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ISTITUTO di RICERCA sulla CRESITA ECONOMICA SOSTENIBILE  
RESEARCH INSTITUTE on SUSTAINABLE ECONOMIC GROWTH

## Exploring JoREP 2.0: features and potential uses in the studies on Europeanisation of research activities

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**THEORETICAL FRAMEWORK BEHIND THE  
JOREP INFRASTRUCTURE**

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# ERA and the goal of integration

- ERA concept focuses on integration
  - Transferring competences and budget to the European level
- Instruments toward integration
  - OMC - policy layer
  - NoE - national research policies
  - EUSFRI - research infrastructures
  - Joint programmes - funding layer



# ERA and the goal of integration

- 50's and 60's      Critical mass (energy, space)
- 70'                  Networking and supranational agencies (COST/ESF/Eureka)
- 00's                  Cooperation in national research funding (ERA-NET/art. 185 EU Treaty/JTI/JPI)
- *Member States should better align national research programmes in order to implement commonly agreed strategic research agendas in the context of joint programming. They should also improve interoperability between national programmes in order to facilitate further cross border research cooperation. (ERA Progress Report, 2013)*



# Joint programming

- ERA countries are free
  - To initiate Joint programmes with other countries
  - To decide whether to participate in existing joint programmes
  - How much budget to allocate to them
- Different patterns of transnational research according to:
  - The size (large countries vs small countries based on the population, the intensity of the GDP per capita and the R&D investment)
  - The presence of specialized actors for certain type of program funding (e.g. research councils or innovation agencies)
  - A national specialization in given research fields/themes
  - Symbolic, signaling motivations

