

EUROPEAN UNION
EUROPEAN RESEARCH AREA
AND INNOVATION COMMITTEE
High Level Group for
Joint Programming

Secretariat

Brussels, 17 May 2016
(OR. en)

ERAC-GPC 1306/16

NOTE

Subject: Final report of the GPC Implementation Group 2 “Alignment and Improving Interoperability”

Delegations will find in the annex the Final report of the GPC Implementation Group 2 “Alignment and Improving Interoperability“, as adopted by the GPC at its meeting on 29 April 2016.

FINAL REPORT

GPC Implementation Group 2 “Alignment and Improving Interoperability”

Submitted on April 11, 2016

Task and background:

The GPC implementation group for alignment and improved interoperability, IG2, was given the task to “develop strategies, instruments and methods to boost alignment from both the Joint Programming Initiative (JPI) and the member/associated states (MS) side with input from JPIs, MS, the European Commission (EC) and other stakeholders”. The work is based on the GPC alignment working group report from 2014 and focuses on the governance from the side of the member/associated states. National alignment is a precursor to effective cooperation at the European level. Preparing the national system for European partnerships is also a key factor for less frequently represented countries to be able to join additional JPIs.

Milestones defined in the mandate and outcome

Work Package 1: Advancement of Alignment in the context of Joint Programming:

- *Milestone 1: Develop strategies, instruments and methods to boost alignment both from both the JPI and the MS side with input from JPIs, MS, the EC and other stakeholders.*

A survey was performed to provide the IG2 group with the necessary initial insight into the status of the JPI work in the MS. All mentioned stakeholders were involved in the formulation of this GPC alignment mapping survey. However, the main product of IG2 focuses on instruments and methods to boost alignment from the MS side and only indirectly from the JPI side.

- *Milestone 2: Implementing the instruments and methods to boost Alignment which have been developed together with JPIs, MS, the EC and other stakeholders.*

The second deliverable of IG2, “Governance of the national JPI process”, provides guidance for national processes to make MS better prepared for international alignment and interoperability. An important step of implementation will be to have the “Governance of the national JPI process” document adopted by the GPC followed by an active process within GPC to implement these recommendations nationally. The conclusions of IG2 on national alignment have already become a part of the ongoing pan-European discussion of Horizon2020 challenges and FP9 possibilities, and will be further developed using the EC mutual learning exercise (MLE) instrument. Naturally, after one year, plenty of the task to implement still remains.

Work Package 2: Improving the interoperability of national and European programmes and activities:

- *Milestone 1: Develop options for reducing the divergence of terminology, rules and procedures to be proposed to the Council*

These issues overlap with the work of ERA-LEARN and have therefore not been further pursued. Instead, ERA-LEARN has been closely involved in the IG2 work.

- *Milestone 2: Initiate/Support/Facilitate the implementation of options selected by the Council*

There has not been a process for selection of options by the Council.

Composition of IG2

Name	Affiliation	Country	Role in IG2
Thomas Zergoi	FFG	Austria	Member
Mogens Hörder	Innovation Foundation DK	Denmark	Member
Maarja Adojaan	Research Policy Department	Estonia	Member from September 2015 to January 2016
Ülle Napa	Estonian Research Council	Estonia	Member from February 2016
Birte Wollenhaupt	Aerospace Center	Germany	Member until March 2015
Kristof Bertram	Aerospace Center	Germany	Member from April 2015
Luciano Catani	MIUR	Italy	Member and ERA-LEARN representative
Ingunn Borlaug Lid	Norges Forskningsråd	Norway	Member
Kristine Naterstad	Kunnskapsdepartementet	Norway	Member
Rui Durão	FCT	Portugal	Member
Javier Garcia	CDTI	Spain	Member
Joaquin Serrano	Ministry of Economy and Competitiveness	Spain	Member
Karin Schmekel	Ministry of Education and Research	Sweden	Chair
Mats Ulfendahl	Swedish Research Council	Sweden	Co-chair until December 2015
Pontus Holm	Swedish Research Council	Sweden	Rapporteur
Andrei Lintu	European Commission		Member from November 2015
Julia Prikoszovits	European Commission		Member until October 2015

Meetings

2015

- 1st meeting, February 3 in Brussels
- 2nd meeting, March 11 in Brussels
- 3rd meeting, April 22 in Brussels
- Informal IG2-meeting, June 3 in Brussels
- 4th meeting, June 8 in Brussels
- 5th meeting, September 29 in Brussels
- 6th meeting, November 4 in Madrid
- 7th meeting, December 3 in Lund

2016

- 8th meeting, February 11, 2016 in Brussels

Deliverable 1: Alignment mapping

The alignment mapping exercise builds on an online survey that was formulated by the IG2, in communication with GPC and the JPIs. 22 member states/associated countries completed the questionnaire. The full survey result is attached to this report as appendix #1.

The material contains insights into perceived alignment obstacles and national commitments to pursue alignment. The survey revealed a general lack of cooperation between the national players involved in JPIs, for instance between involved ministries or between representatives of different JPIs. Identified obstacles includes heterogeneous call timetables and a lack of national priorities. National initiatives in support of alignment include to have European level research strategies influence national programs and to set up national coordination of involved ministries and agencies to facilitate cross-border interactions. The current discussion among JPIs of possible future legal entity forms for JPIs was visible in the survey where the lack of legal entity status was brought forward as a major obstacle for entering MoUs, contracts etc.

The mapping mentions several national JPI policies and reporting guidelines that were later collected and analysed, providing excellent examples of national working methods and potential best practices. The full analysis statement is attached as appendix #3 of this report. The primary conclusions of what elements that emerged as important and central are summarized in the three main points below:

High level of national commitment

- High political level support
- JPIs addressed in the overall research system, i.e. making JPIs a natural part of the system rather than an anomaly
- Dedicated unit for ERA/joint programming
- Develop European component of every national program

Overarching inclusive national strategy

- Align national strategies with European strategic research agendas
 - Look for overlaps of interest to produce synergies
- Have the strategy encompass all relevant aspects, like basic research, innovation, societal challenges, alignment, ERA etc

Using the national budget as an instrument

- Budgetary flexibility
- Monetary incitement for institutions to engage in the development and implementation of international cooperation strategies, like JPIs

Deliverable 2: Governance of the national JPI process

Alignment is crucial for realizing ERA (the European Research Area) and for better utilizing available resources. However, alignment is complicated by the member states' different research systems. Europe suffers from insufficient alignment both within the national research systems and between the systems of the MS. Individual MS are encouraged to step up their JPI governance, communication channels and strategies in order to achieve better conditions for national and transnational collaboration and more efficient use of Europe's common resources. This deliverable provides a set of general recommendations at national level for accomplishing this. The full document is attached to this report as appendix #2. The main components are summarized below.

Governmental responsibility include:

- commitment to the joint programming process in the context of ERA
- national governance of the JPI process
- financial support and steering
- priority setting for JPI involvement
- result assessment
- active participation in GPC
- appoint appropriate level representatives to JPI management boards
- interact and coordinate with the European Commission and the research framework program
- the national JPI engagement should be an integrated part of the national research system

Support to the government from the national JPI representatives should include:

- sharing best practice, continuous updates
- highlight benefits for society
- involving various stakeholders
- maintaining a continuous dialogue with the research community, industry and public sector
- annual reporting from each JPI is recommended/example of best practice
- sharing ways to overcome obstacles
- identifying obstacles that cannot be solved at the individual JPI level

* The national JPI governance should facilitate coordination and communication at ministry level, at research funding agency level, and at the research performer organization level. For each JPI it may be recommended to establish 1) an inter-ministerial advisory group (as most JPIs are of cross-sectorial nature) and 2) a scientific advisory group consisting of actors from RPOs, and different stakeholder groups (industry, public sector, NGOs...). For all JPIs it may be recommended to establish a platform for sharing experiences and best practice. The national GPC representatives should initiate and coordinate such a platform.

Interactions with ERA-LEARN 2020

It has been central to IG2 to foster continuous interactions with ERA-LEARN 2020. To this end, IG2 has a permanent member from the ERA-LEARN 2020 organization. IG2 attended and participated actively (rapporteur function etc) in the ERA-LEARN 2020 events “Workshop on the Practical Implementation of Alignment: Learning from Good Practice” on September 29, 2015 and the Annual Joint Programming Conference of January 14-15, 2016.

