

Wer steuert die europäische Forschungspolitik?

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Es gibt in der europäischen Forschungslandschaft viele Steuerleute, welche mit unterschiedlich stark motorisierten Fahrzeugen in verschiedene Richtungen unterwegs sind. Das hat Vor- und Nachteile.

Illustration dieser Aussage anhand einiger Beispiele:

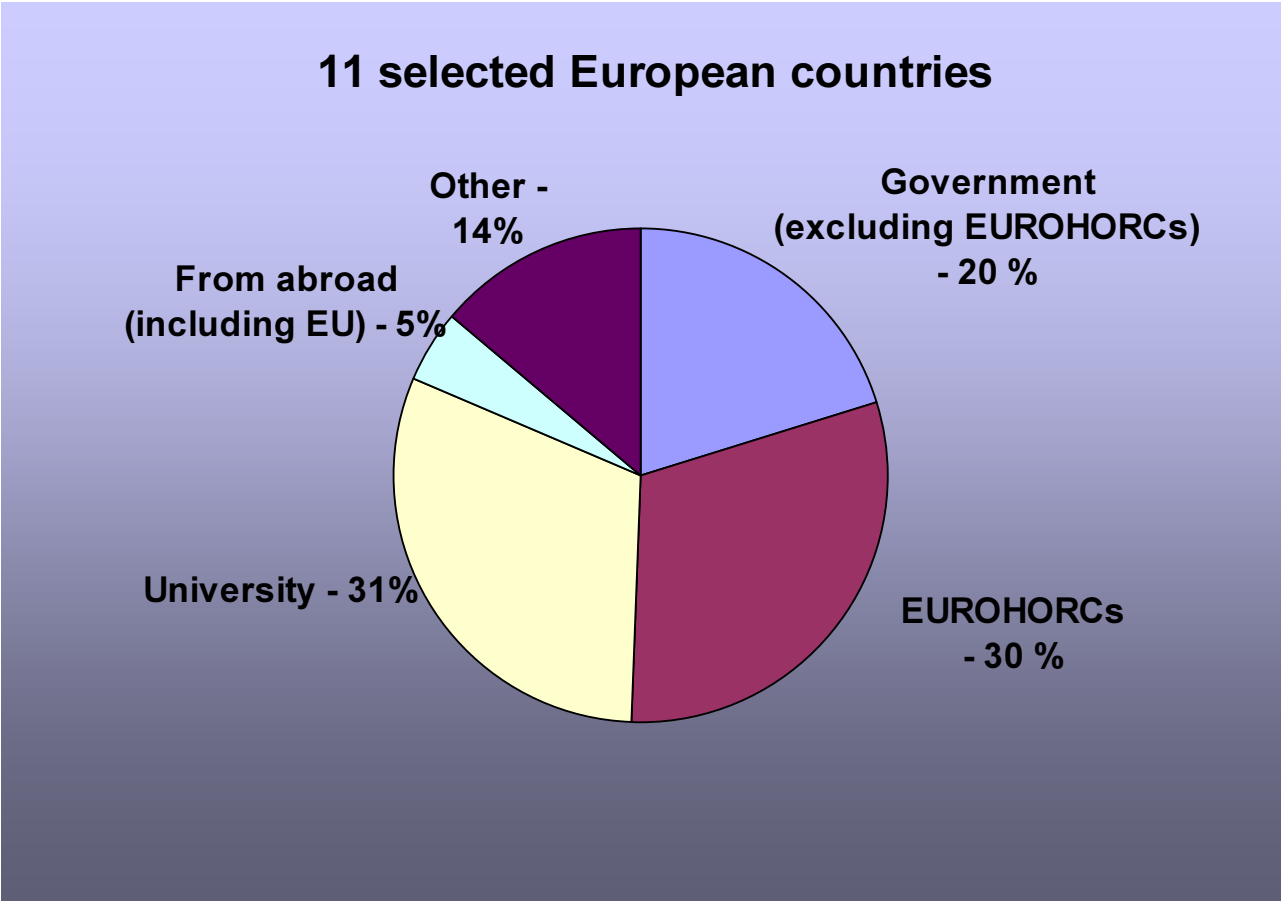
- Der europäische Forschungsraum (ERA)
- Die Rolle der nationalen Forschungsorganisationen (EUROHORCs und ESF)
- Europa nach der Gründung des ERC
- European Institute of Technology (EIT)
- Joint Programming (JP)

