



EUROPEAN COMMISSION
DIRECTORATE-GENERAL FOR RESEARCH & INNOVATION

Directorate B - Innovation Union and European Research Area
B.2 - ERA policy

2014 ERA Survey of Research Funding Organisations

Fields marked with * are mandatory.

FOREWORD TO THE SURVEY

The reinforced European Research Area Partnership aims at achieving free circulation of researchers, knowledge and technology. It seeks to optimise Europe's public research systems which are an essential condition to remain competitive globally. It also promotes growth and job creation and improves the quality of life in Europe.

The 2014 edition of the ERA Survey aims at assessing whether the efforts deployed so far are sufficient to meet the ERA objectives.

This simplified survey is made up of several sections, which will require that you collect information from different services within your organisation. Therefore, it is advisable to:

- Download the questionnaire (according to the profile of your organisation) in PDF format from the right hand panel of this page;
- Distribute the questionnaire to the different services concerned; and,
- Fill in the questionnaire online once all the answers have been collected.

Please note that the system automatically disconnects the user after 60 minutes of inactivity.

Please also note that:

- Most questions are mandatory however you can choose 'not applicable' (i.e. if a question is not relevant to your organisation) or not known;
- Some questions require the respondent to provide numbers and percentages. When the figures are not known, please leave the box empty;
- A glossary with the key terms is available [here](#);
- You should click the 'SUBMIT' button only after you have answered all the questions. You can save a PDF file with your answers.

The consultation will run until **21 March 2014**.

The identification number sent to you with the invitation will only be used to keep track of the questionnaires as they are filled in. The results of the survey will be used in summary form only, to protect confidentiality. In no circumstance will collected data be used to report back at an organisational level. All data collected as part of this survey will be recorded in a secured and protected database hosted by the European Commission, the operation of which abides by [Regulation \(EC\) 45/2001](#).

The results will be made available on the dedicated [European Commission Website](#). The results at EU level of the 2012 ERA Survey are available in the [2013 ERA Fact and Figures](#).

The survey will be managed by an external contractor (ICF GHK) on behalf of the Commission. Please send any queries to the following email address: RTD-ERA-SURVEY-2014@ghkint.com.

The European Commission would like to thank you in advance for participating in this survey.

A. INTRODUCTION

1. Please enter the code provided in the invitation email*

If you have not received an invitation to participate in the survey but you would like to participate, please contact:

RTD-ERA-SURVEY-2014@ghkint.com

2. Please select the country in which your organisation is based*

- | | | | | |
|--------------------------------------|---------------------------------|--------------------------------------|--------------------------------|-----------------------------------|
| <input type="radio"/> Austria | <input type="radio"/> Belgium | <input type="radio"/> Bulgaria | <input type="radio"/> Croatia | <input type="radio"/> Cyprus |
| <input type="radio"/> Czech Republic | <input type="radio"/> Denmark | <input type="radio"/> Estonia | <input type="radio"/> Finland | <input type="radio"/> France |
| <input type="radio"/> Germany | <input type="radio"/> Greece | <input type="radio"/> Hungary | <input type="radio"/> Ireland | <input type="radio"/> Italy |
| <input type="radio"/> Latvia | <input type="radio"/> Lithuania | <input type="radio"/> Luxembourg | <input type="radio"/> Malta | <input type="radio"/> Netherlands |
| <input type="radio"/> Poland | <input type="radio"/> Portugal | <input type="radio"/> Romania | <input type="radio"/> Slovakia | <input type="radio"/> Slovenia |
| <input type="radio"/> Spain | <input type="radio"/> Sweden | <input type="radio"/> United Kingdom | <input type="radio"/> Other | |

If other, please specify:

3. Name of the organisation (local language)

4. Name of the organisation (in English)*

5. Please provide the national identification number of your organisation

The national identification number is a unique number allocated to organisations or individuals for the purposes of work, taxation, government benefits, health care, and other government-related functions. The equivalent of the national identification number for private organisations is the value added tax identification number.

6. Please enter the official e-mail address of your organisation*

Please enter your full email address in the field below.

7. Please enter the website of your organisation

8. Is your organisation an international organisation?*

An international organisation arises from an association of states. It is established on the basis of a treaty or similar act and has an international legal personality distinct from that of its Member States. It has an international membership, scope, or presence.