Other interactions

IG2 has been represented at various other related meetings, including the JPI chairs meeting of March 10, 2015, the JPI Stakeholder Workshop of June 2, 2015, the Lund Revisited conference of December 3-4, 2015, the ERA-Learn Annual Joint Programming workshop of January 14-15, 2016, and the Science Europe workshop “The Interplay of European and National Research Funding” of March 17, 2016.

Next steps

The one-year effort of IG2 significantly raised the awareness, knowledge and visionary thinking of the participants. More concretely, it produced a useful alignment mapping dataset and guidelines for a developed national governance process that, if and when implemented, the group feels could be a game changer for European joint programming. This view is very much echoed in the recently published “Evaluation of Joint Programming to Address Grand Societal Challenges” report from the EC that highlights the need for national alignment. Even so, this work is clearly just the beginning. Natural next steps would be to a) implement the suggested national governance process, and b) to target inter-country alignment and interoperability needs. This will to some extent be addressed by the budding mutual learning exercise on alignment that the EC policy support facility is engaging a group of GPC member countries in (including a high overlap with the IG2 member countries).

Further discussions and development of instruments for addressing additional alignment challenges may target institutional alignment, design of national programs in the spirit of European alignment, full common pot and generous virtual common pot calls, legal entity alternatives for JPIs, and European level core resources etc.

GPC alignment mapping report

This alignment mapping exercise builds on an online survey that was formulated by the GPC implementation group for alignment and improved interoperability, in communication with GPC and the JPIs. The survey was open June to September, 2015 and 22 completed questionnaires were collected. One submission was accepted per GPC member or observer country.

Summary

The mapping identified several national JPI policy and reporting guidelines documents that will be of great value and interest for further analysis. There seems to be a general lack of communication channels between the national players involved in JPIs, for instance between involved ministries or between representatives of different JPIs. Some heterogeneity was displayed in what organizations that represents its country in JPIs, GPC etc. The differences were even more pronounced regarding the number of involved ministries and funding agencies, as well as for national call process timelines. Interestingly, there was the anticipated negative response for the use of the full common pot funding model but considerable support for “virtual common pot with flexible budget”, i.e. each country commits to fund all top-ranked (for instance, top 10) groups of its own country.

The material contains numerous insights into perceived alignment obstacles and national commitments to pursue alignment. Obstacles included heterogeneous call timetables and a lack of national priorities. National initiatives in support of alignment include to have European level research strategies influence national programs and to set up national coordination of involved ministries and agencies to facilitate cross-border interactions.

Name and country of data submitters

Brigitte Weiss, Gunhild Widhalm	Austria
Lieve VAN DAELE	Belgium
Leonidas Antoniou	Cyprus
Lucie Nunez	Czech Republic
Annette Borchsenius	Denmark
Maarja Adojaan	Estonia
Sirpa Nuotio	Finland
Emmanuel Pasco-Viel	France
Lutz Gros	Germany
Vassiliki Karavaggeli	Greece
Maria Uccellatore	Italy
Claire Bellia	Malta
Peter Keet (EZ) & Nynke Cornelissen (OCW)	Netherlands
Kristine Naterstad	Norway
Dariusz Drewniak	Poland
Ana Quartin	Portugal
Ioana Ispas	Romania
Lubica Pitlova	Slovakia
Petra Zagar	Slovenia
Joaquin Serrano	Spain
Karin Schmekel	Sweden

National coordination of JPI activities

1. What JPIs is your country involved in as member or observer?

Response	Chart	Percentage	Count
Neurodegenerative Diseases/Alzheimer's (JPND)		91%	20
Agriculture, food security and climate change (FACCE)		77%	17
A healthy diet for a healthy life (JPI HDHL)		73%	16
Cultural heritage		77%	17
Urban Europe		68%	15
JPI Climate		68%	15
More years, better lives (MYBL)		59%	13
Antimicrobial resistance (JPIAMR)		68%	15
Water challenges (JPI Water)		86%	19
Healthy & productive seas and oceans (JPI Oceans)		64%	14
Total Responses			22

2. Is there an overarching governmental policy for JPI activities?

Response	Chart	Percentage	Count
Yes		36%	8
No		64%	14
Total Responses			22

2b. If yes, please briefly summarize the policy or upload a file describing it.

The 10 response(s) to this question can be found in the appendix.

3. Is there a forum for inter-ministry JPI coordination (concerning one or more JPIs)?

Response	Chart	Percentage	Count
Yes, official with regular meetings		18%	4
Yes, on an irregular basis (when communication needs arise)		18%	4
No, little or no inter-ministry communication on JPIs		27%	6
Other, please specify		36%	8
Total Responses			22

3. Is there a forum for inter-ministry JPI coordination (concerning one or more JPIs)? (Other, please specify)

#	Response
1.	In the monthly forum for interministerial coordination of research, JPI issues may be and have been discussed.
2.	Mixed
3.	All JPI's are in responsibility of Ministry of Science and Higher Education
4.	Internally in RPF
5.	The governance structure mentioned above includes an interministry co-ordination board
6.	see below
7.	It depends on each JPI. If more than one ministry is responsible for a JPI there is an inter-ministry coordination. For instance, this is the case with respect to the JPI HDHL

3b. Please describe the communication means briefly.

The 14 response(s) to this question can be found in the appendix.

4. Please describe the communication platform (meetings, website, newsletters or similar) for interaction between ministries and executing/responsible organisations (e.g. funding agencies) regarding JPIs.

Response	Chart	Percentage	Count
Regular contact with multiple meetings per year		32%	7
Contact on need basis		41%	9
Little or no communication		18%	4
Other, please specify		9%	2
Total Responses			22

4. Please describe the communication platform (meetings, website, newsletters or similar) for interaction between ministries and executing/responsible organisations (e.g. funding agencies) regarding JPIs. (Other, please specify)

#	Response
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4b. Please describe the communication means briefly.

The 15 response(s) to this question can be found in the appendix.

5. Is there a national forum for exchange of experiences (e.g. processes and best practice) between participants of different JPIs?

Response	Chart	Percentage	Count
No		41%	9
Yes, about once per year or less		32%	7
Yes, 2-4 times per year		23%	5
Yes, 5 or more times per year		5%	1
Total Responses			22

5b. If yes, please describe the organization briefly.

The 12 response(s) to this question can be found in the appendix.

6. How do the JPIs interact with the national scientific community (regarding for instance policy, call topics, research agenda etc)?

Response	Chart	Percentage	Count
Not actively interacting		18%	4
Regular meetings		18%	4
Regular online dissemination and inquiries		36%	8
Other, please specify		27%	6
Total Responses			22

6. How do the JPIs interact with the national scientific community (regarding for instance policy, call topics, research agenda etc)? (Other, please specify)

#	Response
1.	On a cases by case basis .
2.	"support groups"
3.	on a case by case basis
4.	see below
5.	All possible interactions forms are used. In most cases representatives of the scientific community are part of the JPI.

6b. Please describe the interaction and possible differences between JPIs.

The 14 response(s) to this question can be found in the appendix.

7. Are there common national guidelines for reporting and evaluation of JPIs?

Response	Chart	Percentage	Count
Yes		14%	3
No		86%	19
Total Responses			22

7b. If yes, what is expected to be reported and to whom?

The 6 response(s) to this question can be found in the appendix.

8. Which organisation(s) represents your country as voting member in the management or governing board of all the JPIs your country participate in?

Response	Chart	Percentage	Count
Ministry		73%	16
Funding agency		50%	11
Private company or foundation		5%	1
Scientific community		27%	6
Other, please specify		9%	2
Total Responses			22

8. Which organisation(s) represents your country as voting member in the management or governing board of all the JPIs your country participate in? (Other, please specify)

#	Response
1.	Observers in 3 JPIs --> no voting rights
2.	governmental scientific or research institute

8b. If necessary, specify the voting member representation and any major differences between JPIs.

The 11 response(s) to this question can be found in the appendix.

8c. Does this voting representative typically attend a majority of the meetings?

Response	Chart	Percentage	Count
Yes		82%	18
No		18%	4
Total Responses			22

9. Which organisation represents your country as expert (the non-voting member) in the management or governing board of the JPIs your country participate in?

