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EUROPEAN UNION
EUROPEAN REGIONAL DEVELOPMENT FUND

Research cooperation in the Baltic Sea Region: existing networks, obstacles and ways forward

Initial findings

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Objectives and progress achieved

The study seeks to answer the following questions:

- **What obstacles and barriers hinder researchers from EE, LV, LT and PL from more intensive research cooperation in BSR and participation in H2020 (and previous FPs)?**
- **What changes in the future generation of FPs would facilitate more active participation by researchers from EE, LV, LT and PL?**

Method	Progress to date
Desk research	90 % done
Statistical analysis of monitoring data	90 % done
Interviews with participants and non-participants	In progress
Case studies on successful networks	In progress
Discussion / input from key stakeholders	Will start in 20 min.
Survey of participants	Will be carried out in April

Structure of the presentation

- 5 stylised facts regarding EU-13 participation in FP7 and H2020
- 8 obstacles to participation (preliminary)
- Web-based discussion on obstacles

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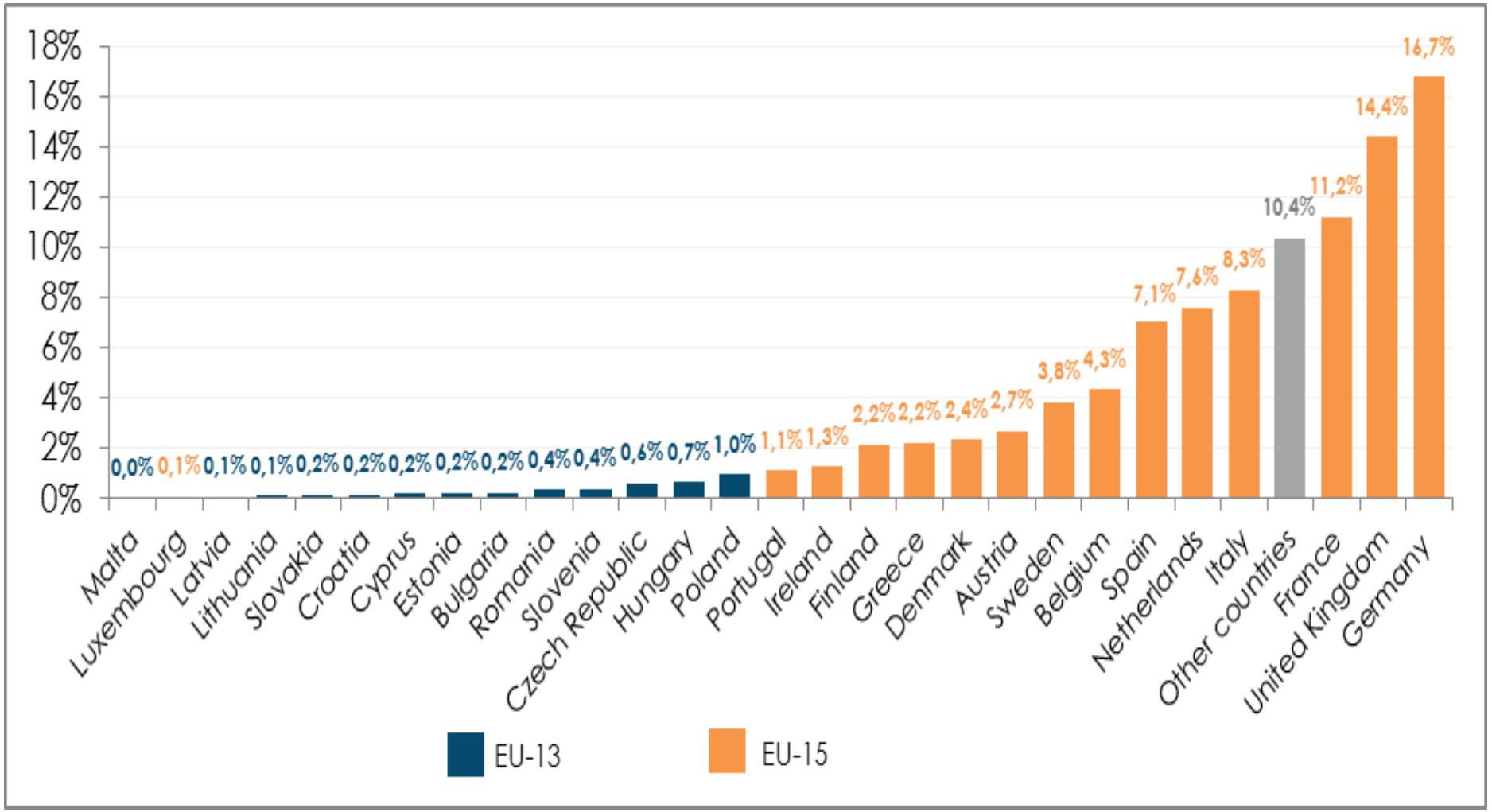
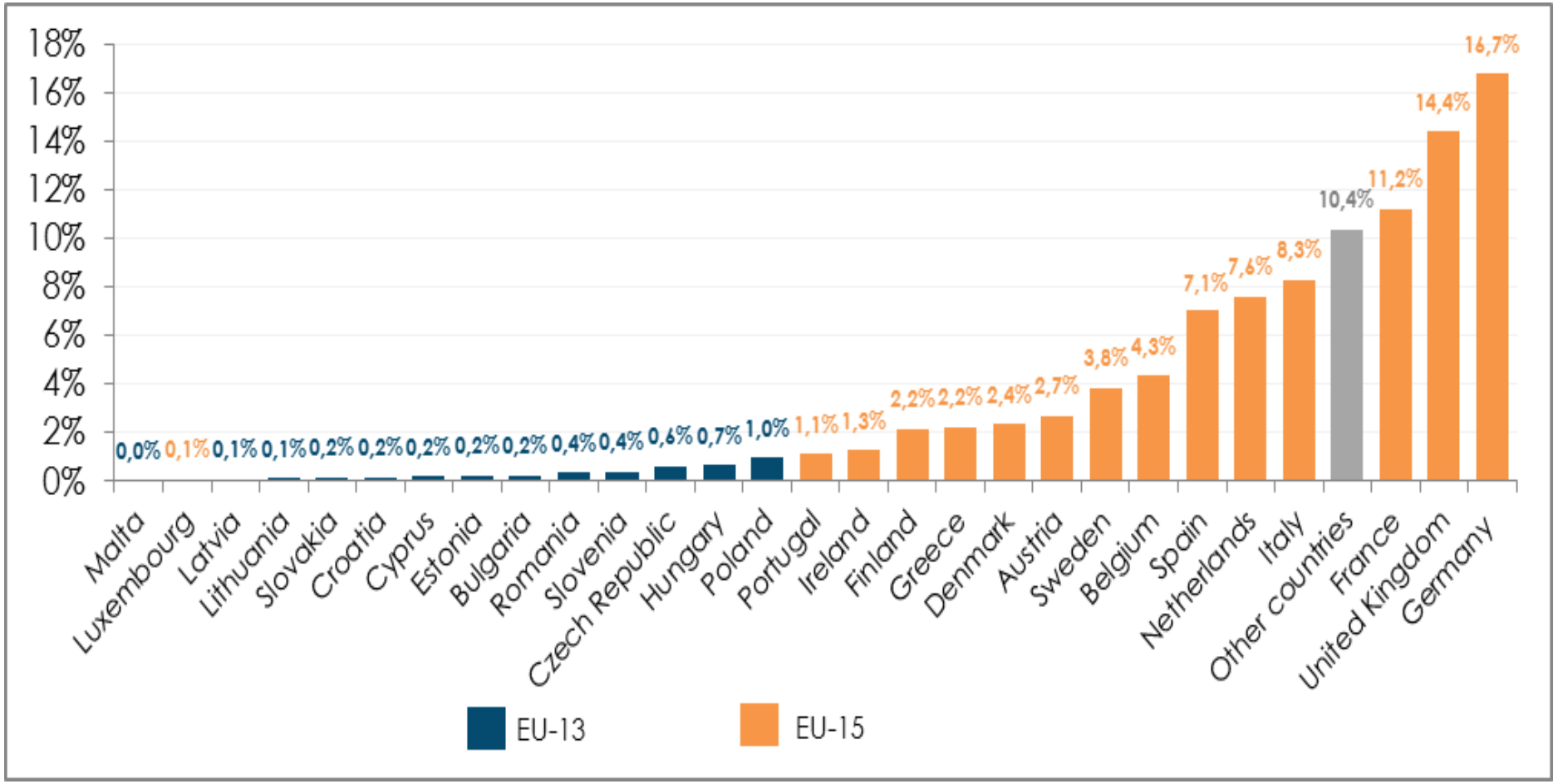
Stylised fact 1: EU-13 receive less than 5 % of funds (1)

