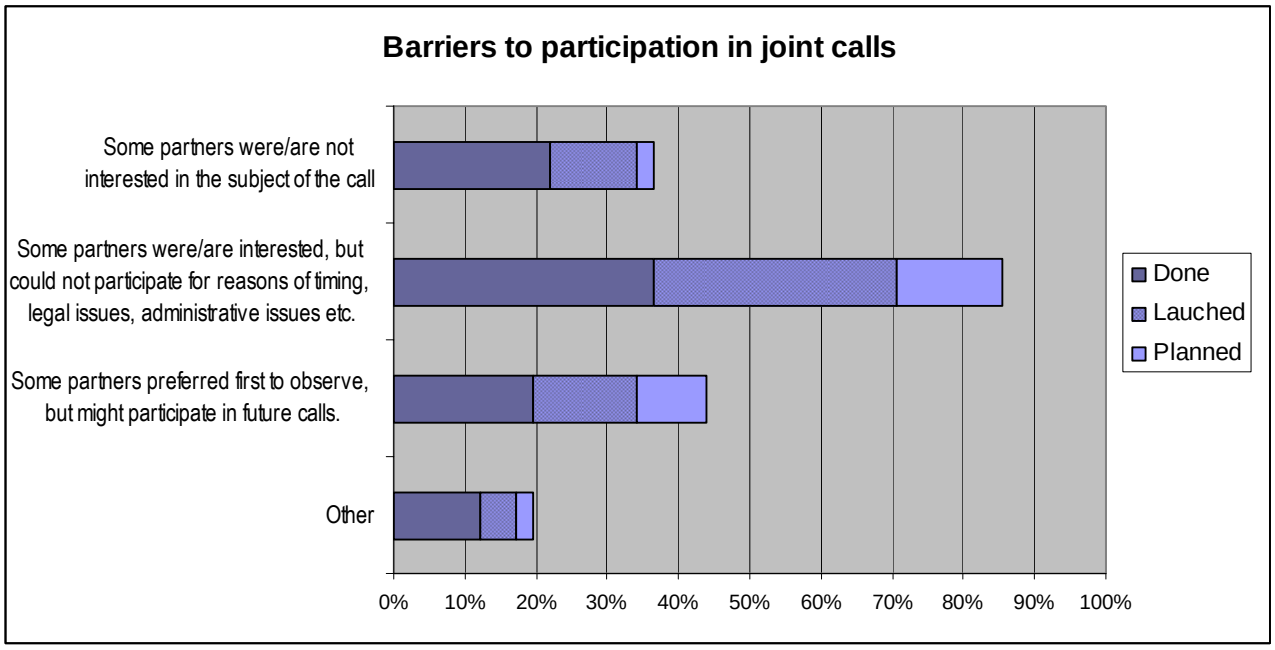
- Variable geometry applies to joint calls: in most cases not all member countries participate.
- However, in most cases a majority participate (see table above).
- In some cases, associated members and non-members participate in the call.

→ *Some ERA-NETs launched calls with few partners to gain experience, while others preferred to try to get all members on board before launching the first call. The minimum number of partners countries in a call is 2, the maximum is 27. Once more, flexibility and variable geometry are key words: There is no "one solution fits all".*

12 ***Very often, not all partner countries of the ERA-NET participate in the call, what is the reason in your case? (Several answers possible)***

		D	L	P	Σ	%
12a	Some partners were/are not interested in the subject of the call	9	5	1	**15**	37%
12b	Some partners were/are interested, but could not participate for reasons of timing, legal issues, administrative issues etc.	15	14	6	**35**	85%
12c	Some partners preferred first to observe, but might participate in future calls.	8	6	4	**18**	44%
12d	Other	5	2	1	**8**	20%
Comments:		24				

Respondents: 41 (several answer possible)



Main message:

- The main reason why not all ERA-NET partner countries participate in joint calls is legal and administrative constraints (this explanation was given in 85% of the answers).

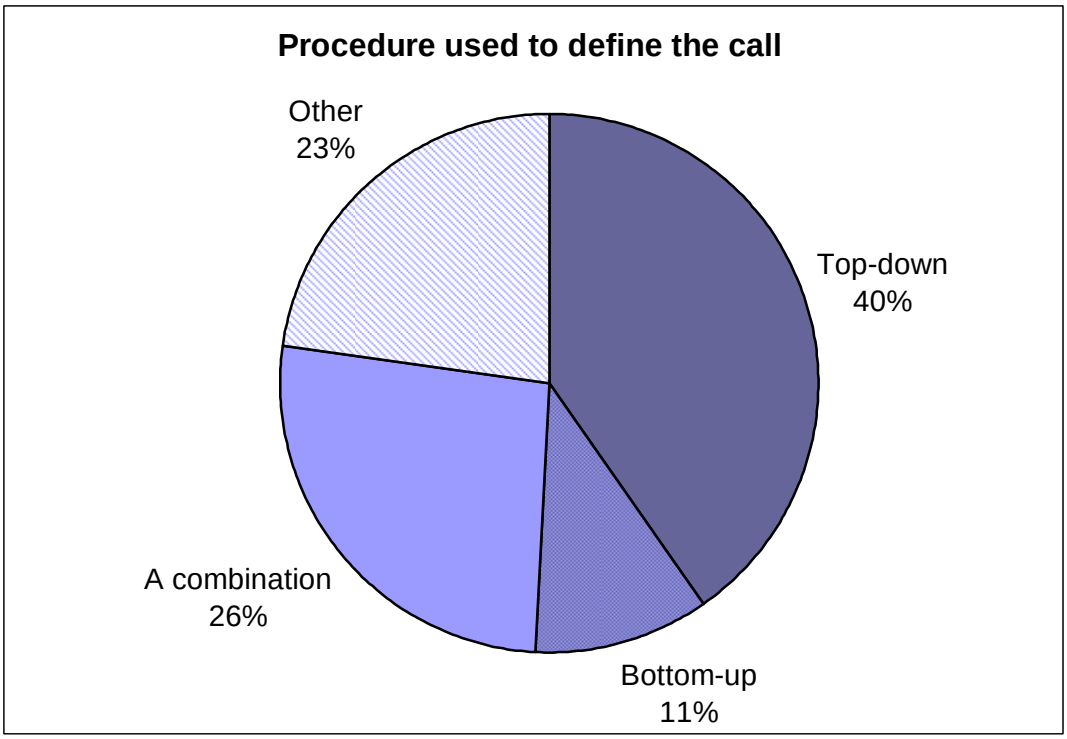
→ In a few cases, ERA-NETs have chosen to launch initiatives on different topics, knowing that not all topics would be of interest to all partners.

→ Another important obstacle mentioned is reaching an agreement on a common theme (see also questions 13 and 24)

13 ***How was the theme of the call defined? (Please choose one answer only***

		D	L	P	∑	%
13a	By the funding programmes (top-down)	8	11	4	**23**	40%
13b	After an expression of interest from the potential proposers (bottom-up)	4	0	2	**6**	11%
13c	By a combination of the two	8	3	4	**15**	26%
13d	Other	3	3	7	**13**	23%
Comments:		32				

Respondents: 57



Main messages:

- The top-down approach is the most common (40%)
- In most cases, the process of defining the call includes several elements not easily deductible to a single category.

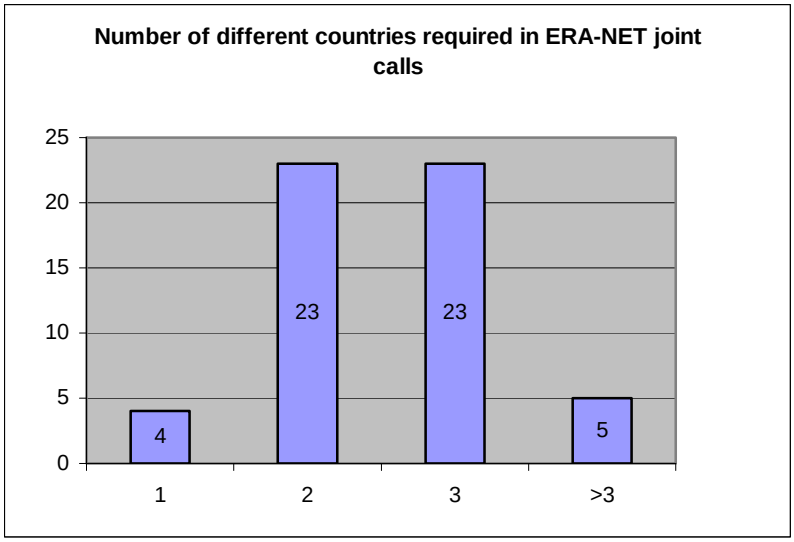
→ Steps taken by ERA-NETs to define the joint calls include workshops and other forms of consultation with the scientific community (experts from academia and industry), stakeholders and policy-makers

→ Often, input was provided by an expert group before the final decision was taken by the ERA-NET partners.

14 ***Minimum number of partners from different countries required in the projects to be funded out of the joint call***

		D	L	P	Σ	%
14a	Only **one** country required	3	1	0	**4**	8%
14b	Partners from **two** different countries required	8	5	7	**20**	39%
14c	Partners from **three** differetn countries required	7	8	8	**23**	45%
14d	Partners from **more than three** different countries required	3	0	1	**4**	8%
14e	Average	2,67	2,5	2,63	**2,61**	-
Comments:						

Answers: 51



Main messages:

- In ERA-NET joint calls, partners from 2 or 3 different countries are generally required for a project to be funded.
- Small focused transnational projects are to be expected.

→ This might be an indication of simplification and flexibility of the ERA-NET calls, compared to the thematic calls of the Framework Programme.

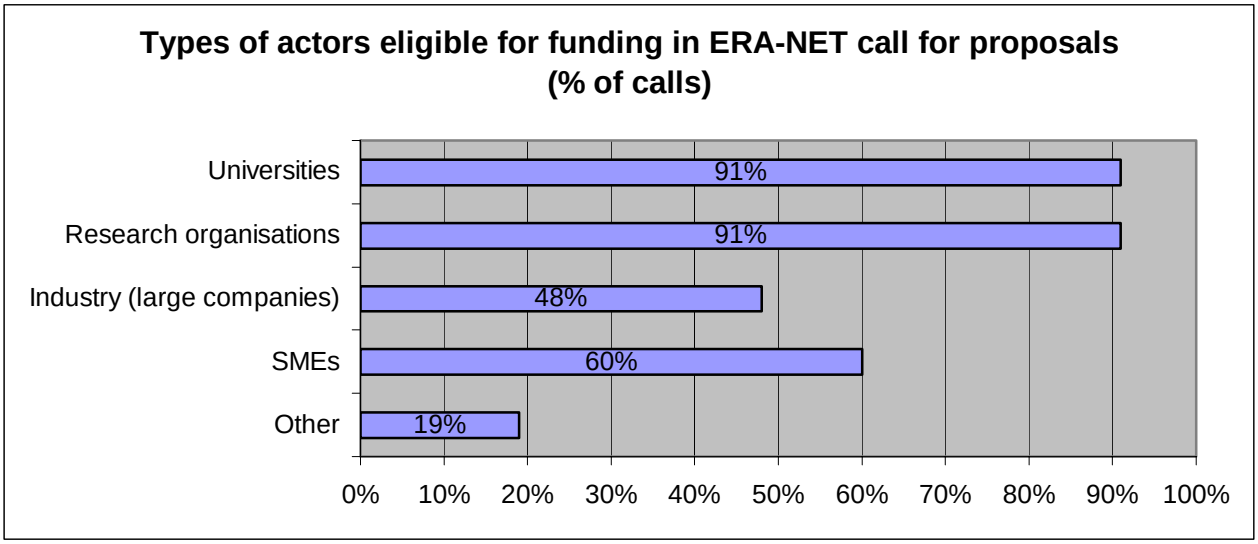
→ However, more time is needed before it will become clear how many different countries are, in fact, represented in projects funded by the ERA-NETs. In FP6, this number of participants in an integrated project (IP), was generally well above the required minimum of 3. For some ERA-NET calls there is an upper limit of 4 or 5 participants.

→ Cases with only one country required are grants to individual researchers.