Response	Chart	Percentage	Count
Ministry		24%	5
Funding agency		43%	9
Private company or foundation		5%	1
Scientific community		62%	13
Other, please specify		14%	3
Total Responses			21

9. Which organisation represents your country as expert (the non-voting member) in the management or governing board of the JPIs your country participate in? (Other, please specify)

#	Response
1.	none & public reserach organization
2.	
3.	They operate on consensus

9b. If necessary, specify the non-voting member representation and any major differences between JPIs.

The 7 response(s) to this question can be found in the appendix.

9c. Does this non-voting representative typically attend a majority of the meetings?

Response	Chart	Percentage	Count
Yes		71%	15
No		29%	6
Total Responses			21

10. Which organisation represents your country as voting member in the GPC?

Response	Chart	Percentage	Count
Ministry		73%	16
Funding agency		27%	6
Private company or foundation		0%	0
Scientific community		0%	0
Other, please specify		0%	0
Total Responses			22

10. Which organisation represents your country as voting member in the GPC? (Other, please specify)

#	Response
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10b. If necessary, specify the GPC member representation.

The 9 response(s) to this question can be found in the appendix.

10c. Does this GPC representative typically attend a majority of the meetings?

Response	Chart	Percentage	Count
Yes		95%	21
No		5%	1
Total Responses			22

Funding

1. What is the source of JPI funding?

Response	Chart	Percentage	Count
Public funds		91%	20
Private funds		0%	0
Mixed		9%	2
Total Responses			22

2. Who allocates national JPI funding for secretariat costs, calls or other common activities in cash or in kind?

Response	Chart	Percentage	Count
Via dedicated JPI budget		19%	4
Via case by case allocation		71%	15
Via dedicated program and/or institutional funding		24%	5
Other, please specify		0%	0
Total Responses			21

2. Who allocates national JPI funding for secretariat costs, calls or other common activities in cash or in kind? (Other, please specify)

#	Response
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2a. Please explain the context briefly

The 13 response(s) to this question can be found in the appendix.

3. Approximately how many ministries are involved in JPI funding (any JPIs)?

The 22 response(s) to this question can be found in the appendix.

4. Approximately how many public funding agencies are involved in JPI funding (all JPIs)?

The 22 response(s) to this question can be found in the appendix.

Legal and political issues

1. Does national legislation allow transferring funds abroad for true common pot, i.e. funding all top ranked call applications irrespectively of nationality?

Response	Chart	Percentage	Count
No, clearly prohibited		29%	6
Not specifically regulated but problematic		29%	6
Not specifically regulated but possible		14%	3
Allowed		14%	3
Allowed and supported		5%	1
Other, please specify		10%	2
Total Responses			21

1. Does national legislation allow transferring funds abroad for true common pot, i.e. funding all top ranked call applications irrespectively of nationality? (Other, please specify)

#	Response
1.	mix-model is preferred: virtual common pot for financing nat'l participants and true common pot that comes as top-up from EC (e.g. Hera ERA-NET)
2.	Depending on the funding agency (some allow, other not)

2. What are the possibilities to participate in virtual common pot calls with a flexible budget, i.e. each country commits to fund all top-ranked (for instance, top 10) groups of its own country?

Response	Chart	Percentage	Count
Possible and desirable		19%	4
Possible		38%	8
May be possible		33%	7
Likely not possible		5%	1

Not possible		5%	1
Total Responses			21

3. What is the typical time from call opening to first payment of the major national calls?

Response	Chart	Percentage	Count
Less than 6 months		14%	3
6-12 months		62%	13
More than a year		24%	5
Total Responses			21

4. What is the typical time from review decision to the first payment for transnational calls?

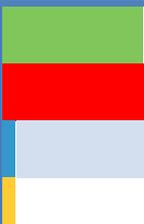
Response	Chart	Percentage	Count
Less than 2 months		0%	0
2-4 months		48%	10
5-6 months		29%	6
More than 6 months		24%	5
Total Responses			21

5. Please give examples of national rules, procedures and terminology that have proven to be obstacles for transnational collaboration.

The 18 response(s) to this question can be found in the appendix.

National alignment process

1. What is your personal impression of the general opinion of European alignment among your national researchers?

Response	Chart	Percentage	Count
Positive		41%	9
Neutral		50%	11
Negative		5%	1
Don't know		5%	1
Total Responses			22

1b. Please elaborate.

The 11 response(s) to this question can be found in the appendix.

2. What is your personal impression of the general opinion of European alignment among your national funding agencies?

Response	Chart	Percentage	Count
Positive		41%	9
Neutral		50%	11
Negative		5%	1
Don't know		5%	1
Total Responses			22

2b. Please elaborate.

The 13 response(s) to this question can be found in the appendix.

3. What is your personal impression of the general opinion of European alignment among your national governmental offices?

Response	Chart	Percentage	Count
Positive		50%	11
Neutral		45%	10
Negative		0%	0
Don't know		5%	1
Total Responses			22

3b. Please elaborate.

The 13 response(s) to this question can be found in the appendix.

4. Please give examples of national initiatives to promote alignment.

The 19 response(s) to this question can be found in the appendix.

5. Please name examples of bilateral or transnational collaborations with a direct or indirect aim to address alignment.

The 17 response(s) to this question can be found in the appendix.

2b. If yes, please briefly summarize the policy or upload a file describing it. |

#	Response
1.	The responsible ministries share a positive attitude towards the JPP and JPIs. The general ambition is to participate in JPIs and the JPP as far as possible according to available funds and matching national priorities or programmes. possible and as Long as significant national priorities and programs exist.
2.	There is an overarching policy in the sense that we have a national Science and Innovation strategy that includes our engagement with EU and international collaboration. But the detail on engagement with specific JPIs is the remit of the relevant government departments and research councils. All this is pulled together by my department (BIS) for the GPC but I'm not sure if this would be described as an overarching governmental policy for JPIs.
3.	In the "Strategy for research and innovation cooperation with the EU Horizon 2020 and ERA from 2014, one of the targeted measures is: "The Ministry of Education and Research is in charge of efforts to develop a common model for the ministries' management and funding of Joint Programming Initiatives (JPIs)." (https://www.regjeringen.no/en/dokumenter/eu-strategi-for-forskningssamarbeid/id762473/)
4.	There is an Inter-ministerial committee for Science Policy, but meetings take place on an irregular basis.
5.	The research and innovation system in Cyprus is centralised (due to the small size of the country). The Research Promotion Foundation (RPF) is the only funding agency and participates in all (4) JPIs. The policy is decided in collaboration with the General Directory for Coordination, Development and European Programmes (DGCDEP-governmental authority responsible for research issues) and applied to all JPIs.
6.	Since 2014 the document was approved by Parliament, which describes the decision making process in which EU research partnerships Estonia is participating; the principles are followed by all Ministries and the overall process is coordinated by Estonian Research Council.
7.	The Secretariat of State for Research and Innovation (SEIDI) of the Ministry of Economy and Competitiveness has the whole responsibility in terms of scientific research and innovation.
8.	JPIs are recognised and mentioned in official governmental documents and a governance structure is currently being established, inspired to the "Norwegian Model"
9.	But we are setting one up
10.	National Plan for research, development and innovation (2015-2020) has a dedicated subprogramme for JPIs .This subprogramme will support the JPI activities (project recommended for funding) and support projects for national activities under JPI. The programme is likely to start in 2016.