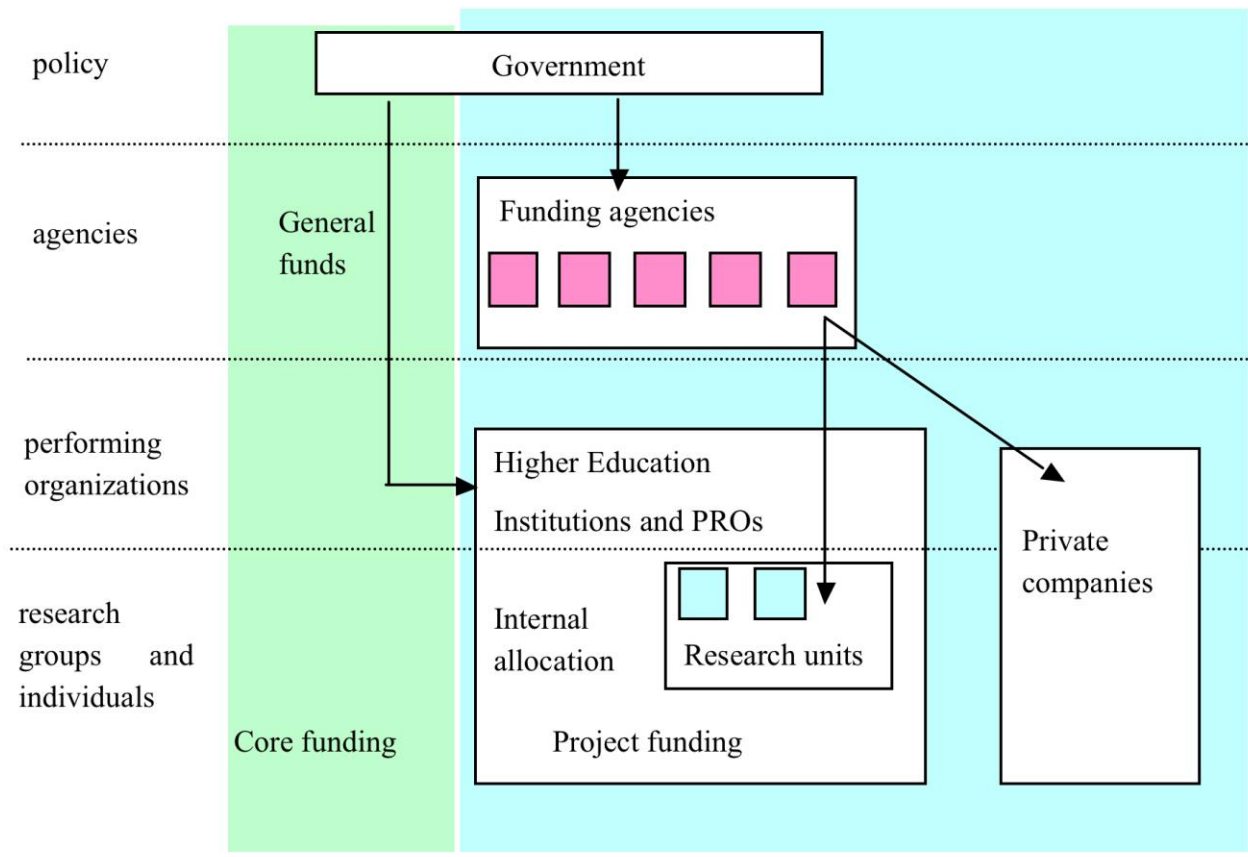


# Conceptual framework

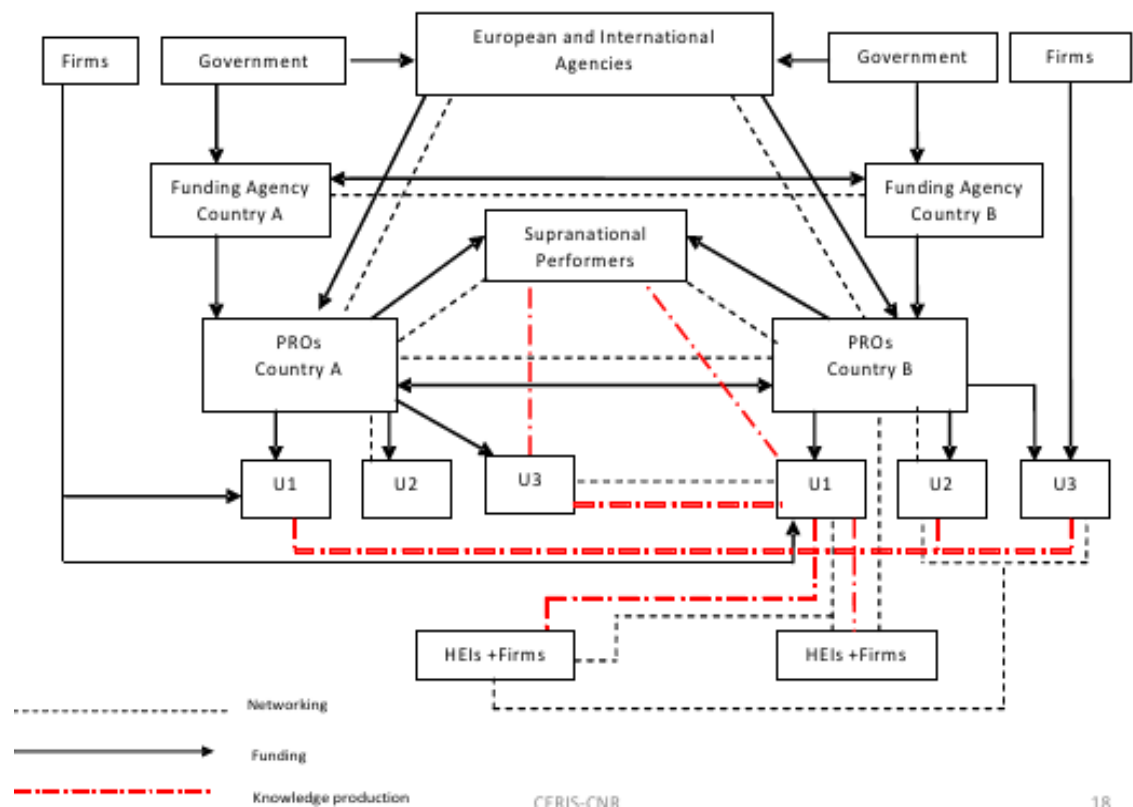
- Research funding systems are based on
  - four layers representing functions in research funding - policy, funding agencies, performing organizations and research groups
  - two main allocation modes, institutional and project funding
- Project funding is characterized by:
  - the organizational separation between funding agency and beneficiary
  - funding is limited in time
  - resources are allocated directly to research groups instead of whole universities or research organizations.
- The main distinctive criterion is not whether the process of allocation is competitive or not