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1. Introduction: EUROHORCs and European R&D Funding



Approximation for 2008

Findings from the EU Green Paper (April 2007)

- Achievements on the route to a fully implemented ERA are still marginal
- The European Research System has essential weaknesses when compared to North America and emerging R&T nations in Asia
- Three main points are made responsible:
 - (1) insufficient funding,
 - (2) fragmentation**
 - (3) inappropriate research environment

Analysis of "Green Paper"

The Commission's analysis of the strengths and weaknesses deals too much with the perspective of the Commission's role and that of governments and intergovernmental structures. It ignores the potential role of other stakeholders such as **National Research Funding Organisations (RFOS)** and **Research Performing Organisations (RPOs)** as well as the private sector.

Fragmentation

- Fragmentation is not primarily an issue of too little co-ordination but mainly a consequence of restricted competition within ‘protected’ national research areas.
- The National Research Funding Organisations are essential to overcome the ‘competition fragmentation’.
- Research needs the uninhibited mobility of people.

The European Research Area needs more competition.

ERA Needs Subsidiarity

1. Things that can be done at institutional level (university...)
2. Things that can be done at national level alone
 - ⇒ GOV: Strengthen national research landscape, remove barriers to research, ensure compatibility of research systems, ...
 - ⇒ EUROHORCs: attractiveness of grants, ensuring “emergence of new generations of researchers”,...
3. Things that can be coordinated through EUROHORCs
 - ⇒ Mobility of researchers, common evaluations, opening up national programmes, joint programmes and collaboration in variable geometry, ...
4. Things that can be coordinated at EU level
 - ⇒ Joint programmes, launch of research infrastructures, ...
4. Things that can be done at EU level alone
 - ⇒ ERC, research infrastructures, removing legal barriers for research, ...

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What is EUROHORCs?

- Informal association of the heads of European research funding and research performing organisations
- 45 organisations from 24 countries
- Represents approx. 30% of total European R&D funding
- Dedicated to promoting excellence in all branches of research
- Current major issues: open access to research results, career development and mobility, co-operation in peer review, facilitation of transnational collaborative research

Towards 2020: EUROHORCs contribution

EUROHORCs-ESF Roadmap

- Not only reaction to “external” initiatives . . .
- . . . but strong conviction that national organisations must develop their own vision and contribution to the ERA “bottom-up”



EUROHORCs and ESF Vision on a Globally Competitive ERA and their Road Map for Actions

Contents

1- Foreword	5- The Road Map for Actions to Help Construct the ERA	25- Annex 1 EUROHORCs-ESF Task Force Members
3- The EUROHORCs and ESF Vision		

Foreword

The Heads of European Research Councils (EUROHORCs) and the European Science Foundation (ESF) wish to play an active and concrete role in shaping a European Research Area of Excellence. Following the publication of the EUROHORCs and ESF's comments on the European Commission's Green Paper 'The European Research Area: New Perspectives', they therefore decided to produce a Road Map to excellence in science in Europe.

The EUROHORCs Assembly and ESF Governing Council, in their April 2008 meetings, approved a Vision Statement on the goals to be reached in the next five to ten years to build a globally competitive European Research Area (ERA). This Vision Statement was complemented by an outline for a Road Map for the actions which could be taken by EUROHORCs and ESF Member Organisations, as well as partners, to help build such an ERA ideal.

These outline actions have now been further elaborated, identifying the main goals and their timelines. Some actions are already quite concrete and committing, others require more preparation and study. This reflects that this is a document describing a process, rather than a final statement.

It is important to stress that the Road Map is an action plan where EUROHORCs and ESF Member Organisations have a primary role. It does not intend to give a full policy agenda for all actors in the ERA.

It is a pleasure to recommend the Vision Statement and the Road Map for your consideration and support for our joint efforts. Member Organisations of EUROHORCs and ESF will take the lead in the implementation of action lines of the Road Map.

This project benefitted from the continuous support from – among many others – Professor Matthias Kleiner, President of the Deutsche Forschungsgemeinschaft (DFG) and Chair of the EUROHORCs-ESF Task Force, Professor Pär Ömting, Director General of the Vetenskapsrådet and former President of EUROHORCs, and Dr. John Marks, former ESF Director of Science and Strategy and Deputy Chief Executive, who skilfully edited the final version of this document.