3b. Please describe the communication means briefly. |

#	Response
1.	The Austrian GPC delegation organises regular meetings (around 4 times a year) with Austrian stakeholders involved in the Joint Programming Process. Purpose is the update on developments in the JPIs Austria is involved in and on GPC. Additionally there is an exchange if there are specific communication needs.
2.	Although a formal forum for inter-ministerial coordination of JPIs does not exist, MCST, as the main research funding agency in Malta, acts as an appropriate central point for coordination of JPI participation. Ministries and public and private entities are consulted/informed about the activities of JPIs on a regular basis, particularly when there is an opportunity for active participation in R&I activities launched by the JPIs.
3.	We are just starting the process of establishing the structure of JPIs in Slovenia.
4.	-In the monthly forum for interministerial coordination of research, JPI issues may be and have been discussed. -Some of the JPI have inter-ministerial coordination Groups, and it is planned that most should have ones. -communication happens via Meetings, by mail and by web. All JPIs have its own national webpage (here eg a newsletter and the annual reports may be found).
5.	JPI-issues are sometimes discussed in the national EU coordination committee, which includes all relevant ministries. The group mainly focuses on wider EU policy issues and H2020. In addition, some JPIs (e.g. JPI Water) have own national networks including relevant ministries.
6.	Mainly via email or personal meetings.
7.	Quarterly meetings including representatives of stakeholders and members of the various management boards.
8.	please 2b
9.	Once a year there has been a meeting with all estonian JPI representatives and other stakeholders to change information on ongoing actions and future plans. Also lecturers from abroad (from JPI-s) have been invited.
10.	The most common communication mean is the email exchange and sometimes work meetings, although on an irregular basis.
11.	At least twice a year, SEIDI organizes meetings of all Spanish representatives of the various JPI. In Spain there are three ministries with relevant participation in JPI activities: the Ministry of Economy and Competitiveness, the Ministry of Health, and the Ministry of Agriculture, Food and Environment.
12.	There is no inter-ministry JPI coordination as a whole (in the GPC mirror group, only our ministry is present as it is THE ministry in charge of joint programming). But for each JPI, relevant ministries are present in mirror groups.
13.	But we are setting it up
14.	Meetings twice a year. Ad hoc interaction. Exchange of (draft) documents, reports and GPC-presentations.

4b. Please describe the communication means briefly. |

#	Response
1.	See reply 3b. The inter-ministry coordination includes the agencies. Generally there is good cooperation and regular contact between the actors involved in the JPP.
2.	Dissemination of information takes place mostly via e-mail. Meetings are also held with parties that could be interested in the activities of the JPIs, for example, to inform them on recent developments, e.g. discussions on pilot actions or launch of a Call for Proposal. Therefore, the means of communication is both proactive (from MCST's side) and also on an 'as needed' basis.
3.	-communication happens via Meetings, by mail and by web. All JPIs have its own national webpage (here eg a newsletter and the annual reports may be found). -meetings are set in relation to international Meetings (eg GB) in the particular JPI.
4.	Communication is different in different JPIs, depending how much a ministry is involved in JPI and how is the national research system in that specific area. In some JPI areas there are relevant national research institutions or programmes, but in some JPI areas none. Sometimes a ministry is a very relevant body and is represented in the Management Board (as in FACCE JPI). Most of the communication is JPI-specific, including e-mail communication, e-mail newsletters and meetings.
5.	Mainly via email or personal meetings.
6.	The CIS\GPC commission gathers all Belgian government administrations (federal, community and regional level) involved in JPIs and prepares concerted Belgian positions in view of the ERAC GPC meetings. The CIS\GPC secretariat serves as the Belgian information node. http://www.belspo.be/belspo/coordination/addgrp.asp?l=en&group=CIS/GPC
7.	please 2b
8.	Yearly meetings with all stakeholders; round-tables with Ministries and Universities (~twice a year); relevant information is on Estonian Research Council's website that is dedicated to international research cooperation.
9.	Only two different ministries and one funding agency (Portuguese Foundation for Science and Technology) are involved in JPIs, so the communication is sometimes informal. The communication platform used is the same for other issues.
10.	MINECO web site has information concening Spanish activities in JPIs (including funding opportunities.
11.	In future, the ResearchItaly portal (www.researchitaly.it) is intended to be used as a communication platform
12.	Mirror groups for each JPI with representatives of ministries, RFO and RFOs Specific working group between our ministry and our RFO (ANR) on international fund programming
13.	see 3 - the organisations are joining the regular meetings. This includes contact on a need basis.
14.	There is a regular contact between each responsible unit at the ministry and the respective funding agencies. Moreover, at the BMBF we have a debriefing after each meeting of the GPC

to inform our colleagues at the ministry and/or funding agencies responsible for the different JPIS.

15. ANCSI approves participation of funding agencies in ERA NET COFUND relevant for JPIS

5b. If yes, please describe the organization briefly. |

#	Response
1.	See reply 3b. Again this is part of the action described in 3b.
2.	In 2014, prior to formulating a strategic approach to participation in JPIS, MCST convened a meeting of all JPI Management Board Members to exchange experiences. In 2015, focus is on participation in 2 JPIS, and MCST communicates and meets with interested parties regarding each JPI separately. A meeting between MCST and potential participants from the 2 JPIS is foreseen in late 2015/early 2016.
3.	The responsible members of the different JPIS from the Research Council (GB-members) meet regularly.
4.	GPC-members have invited JPI-representatives in a meeting (once per 1-2 years) to discuss the progress and exchange ideas and experiences.
5.	End 2013, the CIS\GPC organized for the first time a meeting with the Belgian JPI representatives. For each JPI the state of play, progress, good practices and future action points were discussed. In 2015 a similar meeting will be organized in November.
6.	please 2b
7.	Rountabels organised by Estonian Research Council, yearly meetings (see answers to previous questions).
8.	At least twice a year, SEIDI organizes nterdepartmental meetings with key JPI agents.
9.	The IT representatives in the JPIS' governing bodies are gathered by the Ministry of Education, University and Research (MIUR) about once per year or less for an exchange of views and for pinpointing critical issues
10.	There have been in 2013 and 2014, not this year, but this is in discussion for 2016.
11.	See 3 - all in the same meeting, which lasts one afternoon and is well prepared.
12.	At the agency level there are regular meetings to discuss common issues among all JPIS and ERA-NETs such as member fees, ranking lists, communication with national stakeholders in the respective fields, dealing with European partners etc.. But we do not label it as a national forum. It is rather an informal circle for discussion, networking and exchange. We have good experiences with it.

6b. Please describe the interaction and possible differences between JPIs. |

#	Response
1.	The way JPIs interact with the national scientific community varies across the JPIs and depends on how well the respective national communities are networked.
2.	Each JPI have, or are in the process of establishing, a scientific advisory group consisting of scientists and stakeholders in the field
3.	Some JPIs have national "support groups" of interested person from scientific community, funding agencies, ministries etc. They communicate in meetings and/or circulating emails. In addition, information on calls and other relevant activities may be published in web-pages of funding agencies and other relevant organisations.
4.	It depends on each individual representative in every JPI.
5.	2 Answers to question 6: Regular meetings (see question 3) Regular online dissemination and inquiries (see question 4)
6.	meetings, workshops, online questionnaires, newsletters etc
7.	Different in different JPI-s. In some cases (AMR, Water, Oceans) it has been bottom-up initiative, initiated by researchers and researchers have active role. In HDHL and FACCE it has been mostly lead by Ministry.
8.	Workshops or info days on a irregular basis are also forms of interacting with the scientific community.
9.	All JPIs representatives and experts come from SEIDI. SEIDI assumes the responsibilities for national scientific and technical research, development and innovation, and also holds Spanish representation in programmes, forums and international organizations.
10.	The specialists' scientific community is more or less aware and involved, but an open and transparent procedure for involving the national scientific community has not yet been established. It is planned however to do so via the Rectors' Conference (for universities), the Presidents of the public research centres, and the National Clusters for the private sector
11.	For each JPI, one of the two French GB members is a representative of our national RPOs, and RPOs have several representatives in JPI mirror groups. Those representatives are responsible for the dissemination and communication on JPI activities to the whole national scientific community.
12.	The scientific community is heavily involved in the JPIs and are the main actors. Intensive interaction with those who are involved, but limited interaction with those in the scientific community who are not directly involved.
13.	All possible interactions forms are used. There are mailing-lists to keep the community updated, regular stakeholder Meetings, etc.. In most cases representatives of the scientific community are part of the JPI.

14. Call topics are offered for consultation with scientific community via web page, mailing lists, direct contacts with relevant stakeholders.

7b. If yes, what is expected to be reported and to whom? |

#	Response
1.	Regarding Reporting: the yearly activities and funding are reported for each JPI. Regarding evaluation: we are considering an evaluation plan
2.	Standard reports requested by the funding agencies involved
3.	
4.	Most of JPIs and other joint programming initiatives (ERANET, ERANET COFUND, etc.) are funded by a dedicated Spanish national call managed by. This call supports all international joint programming activities in which Spain has previously committed funds.
5.	Once the governance scheme is approved (see questions 2 and 3 above), national guidelines for reporting and evaluation of the JPIs on a national perspective will be established
6.	no, but we do ask them to report on selected topics in the regular meetings: exchange of experiences and views.