- ☐ Yes
- ☐ No

9. Please indicate the legal status of your organisation*

The legal status is the relative positions or standing of an organisation in the eyes of the law.

Organisation under private law with public mission: refers to a public sector body or a legal entity governed by private law with a public service mission.

Private organisation without a public mission: firm or company in the private (non-public) sector of an economy, whose main aim is to generate profit, which is controlled and operated by private individuals (and not by civil servants or government-employees) and which is not accountable to governmental organisations (Source: BusinessDictionary).

- ☐ Public organisation
- ☐ Organisation under private law with public mission
- ☐ Private organisation without a public mission

10. Did your organisation implement any of the following activities in 2013? Please tick as appropriate*

- ☐ Funding research or allocating research funding (at national and/or regional level)
- ☐ Funding and performing research
- ☐ Performing research (the research may be performed continuously - i.e., with permanent research staff, or occasionally - i.e., only as needed)
- ☐ None of these

This survey is for Research Funding Organisations only. As your organisation performs research please go to the Research Performing Organisations questionnaire available [here](#).

11. Please specify the degree of autonomy of your organisation:*

Autonomous organisation: an organisation is considered autonomous or semi-autonomous if the organisation can make its own decisions with regard to resource allocation and spending, activities to be carried out, human resources and management issues, etc.

Non-autonomous organisations include for instance research units or university departments in organisations where most important decisions are made centrally

- ☐ Fully autonomous organisation
- ☐ Semi-autonomous organisation
- ☐ Non-autonomous organisation

Regarding decision-making, is your organisation **autonomous or semi-autonomous** in the allocation of resources in the following areas?

Tick as appropriate.

	Yes, my organisation is autonomous or semi-autonomous
Definition of research priorities	<input type="radio"/>
Allocation of research funding	<input type="radio"/>
Support to transnational cooperation activities	<input type="radio"/>
Support of gender issues	<input type="radio"/>
Support to knowledge transfer	<input type="radio"/>
Support to digital research services	<input type="radio"/>

CONTACT DETAILS

You have indicated that your organisation is not autonomous. If your organisation is part of an over-arching organisation, please note that only the response from the over-arching organisation is expected. The over-arching organisation should contact the 2014 ERA Survey helpdesk (RTD-ERA-SURVEY-2014@ghkint.com) to get a new code in order to respond to the survey.

For our own records, please specify the name, email address, website and contact person of the overarching organisation you are part of.

	<i>Please complete</i>
Name of the organisation:	
Website of the organisation:	
Email address:	
Name of contact person:	

You have indicated that your organisation is semi-autonomous. In order to better process your answers and avoid double-counting, please specify the name, email address, website and contact person of the overarching organisation you are part of.

	<i>Please complete</i>
Name of the organisation:	
Website of the organisation:	
Email address:	
Name of contact person:	

Please provide the name, email address and position of the person responsible for answering this questionnaire

*

The person responsible is the person coordinating the organisation's answer to the questionnaire.

	<i>Please complete</i>
Name:	
Email address:	
Position:	

Thank you for participating.

This questionnaire addresses only autonomous research funding organisations which are public or have a public mission. Nevertheless, your organisation may want to specify potential actions at national level which could lead to the improvement in the functioning of the European Research Area. Please describe the potential actions in the box below.

350 character(s) maximum

B. INFORMATION ABOUT YOUR ORGANISATION

12. What was the overall research and development budget of your organisation in 2013?*

The research and development budget is the estimation of the total amount of funds (or revenue and expenses) handled by the organisation for the purpose of funding research and development activities.

13. Please indicate the currency of the amount listed in the previous question*

- | | | | | |
|-------------------------------------|--|------------------------------------|--------------------------------------|--|
| <input type="radio"/> Euro | <input type="radio"/> Bulgarian lev | <input type="radio"/> Czech koruna | <input type="radio"/> Danish krone | <input type="radio"/> Hungarian forint |
| <input type="radio"/> Latvian lats | <input type="radio"/> Lithuanian litas | <input type="radio"/> Polish zloty | <input type="radio"/> Pound sterling | <input type="radio"/> Romanian leu |
| <input type="radio"/> Swedish krona | <input type="radio"/> Other | | | |

14. In 2013, did your organisation allocate any of your overall research and development budget to:*

The research and development budget is the estimation of the total amount of funds (or revenue and expenses) handled by the organisation for the purpose of funding research and development activities.

