



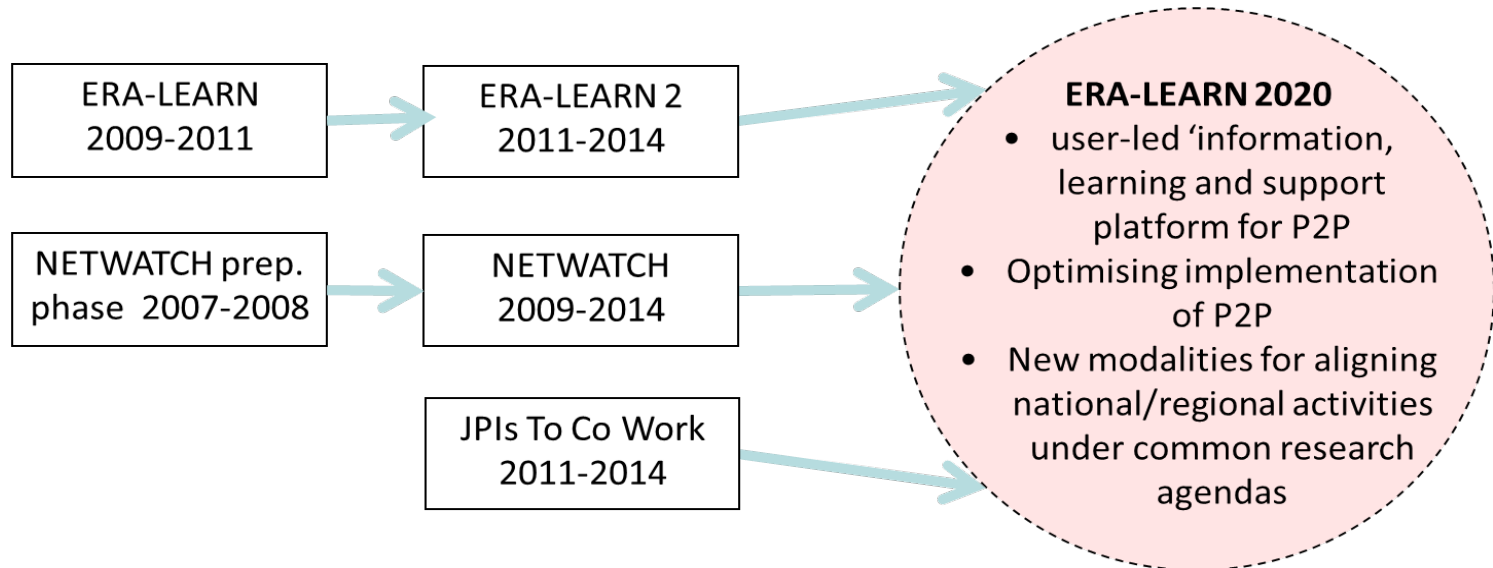
Alignment at ERA-LEARN 2020

Analysis of existing and potential modalities for aligning national/regional activities under common research agendas

L. Catani for ERA-LEARN 2020-WP4

JPI Urban Europe HP Event - Brussels 30 September 2015

ERA-LEARN 2020: history & background



- **NETWATCH** (JRC-IPTS): focus on database & analysis
- **ERA-LEARN**: focus on enabling mutual learning, esp. ERA-NETs
- **ERA-LEARN** material published through the NETWATCH portal
- **JPIs to co work**: focus on JPI

ERA-LEARN 2020: objective

- provide a **web-based information**, learning and support platform for P2P;
- support the ongoing optimisation of P2P networks by **expanding the ERA-LEARN learning toolbox** to include the wider activities of joint programming, particularly the ERA-NET Cofund, Art.185, JPIs
- implement a systematic **process for monitoring & impact assessment** of P2P networks, including their impacts at both the policy, programme and co-funded RTD project-level;
- assess and benchmark current **approaches to alignment** and explore options for new modalities that will better align national and/or regional activities under common research agendas;
- implement an annual cycle of **knowledge exchange** aimed at increasing the impact of investment in P2P activities and exploring options to support less research intensive countries.