Distribution of FP7 funds per country (2007-2013)



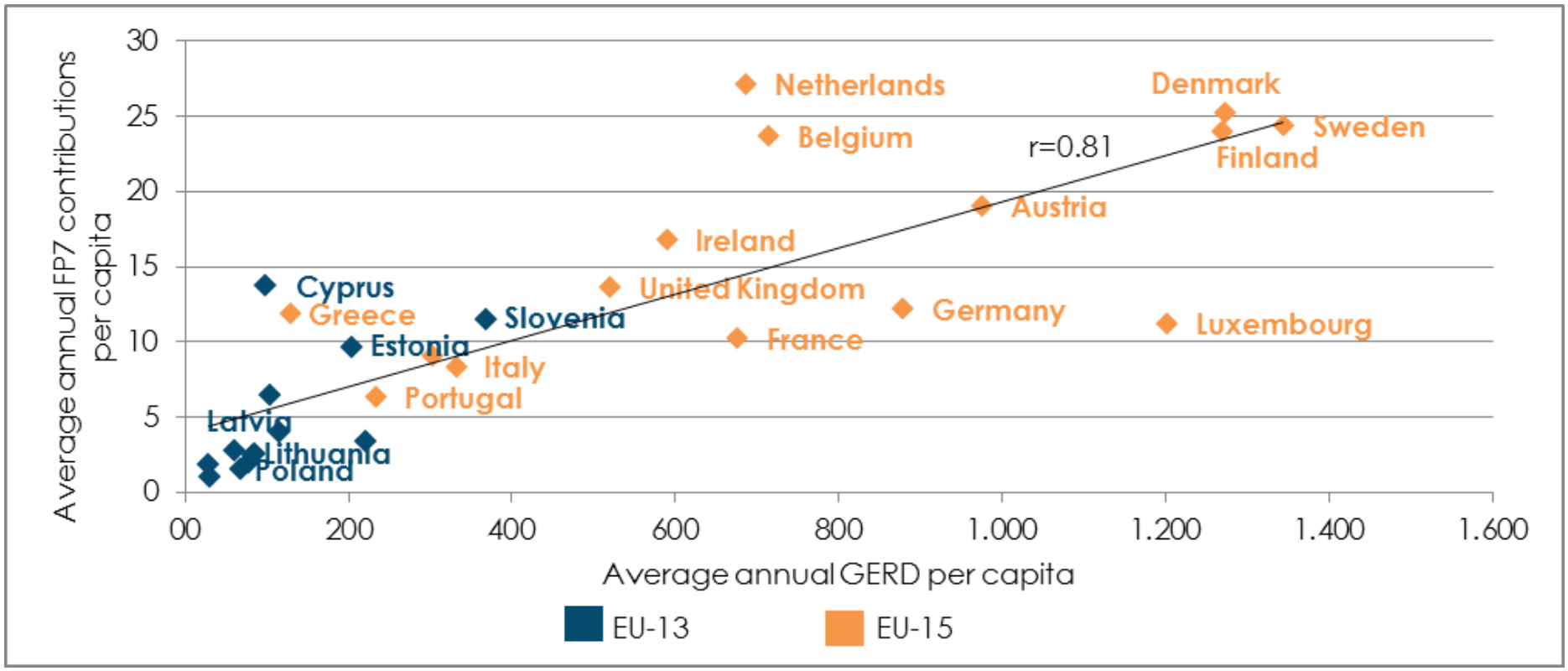
Stylised fact 1: EU-13 receive less than 5 % of funds (2)