Professor Ian Halliday
President of ESF

Professor Dieter Imboden
President of EUROHORCs

www.eurohorcs.org
www.esf.org

EUROHORCs – ESF Road Map for a Globally Competitive ERA of Excellence

Transforming VISION POINTS ...

1. An effective European research policy, capitalising on cultural, geographic and scientific diversity;
2. A stimulating education system;
3. A single European labour market for researchers;
4. Adequate funding for top quality curiosity driven research;
- 5. Transnational funding, benchmarking of quality and shared scientific priorities for strategic research and bottom up researcher-driven programmes;**
6. Excellent research institutions;
7. World-class research infrastructures;
8. Open access to the output of publicly funded research and permanent access to primary quality assured research data;
9. Effective and trusted bridges between science, society and the private sector;
10. Openness to the world.

EUROHORCs – ESF Road Map for a Globally Competitive ERA of Excellence

... into ACTION POINTS

1. Strengthen the relations between science, society and the private sector;
2. Promote European research careers;
3. Develop research foresight;
- 4. Create a European Grant Union;**
5. Address Peer Review of proposals at European level;
6. Develop common approaches to ex post evaluation of funding schemes and research programmes;
7. Create ERA Connect and Regional Clusters of Excellence;
8. Develop shared funding and exploitation of medium sized research infrastructure;
9. Implement a common policy on Open Access to research results;
10. Connect European research to the world.

Example: Research funding in the Roadmap I

Creating a European Grant Union (Lead organisation: DFG)

- Simplification of transnational collaboration (mobility, small collaborative projects) through the enlargement and or improvement of co-operation Agreements such as:
 - Money Follows Researcher scheme
 - Money Follows Co-operation Line scheme
 - Lead Agency Procedure
 - ESF European Collaborative Research (EUROCORES) scheme
- Aim: non-bureaucratic and flexible approach by funders of mobility and cross-border project funding

Money Follows Researcher

- The Money Follows Researcher (MFR) agreement allows researchers to take with them the remainder of their current grant when moving to another country

MFR: Participating Organisations

Austria: FWF

Belgium: FNRS, FWO

Denmark: DCIR

Estonia: ETF

Finland: AKA

France: CNRS, INSERM

Germany: DFG

Hungary: OTKA

Iceland: Rannis

Italy: CNR, INFN

Luxembourg: FNR

Netherlands: NWO

Norway: RCN

Portugal: FCT

Spain: CSIC

Sweden: VR

Switzerland: SNF

UK: AHRC, BBSRC, EPSRC,
ESRC, NERC, MRC, STFC

Principle of the Lead Agency Procedure (1)

- The principal investigator (responsible for the biggest part of the project) submits the overall application according to the respective national regulations for the funding organisation in his/her country.
- This organisation consequently becomes the lead agency in further proceedings.

Principle of the Lead Agency Procedure (2)

- The lead agency is responsible for the whole evaluation process according to the normal national procedure for the respective funding programme.
- The lead agency conveys the decision to the partner organisations (funding or no funding).

Requirements for successful implementation

- Mutual trust
- Mutual knowledge of funding system and functioning
- Well-functioning peer review system
- Demand from the research community for collaboration
- Ideally:
 - _ corresponding funding instruments
 - _ similar success rates
 - _ similar research funding systems / organisations
 - _ flexible organisations

Willingness at all levels to do things differently – the devil is in the details!

Figures SNSF

- Lead Agency Applications March 09 deadline: 3
 - _2 Humanities and Social Sciences
 - _1 Interdisciplinary Research
- Lead Agency Applications October 09 deadline: 19
 - _7 Humanities and Social Sciences
 - _5 Mathematics, Natural and Engineering Sciences
 - _7 Biology and Medicine
- Additionally: 2 in National Research Programmes (Sep. 09)
- Most Lead Agency proposals with Germany or both countries
- Trend: significant increase over the past months, great interest of researchers

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National precursor of ERC Starting Grants