FIGURE 1. A model of public funding systems for research



## A model of European funding system for research



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# Research funding programme

- Organizational setting able to distribute project funding to research groups involving the following functions:
  - An explicit goal and mission statement, including the objectives to be reached.
  - A statement of scientific priorities or perimeter concerned and an expression of the type and mode of research expected, expressed in the call for proposal.
  - A procedure and set of rules for submitting proposals, as well as for their evaluation and selection.
  - A dedicated budget related to the program.
  - The procedures for contract establishment and management, including follow-up and reporting.

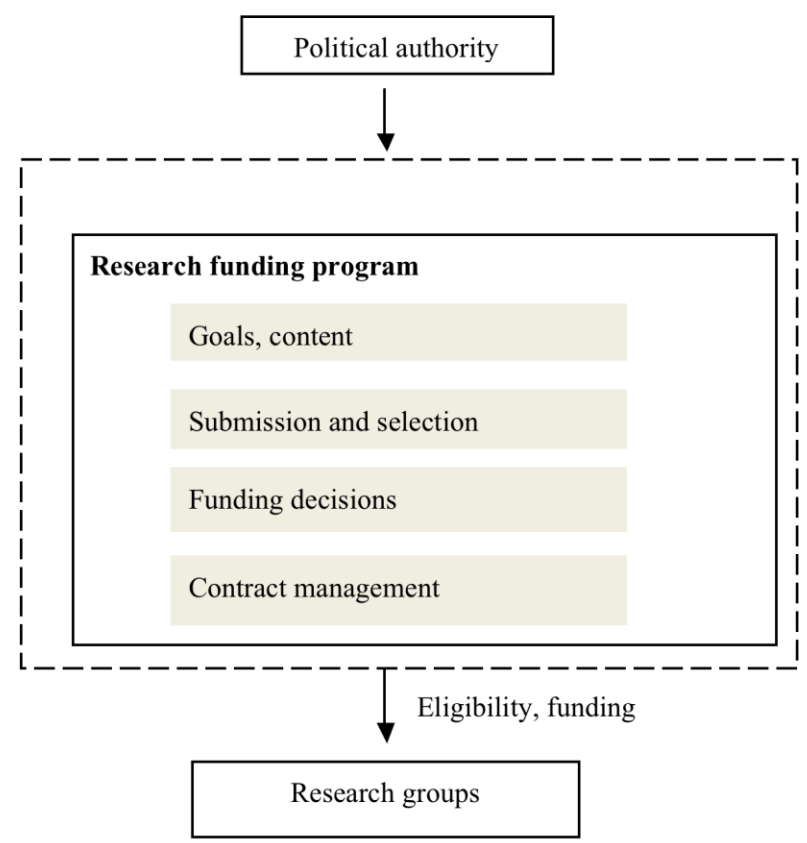


# What is not a research funding programme

- Spot research contracts attributed for specific purposes and without a well-defined framework
- Grants or contracts attributed without an open call for proposal (call internal to one university or research organization is not open)
- Programmes without relationships with the policy layer –the political authority establishing their mission and providing the resources
- Programmes without relationships with the organizational layer, which are eligible for receiving funding



FIGURE 1. Research funding programmes



# Definitions

- **Publicly funded research programmes** are by definition those programmes included in the perimeter of the GBARD
- **Funding agency** is a formal organization which executes at least one the programme functions. A funding agency does not necessarily have its own budget for funding research, even if it assumes functions in programme funding
- Coordinated planning of research infrastructures between European countries is not included in JoREP 2.0 (CERN, ESFRI)



# Definitions

- **National programs** are those for which all program functions are operated by one or more agencies located in the same country and which are related to the national policy strategy (e.g. programs operated by national research councils)
- **European Union programs** are those for which all functions are operated by a European-level funding agency and for which mission and resources are provided solely by the European Union; functionally, they display the same organization as national programs, although covering the whole ERA.