Distribution of H2020 funds per country (20014-2015)



Stylised fact 2: there is strong correlation between FP7 contributions and national R&D funding (1)

GERD and FP7 contributions per capita (2007-2013)



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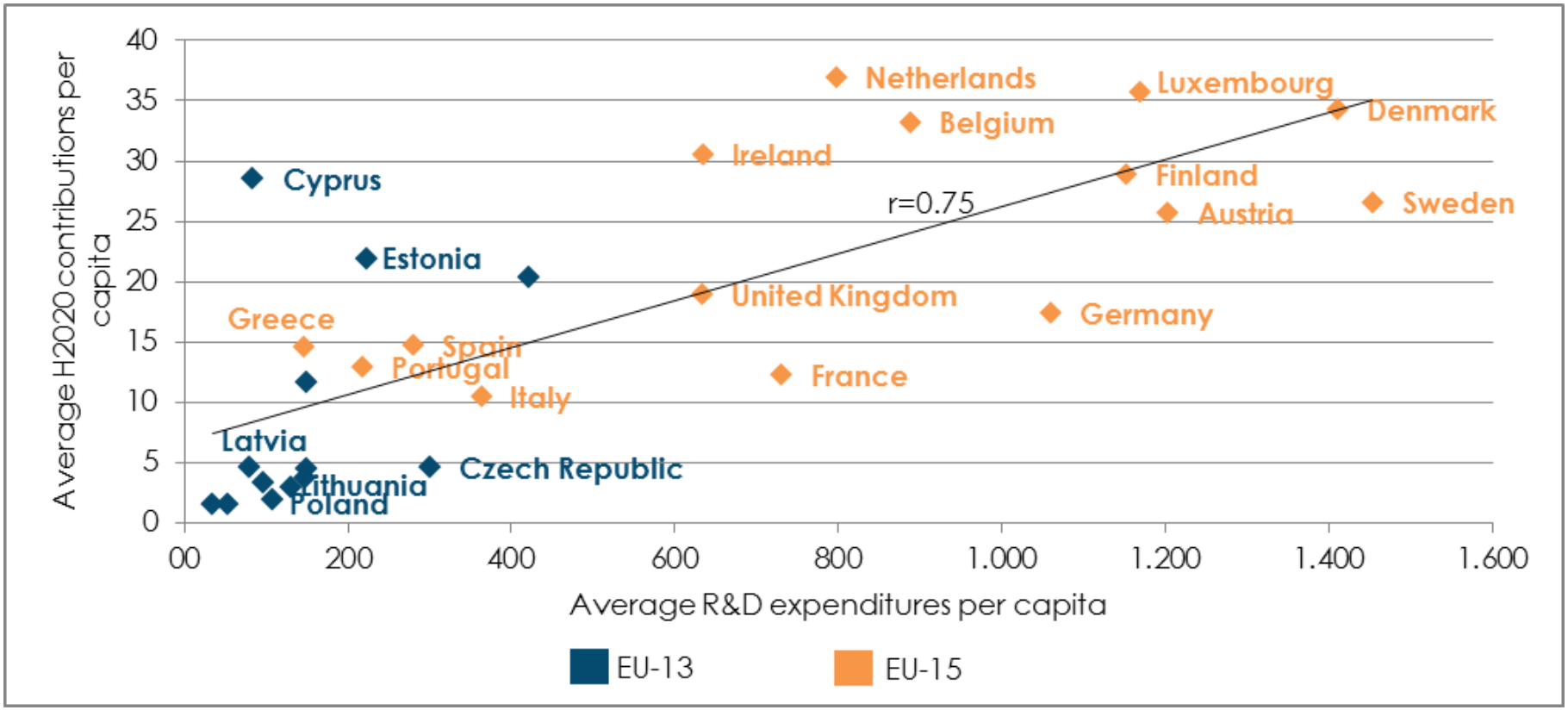
Stylised fact 2: there is strong correlation between H2020 contributions and national R&D funding (2)