Basic (fundamental) research: basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of underlying foundations of phenomena and observable facts, without any particular application or use in view (Source: OECD, 2002).

Applied research (applied research is an original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific practical aim or objective (Source: OECD, 2002).

Innovation: technological product and process (TPP) innovations comprise of implemented technologically new products and processes and significant technological improvements in products and processes. A TPP innovation has been implemented if it has been introduced on the market (product innovation) or used within a production process (process innovation). TPP innovations involve a series of scientific, technological, organisational, financial and commercial activities (Source: OECD, 2005).

Please tick all that apply.

- ☐ Basic (fundamental) research
- ☐ Applied research
- ☐ Innovation

The combined total percentage cannot exceed 100%

What was the approximate percentage of your overall research and development budget allocated to **basic (fundamental) research**?

at most 100

What was the approximate percentage of your overall research and development budget allocated to **applied research**?

at most 100

What was the approximate percentage of your overall research and development budget allocated to **innovation**?

at most 100

15. What is (are) the sector(s) of activity funded by your organisation?*

- ☐ Agricultural sciences
- ☐ Engineering and technology
- ☐ Humanities
- ☐ Medical and health sciences
- ☐ Natural sciences
- ☐ Social sciences
- ☐ Other

If other, please specify:

C. RESEARCH FUNDING SYSTEM

This section includes questions related to the different modes of allocating research and development funding such as institutional, project-based funding and the use of peer review. You are invited to specify how funding is typically allocated by your organisation.

16. In 2013, did your organisation allocate any of your overall research and development budget to:*

Project-based funding: attributed on the basis of a project submission by a group or individuals for an R&D activity that is limited in scope, budget and time (Source: OECD, 2011).

Institutional funding: general funding of institutions with no direct selection of R&D project or programmes. There are various formulae for the allocation of institutional funding that consider to a lower or higher extent the research performance. In some cases, institutional funding includes a quota related to number of staff, students etc. (Source: OECD, 2011).

Please tick all that apply.

- ☐ Project-based funding
- ☐ Institutional funding

The combined total percentage cannot exceed 100%

What was the approximate percentage of your budget allocated to project-based funding?*

at most 100

What was the approximate percentage of your budget allocated to institutional funding?*

at most 100

17. Peer review may be used for allocating research and development funding. Does your organisation base its funding decision on peer reviews when allocating project-based funding?*

Peer review is the evaluation of research proposals by independent external experts and based on transparent and evaluation criteria communicated in advance. Peer review can be based on a group of principles such as excellence, impact, quality and efficiency of the project implementation.

- ☐ Yes
- ☐ No
- ☐ Not known
- ☐ Not applicable

In 2013, what was the approximate percentage of your overall research and development budget allocated to **peer review**?

at most 100

18. Funding agencies may recognise the results of peer reviews carried out by other organisations outside the country. Can your organisation base funding decisions on the results of peer reviews carried out by organisations outside your country and outside the framework of specific bilateral/multilateral agreements?*

- ☐ Yes
- ☐ No
- ☐ Not known
- ☐ Not applicable

In 2013, what was the approximate percentage of your overall research and development budget allocated to **peer review implemented by organisations outside your country**?

at most 100

19. Is the allocation of institutional funding for research and development activities based on the results of assessment or evaluation procedures?*

Assessment or evaluation procedure: evaluation procedure which analyses the entire institution in terms of input, throughput (processes) and output factors. Among the latter, the assessment may include research performance and may be linked to funding allocation. Salaries and other staff costs are not included in the assessment.

- ☐ Yes
- ☐ No
- ☐ Not known
- ☐ Not applicable

In 2013, what was the approximate percentage of your institutional funding allocated based on the results of assessment or evaluation procedures?

at most 100

D. TRANSNATIONAL COOPERATION

This section includes questions related to transnational cooperation activities carried out by your organisation **outside** the framework of the EU Framework Programme, including cooperation with other funders for the purpose of defining joint research agendas.

The EU Framework Programme for Research and Technological Development is the EU's main instrument for funding research in Europe. It provides grants to research actors all over Europe and beyond, in order to co-finance research, technological development and demonstration projects. Grants are determined on the basis of calls for proposals and a peer review process.

20. In 2013, did your organisation dedicate any of your overall research and development budget to the following international cooperation activities:*

Joint research agendas: are annual or multiannual research agendas for a joint programme between EU Member States outside the framework of the EU Framework Programme.