8b. If necessary, specify the voting member representation and any major differences between JPIs. |

#	Response
1.	Malta Council for Science and Technology
2.	-in dialogue With the representative from the Research council
3.	Greece's involvement in existing JPIs is extremely low. In JNPDP the representative in the management board come from the Ministry of Culture, Education and Religious Affairs/General Secretariat for Research and Development (GSRT). In JPI Oceans there are two members, one from GSRT and one from a research center. These members were nominated when the respective JPI was launched but there is no active participation within the last years. In JPI Water, National Technical University of Athens participates as observer.
4.	In case expertise is not available within the ministry, someone from a governmental scientific or research institute can represent the ministry.
5.	An RPF Director is the member for all (4) JPIs Governing Boards. The relevant scientific officers are participating in the management boards
6.	Different in different JPI-s.
7.	The Secretariat of State for Research and Innovation (SEIDI) of the Ministry of Economy and Competitiveness has the whole responsibility in terms of scientific research and innovation.
8.	In IT a 'research funding agency' does not exist, thus the Ministries (in particular MIUR) coincide with the 'research funding organisations (RFO)'

9.	ANR (our main national RFO) exception for the JPICH, this is Ministry of Culture
10.	in two JPIs there is a representation from the government, for 7 it is a funding agency
11.	No formal guidelines by the ministries; JPI participants decide on their representation, which works well.

9b. If necessary, specify the non-voting member representation and any major differences between JPIs. |

#	Response
1.	University of Malta
2.	Usually there is an appointment of one person to MB/GB coming from the Ministry, without experts
3.	Experts from state universities or governmental authorities participates in several events meetings at an ad-hoc basis
4.	Usually only voting member attends meetings, however if expert is involved, he/she has been from scientific community.
5.	relevant Alliance (organization of RPOs in several scientific domains) exception for the HPICH, this is Ministry of Research
6.	In case of disagreement, the ministry decides.
7.	By internal decision of ANCSI, in each MB, RO is represented by a ministry/ANCSI delegate and a scientific expert.

10b. If necessary, specify the GPC member representation. |

#	Response
1.	Malta Council for Science and Technology
2.	Ann Miller (BIS)
3.	-in dialogue With the representative from the Research council
4.	Greece is represented by the Ministry of Culture, Education and Religious Affairs/ General Secretariat for Research and Development (GSRT)
5.	The Ministry representing Belgium is BELSPO, the Belgian federal Science Policy Office.
6.	The GPC delegates are Directors from the DGCDEP (ministry) and RPF (Funding agency. Mr Antoniou (from RPF) is attending almost all meetings
7.	Spanish representatives in GPC are also in charge of the management and financing of joint programming and projects at national level. The representation of Spain in GPC is at deputy director level.
8.	Department responsible for the ERA strategy
9.	Close cooperation between the Ministry of Education, Culture and Science and the Ministry of

2a. Please explain the context briefly |

#	Response
1.	JPI Urban Europe is funded via the Austrian R&D program on "City of the Future". Joint Calls and secretariat costs of Urban Europe have been covered within this program. The current 3rd Call of Urban Europe is the ERA-Net Cofund "ERA-NET COFUND Smart Cities and Communities". The AT participation in the JPIs Climate, MYBL, HDHL and JPND is funded from the general budget of the ministry for science, research and economy. AT participates on average in one call per year in these 4 JPIs. The AT participation in the JPIs FACCE and Water is funded by the AT Ministry for Agriculture and Environment on a case by case basis. Austria participates also in-Kind (government, funding agencies, universities, RPOs).
2.	Participation in JPIs is currently funded through Government funding that is provided to MCST on a yearly basis.
3.	Slovenia is observer in 3 JPIs mainly because this means no fees. Work in each JPI is done through in-kind contribution. When decided Slovenia will be involved in a call of the JPI funds are earmarked.
4.	Mainly ESIF funds (up to now). See also comments below in the section "Legal and Political issues".
5.	In fact we have no specific "JPI funding". Funding and in kind commitments are discussed and allocated case by case. Funding has been provided either by a ministry, a funding agency or a research institution (in kind).
6.	There is no specific programme for JPIs. Funding for research activities is provided by existing domestic instruments. Membership fees and/or support for the JPI secretariat are paid by the ministries or funding agencies.
7.	Any expenses related to JPIs' activities are covered by the annual budget of the RPF. RPF's budget is mainly provided by the Ministry of Finance.
8.	During 2011-2015 activities have been mostly funded by Research Internationalisation Programme (supports ERA related activities) and also by sector Ministries.
9.	JPIs and other joint programming initiatives (ERANET, ERANET COFUND, etc.) are funded by a dedicated Spanish national call. This call supports all international joint programming activities in which Spain has previously committed funds.
10.	Until now, a dedicated JPI budget does not exist, although it has been proposed to insert it in the next National Research Programme (PNR). Therefore, a contribution has been given on a case by case basis, both in the form of cash from the interested Ministries and in kind from universities and public research centres
11.	Fees are mainly paid by RPOs (exceptional cases by our main RFO – ANR). Cash for calls mainly comes from our main RFO – ANR (other possible funding agencies or ministries but very limited). In kind contribution comes from both ANR and RPOs.

- | | |
|-----|--|
| 12. | Participating organisations are funded on a lump sum basis, without earmarking of that budget. |
| 13. | Under the new Research Programme which will start in 2016, JPI represent a dedicated subprogramme under International cooperation programme. |

3. Approximately how many ministries are involved in JPI funding (any) JPIs? |

#	Response
1.	1
2.	3
3.	1
4.	0
5.	1
6.	6
7.	1
8.	1
9.	2
10.	1
11.	5
12.	1
13.	4
14.	1
15.	3
16.	2
17.	1
18.	1
19.	0
20.	4
21.	3
22.	1

4. Approximately how many public funding agencies are involved in JPI funding (all JPIs)? |

#	Response
1.	0

2.	1
3.	1
4.	7
5.	0
6.	1
7.	1
8.	3
9.	0
10.	2
11.	4
12.	1
13.	2
14.	1
15.	4
16.	0
17.	1
18.	1
19.	6
20.	1
21.	3
22.	1

5. Please give examples of national rules, procedures and terminology that have proven to be obstacles for transnational collaboration. |

#	Response
1.	-) Timing of calls -) Different funding rules (eligibility criteria; funding rates; eligibility of costs, for example indirect costs)
2.	MCST has always endeavoured to ensure the smooth implementation of transnational projects funded through National budgets. The challenges that have arisen thus far mostly concern the disbursement of National funds to local beneficiaries. This is largely due to 'external' factors, for example delays in acquiring State Aid approval or beneficiaries not submitting the necessary documentation/reports in time, rather than internal issues.
3.	1) Resolution on Research and Innovation Strategy of Slovenia 2011-2020 2) Act on Research and Development Activities