GERD and H2020 contributions per capita (2014-2015)



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Stylised fact 3: differences in funding per participant are significant

Researchers from EU-13 submit approx. 8 % of proposals, but receive approx. 4,5 % of funding? What factors could explain this?

	FP7		H2020 (2014-2015)	
	EU-15	EU-13	EU-15	EU-13
Participations	78 %	8 %	83,1 %	8,5 %
% of funding received	85 %	4,4	88,5 %	4,5 %
Success rates	21,6 %	17,8 %	13,4 %	9,7 %
AVG EC contribution per participant	348 €	172 €	458 €	226 €

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Stylised fact 4: there are strong concentration effects

Data for FP7:

- **Top-500 organisations made up 1,7 % of all participants, but received 60 % of total funding;**
- **Top 3 organisations* collectively received 1,8 billion euro or 4,4 % of total;**
- **EU-13 collectively received 1,8 billion euro;**
- **Top 3 organisations** from EE, LV, LT and PL received 10,6 % of funds for respective countries.**

Same trends continue in H2020.

*** Centre National De La Recherche Scientifique, Fraunhofer-Gesellschaft and University of Oxford**

**** Uniwersytet Warszawski, Tartu Ulikool, Instytut Chemii Bioorganicznej PAN**

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Stylised fact 5: EU-13 countries are not catching up

Ex post evaluation of FP6 argued that "The new Member States will assimilate further into the FPs over time, as others did before them" (p.20)

However, there is little evidence of convergence:

- **FP6: EU-12 received 4,9 % of funding;**
- **FP7: EU-13 received 4,4 % of funding;**
- **H2020 (2014-2015): EU-13 received 4,5 % of funding.**

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Interpretation in brief: Matthew effect

For to everyone who has, more will be given, and he will have abundance; but from him who does not have, even what he has will be taken away.
(Matthew 25:29)

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Obstacle 1: excellence (a) ?

- All evaluations of FPs stressed R&D excellence as a key bottleneck for more active participation of EU-13;

Evidence:

- Funding by FPs strongly correlates with GERD per capita;
- Lower quality of proposals (data for FP7):

	EU-15	EU-13
% of proposals above quality threshold	52 %	43 %
% of EC funded participations among participations in proposals above threshold	41%	39 %

Source: *Commitment and Coherence: essential ingredients for success in science and innovation. Ex-Post-Evaluation of the 7th EU Framework Programme (2007-2013)*, Brussels, 2015