15 ***What type(s) of actors are elligible for funding in the call?***

		D	L	P	Σ	%
15a	Universities	19	15	19	**53**	91%
15b	Research organisations	19	15	19	**53**	91%
15c	Industry (large companies)	9	10	9	**28**	48%
15d	SMEs	12	14	9	**35**	60%
15e	Other	5	4	2	**11**	19%
Comments:		34				

Respondents: 58 (several answer possible)



Main messages:

- Universities and research organisations are eligible for practically all calls.
- Eligibility for industry and SMEs is relatively high considering the fact that a number of calls in the areas of fundamental research and the social sciences exclude industrial

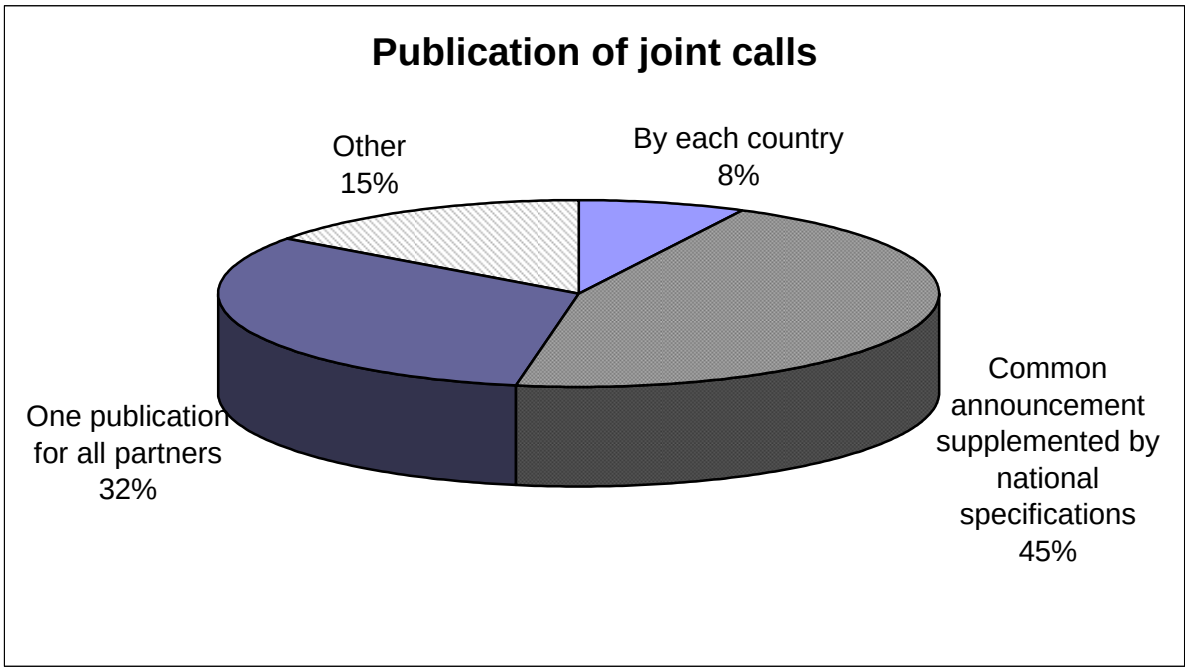
→ *Often, different types of actors are eligible in different countries*

→ *"others" include intermediary organisations and organizations from a specific sector*

16 ***How is the call published? (Please choose one answer only)***

		D	L	P	Σ	%
16a	By each country separately	0	3	1	**4**	8%
16b	Common call announcement supplemented by national call specifications	10	9	5	**24**	45%
16c	Call announcement made by one partner or ERA-NET secretariat for all participants	8	3	6	**17**	32%
16d	Other	4	0	4	**8**	15%
Comments:		27				

Respondents: 53



Main messages:

- A variety of different mechanism for publishing the call were used by the ERA-NETs launching joint calls
- In many cases a combination of a central announcement and diffusion by national contact points was used.
- The ERA-NET web pages are important tools for the diffusion of information on joint calls. A large number of respondents indicated this in the comments.

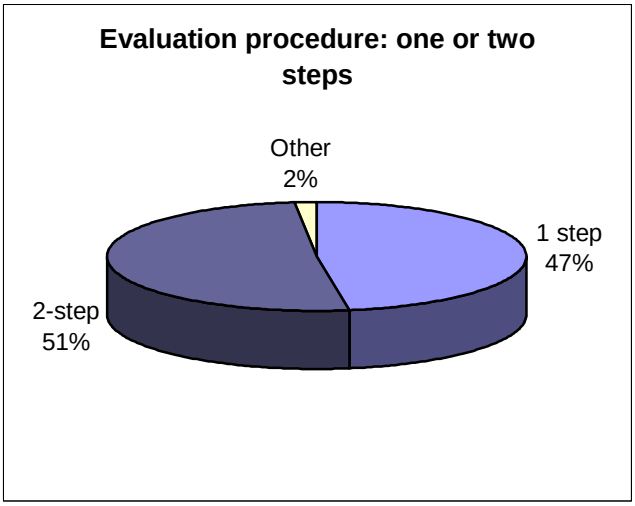
→ *The call publication is, of course, not the only way to raise awareness of the ERA-NET calls in the scientific community. For example, some ERA-NETs have held workshops and training sessions to prepare potential proposers for the call.*

→ *This issue could also be considered in the context of the Expert Review Group's recommendation to establish a "strong ERA-NET brand".* (ERA-NET Review 2006, p. 29)

17 ***How is the submission of proposals organised? (Please choose one answer only)***

		D	L	P	∑	%
17a	1 step procedure: One single submission	13	9	6	**28**	47%
17b	2 step procedure: Pre-proposals or outline proposals first and full proposals later	10	7	13	**30**	51%
17c	Other	0	1	0	**1**	2%
Comments:		15				

Respondents: 59



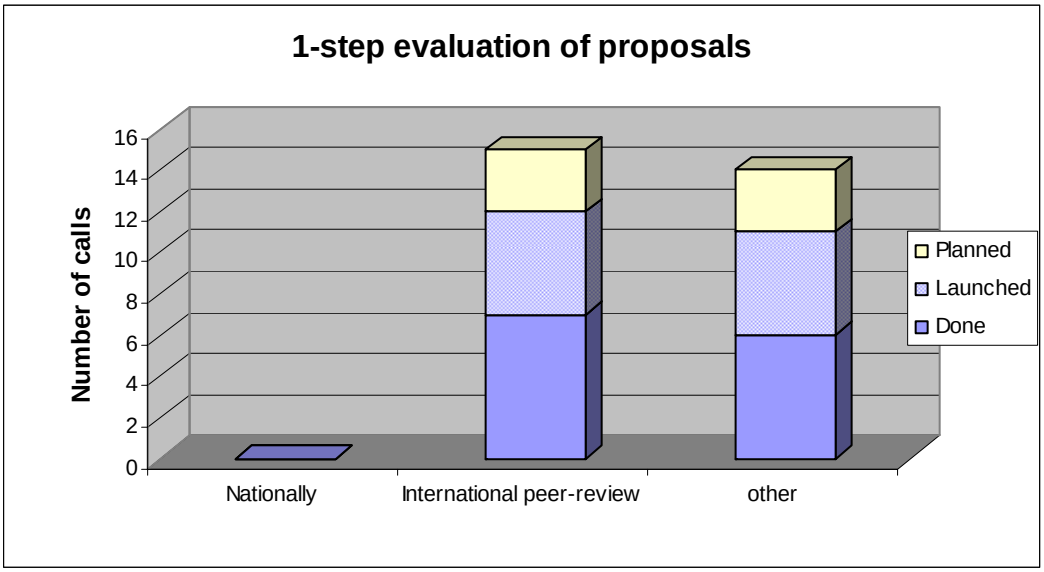
Main messages:

- one- and two-step evaluations are both used extensively
- one-step procedures tend to be used for small budgets and individual grants while the 2-step procedure is more common for larger calls.
- Apparently, two-step procedures will be more common in the future (majority of planned calls)

18 ***How are the proposals evaluated in the one-step procedure? (Please choose one answer only)***

		D	L	P	∑	%
18a	Nationally: the partner authority in each country selects which projects to support	0	0	0	**0**	0%
18b	Centrally: peer-review by international expert group	7	5	3	**15**	52%
18c	other	6	5	3	**14**	48%
Comments:		20				

Respondents: 29



Main messages:

- International peer-review is the evaluation procedure preferred for a majority of joint calls.
- No ERA-NETs use a strictly national evaluation procedure.
- In many cases, elements from both international peer-review and national level evaluation are used during the evaluation of proposals.

19 ***1st step: How are the pre-proposals / outline proposals evaluated? (Please choose one answer only)***

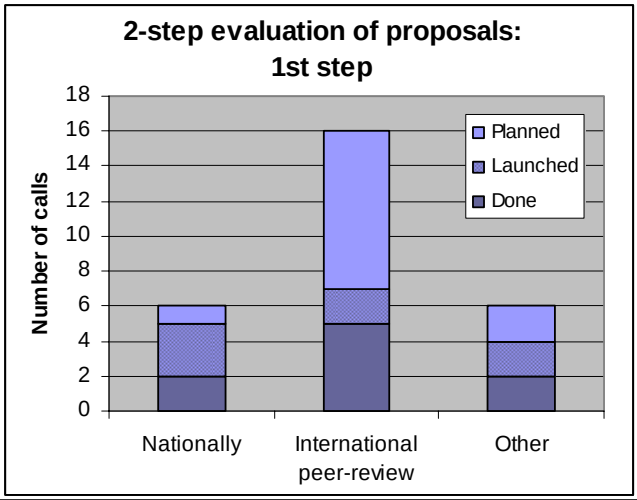
		D	L	P	∑	%
19a	Nationally: the partner authority in each country selects which projects to support	3	2	1	**6**	22%
19b	Centrally: peer-review by international expert group	5	2	9	**16**	59%
19c	other	1	2	2	**6**	22%
Comments:		16				

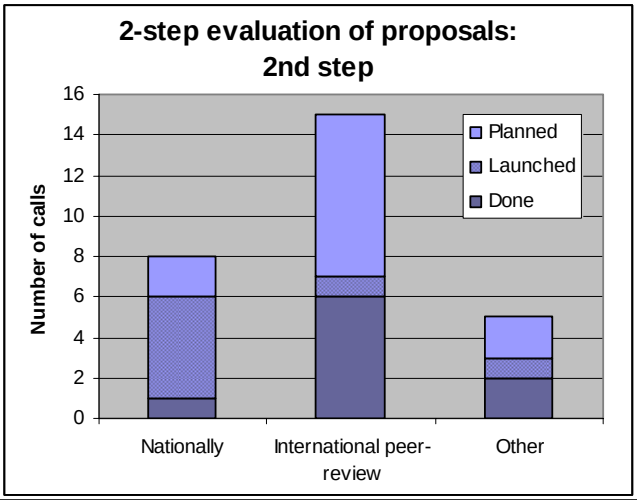
Respondents: 27

20 ***2nd step: How are the full proposals evaluated? (Please choose one answer only)***

		D	L	P	∑	%
20a	Nationally: the partner authority in each country selects which projects to support	2	4	2	**8**	30%
20b	Centrally: peer-review by international expert group	5	1	8	**15**	56%
20c	other	2	1	2	**5**	19%
Comments:		16				

Respondents: 27





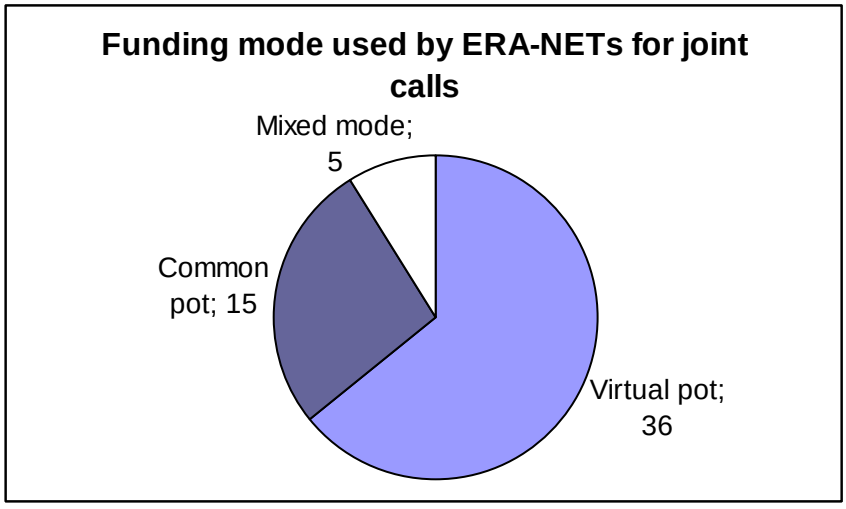
Main messages:

- Evaluation by international peer-review will, apparently, be used more extensively in future calls (planned), than in the current and past calls.
- As in the one-step procedure, each step within a 2-step approach often includes both international peer-review and a subsequent negotiation between ERA-NET partners.

21 ***How are the financial contributions from the participating partners organised?(Please chose one answer only)***

		D	L	P	∑	%
21a	Virtual pot': While the projects are transnational, each partner funds, a priori, participants from its country	14	12	10	**36**	64%
21b	Common pot': All partners contribute to the common call budget without regard to the nationality of the participants in the funded	7	4	4	**15**	27%
21c	Mixed mode': a part of the budget handled as common pot, while the rest is 'virtual'	2	1	2	**5**	9%
21d	Other	0	0	0	**0**	0%
Comments:		17				

Respondents: 56



Main messages:

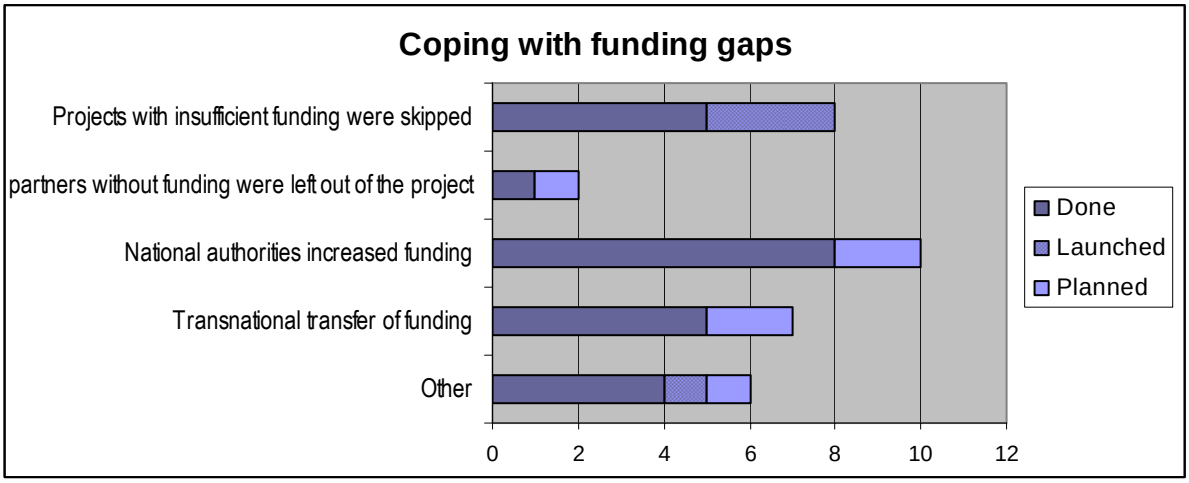
- The "virtual pot" is the most common funding mode used by ERA-NETs, but examples of both a "real" common pot and "mixed mode" funding exist.