4.	In addition to institutional funding, the available budget for RTDI activities in Greece, during the last 20 years, mainly comes from the structural funds. The availability of purely national RTD budget is constantly extremely low. In this context, the participation of Greece in joint actions with other EU M-S, including the Joint Programming Initiatives is extremely low. Alternative sources of funding, such as the use of ESIF funds, have been used up to now. However, apart from the fact that they are not always applicable due to eligibility rules, they also entail several other disadvantages (e.g. an increased level of bureaucracy, more complicated procedures, discontinuity, restrictions in terms of timetables of implementation etc) which further impede medium to long term strategic planning of activities and don't ensure the continuity of funding. Moreover, management costs, including those arising from the participation of national representatives in the relevant committees and bodies (travel expenses etc) constitute an additional financial burden. It should also be noted, that the problems mentioned above, basically the lack of purely national RTD budget, existed and affected our level of involvement long before the financial crisis.
5.	Timetable of planning funding allocations are often different than needed for transnational collaboration. Also multi-annual budget allocations and long-term commitments are difficult.
6.	National funding mechanisms, rules and time schedules that differ in many countries.
7.	Regional legislation: valorization is supposed to happen in the Region; grantees have to be linked to a Regional university and can only spend limited time abroad.
8.	Tranferring Funds to partners from abroad is allready allowed in the national calls.
9.	As in most cases structural funds are used, strict rules have to be followed. Most obstacles are related to these rules. Also lack of procedure (priority setting) and central coordination has been problem in the past.
10.	The national rules, procedures and terminology have not yet became an obstacle for transnational collaboration. The National Funding Agency has a flexible system that allows to accommodate some adaptations to facilitate the transnational collaboration.
11.	The MINECO, by SEIDI, funds R & D and innovation projects through competitive national calls. The beneficiaries of these calls are limited to entities based in Spain. This basic rules also applies to the international virtual common pot calls (following ERANET scheme) in which MINECO has shown its commitment. The participation of MINECO in real common pot calls requires the approval of Council of Ministries. This entails a complex and time consuming management.
12.	a. National rules require that a participant can be funded only if it has a stable organisation in Italy. This rule prevents the use of the real common pot model. b. Any funding decision, including also any payment, requires quite lengthy, preventive and mandatorily checks, to be performed by different public administrations (Court of Auditors, Ministry of Finance, Prefecture). c. The budget of a call must be clearly identified and earmarked before the call opening. This rule prevents our participation to any call with flexible budget. However, the budget of a call can be modified a posteriori, providing that there are funds available.
13.	There are no abstacles in the Danish legislation. In the two Danish Laws on national funding for research it is clearly stated that the agencies are allowed to allocate up to 20 percent of the total

	funding budget to international cooperation.
14.	-
15.	Some bilateral collaborations requires signing of argeements on high level
16.	- JP is mission driven, which is hardly present in the NL - If NL has a mission driven call it is difficult to synchronise with the JPI topic, plus the timeframe (1/2/4-year project) may be different than that of the JPI - allocation of institutional funding is decided upon by the institutes: no room for overarching national priorities - practicalities: who is eligible, which costs are eligible - there may be different views on subthemes within a broad theme
17.	Wrong question. Transnational collaboration works very well on the basis of different national rule system (e.g. via harmonisation and sycronisation over time). But in the long term we need one common funding rule system also for national R&D Project funding.
18.	JPI is not a legal entity as such. RO legislation allows to pay contribution to an organization which is legally established and this has to be done through a separate law signed by Prime Minister. In this context this is the main barrier for paying fees for secretariat costs in any JPI. Also for the same reason, MoU is not easily recognised if does not exist COFUND or CSA (unless RO is member in CSA supporting JPI/COFUND and in this way it is a legal contract signed by EC as well which represent the legal basis for funding research projects).

1b. Please elaborate. |

#	Response
1.	Without having any evidence on this, we assume that only a small minority of researchers in AT is aware of the concept of European alignment. A considerable part of AT researchers is however involved in some sort of European initiative, be it FP projects, ERA-Nets, JPIs, ESFRI projects or other types of action. Many others collaborate with colleagues from other countries without being part of any European initiatives. We believe that the majority of AT reserachers is positive towards transnational collaboration in General and many are very active. Since the concept of European alignment is an issue for policy makers and not so much for Researchers, we believe that this is what Counts.
2.	Feelings among researchers regarding the process of alignment can be classified as 'neutral' as they can be both positive and negative. Although they feel that it is important for Malta to try to find ways to coordinate research agendas with those of other Member States and with the SRIAs of JPIs, there is a concern that areas of research that are more specific or of a higher priority at a National level may be side-lined.
3.	They are given an oportunity to be part of the international research and infrastructure programs and research and development project
4.	The majority of researchers are keen on international Collaboration, but the phrase alignment is not in common use among researchers.
5.	Researchers see the value and possibilites of increased collaboration (but expect additional funding for it).

6.	
7.	Joint programming and ERANET are perceived by the scientific community as new opportunities to participate in international projects.
8.	In principle, the concept of alignment, leading to reduction of fragmentation and elimination of unnecessary duplication, is acknowledged as 'positive'. When the principle is applied, with attempts to focus funding on agreed 'major societal challenges' the attitude may change...
9.	I would say that many researchers do not really know the stakes of alignment, it is mainly seen as a top-down, administrative issue. Obviously, it would be perceived positively by JPI participants and negatively by those who are not in the scope of JPI activities.
10.	The researchers in the JPIs feel frustrated by the slow progression and decisionmaking
11.	The European alignment is a very vague term in this moment, even at GPC level, and is difficult to translate it in practice. Aligning national programmes with SRIA means also an available budget which is not easy to be obtained.

2b. Please elaborate. |

#	Response
1.	The opinion of the AT governmental offices is between positive and neutral. The general position towards Joint Calls, JPIs, etc. appears to be positive, however, there are important forms of alignment that have not yet been used.
2.	Once again feelings are 'neutral' and can be both positive and negative. As a National Funding Agency and the Agency responsible for drafting and implementing a Smart Specialisation Strategy, the process of 'alignment' and 'specialisation' may appear to be 'in conflict'. The approach that Malta is taking, however, is to use the National Strategy for R&I and the smart specialisation approach to identify which JPIs may be tackling topics that are aligned with national interests. Thus, Malta considers the process of 'alignment' as being important in areas where it would allow National goals and objectives to be reached.
3.	Only one nat'l funding agency.
4.	focus is on the importance of international cooperation
5.	Greece is positively disposed towards JP and other kind of joint actions and alignment of RTDI policies between EU M-S and/or EU Policy as well. However, we should take into account the level of M-S capabilities and resources, especially for joint actions co-funded by Horizon 2020. Horizontal Calls of Horizon 2020 also contribute to alignment of policies and scaling up of activities and should remain the main funding instrument within Horizon 2020 activities/calls.
6.	General opinion of increasing cooperation is positive, but there are also some confusion and misunderstanding regarding alignment. Critics include e.g. bureaucracy and difficulties of multi-annual budget commitments. However, in case of JPIs, the quality of funded projects funded so far have been regarded high (compared to some bilateral calls), which is very positive.
7.	The desirable level of alignment on the EU level is not always easy to achieve due to different national funding mechanisms.

8.	Both positive and negative responses. Details for the negative responses: too much work, overhead, too much fragmentation, too many different rules and procedures and not so compatible with the bottom up, open calls.
9.	We are still in a very preliminary stage to have a reasoned opinion. Spanish participation could be increased if JPIs and other JP activities would follow more homogeneous or at least harmonized management procedures and if decisions on new initiatives would rely on a high level body.
10.	The answer has to be 'attenuated' however when alignment risks to impact on national 'peculiarities'...
11.	Our main national funding agency (ANR) is very active in JPI activities, especially participation to transnational calls. However, they are a bit worried by the multiplication of those calls and the difficulty to be part of all of them (which is not mandatory but as ANR is mainly our only funding agency to be part of transnational calls, the absence of ANR means the absence of France, meaning no fund for the French research community without the participation of ANR).
12.	They work hard (like within Science Europe), though it's difficult.
13.	1.) It depends with whom you speak. I have the impression that different JPI still perceive alignment very differently. The definitions by the GPC group on alignment and the work of the ERA-LEARN project on alignment have not reached yet all JPIs. 2.) Alignment is also a longterm "Project" and follows the speed of the whole european integration process.

3b. Please elaborate. |

#	Response
1.	The opinion of the AT governmental offices is between positive and neutral. The responsible ministries aim at exploring ways for alignment beneficial to our research system. However, the participation in Alignment activities on a program and call basis, as they are currently supported by H2020, depends on the existence of national priorities, programmes and dedicated budgets. If possible and related national priorities and programs exist we aim at alignment via ERA-Nets, JPIs, Art 185, Art 187, etc.
2.	Although the concept of 'alignment' may not be as pervasively known to national government offices, MCST's suspicion is that the position would be very similar to that held by it as the Agency responsible for research and innovation policy.
3.	Well aware this is the future of international science and technology cooperation.
4.	The above mentioned Strategy for research and innovation cooperation with the EU, launched by the government in 2014 is a sign of the importance of international collaboration
5.	Comments above apply here as well.
6.	The concept as such is appreciated. However, it may be difficult to see the role of JPIs in complex landscape of numerous collaborative initiatives. The financial situation does not help either.
7.	The desirable level of alignment on the EU level is not always easy to achieve due to different

	national funding mechanisms.
8.	With the exception of some persons in some specific organizations, European alignment in the form of JPIs is not yet a major mechanism. ERANETS, mechanisms for Intergovernmental alignment (such as COST and Eureka) and article 185 initiatives however are well embedded.
9.	We are still in a very preliminary stage to have a reasoned opinion. Spanish participation could be increased if JPIs and other JP activities would follow more homogeneous or at least harmonized management procedures and if decisions on new initiatives would rely on a high level body.
10.	same as above
11.	With the decrease in national budget dedicated to national calls, there is a political will, within the Ministry of Research, to be involved in transnational activities of JPIs. It is less clear for other ministries whose involvement is very limited.
12.	Positive about the need and the ambition, negative about the state of affairs and the possibilities to adapt at system level.
13.	We prominently anchored alignment within our national ERA-Strategy: "Strengthening the structural impact of the Joint Programming Initiatives (JPIs): In particular, this measure includes designing and implementing 'bivalent' programmes, i.e. when BMBF funding programmes are being planned, wherever possible and appropriate a European component is also to be developed that is geared in terms of content to the strategic research agendas agreed within the context of JPIs". Hence, stronger alignment is a task for the Research parts of the federal government.