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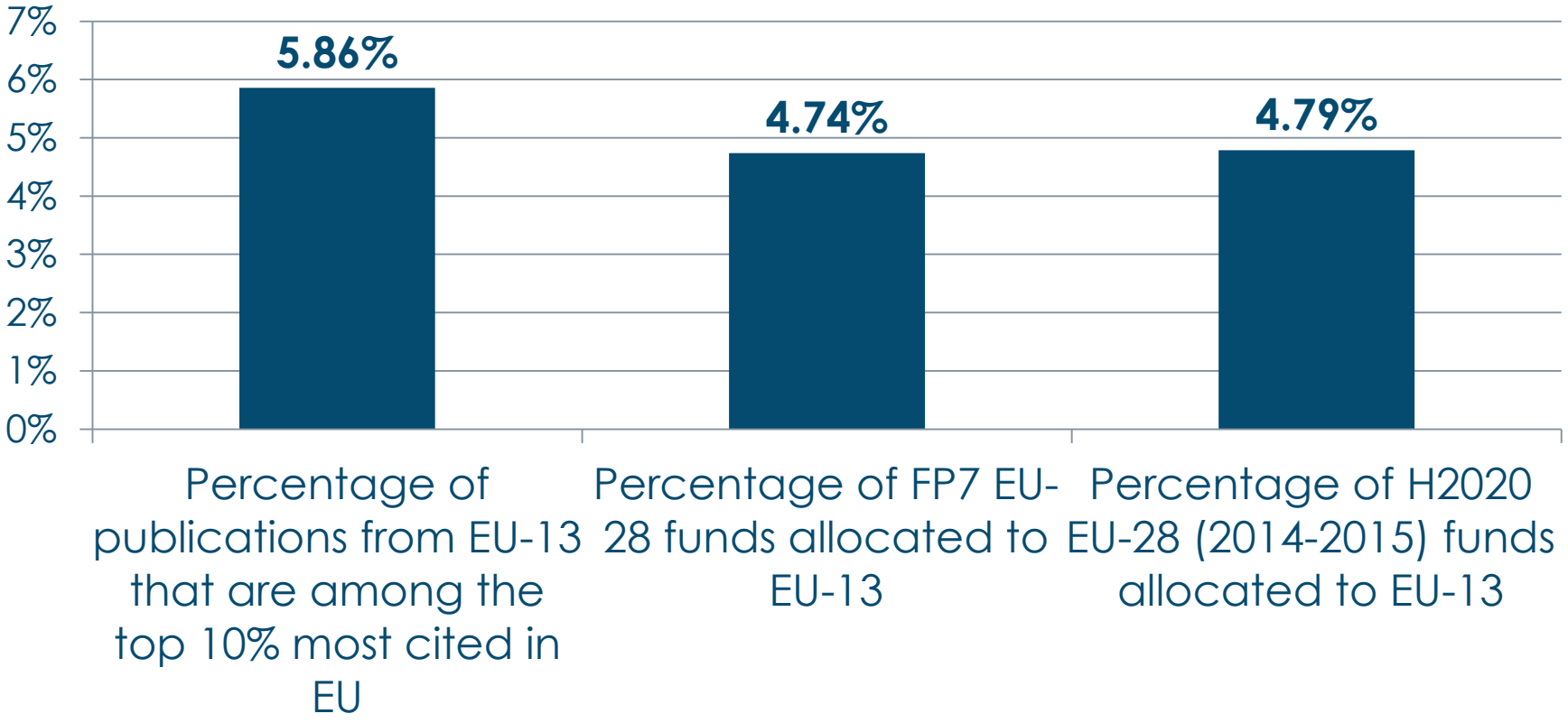
Obstacle 1: excellence (b)?

- **On the other hand, if top10 % most cited publications is a proxy of excellence:**



