

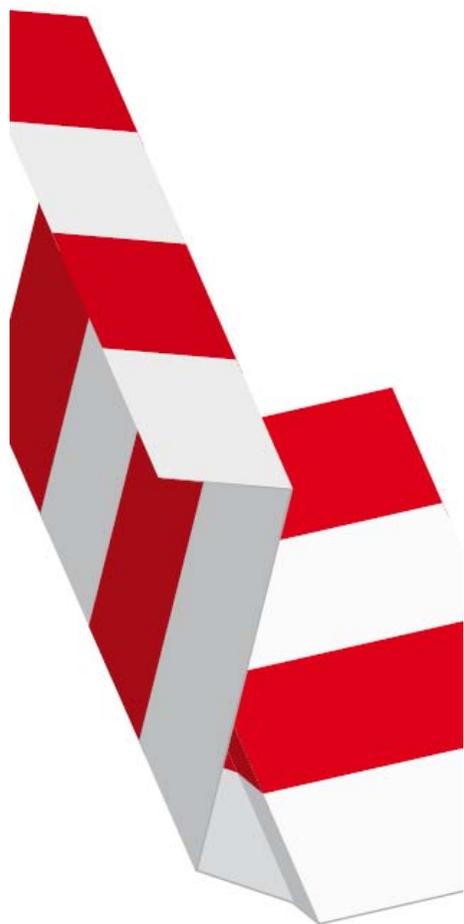


Summary on findings and recommendations
regarding EU-U.S. S&T collaboration

**Fostering International Collaborations in Ocean Sciences
14 September 2011
Brussels**

Elli B. Tzatzanis-Stepanovic

www.EuUsScienceTechnology.eu





Summary on findings and recommendations regarding EU-U.S. S&T collaboration

References:

- No.1. Link2US “Participation Statistics of EU-based Researchers in U.S. National Programmes” (Department of Energy (DOE), Department of Homeland Security (DHS), National Institute of Health (NIH), FY2009), October 2010
- No.2. Link2US “Survey of EU based researchers on Department of Energy (DOE) Grant Funding” (Sample: 5 Higher Education Institutions – 1 Research organisation), June 2011
- No.3. BILAT-USA “Survey and Interview on Communication and Synergies with EU-U.S. programs/initiatives, thematic task forces/working groups, and ERA-Nets” (Sample: 8 project coordinators with U.S. project partners, 2 interviews), December 2010
- No.4. Review of the Science and Technology Cooperation between the European Community and the United States of America (2003 – 2008 Manfred Horvat, Keith A. Harrap)
- No.5. CALAMAR (Cooperation Across the Atlantic for Marine Governance Integration Pilot project) Expert Paper, EU/U.S. Transatlantic Cooperation Working Group, May 2011
- No.6. First Annual project reports of BILAT-USA and Link2US

Background documents:

- ERAC Second Report of Activities of the Strategic Forum for International S&T Cooperation (SFIC), May 2011*
- BILAT-USA “Report on the Analysis of U.S. Participation in the 6th and 7th Framework Programmes” (Database of the European Commission, DG Research and Innovation), December 2010*
- EC Interim Evaluation of the Seventh Framework Programme, Report of the Expert Group, November 2010*
- Vinnova Analysis: Priority-Setting in U.S. Science Policies, November 2009*
- Delegation of the European Union to the USA: Transatlantic Cooperation in the European Seventh Framework Programme for Research & Development A Guide for U.S., December 2009*

No.1. Link2US “Participation Statistics of EU-based Researchers in U.S. National Programmes“

Findings:

Fourteen EU MS received round \$50,000,000 funding from DOE, DHS or NIH (FY2009):

DOE and DHS funded UK, Germany, France and Italy based researchers

NIH (2008 Reciprocity Agreement NIH-EC) awarded in FY2009 the highest number of awards and largest funding total. Researchers from ten other MS (Belgium, Czech Republic, Denmark, Finland, Hungary, Ireland, Netherlands, Poland, Spain, Sweden) received funding from NIH (round \$17,000,000)

Recommendations:

Cross-Atlantic reciprocity of funding and participation might

- Pave the way and promote excellent researchers from all over Europe (not only most research intensive MS) to cooperate with U.S. counterparts
- Strengthen the visibility of S&T of EU MS in the U.S. and vice versa
- Increase the number of coordinated calls in areas of global and mutual strategic interest

No.2. Link2US “Survey of EU based researchers on Department of Energy (DOE) Grant Funding“

Findings:

Main Challenges/hurdles in participation in DoE funding programmes:

- Lack of Administrative support
- Lack of Communication and Information
- Contractual issues and IPR
- Budgeting Requirements

Recommendations:

Cross-Atlantic reciprocity of funding and participation would

- Help to make funding opportunities and eligibility criteria more transparent
- Ease application for funding and accelerate S&T cooperation -> shorter “time to contract”
- Simplify administration (IPR, usual budgeting and reporting requirements)

No.3. BILAT-USA “Survey and Interview on Communication and Synergies with EU-U.S. programs/initiatives, thematic task forces/working groups, and ERA-Nets”

Interview with EURAXESS Links USA programme manager, Izabella Zandberg:

Impediments for EU-U.S. S&T cooperation:

- Lack of equivalent mechanisms of funding for research; on both sides of the Atlantic a similar lack of “harmonization” of funding can be observed in the case of the Marie Curie International Staff Exchange Scheme

Recommendations:

- Negotiate creation of equivalent funding mechanisms in the U.S., so that American research organizations interested in joining a European research program could apply for it in parallel with the European partners applying for the European funding.
- Facilitate the process of identifying potential partner institutions on both sides of the Atlantic (“match-making”).
- Increase information dissemination targeting the U.S. research community, including both researchers and university administrators.

No.3. BILAT-USA “Survey and Interview on Communication and Synergies with EU-U.S. programs/initiatives, thematic task forces/working groups, and ERA-Nets”

Interview with EU-U.S. Task Force on Biotechnology Research leader , Gertrud Matthiessen Guyader:

Barriers for EU-U.S. S&T cooperation:

- Different funding structures, financial conditions and auditing requirements

Recommendations:

- An agreement between the NSF and the EC could improve cooperation, ensuring funding for U.S. partners and extra visibility to the EU-U.S. scientists involved in the joint projects.
- Synchronisation of U.S. and EC funding mechanisms and evaluation processes would improve the framework for EU-U.S. S&T cooperation. Coordinated or joint calls for proposals with clearly defined conditions for submission and funding as well as project management would be welcome by participants.
- Even in projects where U.S. partners were funded, they were not reimbursed for all costs incurred on behalf of the project, costs that are normal and acceptable under U.S. regulations and policies. It would be necessary to align financial rules as far as possible.



No.4. Review of the Science and Technology Cooperation between the European Community and the United States of America (2003 – 2008 Manfred Horvat, Keith A. Harrap)

Main barriers for cooperation:

- Problems of funding the U.S. partners
- Problems of accepting legal agreements (Belgian law)

Recommendations:

- More alignment between EC-FP and U.S. funding schemes and less bureaucracy both in EC and U.S. funding.
- Simplification of participation rules for U.S. institutes in EU projects
- Simplification of project administration (technical and financial reporting).
- Standard formulations for Consortium and Grant Agreements (adjusted to reflect interests, rules and restrictions valid for the U.S. partners)

No.5. CALAMAR Expert Paper, *EU/U.S. Transatlantic Cooperation Working Group*

Findings:

- Science as one key area for enhanced EU-U.S. cooperation in order to improve upon existing scientific capacity through increased coordination and funding of research and knowledge exchange programs. Joint scientific action should include an integrated assessment of the Atlantic. Increase transparency of current scientific initiatives and policy efforts to enhance mutual understanding.

Recommendations:

- Effective integrated policy: fully integrated assessment of coastal and ocean areas, taking into account the current status, trends and expected impacts of different human activities in the Atlantic; Mapping activities already underway can be coordinated to supplement knowledge and strengthen the collaborative process.
- Enhance communication and transparency to increase awareness of maritime policy activities taking place
- Coordinated funding and focus in transatlantic maritime research: All research related activities should be coordinated through DG Research and Innovation and the U.S. National Science Foundation; Consultation for the next Framework Programme and coordination with U.S. counterparts



No.6. Findings and recommendations generated by the BILAT-USA and Link2US projects

Findings:

- Challenging communication and coordination on the one hand with major U.S. federal agencies due to decentralised structure and on the other hand with EC - DGs due to lack of information about the projects and their mission.
- U.S. ranks at the top in terms of Third Country cooperation, representing only 11% of total non-European participation in FP7

Recommendations:

- Increase coordination between U.S. and EC authorities
- Support Transatlantic S&T collaboration (US research teams having high success rates in FP7)
- Make more use of EU-U.S. supporting initiatives/projects which are very positively perceived by the Scientific Community

Contact:

BILAT-USA coordination:

ralf.koenig@ffg.at

BILAT-USA and Link2US project management:

elli.stepanovic@ffg.at



Summary on findings and recommendations regarding EU-U.S. S&T collaboration

**Fostering International Collaborations in Ocean Sciences,
EC-NSF-Member States Meeting
14 September 2011
Brussels**

Elli B. Tzatzanis-Stepanovic

www.EuUsScienceTechnology.eu