4. Please give examples of national initiatives to promote alignment. |

#	Response
1.	RIS 3 and its action plan
2.	1) We are currently working on an Austrian policy-position towards Alignment. 2) We have some clear national priorities and programs as a prerequisite for Alignment. 3) We have, for our national research programs, developed a standard set of funding rules that are used across all research programs. This can be beneficial for European Alignment. 4) We currently prepare an initiative to incentivise and support the setting up of national networking platforms in areas of societal challenges as a form of national alignment. 5. We foster the development of strategies for internationalisation for our universities which shall including their active participation in the ERA.
3.	MCST will endeavour to use opportunities for transnational collaboration to achieve the goals set out in the National Strategy for Research and Innovation 2020, which incorporates Malta's smart specialisation strategy. As an example, Health with a focus on active ageing as well as maritime services and aquaculture have been identified as smart specialisation areas for Malta. The strategy to focus primarily on JPI Oceans and JPND has been based, to a large extent, on this specialisation approach.
4.	The UK has a national Science and Innovation Strategy.

5.	none
6.	We participate in all the 10 JPIs and the SET plan, with stakeholders advisory groups of Norwegian experts in the field. The national programmes in our RFO has to see our national SRA in an international perspective ('labour division' between national : international research programmes)
7.	As has already been mentioned, in addition to institutional funding, the available budget for RTDI activities in Greece during the last 20 years, mainly comes from the structural funds and the availability of purely national RTD budget is constantly extremely low. As a consequence, policy-related prioritization is basically based on cohesion considerations and RIS3 priorities as well as on the development of a national strategy/roadmap for Research Infrastructures. Both of them are ex ante conditionalities for the use of ERDF funds and are linking our country's strategic goals/investment priorities to the overall aims of the Europe 2020 strategy. In this context, priorities and funding concerning societal challenges are taken into account and incorporated into the national strategy for the current ESIF programming period but are also subject to the restrictions that the above mentioned framework suggests.
8.	- Funding allocated on joint calls. - The JPI topics have provided ideas and content on national initiatives/proposals for new research programmes and vice versa - Strategic discussions by national "Support Groups" within a specific JPI theme
9.	There is a growing need for coordination between several ministries. This is usually realised on need basis. Recently, the Ministry of Education, Youth and Sports and the Ministry of Agriculture have reached an agreement on cooperation within JPI FACCE.
10.	N.a.
11.	National sectoral research programmes (or RD strategies) have been analysed in regard to compatibility with JPI SR(I)A-s.
12.	The National Funding Agency can adapt its regulations to the Structural Funds regulations or the Framework Programmes regulations to facilitate the national participation in some initiatives or instruments and sometimes use the mechanism of Lead Agency, which also indirectly promote alignment.
13.	MINECO is adjusting its rules and procedures of management of national competitive public calls following the H2020 model (application forms, eligibility of concepts that can be subsidized, criteria of evaluation, etc). WE believe a unique model (a well known and success model) would foster interoperability between agencies and projects and consequently the coherence of the whole ERA.
14.	The National Programme for Research (PNR) assumes the 'major societal challenges' recognised at European level as elements which must orientate the national priorities, although preserving some flexibility for genuinely national priorities (e.g. the Mediterranean Sea for IT)
15.	The Danish Agency for Science, Technology and Innovation has in 2013 published a report with an overview of all co-financed instruments under Horizon 2020 supplemented by a list of the present Danish participation. The report was prepared as an instrument for the funding agencies' allocation of funding to Danish participation in international cooperation. However, it

	is the opinion of the funding Agency that improvements are required in order to reduce red tape in JPIs and ERA-Nets.
16.	Mirror Groups for JPIs with relevant stakeholders to promote alignment at the national level
17.	The Nordic countries collaborate on alignment in the areas of ethical reviews and PhD education International research infrastructures of all kinds are as such aligned in terms of legal set-up and roles for allocation
18.	NWO (also through Science Europe. The National Science Agenda is an attempt with the limited possibilities that are there.
19.	We will have a dedicated subprogramme for JPIs (all projects selected for funding will be included and it itself is an evidence for alignment).Under Research Frontier programme we proposed top -down approach topics from different SRIAs for the purpose of alignment.

5. Please name examples of bilateral or transnational collaborations with a direct or indirect aim to address alignment. |

#	Response
1.	Austria participates in a large number of ERA-Nets and other partnering initiatives such as ESFRI Projects, 185 and 187 initiatives etc. and is the coordinator of some of these transnational collaboration initiatives. An example for collaboration external to the Framework Programm is the collaboration with Germany in Security Research (Joint call, each country funds its own Researchers).
2.	Given that the Euro-Mediterranean Region is of particular significance to Malta, MCST has become engaged in initiatives that promote R&I initiatives in the region, e.g. ERANET-MED and ARIMNET II. Both of these public-public partnerships enable the alignment of National R&I activities in areas that are of strategic importance to Malta.
3.	There are other alignment collaborations in he fields of dementia and anti-microbial drug resistance under the of the G7 research ministers and groups like Belmont forum for climate change.
4.	Involvement in some Art.185 and ERA-NET Co-fund schemes.
5.	Participation in ERA-net Cofunds (H2020). Participation in joint calls and activities in the Belmont forum Participation in NORDFORSK
6.	One recent example is the participation in COFASP ERANET (alignment with JPI Oceans).
7.	Preparation of Strategic Research Agenda ERA-NETs Knowledge hubs Mapping exercises "Proof of Concept" calls Best practise workshops Working groups
8.	Currently there are no bilateral or transnational collaborations with a direct or indirect aim to address alignment.
9.	a.The upcoming ERA-net on Geological Services b.Vanguard Initiative c.Specific agreements with the Netherlands and North Rhein Westfalen d.Some Interreg projects
10.	Sectoral research programmes must involve corresponding international research activities in

	addition to national ones. Alignment is currently in the initial phase and sectoral RD programmes will be launched in the end of 2015.
11.	Portugal is involved in some ERA-NETs, INCO-NETs, JPIs, JTIs and four initiatives of the Article 185 of the TFUE, that direct or indirectly address alignment.
12.	All the initiatives arising from the JPIs (joint calls in the first phases, from now onwards, we hope, ERA-NETs) SHOULD directly aim to address alignment. Two major initiatives having a direct aim to address alignment and in which IT is deeply involved are the BLUEMED initiative and the Art. 185 PRIMA
13.	Many bilateral or transnational calls between ANR and other funding agencies (Germany and other countries, ERA-NETs...)
14.	The Nordic joint research council are instrumental in aligning Nordic PhD education, doctoral Courses, organisation of registers etc
15.	Science Europe The work packages of some of the JPIs This is also a regular subject of the regular meetings in the NL, described earlier in this survey.
16.	The Eurostars 2 Programme
17.	ERA NET COFUNDS for different JPIs where RO participate.

Governance of the national JPI process

Mission

The implementation group for alignment and improved interoperability, IG2, was given the task to “develop strategies, instruments and methods to boost alignment from both the JPI and the MS side with input from JPIs, MS, the EC and other stakeholders”. This deliverable focuses on objectives for national governance. The presence of a formalised national process for joint programming supports participation in these programmes and essential for alignment of instruments and processes between member states¹. Needless to say, this represents only a fraction of the mission-at-hand.