→ A small group of ERA-NETs have used common pot funding: The 15 examples are used by only 5 different ERA-NETs.
→ Mixed mode funding might be a suitable solution for more future calls, with many of the benefits of a common pot but with a less demanding commitment.
→ In some cases, only some participating countries contributed to the common pot while others did not.

22 ***If 'gaps' in the funding occurred, so that some project participants in a selected project did not have sufficient funding, how was the situation resolved? (Several***

		D	L	P	Σ	%
22a	Projects with insufficient funding were skipped	5	3	0	**8**	35%
22b	Projects were implemented, but partners without funding were left out of the project	1	0	1	**2**	9%
22c	The national authorities in question increased funding to cover the gap	8	0	2	**10**	43%
22d	Transnational transfer of funding: Some partners funded project participants from other countries to close the gap	5	0	2	**7**	30%
22e	Other	4	1	1	**6**	26%
Comments:		39				

Respondents: 23 (several answer possible)



Main messages:

- Only ERA-NETs using a virtual common pot have face problems with funding "gaps". This has, unfortunately, lead to the cancellation of good research projects in some cases.
- All examples of both common pot and mixed mode funding have prevented the situation from occurring.
- In almost half of the cases, national participants increased their initial budget to meet funding demands from selected projects. Examples of transnational transfers are also quite common.

→ *While common pot and mixed mode financing would prevent the gaps from occurring, ERA-NET partners using a virtual pot tend to find solutions on a case to case basis. In that way, they implement* a posteriori *what common pot and mixed mode funding would achieve* a priori.

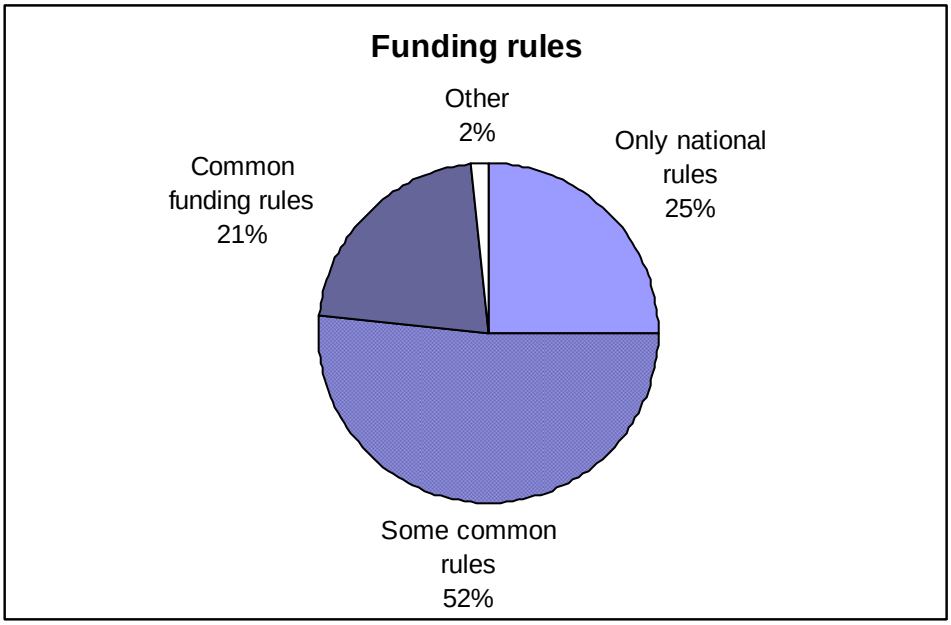
→ *"Other" solutions include cutting the budgets of the projects.*

→ *These decisions are often taken on a case-by-case basis, which is why many ERA-NETs having planned and launched calls were not always able to answer yet.*

23 ***On what level are the rules regulating the funding defined***

		D	L	P	∑	%
23a	Only national rules apply	7	4	3	**14**	25%
23b	Some common rules have been agreed while national rules still apply to participants	12	9	8	**29**	52%
23c	Agreed common funding rules apply equally to all participants	4	3	5	**12**	21%
23d	Other	0	1	0	**1**	2%
Comments:		7				

Respondents: 56



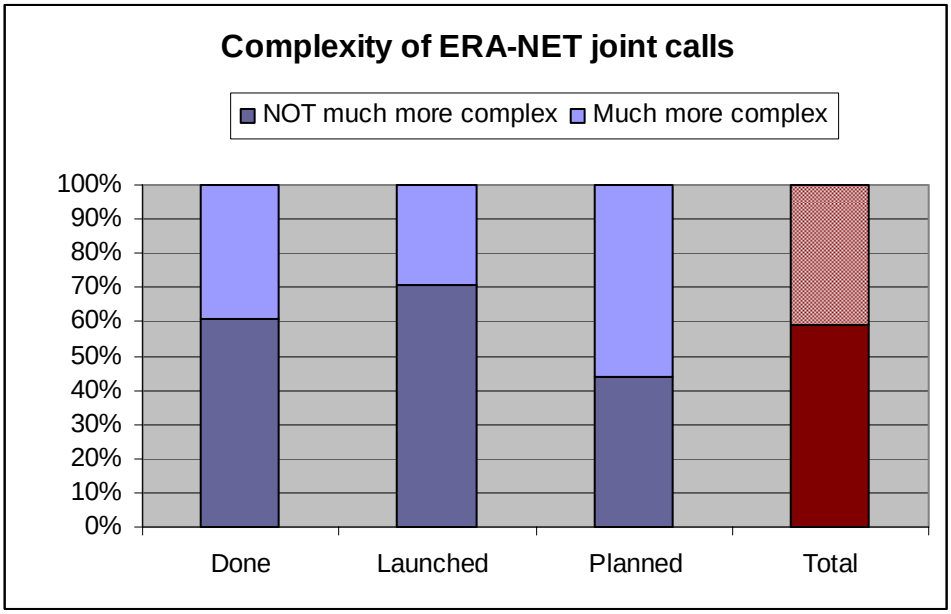
Main messages:

- Common rules are defined for more than 70% of the joint calls.
- In many cases, they are complemented by existing national rules.
- In all cases where only common rules apply, common pot financing is used.

24 ***How do you see the implementation of the call as compared to national calls?***

		D	L	P	∑	%
24a	NOT much more complex than national calls (in terms of time and resources, arbitration of priorities, evaluation and assistance to	14	12	7	**33**	59%
24b	Much more complex than national calls	9	5	9	**23**	41%
Comments:		42				

Respondents: 56



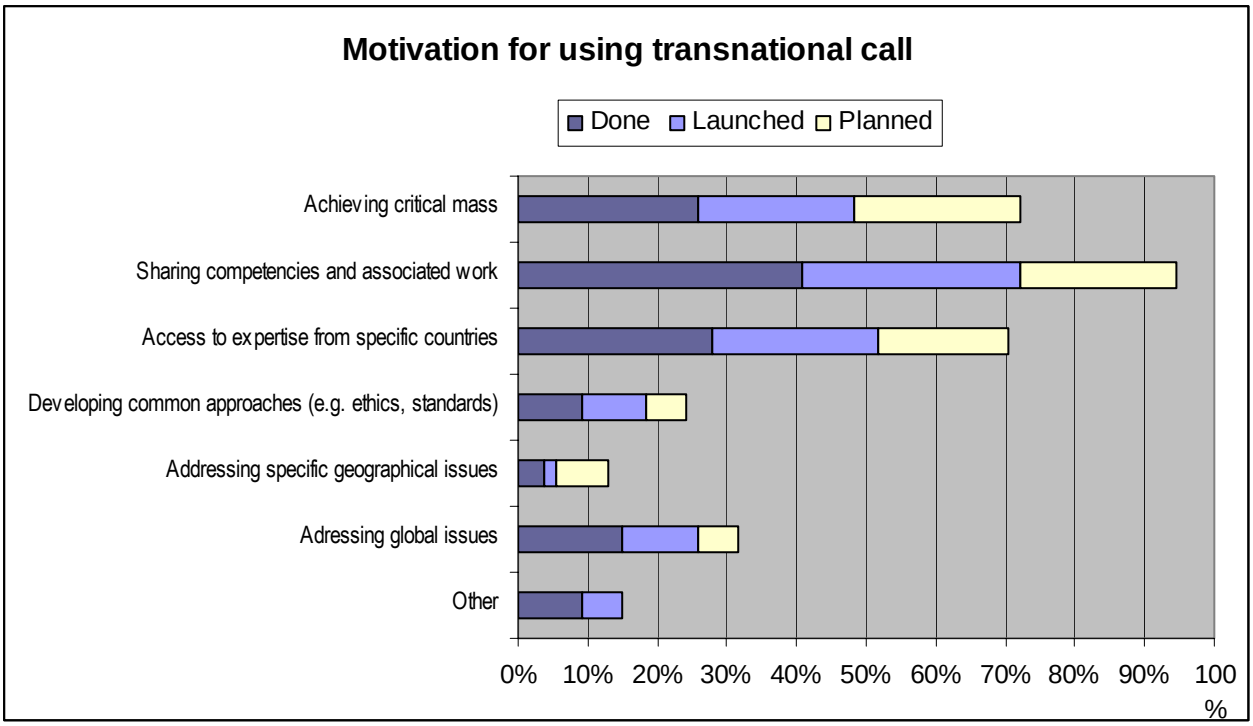
Main messages:

- A majority of all respondents find that their ERA-NET call was not much more complex than national calls, especially respondents who have already launched or done a joint call.
- Respondents currently preparing a call were less optimistic about the implementation of their call. Indeed, the preparation of the call is by several respondents as one of the most difficult and time-consuming elements of organizing a joint call.

25 ***What was/were the main motivation(s) to address this area/topic via a transnational call?***

		D	L	P	Σ	%
25a	Achieving critical mass	14	12	13	**39**	72%
25b	Sharing competencies and associated work	22	17	12	**51**	94%
25c	Access to expertise from specific countries	15	13	10	**38**	70%
25d	Developing common approaches (e.g. ethics, standards)	5	5	3	**13**	24%
25e	Addressing specific geographical issues	2	1	4	**7**	13%
25f	Adressing global issues	8	6	3	**17**	31%
25g	Other	5	3	0	**8**	15%
Comments:		17				

Respondents: 54 (several answer possible)



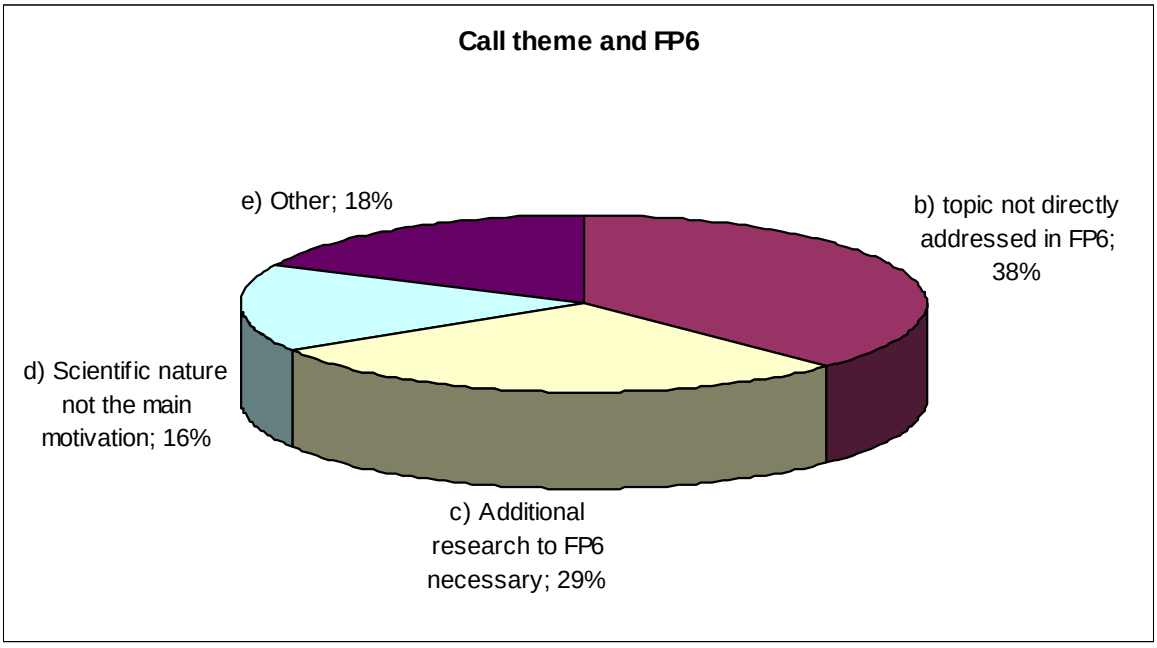
Main messages:

- Achieving critical mass, sharing competencies and associated work, and access to expertise from specific countries are goals shared by most ERA-NETs
- Addressing specific geographical issues and global issues may be more specific objectives of those ERA-NETs addressing these issues.