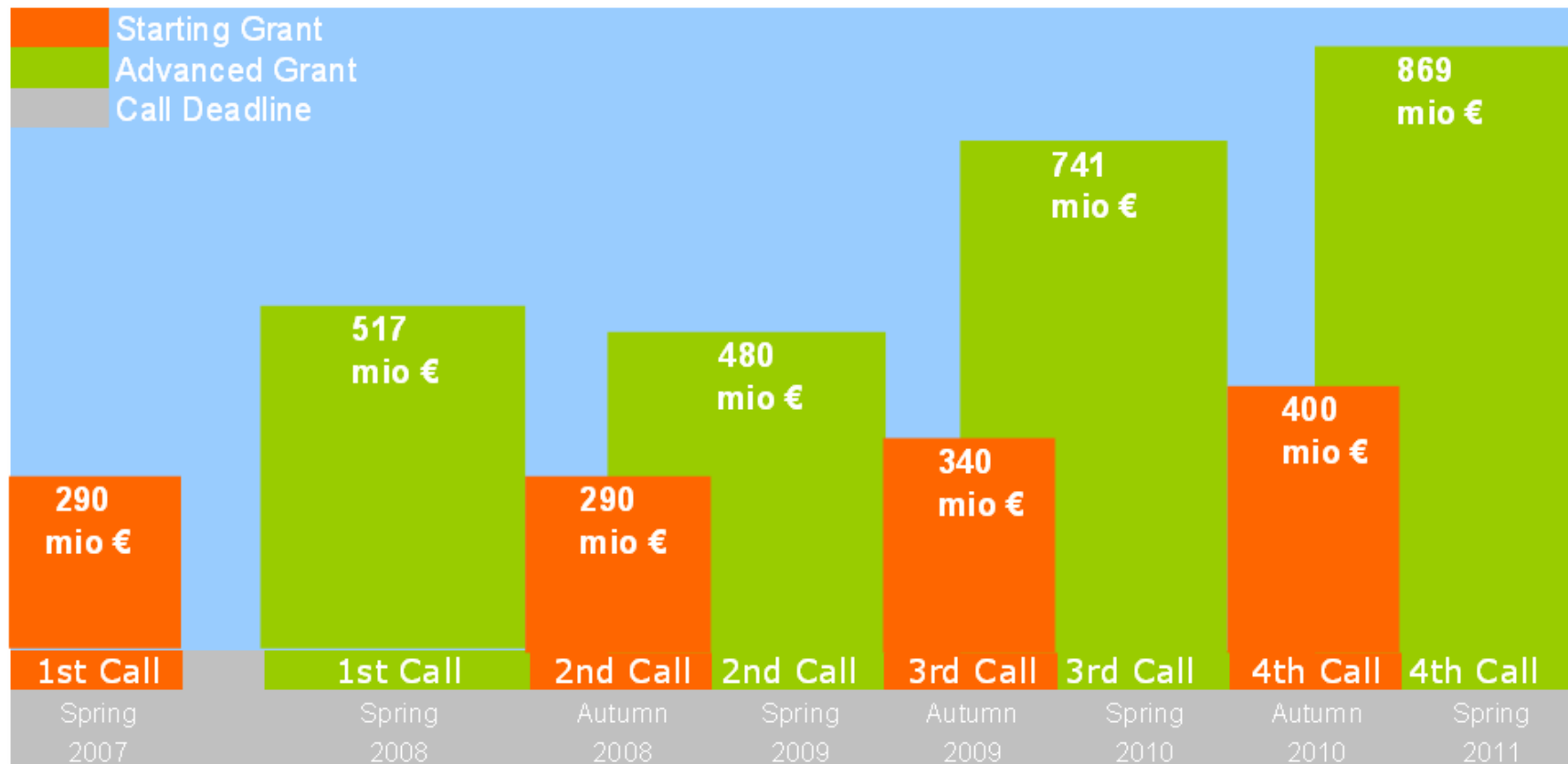
The European Young Investigator Award

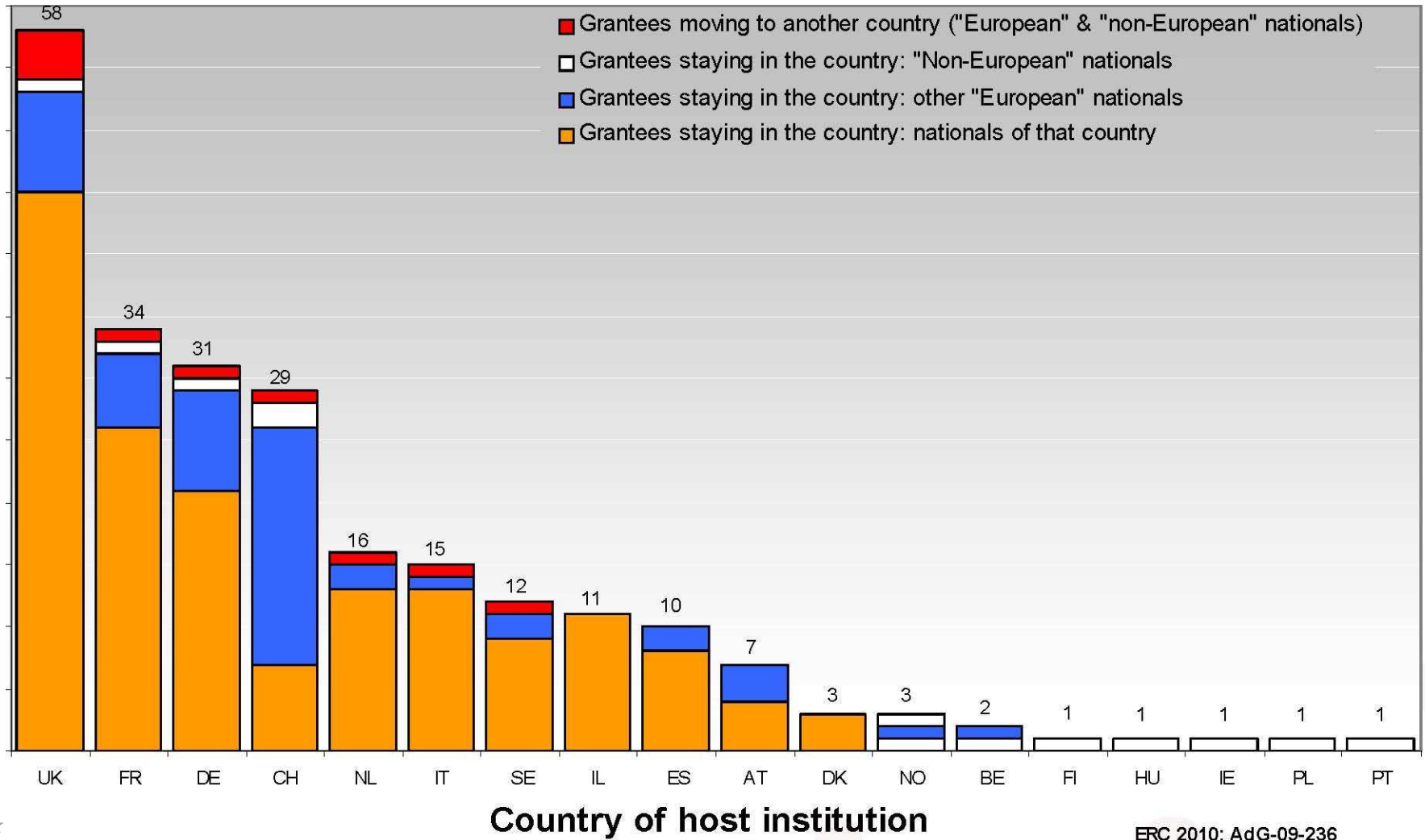
- 2004-2007: The EURYI Scheme allowed young scientists with the potential to become world class leaders to create their own team in Europe
- In total, 95 EURYI Awards, of up to €250.000 per year for five years, were awarded
- The fourth and final EURYI Award was awarded in 2007 with the launch of the ERC Starting Grants



ERC Calls and Budget 2006 – 2011

Prospective Schedule





ERC 2010: AdG-09-236

Possible negative effects

- (1) Compensation I: Member States (MS) with well developed systems of national research funding and high success rate in the European competition could be tempted to reduce their national efforts
- (2) Compensation II: MS with insufficient national research funding put their hope on the European scheme alone instead of investing into national funding as well
- (3) Governance: Insufficient coordination dialogue between the different actors leading to gaps and duplications

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Joint Programming Initiative (JPI)