Process

IG2 consists of representatives from nine GPC member countries: Austria, Denmark, Estonia, Germany, Italy, Norway, Portugal, Spain, and Sweden. The 13 members have worked in close collaboration with the GPC vice-chair, as well as with representatives of the related ERA-LEARN initiative². The group has so far been active for nine months since February 2015, and has held six face-to-face meetings in that time, with a seventh scheduled for early December in Lund, Sweden, in conjunction with the Lund Revisited conference.

The work of the group is based on the GPC alignment working group report from 2014. In this report several experiences and recommendations for alignment at the JPI level are found. It also points to a lack of awareness and activities from the side of the member states, ie the governance for JPI. Thus the IG2 has in 2015 worked to build on these experiences and has in particular had a focus on the governance from the side of the member states. The IG2 group has collected additional input form the member states and the JPI to supplement what already can be found in the 2014 GPC Alignment report.

A mapping of national alignment and JPI procedures was performed by means of an online survey for all GPC members. This yielded a set of highly informative input from 22 countries. Replies to a handful of the included questions were of particular importance for the results presented in this document.

The mapping exercise also pointed to a number of national JPI policy and reporting guidelines documents from Belgium, Cyprus, Estonia, France, Germany, Norway and Spain. These were collected, thoroughly analysed and discussed. This provided additional valuable input to the formation of objectives for national governance, as well as for the broader IG2 mission. The three main general conclusions were the importance of:

- High level of national commitment
- Overarching inclusive national strategy

¹ Both member states and associated countries are referred to as member states throughout the document.

² ERA-LEARN is a support action (CSA) funded by Horizon 2020, as a support platform for the Public-Public-Partnerships (P2P) community. One initiative of ERA-LEARN is mapping of activities that promote alignment, eg the JPIs.

- Using the national budget as an instrument

In addition, IG2 is looking at previous GPC-meeting presentations of individual countries explaining their national system.

Introduction and reasoning

Alignment is crucial for realizing ERA and for better utilizing available resources. However, European alignment is a complex matter that is greatly complicated by the different member states' different research systems. Europe suffers from insufficient alignment both within the national research systems and between the systems of the member states. Individual member states are encouraged to step up their JPI governance, communication channels and strategies in order to achieve better conditions for transnational collaboration and more efficient use of Europe's common resources. This document provides a suggested general framework and incentives for accomplishing this.

The European alignment process involves a number of players, the main ones being national governments and funding agencies, the European Commission, multinational collaborations, stakeholder groups and of course the research community. Players specifically dealing with alignment include European thematic collaborations like JTIs, Article 185's, ERA-Nets and not least JPIs. Others work with alignment on a broader scale, like ERA-LEARN that among other initiatives are mapping and describing JPI activities that promote alignment.

A difference between JPIs and most collaborative EU instruments is that the initiatives are initiated and driven by the member states and not organisations. This means that JPIs are governed from a ministry level.

This document aims to work towards a common policy/common guidelines for best practise for national JPI governance. The aim is not to state how the national alignment should be achieved, but rather to describe the goal and find good arguments for the work towards efficiency and better alignment of tools and processes. Every country will have its own way to accomplish this.

Framework conditions for an effective national governance

One of the main objectives of national alignment is to have structured communication channels for exchange of experiences and raising issues all the way from the national JPI representatives via national communication networks to the GPC via the GPC representative. This demands the creation and maintenance of the necessary forums. The national governments are responsible for achieving this. A great deal can be learned from the JPIs and other international collaborations about the requirements and experienced best practices for such forums.

Based on such prerequisites the recommendations for further alignment are:

For the roles and responsibilities in the national JPI process

Concern of the government:

- commitment to the joint programming process in the context of ERA
- national governance of the JPI process
- financial support and steering
- priority setting for JPI involvement
- result assessment
- active participation in GPC
- appoint appropriate level representatives to JPI management boards
- interact and coordinate with the European Commission and the research framework program
- the national JPI engagement should be an integrated part of the national research system

Support to the government from the national JPI representatives:

- sharing best practice, continuous updates
- highlight benefits for society
- involving various stakeholders
- maintaining a continuous dialogue with the research community, industry and public sector
- annual reporting from each JPI is recommended/example of best practice
- sharing ways to overcome obstacles
- identifying obstacles that cannot be solved at the individual JPI level

For the communication between the government and the JPIs

- A member state should address the following issues: The national JPI governance structure should facilitate coordination at all levels: at ministry level, at research funding agency level, and at the research performer organisation level
- All relevant ministries have the joint responsibility to process shared experiences and formulate a common national policy for the JPIs
- All national parties of the JPIs are advised to set up a group for communication of common interests
- JPIs are of cross-sectorial nature and benefit from inter-ministerial advisory groups/interministerial dialogue including a ministerial contact point
- A national working group with representation from ministries as well as JPIs should exchange experiences which would then constitute the basis for policy making

The GPC representative(s) should participate in/drive the national JPI governance coordination

Summary of the IG2 analysis of seven national JPI policies or reporting guidelines

The GPC implementation group on alignment and improved interoperability (IG2) performed a mapping of GPC member country alignment in the summer of 2015. A survey was distributed to all GPC members and 22 countries submitted their replies.

During this mapping, 7 countries (BE, CY, EE, ES, DE, FR, NO) mentioned the existence of national “Overarching governmental policy for JPI activities” or “Common national guidelines for reporting and evaluation of JPIs”. These policies and guidelines varied in size, format and scope, but as they were all related to national participation in P2P initiatives, the analysis and discussion by IG2 led to the identification of a number of common characteristics between them.

Most documents under analysis explicitly acknowledge the importance of stimulating the international collaboration in their national research and innovation system. This is justified by the relatively small size of their national system, by the recognition of the existence of European Added Value in the research and innovation areas, or by a combination of both. In some cases, this acknowledgement takes the form of monetary incentives for institutions to engage in the development and implementation of international cooperation strategies, fostering their participation in European collaborative instruments.

The existence of a broader national strategy that frames the national participation in European P2P instruments is commonly mentioned. It can take the form of a dedicated strategy for the ERA, the use of the national Smart Specialization Strategy as a guideline, or of similar national, overarching strategies. Nevertheless, there are differences in the way these national strategies were devised, and in the way they are articulated with European strategies in the same areas. Some countries mention that the national strategies were developed taking into account the national research and innovation system, its strengths, needs and goals, and then went to look for convergence points with the existing European strategies or agendas. Other countries mention that the European strategies and agendas influenced and helped shape their national strategies, and were thus taken into account during, and not only after, the process of creating a national strategy. These two possibilities are also reflected in the implementation of those national strategies, through dedicated programs or funding instruments – the countries choose either to create a programme or instrument that embeds and stimulates the European collaboration, or choose to participate only in the European collaborative instruments that are compatible and aligned with the instruments already created at national level.

In this regard, the acknowledgement of the importance of internationalization, and of the added value of European P2P collaboration, may also entail the need to make national regulations, budgets and procedures compatible with those collaborative instruments. The fact that all these countries already have successful participations in these instruments demonstrates that they were able to make their systems interoperable – even though that may not mean a highly efficient collaborative procedure. There are a number of countries that maintain their national procedures running in parallel to the ones devised for the collaborative instruments, and others that adapt their national procedures – to a varying degree – in order to further simplify and reinforce the legitimacy of the procedures defined within the collaborative instrument.

Another important aspect of the documents submitted by the countries is the way the participation in collaborative European initiatives is politically coordinated at national level. Even though there are many different models of coordination, in most cases there is the involvement of more than one Ministry, region, or governmental institution, even if one of them takes the leading role. Therefore, the political and strategic decisions regarding national participation in P2P European collaborations in science and technology take into account the views of different areas of policy, even if the funding responsibility is not shared in the same way. A limited number of countries have an actual inter-ministerial coordination strategy, involving several ministries in the decision and funding of P2P initiatives dedicated to European collaboration. In these cases, the ministry responsible for the area at national level is also expected to give a relevant input to the national participation in the European collaborative instrument. When several ministries are involved, there is normally a national entity – a research council, a national funding agency – that has a pivotal role in coordinating and stimulating the inputs from the different political actors, and also on providing feedback from the instruments back to the national policy-makers.