26 ***In relation to FP6, which of the following motivations could explain the selected area/topic of the joint call?***

		D	L	P	∑	%
26a	The scientific area/topic of the call is fully outside of the FP6 activities	0	0	0	**0**	0%
26b	The scientific area/topic is NOT directly (or NOT well) addressed in the Framework Programme and the call is complementing topics of	8	4	9	**21**	37%
26c	The scientific area/topic is addressed in the Framework Programme but additional efforts/research seems necessary. This call is addressing similar areas/topics of the FP but via another type of projects	4	7	6	**17**	30%
26d	The scientific nature of the area/topic was NOT the main motivation for the joint call, other reasons were more important; please comment below	5	3	1	**9**	16%
26e	Other	6	3	1	**10**	18%
Comments:		30				

Respondents: 57



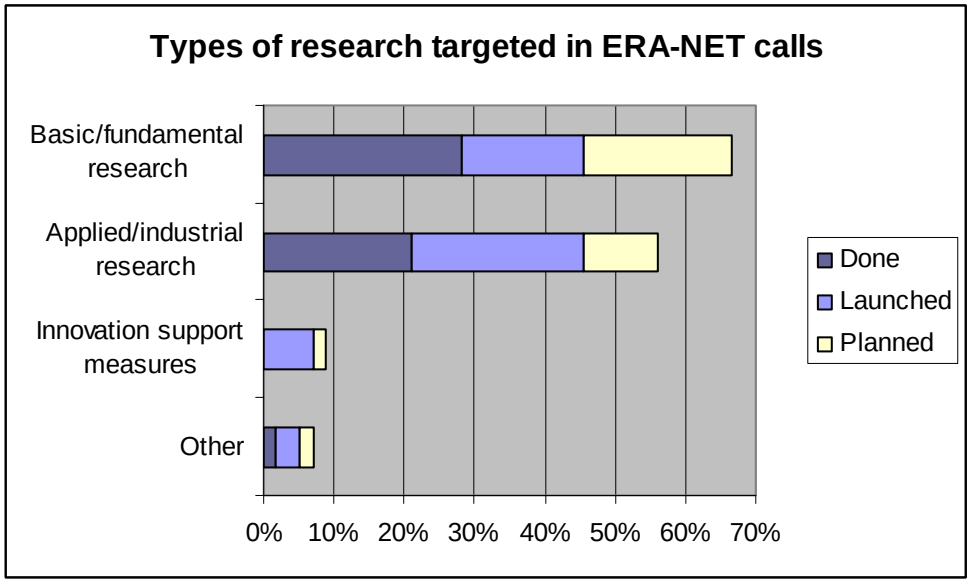
Main messages:

- The picture confirms that there is a real need for transnational cooperation beside the community Framework Programme
- More than a third (37%) of the calls covers areas that are considered "not directly or not well addressed in FP6".
- Other motivations include improving international cooperation and implementing efficient cooperation between smaller groups of researchers than is generally the case in FP6.

27 ***What 'broad' type of research in the scientific area/topic was/is the target of your call? (Several answers possible)***

		D	L	P	∑	%
27a	Basic/fundamental research	16	10	12	**38**	67%
27b	Applied/industrial research	12	14	6	**32**	56%
27c	Innovation support measures	0	4	1	**5**	9%
27d	Other	1	2	1	**4**	7%
Comments:		10				

Respondents: 57 (several answer possible)



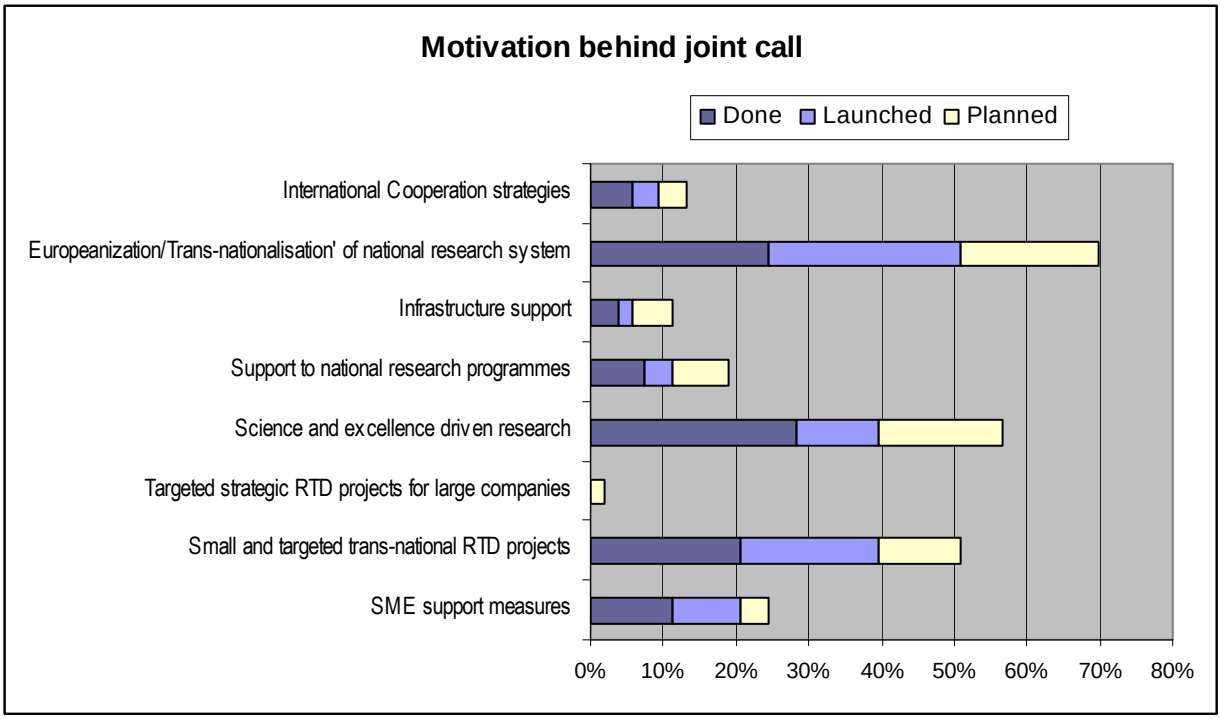
Main messages:

- Most projects cover basic research. Nevertheless, a substantial number of calls are done in applied/industrial research areas.
- Few ERA-NETs have innovation support as their primary target

28 ***Which of the following reasons (if any) motivated your joint call, in order to launch a specific type of projects that you want to foster in the area/topic***

		D	L	P	Σ	%
28a	SME support measures	6	5	2	**13**	25%
28b	Small and targeted trans-national RTD projects (few partners-few countries)	11	10	6	**27**	51%
28c	Targeted strategic RTD projects for large companies (like STREPS in the FP)	0	0	1	**1**	2%
28d	Science and excellence driven research close to University environments	15	6	9	**30**	57%
28e	Support to national research programmes in form of mobility schemes and other measures (post doc)	4	2	4	**10**	19%
28f	Infrastructure support	2	1	3	**6**	11%
28g	Europeanization/Trans-nationalisation' of your national research system	13	14	10	**37**	70%
28h	International Cooperation strategies (INCO countries and beyond)	3	2	2	**7**	13%
Comments:		1				

Respondents: 53 (several answer possible)



Main message:

- Europeanization is a motivation for 70% of the joint calls launched by ERA-NETs, a clear evidence of the willingness for opening national research programmes
- Small and targeted RTD projects and science and excellence driven research are motivations behind at least half of the joint calls.
- Infrastructure support, International cooperation and support for large companies, on the other hand, are addressed by "specialised ERA-NETs".

29 ***Did your joint call involve programmes from non-EU Member States or non-associated states?***

		D	L	P	∑	%
29a	Yes	2	2	4	**8**	14%
29b	No	21	15	12	**48**	86%
Comments:		9				

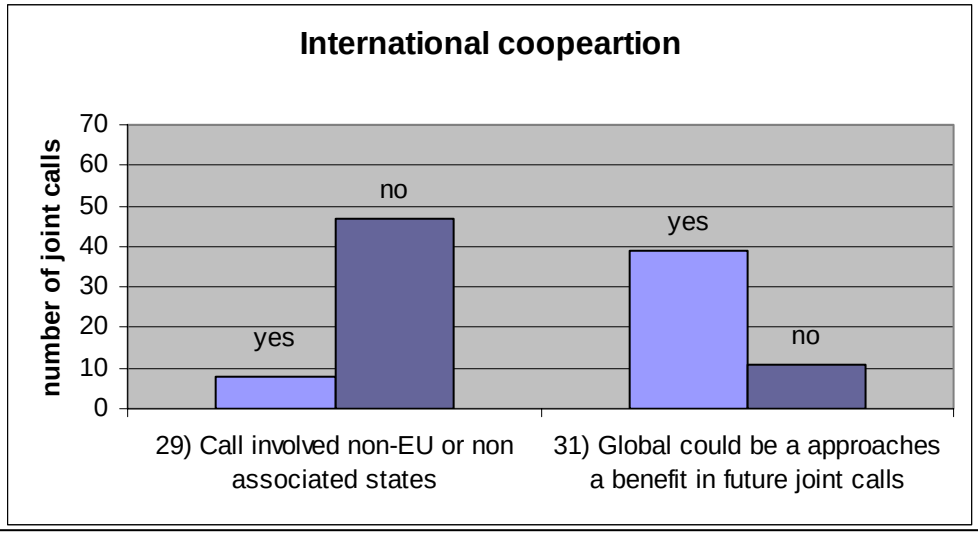
Respondents: 56 (several answer possible)

31 ***Would you think that global approaches in ERA-NETs can be a future benefit for ERA-NET joint calls?***

		D	L	P	∑	%
31a	Yes	18	12	10	**40**	78%
31b	No	4	3	4	**11**	22%
Comments:		41				

Respondents: 51 (several answer possible)

(*) By "global approaches" is here meant international cooperation beyond EU member states and associated states. Respondents who understood this term otherwise have not been counted here.



Main message:

- Today, few ERA-NETs include third countries in joint calls, but close to 78% believe it could be a benefit to do so in the future
- However, examples do exist, and some ERA-NETs have positive experiences with such cooperation.

→ It is interesting to note that in FP7, Commission services dealing specifically with international cooperation and research infrastructures have adopted the ERA-NET scheme.

Section 3: Joint programmes

In section 3, the data is split to reflect the state of implementation of the programmes.
A distinction is made between data from:

- programmes that have already been launched (L)
- programmes currently under planning (P)

Data on the joint programmes should be treated as indications only:

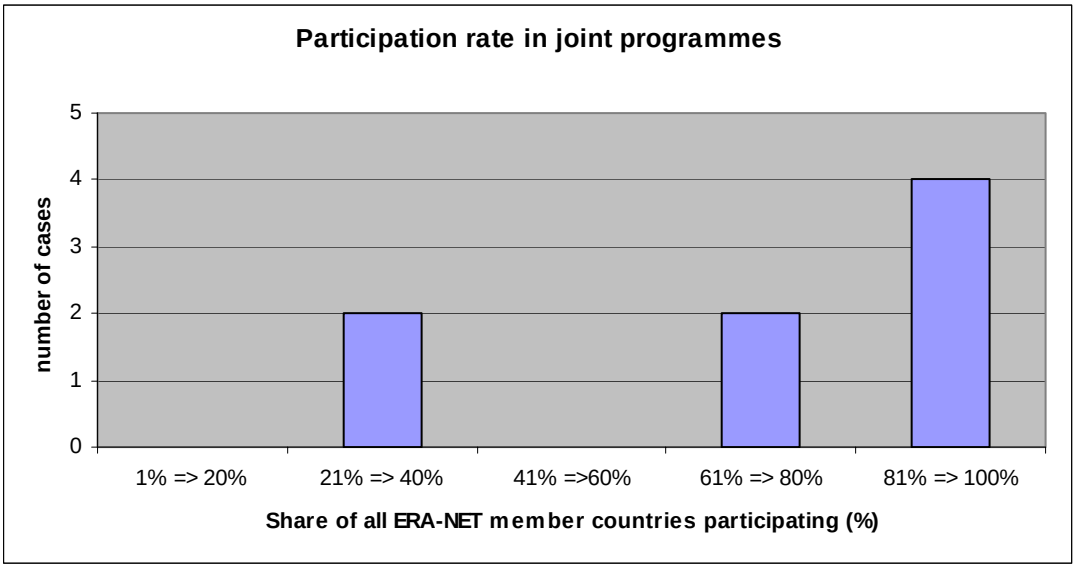
- The definition of what constitutes a "joint programme" is not entirely clear-cut and very different initiatives have been reported under this heading.
- The limited number of cases does not allow for any kind of generalisation.

Therefore, this data should rather be taken as an indication of what joint programmes *can* be, and maybe serve as a basis for discussion about future activities

37 ***How many programmes participate by making funding contributions to the joint research programme?***

		L	P	∑
37a	Number of national programmes/countries participating	13,0	10,2	**11,3**
37b	Number of national programmes/countries as a percentage fo total number of participants in the ERA-NET	85%	71%	**76%**
Comments:		6		

Respondents: 8

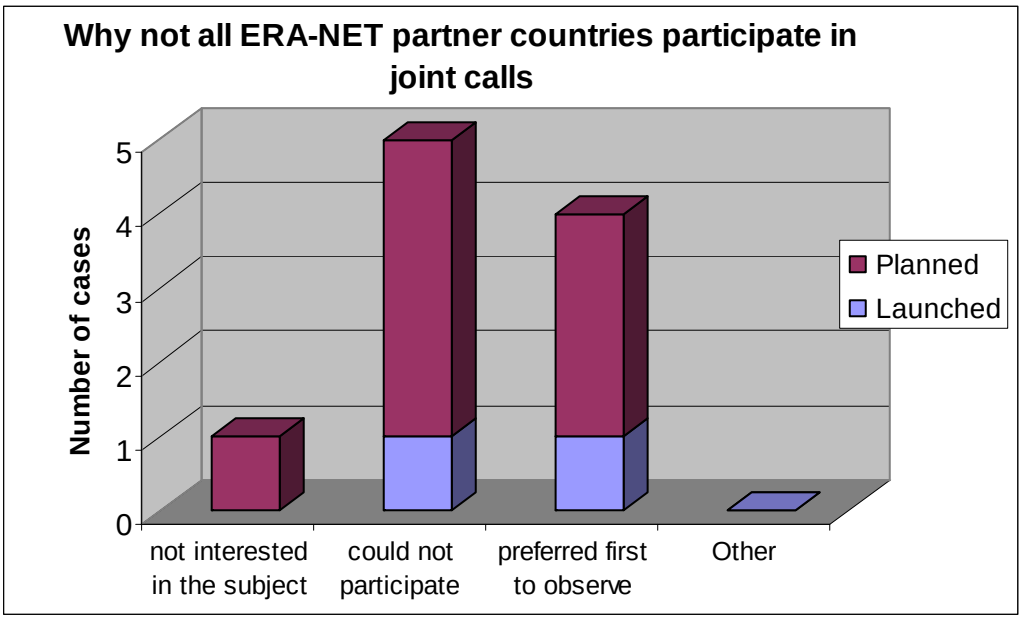


- The participation in the joint programmes reported (76 % of ERA-NET partners on average) compares to that of the joint calls (77%)
- As in joint calls, both programmes involving a few partners and programmes with nearly all ERA-NET partners are being set up.