Lead Agency: This procedure foresees that research councils accept the results of the evaluation of international projects done by the 'lead agency' and fund the parts of the project that are being performed in their respective countries (e.g., D-A-CH).

Money-Follows-Cooperation Line: this scheme allows small parts of a project funded by one of the participating research councils to be carried out in a different country (overhead costs are, however, excluded).

Money-Follows-Researcher: this scheme enables researchers moving to a research institution in a different country to transfer on-going grant funding to the new institution and continue research activities according to original terms and objectives.

Collaboration programmes (within the context of international cooperation): programmes whose activities have been agreed on or arranged by the national agency and agencies of one or more third countries aimed at promoting collaboration in research between organisations or individuals from these countries.

EU countries: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

Associate country to the EU Framework Programme (AC): Several countries are associated with the implementation of the EU 7th Framework Programme for Research and Technological Development. These include Albania, Bosnia & Herzegovina, Faroe Islands, Iceland, Israel, Liechtenstein, Former Yugoslav Republic of Macedonia, Moldova, Montenegro, Norway, Serbia, Switzerland and Turkey.

Third countries: countries which are neither Member States nor Associated countries to the Framework Programme.

Please tick all that apply.

- ☐ Joint research agendas with EU countries?
- ☐ Transnational co-operation schemes such as 'LEAD Agency procedure', 'Money follows cooperation', 'Money follows researchers' with EU countries?
- ☐ Transnational co-operation schemes such as 'LEAD Agency procedure', 'Money follows cooperation', 'Money follows researchers' with Third countries (i.e. countries which are neither Member States nor Associated countries to the Framework Programme)?
- ☐ Collaboration programmes with Third countries (i.e. countries which are neither Member States nor Associated countries to the Framework Programme)?

The combined total percentage cannot exceed 100%

In 2013, what was the approximate percentage of your organisation's overall research and development budget dedicated to **joint research agendas with EU countries**?

at most 100

In 2013, what was the approximate percentage of your organisation's overall research and development budget dedicated to **transnational co-operation schemes** such as 'LEAD Agency procedure', 'Money follows cooperation', 'Money follows researchers' **with EU countries**?

at most 100

In 2013, what was the approximate percentage of your organisation's overall research and development budget dedicated to **transnational co-operation schemes** such as 'LEAD Agency procedure', 'Money follows cooperation', 'Money follows researchers' **with Third countries**?

at most 100

Third countries: countries which are not Member States nor Associated countries to the Framework Programme.

In 2013, what was the approximate percentage of your organisation's overall research and development budget dedicated to **collaboration programmes with Third countries**?

at most 100

Third countries: countries which are neither Member States nor Associated countries to the Framework Programme.

E. OPEN LABOUR MARKET FOR RESEARCHERS

This section addresses issues related to researchers' careers, mobility and doctoral training. It seeks to identify whether initiatives such as the European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers or the Principles for Innovative Doctoral Training influence your funding decisions. Your organisation is invited to specify the extent to which it supports these various dimensions when allocating funding to research performing organisations.

21. In 2013, did your organisation support the uptake by recipient organisations of the Charter and Code principles in line with the HR Strategy?*

Support may be provided through incentives, criteria when allocating funding, dedicated funding measures, etc.

The Human Resources Strategy for Researchers (HRS4R) supports research institutions and funding organisations in the implementation of the Charter & Code in their policies and practices.

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers aim at ensuring that the nature of the relationship between researchers and employers or funders is conducive to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers. It outlines a set of general principles and requirements which specifies the roles, responsibilities and entitlements of researchers as well as of employers and/or funders of researchers. The Code of Conduct for the recruitment of researchers consists of a set of general principles and requirements that should be followed by employers and/or funders when appointing or recruiting researchers. The principles are complementary to those in the European Charter for Researchers.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

22. In 2013, did your organisation fund research organisations and/or researchers located outside your country and not belonging to intergovernmental organisations?*

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No, but it would have been possible
- ☐ No, there are barriers
- ☐ Not known
- ☐ Not applicable

If yes, please specify the approximate percentage of your overall research and development budget allocated in 2013 to research organisations and/or researchers located outside your country and not belonging to intergovernmental organisations.