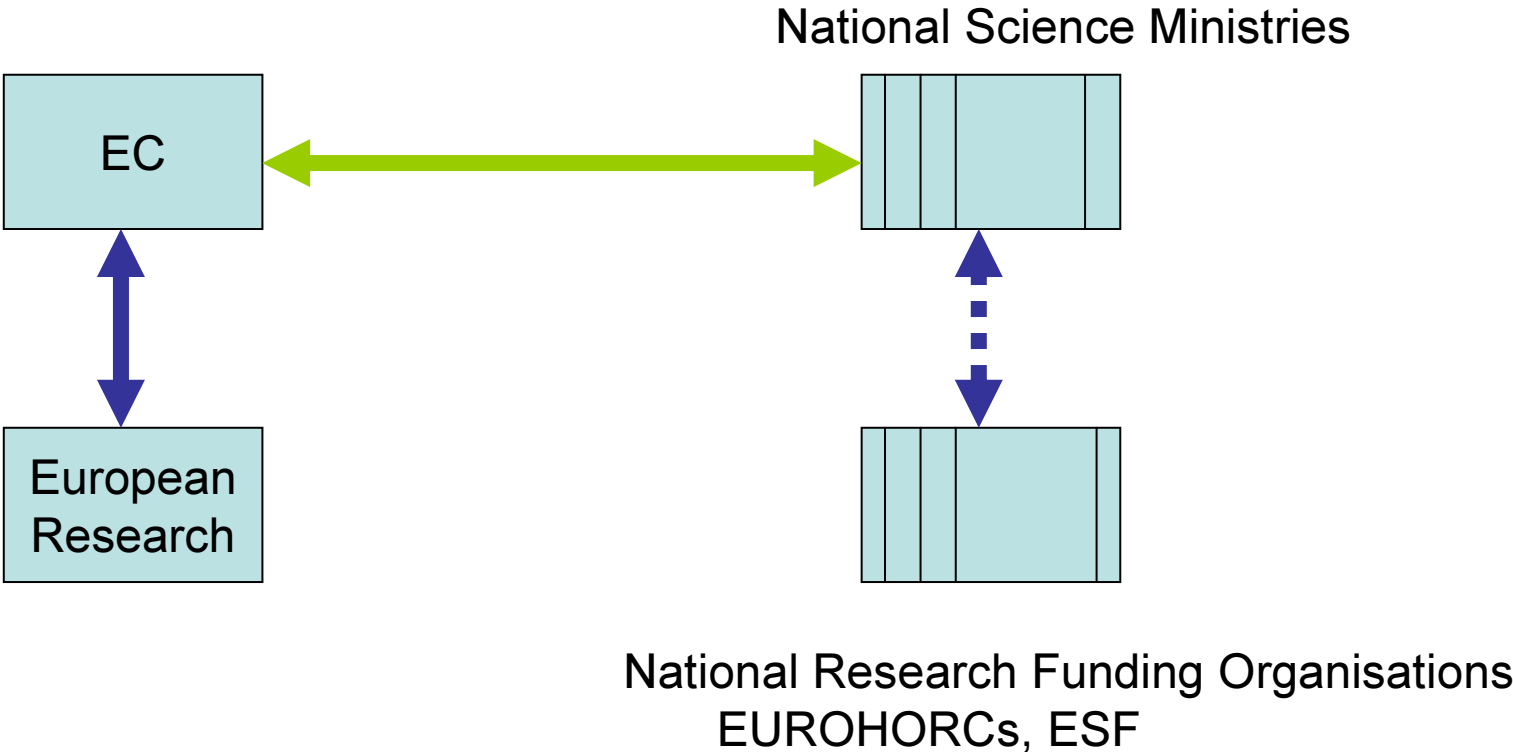
- Initiative from European Commission, aim: “working together to tackle common challenges more effectively”
- Member States and Associated Countries engage voluntarily and on a variable-geometry basis
- Establishment of High-level group for JP
- Activities so far:
- Launch of Pilot “Combating Neurodegenerative Diseases, in particular Alzheimer’s”
- Selection of 3 new JP themes: “Health, Food and Prevention of Diet related Diseases”, “Agriculture, Food Security and Climate Change” and “Cultural Heritage”
- 2nd Wave of Themes Selection Planned

The need for enhanced dialogue and collaboration

- ERA is and needs to be a dynamic environment
- New initiatives such as ERC or Joint Programming add a new dimension to EU-level activities in terms of research funding
- EUROHORCs initiatives (cf. Roadmap) target gaps in cross-border funding
- All actors need to be aware of the short and long term implications of their activities. Dialogue and complementarity are essential