39 ***Very often, not all partner countries of the ERA-NET participate in the programme, what is the reason in your case? (Several answers possible)***

		L	P	∑	%
39a	Some partners were/are not interested in the subject of the programme	0	1	**1**	20%
39b	Some partners were/are interested, but could not participate for reasons of timing, legal issues, administrative issues etc.	1	4	**5**	100%
39c	Some partners preferred first to observe, but might participate in future calls.	1	3	**4**	80%
39d	Other	0	0	**0**	0%
Comments:		3			

Respondents: 5 (several answer possible)

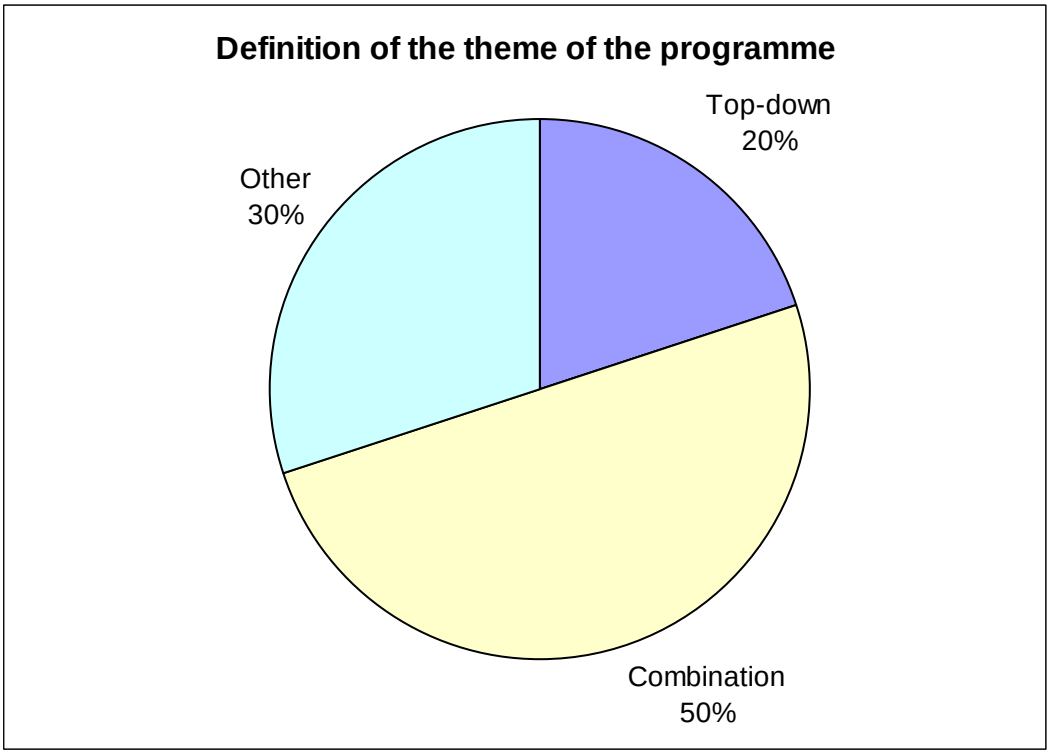


- As for the joint calls, legal and administrative barriers are the reason most often cited to explain why some ERA-NET partners stay outside the joint programmes.

40 ***How was the theme of the programme defined? (Please choose one answer only)***

		L	P	∑	%
40a	By the funding programmes (top-down)	0	2	**2**	20%
40b	After an expression of interest from the potential proposers (bottom-up)	0	0	**0**	0%
40c	By a combination of the two	3	2	**5**	50%
40d	Other	1	2	**3**	30%
Comments:		7			

Respondents: 10

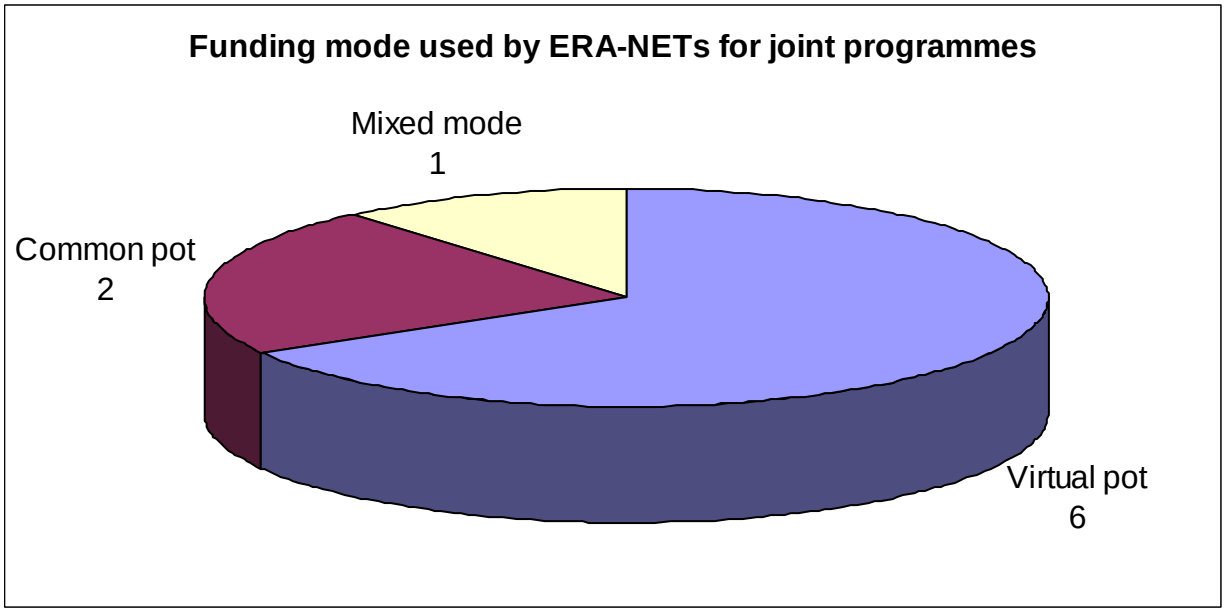


- In the few examples available, the process of defining the programme has been less top-down than the average joint call. The most common approach is to use a combination of top-down decision and consultation of stakeholders.

41 ***How are the financial contributions from the participating partners organised?(Please chose one answer only)***

		L	P	∑	%
41a	Virtual pot': While the projects are transnational, each partner funds, a priori, participants from its country	2	4	**6**	67%
41b	Common pot': All partners contribute to the common call budget without regard to the nationality of the participants in the funded projects.	2	0	**2**	22%
41c	Mixed mode': a part of the budget handled as common pot, while the rest is 'virtual'	0	1	**1**	11%
41d	Other	0	0	**0**	0%
Comments:		5			

Respondents: 9



- This mirrors the picture from the joint calls. A virtual pot solution is most frequent.

42 ***If 'gaps' in the funding occurred, so that some project participants in a selected project did not have sufficient funding, how was the situation resolved?***

		L	P	∑	%
42a	Projects with insufficient funding were skipped	1	1	**2**	33%
42b	Projects were implemented, but partners without funding were left out of the project	0	1	**1**	17%
42c	The national authorities in question increased funding to cover the gap	0	1	**1**	17%
42d	Transnational transfer of funding: Some partners funded project participants from other countries to close the gap	0	1	**1**	17%
42e	Other	3	0	**3**	50%
Comments:		8			

Respondents: 6 (several answer possible)

- The implementation of joint programmes with a virtual pot arrangement also create the risk of having to skip good research projects

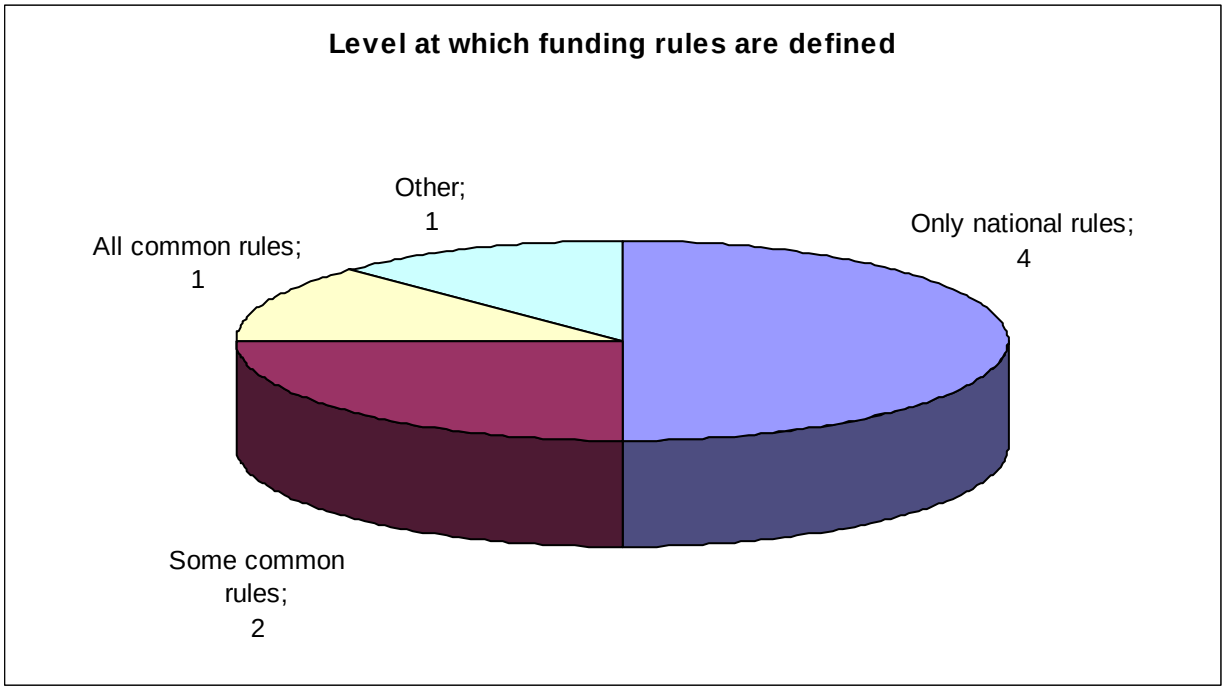
→ *This depends on the setup of the programme. In cases the programme is a framework for launching joint calls, the question will often be discussed in the context of each call launched under the programme. In other cases, activities might be cancelled or postponed.*

→ *Most programmes are still in the planning phase and have not yet had to face such problems*.

43 ***On what level are the rules regulating the funding defined (one answer only)***

		L	P	∑	%
43a	Only national rules apply	1	3	**4**	50%
43b	Some common ruels have been agreed while national rules still apply to participants	1	1	**2**	25%
43c	Agreed common fuding rules apply equally to all participants	1	0	**1**	13%
43d	Other	1	0	**1**	13%
Comments:		3			

Respondents: 8

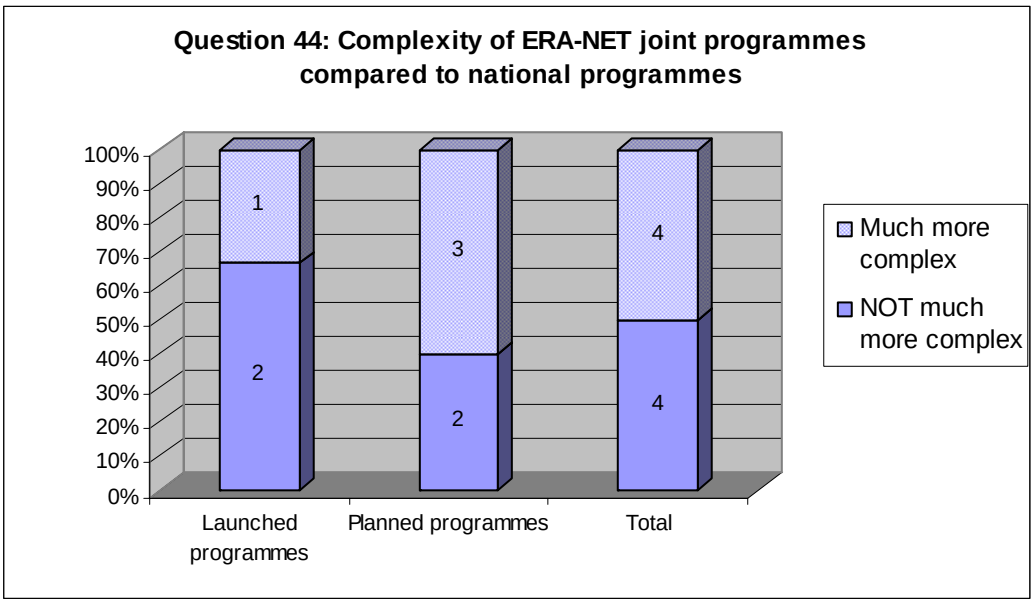


- National rules are more commonly the sole basis in the few cases of joint programmes than for joint calls.