# Definitions

- **Joint programmes** are publicly funded research programmes for which at least one of the programme functions is shared between more than a single country (or by regions belonging to more than one country).
- Programmes funded by the non-profit sector (e.g. charities) are excluded
- Programmes funding innovation are excluded. Checking is related to goals and mission and not to the activities performed



# Perimeter

- JoREP 2.0 perimeter includes programmes which fund research activities and not only travel and coordination costs.
- The possibility to use programme funding to hire/remunerate researchers (including PhD students) is the main criterion for identifying these programmes.
- Programmes directly managed by the European Union and funded only from the European budget are not considered as joint programmes
  - EUFPs and structural funds not included
- National research organizations (Academy of Sciences or CNRS) will be included in JOREP as far as they act as funding agencies for the laboratories



# Perimeter Joint Programmes

- All joint programmes where at least one participating country is situated in the ERA
- A **restricted perimeter** for data, including all programmes which are considered significant in respect to the national and European research policy and/or for the performing organizations
  - Political visibility limited.
  - Level of funding is low (as related to national project funding).
  - Short-term initiative (e.g. only one call)
- Joint programmes managed by regions are included (very significant cases)
- Programmes should be considered separated and disaggregated at the level of the individual initiatives, if, at the programme level, they have a separated budget with dedicated calls





# Cases of exclusion

- INTERREG is directly managed by the European Union and funded only from the European budget are not considered as joint programmes. This would be an argument for leaving it out from the data collection.
- The programme Art. 185 BONUS is excluded as it has not launched any calls yet or in the reference period 2008-2009. BONUS 185 will enter an implementation phase only in 2012.
- EUROCONTROL was excluded in the full data collection after a check of the activities funded. It mainly funds cooperation activities and there is no direct contribution from national states.



# Building a typology

- Typifying a complex and variable set of programmes
- Based on the integration of programmes' functions (mode of integration and submission procedures) and of financial resources
- It allows to distinguish between
  - Integrate programs
  - Coordinate programs
  - Collaborative programs



# Integration of programme functions

- Mode of integration
  - *Agency*= joint activities are managed by a supranational agency
  - *Coordination*= Joint activities are managed through non-permanent structures like joint committees, specifically created for the programme
  - *Delegation*= joint activities are delegated to a national agency of one of the participating country
  - *Independent selection*= joint activities are developed independently and the project is approved only if all the parties decide independently to fund it
- Submission procedure
  - *Single entry point*: submission to a single agency
  - *Parallel submission*: proposal have to be submitted at the same time to two or more agencies



# Funding integration

- *Real common pot* when all financial resources from participating countries are put in a single pot and used for financing the selected projects, independently of the country
- *Real common pot with return rules*, when on the whole of the program some relationship is formally requested between national contributions and funding to national performers.
- *National pot* when financial resources for participating countries are managed separately and devoted to national performers
- *Mixed-mode*, i.e. virtual common pot plus top-up contribution to support best ranked projects.
- *National pot with additional EU contribution* to the whole program.



# Typology of Joint programmes

Integration of the program functions		Integration of the funding resources		Type of program
Integration	Submission	Funding		
<b>Agency</b>	Single-entry point	Real common pot	➤ Integrated program with integration of funding	<b>Integrated programs</b>
<b>Agency</b>	Single-entry point	National pot	➤ Integrated program without integration of funding	
<b>Coordination</b>	Single-entry point	Real common pot	➤ Coordinated program with integration of funding	<b>Coordinated programs</b>
<b>Coordination</b>	Single-entry point	National pot	➤ Coordinated program without integration of funding	
<b>Delegation</b>	Single-entry point	National pot	➤ Collaborative program with delegation	<b>Collaborative programs</b>
<b>Coordination</b>	Parallel	National pot	➤ Collaborative program – parallel program	
<b>Independent</b>	Parallel	National pot	➤ Collaborative program – independent program	



# Summing up

- JoREP is a database built on theoretical assumptions and conceptual framework
- Eurostat data collection on joint programmes
  - Cases of exclusion are now included
  - JPIs and Horizon 2020 joint initiatives
  - From 97 to 133 programmes in 4 years (ESA included)
  - Very different participation between Western and Eastern European countries
- Enlarging the coverage and maintaining descriptors is crucial for policy analysis
- Integrating data on project funding at the performer level