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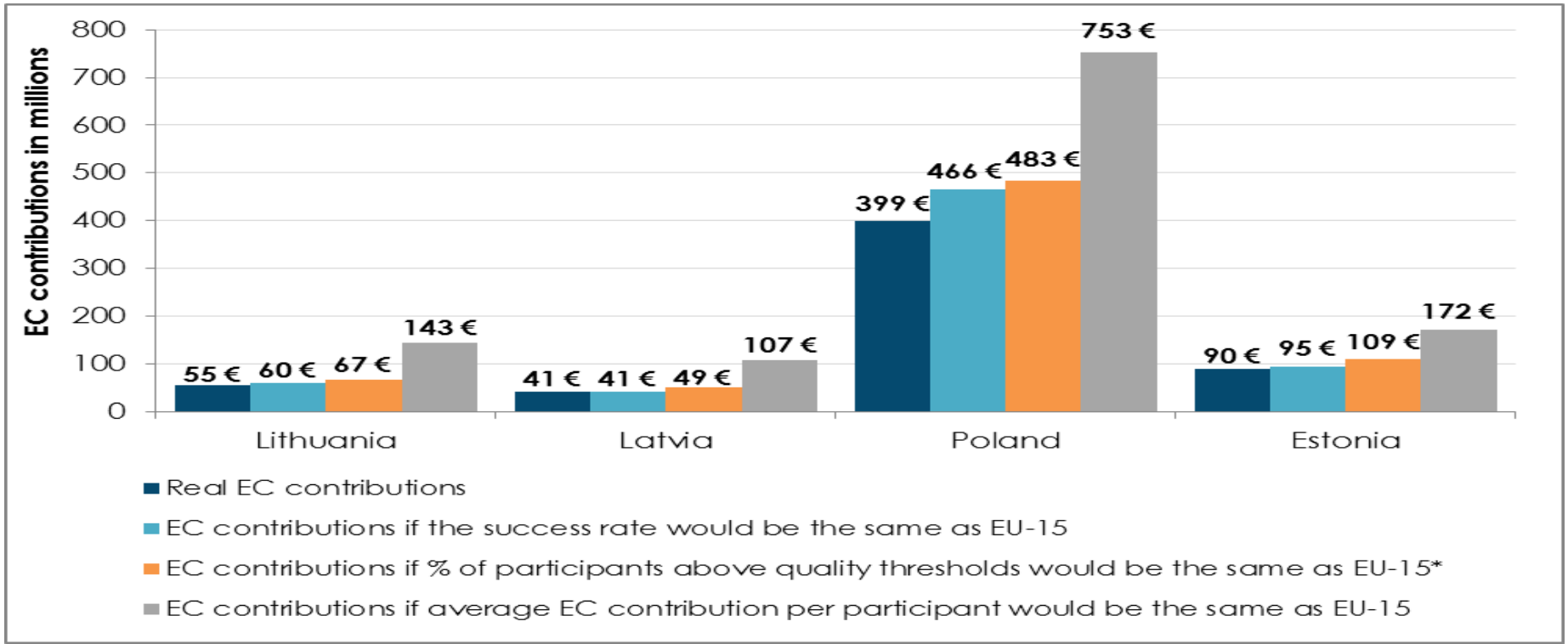
Obstacle 2: funding rules ?

Personnel costs are calculated on the basis of actual salaries:

- **Low salaries reflect lack of public funding;**
- **Some of the other costs (overheads, indirect costs, etc.) are calculated as a % → low personnel costs further amplify cross-national differences.**



Obstacle 3: incompatible research programmes ?

Interviews:

- **Several interviewees: calls are highly focused, do not match my area of research;**
- **Most interviewees: not a big issue.**

Experts in H2020 advisory groups (2014-2015):

	EU-15	EU-13
Number	329	72
% of total	82 %	17,9 %
No of experts per 1 million inhabitants	0,81	0,69

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Obstacles 4&5: lack of contacts and networks + image problems?

Interviews:

- **Most participation opportunities emerge when partners invite to join a consortium.**
- **Researchers from EE, LV, LT and PL feel that colleagues from EU-15 do not trust them enough → this is key obstacle, when EE, LV, LT and PL seek:**
  - **To lead the consortium;**
  - **To join a well established network.**

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Obstacles 6&7: low attractiveness of FPs+ bureaucracy?

Interviews:

- **Low success rates prevent from submitting more applications:**
  - **"Why participate in a lottery?";**
  - **National funding opportunities are more accessible, although they are perceived as less prestigious.**
- **"Complicated rules bother mostly lead partners".**

Insight: it seems that researchers have found a comfortable balance:

- **Receive core funding from national sources;**
- **Receive prestige from participation in H2020 as a partner (no need to engage in network formation, deal with proposal writing, etc.).**

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Discussion

Join WiFi network: Seminars

WiFI password: welcome@RTU

Go to: kahoot.It

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Baltic Science Network

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Thank You