44 ***How do you see the implementation of the programme as compared to national programmes?***

		L	P	Σ	%
44a	NOT much more complex than national programmes (in terms of time and resources, arbitration of priorities, evaluation and assistance to applicants)	2	2	**4**	50%
44b	Much more complex than national programmes	1	3	**4**	50%
Comments:		8			

Respondents: 8

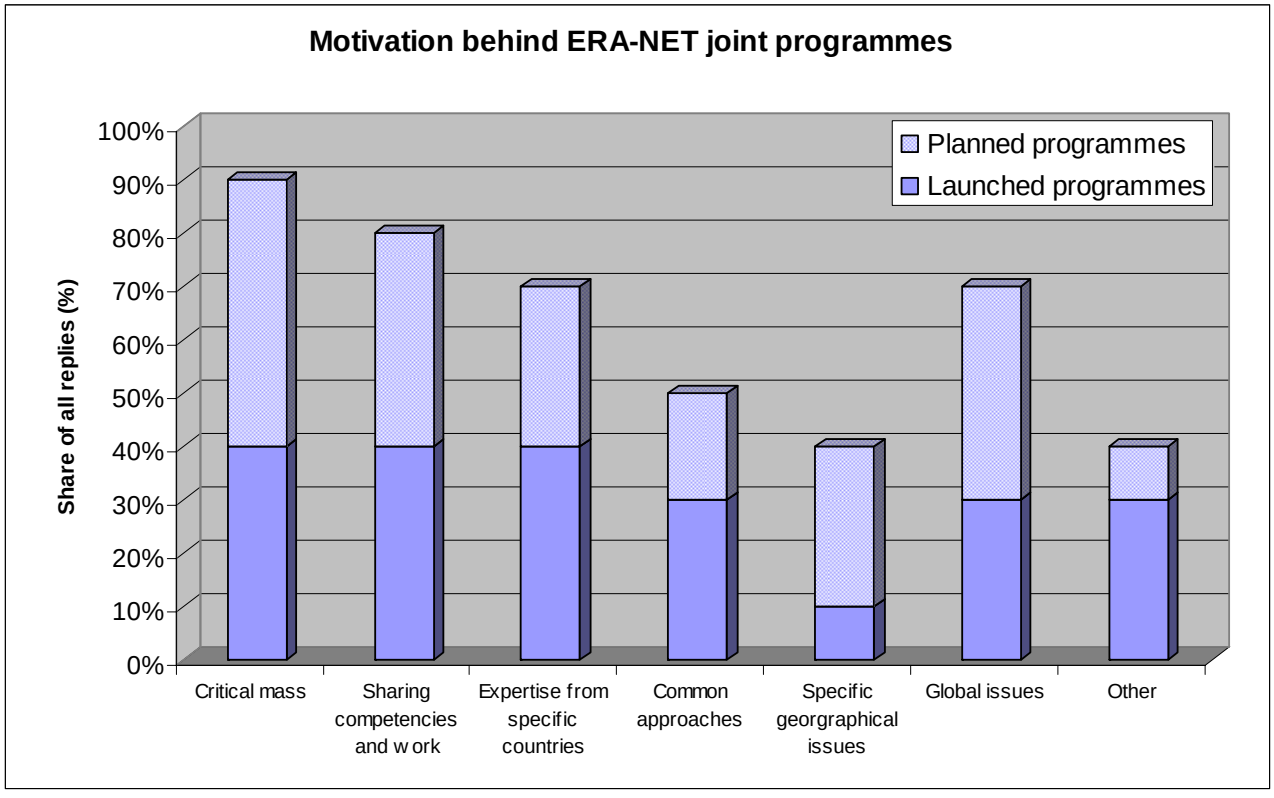


- As with the joint calls, coordinators of joint programmes that have passed the planning phase and launched the programmes tend se the joint programmes as less complex, but this is based on very few cases.

45 ***What was/were the main motivation(s) to address this area/topic via a transnational call?***

		L	P	∑	%
45a	Achieving critical mass	4	5	**9**	90%
45b	Sharing competencies and associated work	4	4	**8**	80%
45c	Access to expertise from specific countries	4	3	**7**	70%
45d	Developing common approaches (e.g. ethics, standards)	3	2	**5**	50%
45e	Addressing specific geographical issues	1	3	**4**	40%
45f	Adressing global issues	3	4	**7**	70%
45g	Other	3	1	**4**	40%
Comments:		4			

Respondents: 10 (several answer possible)

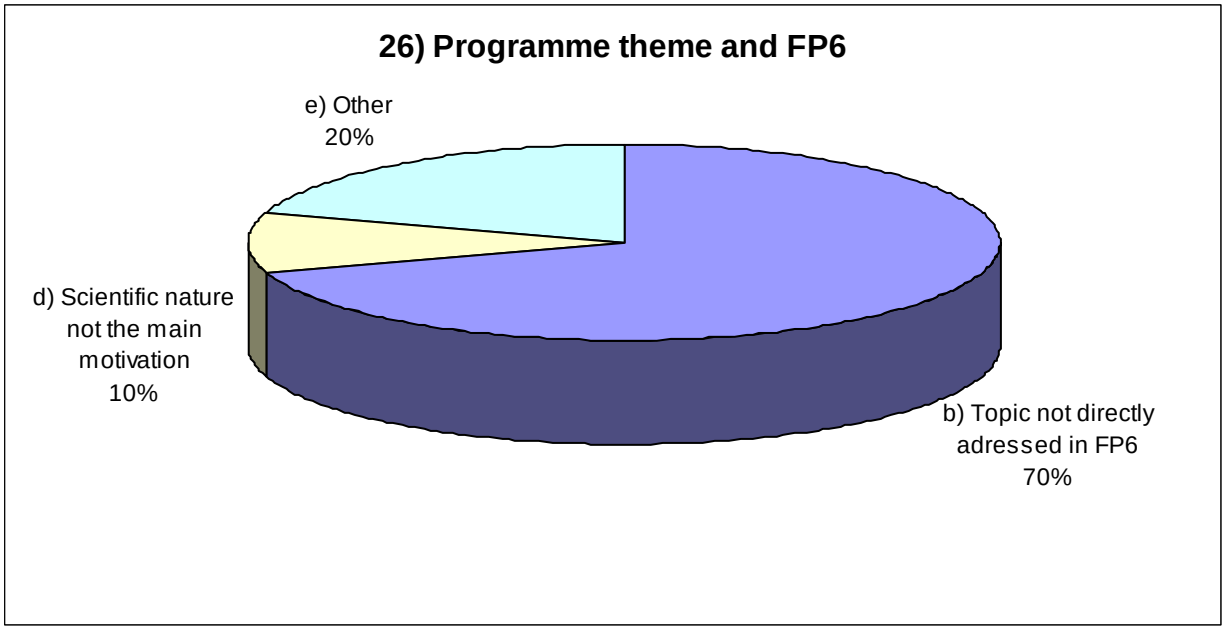


- The main motivation behind the joint programmes that have been undertaken so far seem to be roughly the same as for the joint calls: achieving critical mass and sharing competencies and work.

46 ***In relation to FP6, which of the following motivations could explain the selected area/topic of the joint programme?***

		L	P	∑	%
46a	The scientific area/topic of the programme is fully outside of the FP6 activities.	0	0	**0**	0%
46b	The scientific area/topic is NOT directly (or NOT well) addressed in the Framework Programme and the call is complementing topics of FP6.	2	5	**7**	70%
46c	The scientific area/topic is addressed in the Framework Programme but additional efforts/research seems necessary. This programme is addressing similar areas/topics of the FP but via another type of projects.	0	0	**0**	0%
46d	The scientific nature of the area/topic was NOT the main motivation for the joint programme, other reasons were more important.	1	0	**1**	10%
46e	Other	1	1	**2**	20%
Comments:		3			

Respondents: 10



- These 10 joint programmes more consistently address topics that are not directly by the Framework programme than is the case for single joint calls.

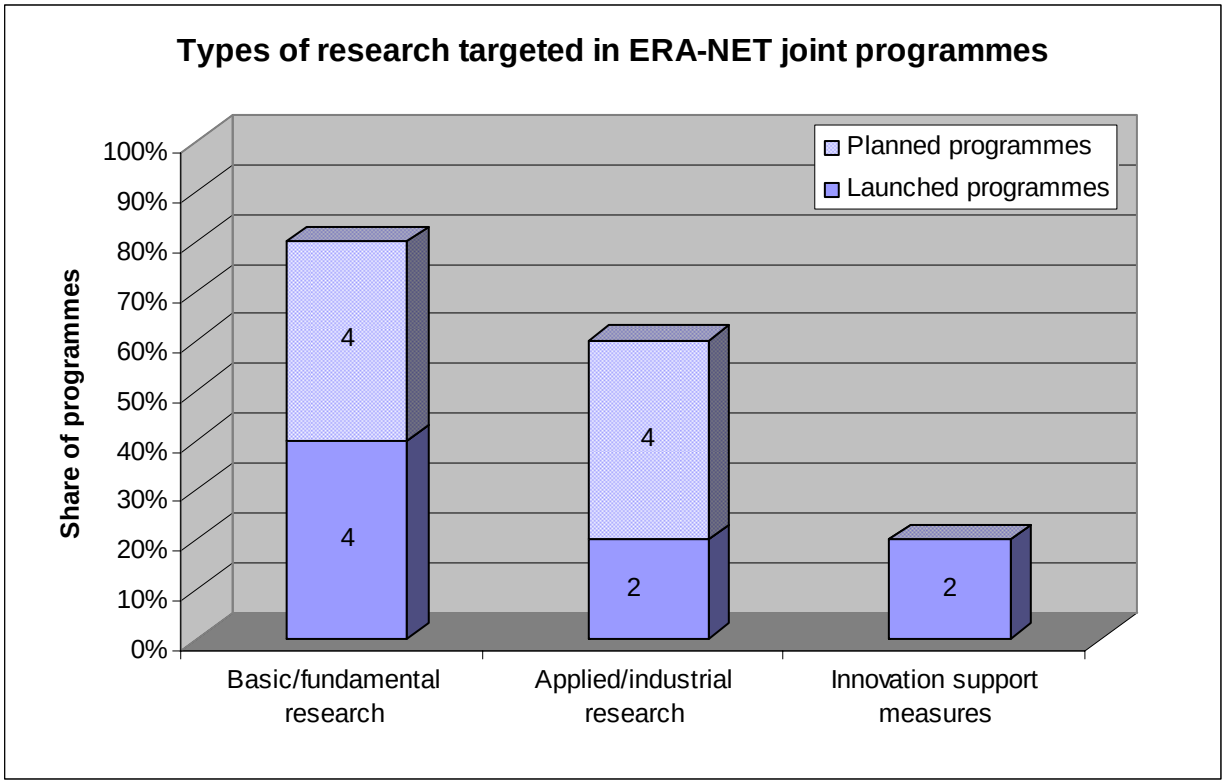
→ *Should joint programmes concentrate on topics outside the Framework programme?*

→ *Is there any difference between the topics that should be considered for single joint calls and those for joint programmes?*

47 ***What 'broad' type of research in the scientific area/topic was/is the target of your programme? (Several answers possible)***

		L	P	∑	%
47a	Basic/fundamental research	4	4	**8**	80%
47b	Applied/industrial research	2	4	**6**	60%
47c	Innovation support measures	2	0	**2**	20%
47d	Other	0	0	**0**	0%
Comments:		2			

Respondents: 10 (several answer possible)



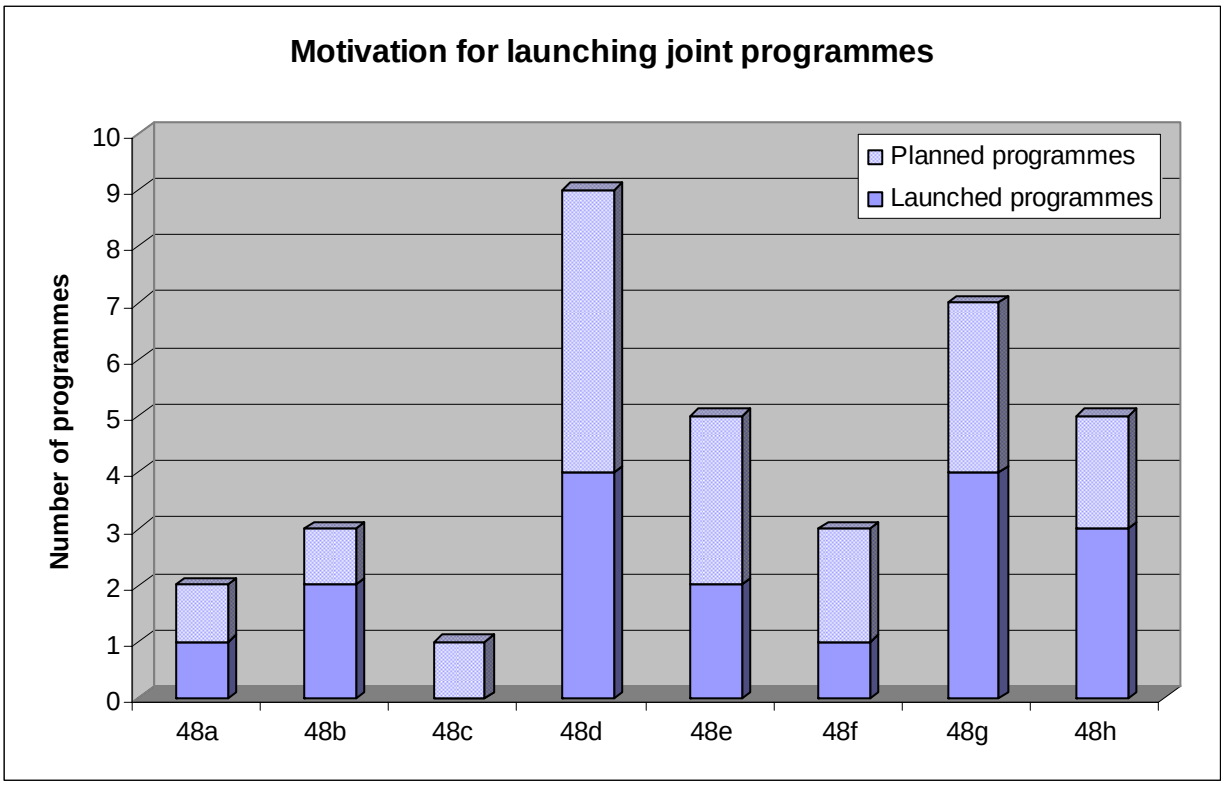
Main message:

- The picture is the same as for joint calls: Basic research addressed by most programmes, but applied research is also well addressed.