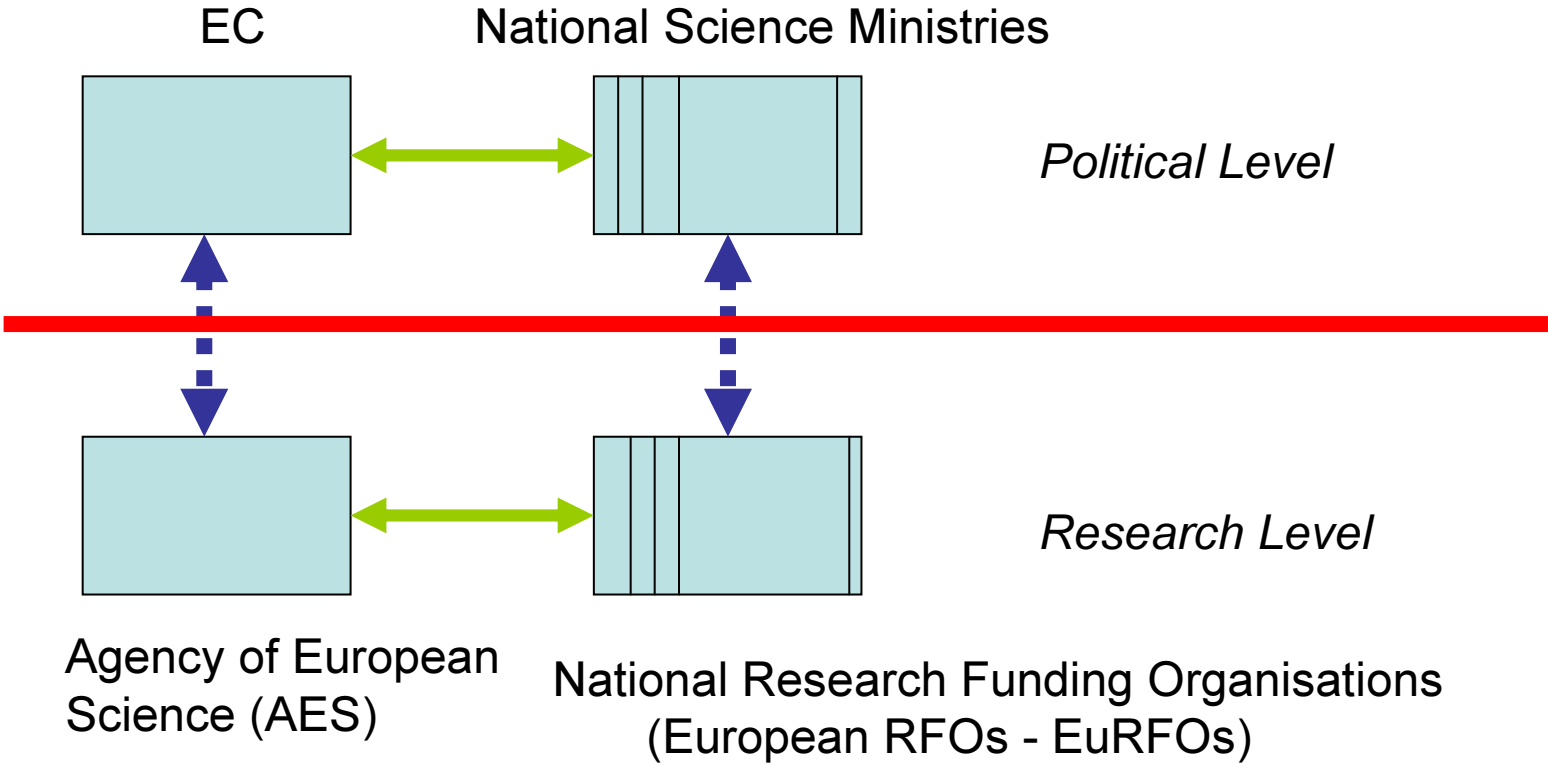
ERA Needs Clear Structures

Current situation:



ERA Needs Clear Structures

And next?





EUROHORCS

EUROPEAN HEADS OF RESEARCH COUNCILS