at most 100

At most 100%

23. Concerning grants funded by your organisation in 2013, did your organisation allow their portability abroad?*

Portability of grants: situation in which a researcher who moves to a different country may transfer an on-going grant.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No, but it would have been possible
- ☐ No, there are barriers
- ☐ Not known
- ☐ Not applicable

24. When allocating research and development funding in 2013, did your organisation support the implementation of structured innovative doctoral training programmes?*

Structured innovative doctoral training programmes apply all the principles for innovative doctoral training. The principles include research excellence, attractive institutional environment, interdisciplinary research options, exposure to industry and other relevant employment sectors, international networking, transferable skills training and quality assurance. For further information, please see: [Principles of Innovative Doctoral Training](#)

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

F. GENDER EQUALITY AND GENDER MAINSTREAMING IN RESEARCH

This section includes questions related to your organisation's measures supporting gender equality and mainstreaming in research in your funding activities. Gender equality entails making women's rights equal to men's, and making men's rights equal to women's. Mainstreaming gender in research entails making gender a dimension of research by integrating it as part of research design and process

25. When allocating research and development funding in 2013, did your organisation support gender equality between men and women?*

Gender equality (also known as sex equality or sexual equality) is the goal of equality of genders. Gender equality entails making women's rights equal to men's, and making men's rights equal to women's.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

26. When allocating research and development funding in 2013, did your organisation include the gender dimension in research content?*

The **gender dimension in research content** is making gender a dimension of research by integrating it as part of research design and process. This entails sex and gender analysis being integrated into basic and applied research.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

27. How many research evaluation panels did your organisation set up in 2013?

Research evaluation panels are responsible for the evaluation of research projects and programmes as well as performance at the institutional or individual level. The outcome of the evaluation may be linked to the allocation of research funding and/or other resources.

28. Amongst those, how many panels reached the threshold of 40% of the under-represented sex?

Gender balanced committee/panel: a committee/panel is considered gender balanced when the percentage of members of the under-represented sex is of, at least, 40%. In cases of committees/panels with only three members, these committees are considered 'gender balanced' if they are represented by both sexes.

G. KNOWLEDGE CIRCULATION

Knowledge circulation is of key importance for the development of the European Research Area. This section includes questions related to your organisation's support to access to data and knowledge transfer.

29. When allocating research and development funding in 2013, did your organisation support open access to scientific peer reviewed publications (i.e. online and free access to publications)?*

Peer reviewed scientific publications: original empirical or theoretical piece of work in sciences which are subject to the scrutiny of peers. These peers are experts in the same field. The peer review process takes place before the paper is published in a journal.

Open access to publications: refers to the practice of granting free access to research outputs over the Internet, most notably peer-reviewed publications.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

30. When allocating research and development funding in 2013, did your organisation support open access to research data (i.e. online and free access to data)?*

Research data: data which are collected, observed, or created, for the purpose of analysis to produce original research results.

Open access to data: refers to the practice of granting free access to research outputs over the Internet to research data.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

31. When allocating funding in 2013, did your organisation support the development of knowledge transfer activities?*

Knowledge transfer is the process of transferring the rights to use and exploit knowledge from one source. It is transferred to those in a position to best exploit it in placing new products and services on the market.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

32. When allocating funding in 2013, did your organisation support the development and take-up of digital research services?*

Examples of **digital research services** include scientific repositories, computing services, cloud services (from external provider), scientific software, research collaboration platform, etc.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

33. In 2013, did your organisation support the implementation of 'federated electronic identity' which allows cross-organisational identification?*

Federated electronic identity: federated identity allows researchers to use their own organisation user account when accessing other organisations' digital services.

- ☐ Yes, in half or more of the projects/ programmes
- ☐ Yes, in less than half of the projects/ programmes
- ☐ No
- ☐ Not known
- ☐ Not applicable

34. In 2013, did your organisation allocate any of your overall research and development budget to the development and take-up of the following activities:

Please tick all that apply.

- ☐ Digital research services
- ☐ 'Federated identity'

In 2013, what was the approximate percentage of your organisation's overall research and development budget allocated to **digital research services**?

at most 100

In 2013, what was the approximate percentage of your organisation's overall research and development budget allocated to **'federated identity'**?

at most 100

35. Please specify any other potential actions at national level which could lead to the improvement in the functioning of the European Research Area which are not mentioned in this questionnaire

350 character(s) maximum