48 ***Which of the following reasons (if any) motivated your joint programme, in order to launch a specific type of projects that you want to foster in the area/topic selected?***

		L	P	∑	%
48a	SME support measures	1	1	**2**	22%
48b	Small and targeted trans-national RTD projects (few partners-few countries)	2	1	**3**	33%
48c	Targeted strategic RTD projects for large companies (like STREPS in the FP)	0	1	**1**	11%
48d	Science and excellence driven research close to University environments	4	5	**9**	100%
48e	Support to national research programmes in form of mobility schemes and other measures (post doc)	2	3	**5**	56%
48f	Infrastructure support	1	2	**3**	33%
48g	Europeanization/Trans-nationalisation' of your national research system	4	3	**7**	78%
48h	International Cooperation strategies (INCO countries and beyond)	3	2	**5**	56%
Comments:		0			

Respondents: 9 (several answer possible)



Main message:

- Science and excellence as well as Europeanization are important motivations behind launching joint programmes.

49 ***Did your joint programme involve programmes from non-EU Member States or non-associated states?***

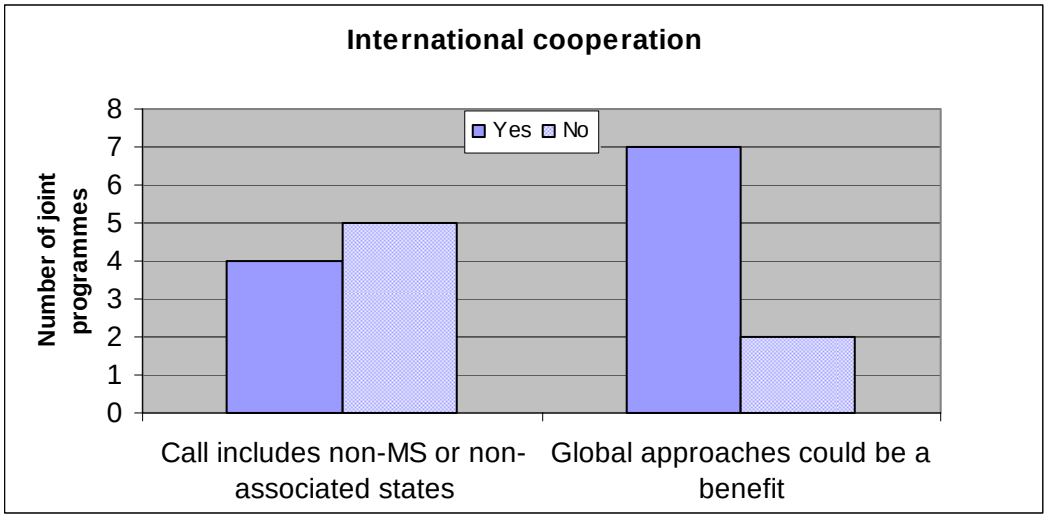
		L	P	∑	%
49a	Yes	2	2	**4**	44%
49b	No	1	4	**5**	56%
Comments:		3			

Respondents: 9

51 ***Would you think that global approaches in ERA-NETs can be a future benefit for ERA-NET joint programmes?***

		L	P	∑	%
51a	Yes	3	4	**7**	78%
51b	No	1	1	**2**	22%
Comments:		6			

Respondents: 9



Main message:

- International cooperation is not commonly implemented, but there is a near-consensus that more focus on the issue could be beneficial.

Section 4: Pilot actions

Data on the pilot actions/projects, as for joint programmes, should be taken as indications only:

- The definition of what constitutes a "pilot action/project" – in the questionnaire described as “pilot actions/projects actions implemented *without* a prior call for proposals” – is not entirely clear-cut and very different initiatives have been reported under this heading. They range from workshops and conferences to larger research activities "acting as pilots" for ERA-NET activities.

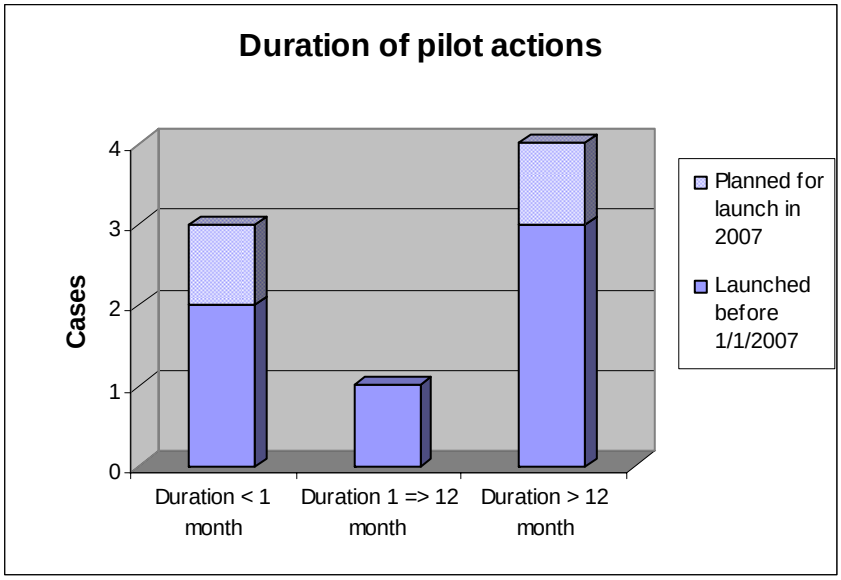
- Again, the limited number of cases does not allow for any kind of generalisation.

Therefore, this data should rather be taken as an indication of what pilot actions/projects *can* be, and maybe serve as a basis for discussion about future activities

52 ***Time schedule***

		L	P	∑	%
52b	Duration < 1 month	2	1	**3**	38%
	Duration 1 => 12 month	1	0	**1**	13%
	Duration > 12 month	3	1	**4**	50%
Comments:		6			

Respondents: 8



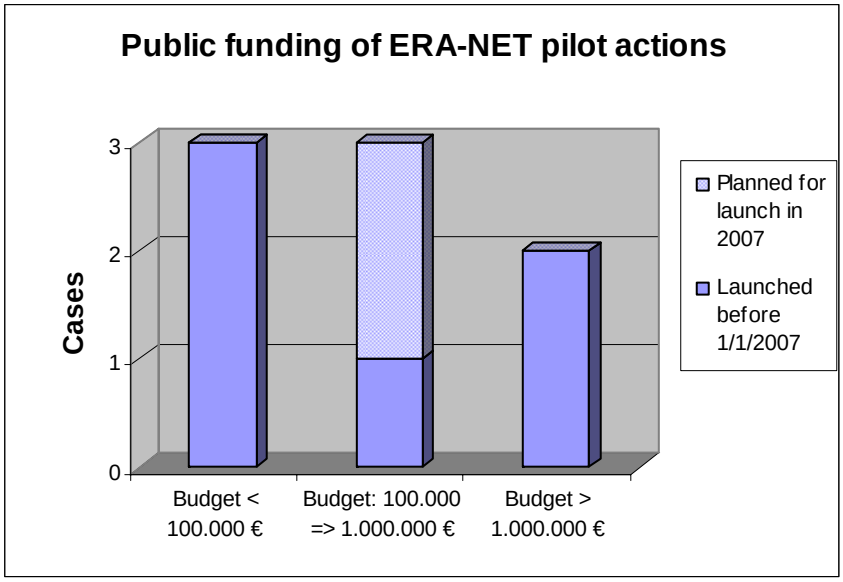
Main message:

- The duration of the pilot actions are most often either a few days or more than a year.

53 ***What is the total public funding of the pilot action (in €)?***

		L	P	Σ	%
53	Budget < 100.000 €	3	0	**3**	38%
	Budget: 100.000 => 1.000.000 €	1	2	**3**	38%
	Budget > 1.000.000 €	2	0	**2**	25%
	Average budget	**1.972.875 €**			
	Total budget	**15.783.008 €**			
Comments:		2			

Respondents: 8



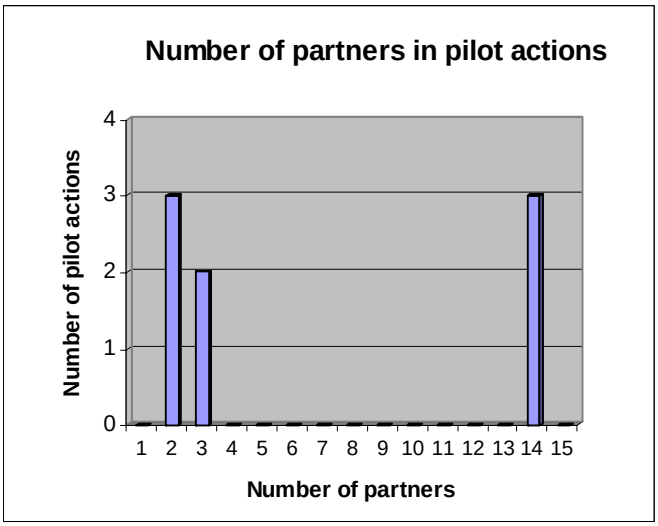
Main messages:

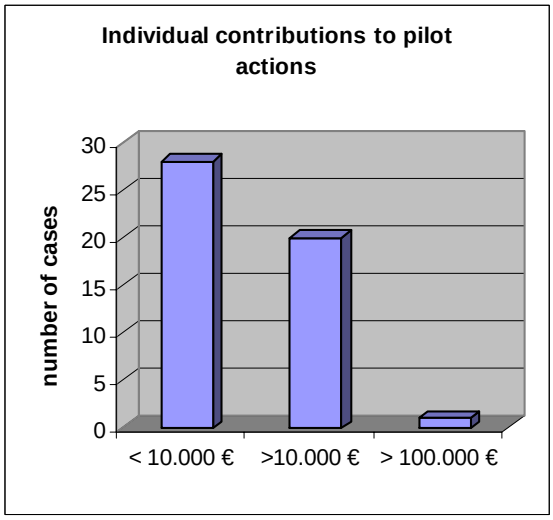
- The budgets of pilot actions are generally lower than in the joint calls, but they vary greatly. One of the 8 pilots has a budget of 12M euros, while other 3 projects cost less than 100.000 euros.
- Private funding occurred, but only two cases

55 ***What is the contribution to the project of each project?***

55	Number of participants (average)	**6,75**
	Constribution per participant (average)	**18.400 €**
Comments:		2

Respondents: 8





Main messages:

- Three pilot actions have 14 participants and the others 2 or 3.
- Most individual contributions are less than 10.000 euros.
- Most participants are research funders and universities.

Section 5: Other joint activities

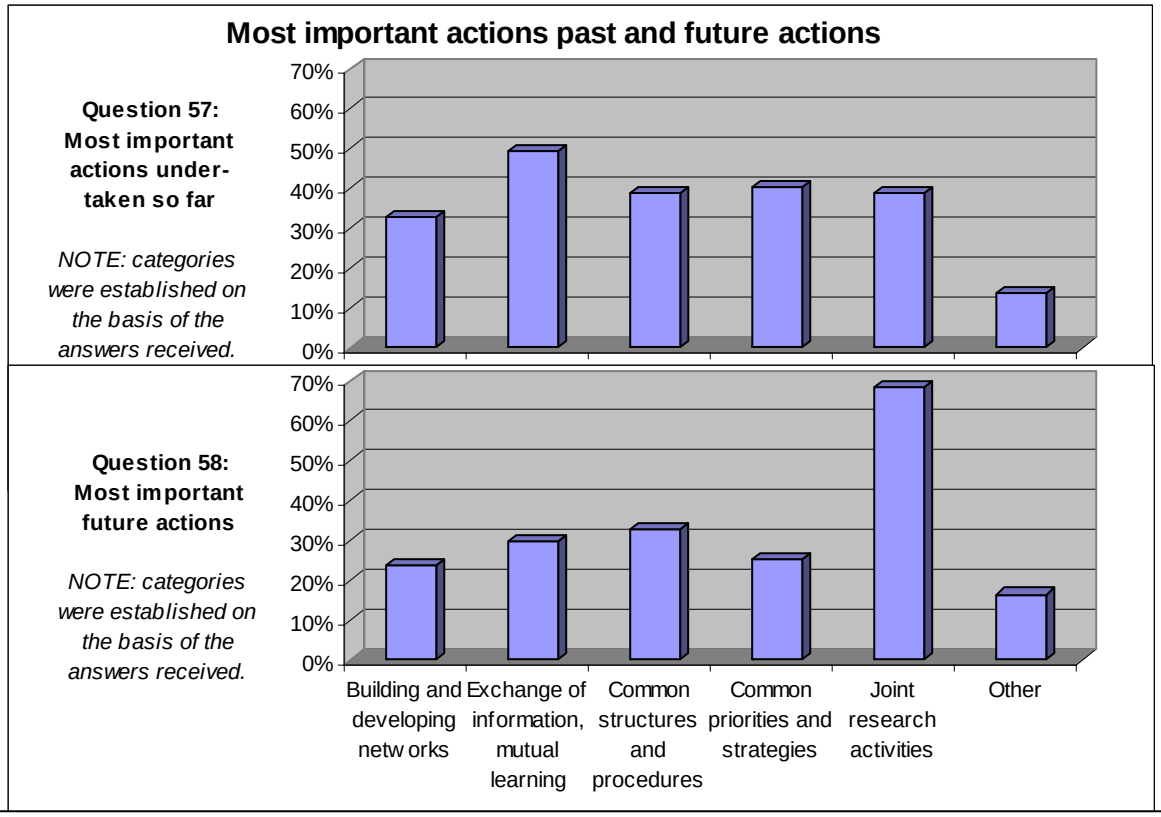
57 ***What are, in your opinion, the three most important actions undertaken by your ERA-NET so far? (most important first)***

58 ***What would, in your opinion, be the three most beneficial actions that could be undertaken by the ERA-NET? (Most important first)***

The answers were de classified, a posteriori, in the groups mentinoned below. Here, each ERA-NET is counted once in a category if at least one of the three mentioned priorities are of that category

		57		***58***	
		∑	%	∑	%
1	Building and developing networks	**22**	33%	**16**	24%
2	Exchange of information and mutual learning	**33**	49%	**20**	30%
3	Elaboration of common structures and procedures	**26**	39%	**22**	33%
4	Common priorities and strategies	**27**	40%	**17**	25%
5	Joint research activities (joint calls and programmes)	**26**	39%	**46**	69%
6	Other	**9**	13%	**11**	16%

Respondents: 63



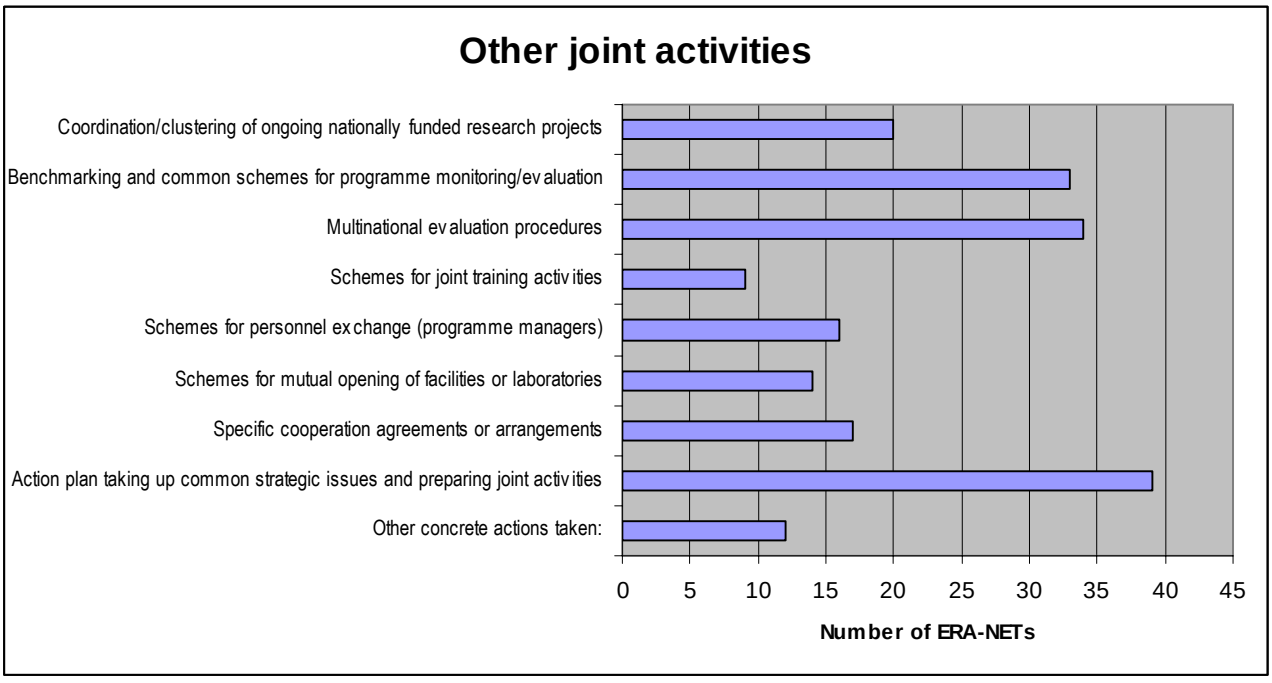
Main messages:

- Among the activities undertaken so far, information exchange is considered important by most ERA-NETs and joint activities by fewer. For future actions, this tendency is reversed and emphasis will move to joint research activities.
- Even so, developing the network, exchanging information etc. remain important priorities in the future, even for advanced ERA-NETs.

59 ***Has the ERA-NET developed other joint activities? (Several answers possible)***

		Σ	%
59a	Coordination/clustering of ongoing nationally funded research projects	**20**	31%
59b	Benchmarking and common schemes for programme monitoring and evaluation	**33**	52%
59c	Multinational evaluation procedures (common evaluation criteria and methods of implementation)	**34**	53%
59d	Schemes for joint training activities (e.g. co-supervised theses or common PhD schemes)	**9**	14%
59e	Schemes for personnel exchange (programme managers)	**16**	25%
59f	Schemes for mutual opening of facilities or laboratories	**14**	22%
59g	Specific cooperation agreements or arrangements between different ERA-NET partners have been made	**17**	27%
59h	Action plan taking up common strategic issues and preparing for joint activities	**39**	61%
59i	Other concrete actions taken:	**12**	19%
Comments:		33	

Respondents: 64 (several answer possible)



Main messages:

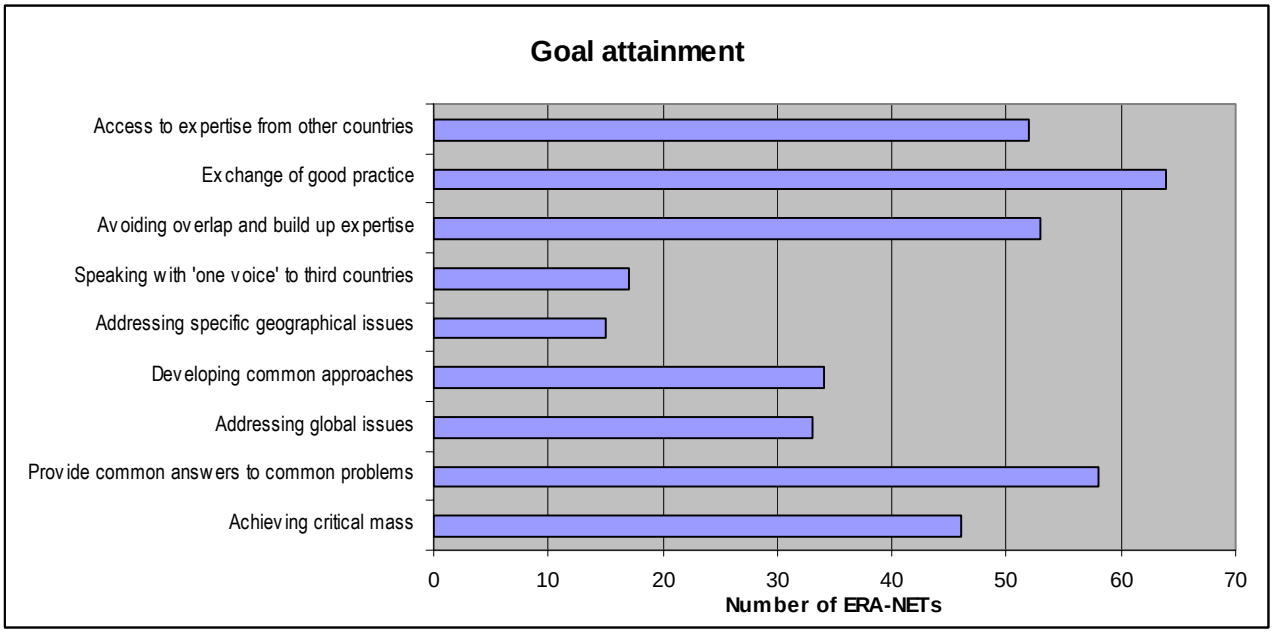
- A wide range of joint activities have been undertaken by ERA-NETs, especially preparation of strategic issues and procedures (b,c and h)
- These activities, corresponding to "step 3" of the ERA-NET model, have been undertaken by as well as all ERA-NETs.

Section 6: The ERA-NET scheme

60 ***The overall objectives of the ERA-NET scheme (the 'whys') are listed below. Drawing upon the experiences from your ERA-NET, please indicate which of these objectives are met in your case (several answers possible)***

		Σ	%
60a	Achieving critical mass, to ensure better use of scarce resources	**46**	71%
60b	Join forces to provide common answers to common problems	**58**	89%
60c	Addressing global issues	**33**	51%
60d	Developing common approaches (e.g. ethics, standards)	**34**	52%
60e	Addressing specific geographical issues	**15**	23%
60f	Speaking with 'one voice' to third countries	**17**	26%
60g	Avoiding overlap and build up expertise	**53**	82%
60h	Exchange of good practice	**64**	98%
60i	Access to expertise from other countries	**52**	80%
Comments:		13	

Respondents: 65 (several answer possible)



Main messages:

- All the objectives defined for the ERA-NET scheme are relevant to at least 15 ERA-NETs
- Exchange of good practice is particularly prominent, indicating an absence of benchmarking in the past

61 ***Would the transnational activities undertaken by your ERA-NET have been possible without the EU funding provided by the ERA-NET scheme?***

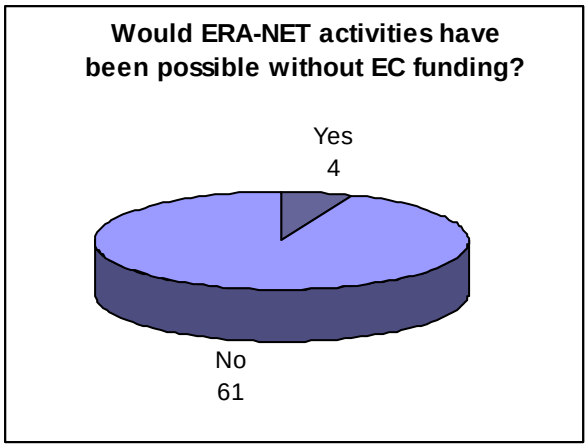
		∑	%
61a	Yes	**4**	6%
61b	No	**61**	94%
Comments:		23	

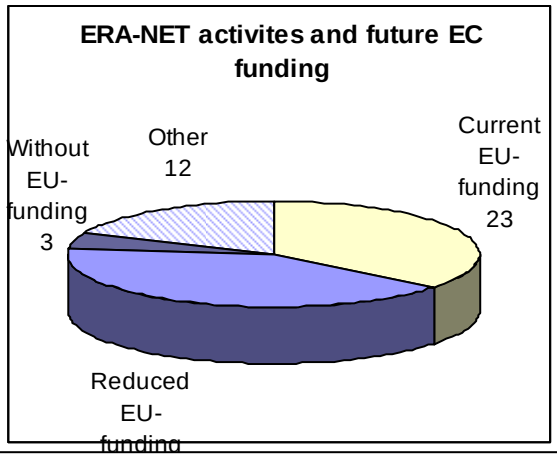
Respondents: 65

62 ***Under what conditions can the transnational activities of the ERA-NET continue in the future, that is, beyond the duration of the current contract? (please choose one answer***

		∑	%
62a	The ERA-NET can only continue with the current level of EU-funding	**23**	36%
62b	The ERA-NET could continue with reduced EU-funding	**26**	41%
62c	The ERA-NET could continue without EU-funding	**3**	5%
62d	Other	**12**	19%
Comments:		35	

Respondents: 64





Main messages:

- Nearly all ERA-NETs answer that they their activities would not have been possible without EC funding, but almost half of the respondents answer that their ERA-NET would be able to continue with reduced or no EC funding.
- Some ERA-NETs started already planning a continuation of the network after the end of the contract and some believe they could do so without EC funding, while others don't.

→ *According to the comments made to these questions, the CA contract helped, among other things, to overcome the reticence to pay "glue money" for coordination from the national level and to allow corporation beyond the narrow bi- or tri-lateral configurations otherwise possible.*

63 ***Did your ERA-NET involve programmes from non-EU Member States and non-associated states?***

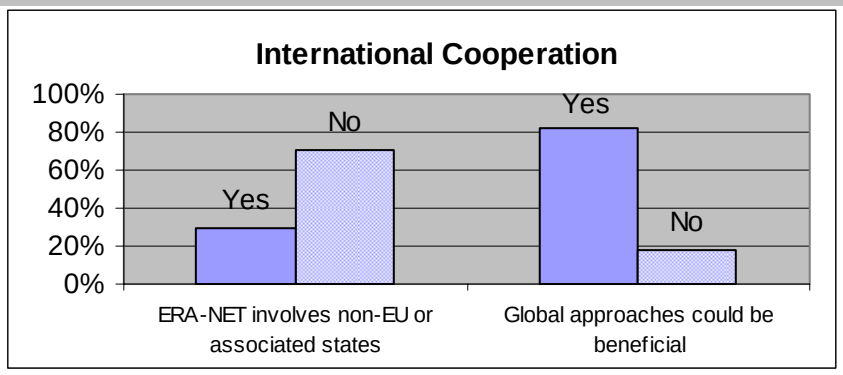
		∑	%
63a	Yes	**19**	30%
63b	No	**45**	70%
Comments:		18	

Respondents: 64

65 ***Would you think that global approaches in ERA-NETs can be a future benefit for your ERA-NET?***

		∑	%
65a	Yes	**48**	83%
65b	No	**10**	17%
Comments:		50	

Respondents: 58



Main messages:

- While few ERA-NETs involves non-EU or –associated states, a large majority indicates that global approaches could be a benefit for their ERA-NET.

→ Several ways of involving third countries can be envisaged: Full membership of the networks, associated partnership (long term) or ad hoc cooperation in concrete projects.

→ Arguments for global approaches given by respondents:
- *Many areas in science are global in character (common problems, common solutions),*
- *In some areas, leading expertise is found outside of European Commission (e.g. USA),*
- *In some areas, Europe has something to offer third countries (e.g. developing countries).*

→ Reticence expressed towards global approaches:
- *Adds to the complexity, would be too ambitious for the time being*
- *Cooperation should work in Europe before trying to enlarge the scope.*
- *In some areas, Europe is in direct competition with would-be partners.*