ERA-LEARN 2020: impact

- **Increased efficiency** of public administration & policy learning
- **Increased awareness** of joint programming and establishment of added value
- **Improved understanding** of the joint programming approach to policy making and
- implementation and development of **common approaches**
- **Higher standards and increased effectiveness** of joint programming activities

ERA-LEARN 2020: consortium & workplan

Consortium	
FFG	AT
AIT	AT
DLR	DE
VDI	DE
AKA	FI
INRA	FR
EI	IR
MIUR	IT
RCN	NO
Optimat	UK
UNIMAN	UK

WP	Title	Lead
1	Web based platform	DLR
2	Optimising P2P implementation	FFG
3	Monitoring and Impact Assessment	UNIMAN
4	Analysis of existing and potential modalities for aligning national/regional activities under common research agendas	MIUR
5	Communication, Dissemination and Feedback	EI
6	Coordination & Management	FFG

WP4: Analysis of existing and potential modalities for aligning national/regional activities under common research agendas

objective

“assess and benchmark current approaches to alignment and explore options for new modalities that will better align national and/or regional activities under common research agendas”

more objectives and impact

- **elaborate good practice examples and guidelines** on how to effectively achieve alignment in different types of P2Ps and at different layers
- **facilitate knowledge exchange amongst the P2P community** through provisions of workshops geared at specific levels of alignment
- **contribute to increase effectiveness of alignment processes** among EU Member States.

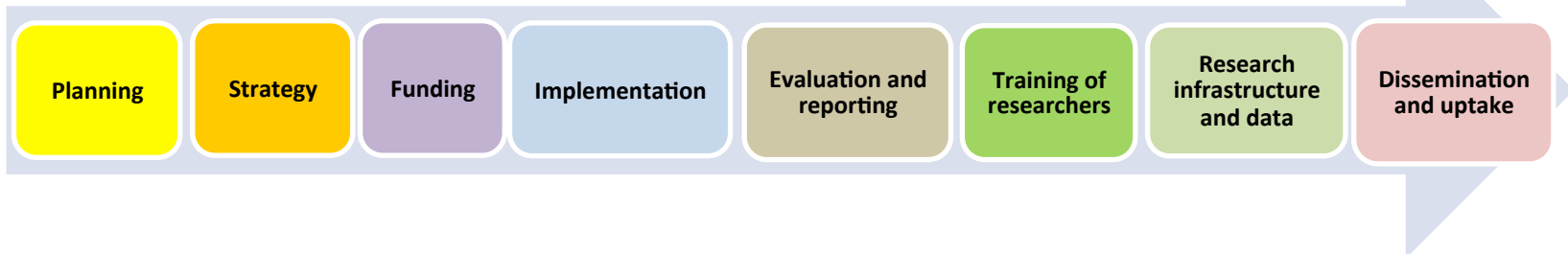
State of the Art/Background

High Level Group for Joint Programming (**GPC**): **working group on alignment.**

- a) explore the ways alignment is perceived by the existing Joint Programming Initiatives
- b) investigate how the differences in scope of the various JPIs might influence the way alignment of national research programmes with the SRA developed by the JPIs might be turned into practice.

- **alignment has a wide spectrum:** “...it is in the interest of JPIs to look into aligning all actions spanning the programming cycle”
- **alignment is a long term development**

Alignment actions across the entire research programming cycle



Tasks of WP4

- **define the concept** of alignment and **produce an alignment typology** taking into consideration the different facets and levels of alignment
- **assess current approaches** and explore options to foster alignment
- explore and **assess 'novel' approaches** to alignment
- investigate alignment possibilities at the **regional and trans-regional level**
- **compare alignment modalities** through a SWOT analysis



Task4.1



Task4.2



Task4.3

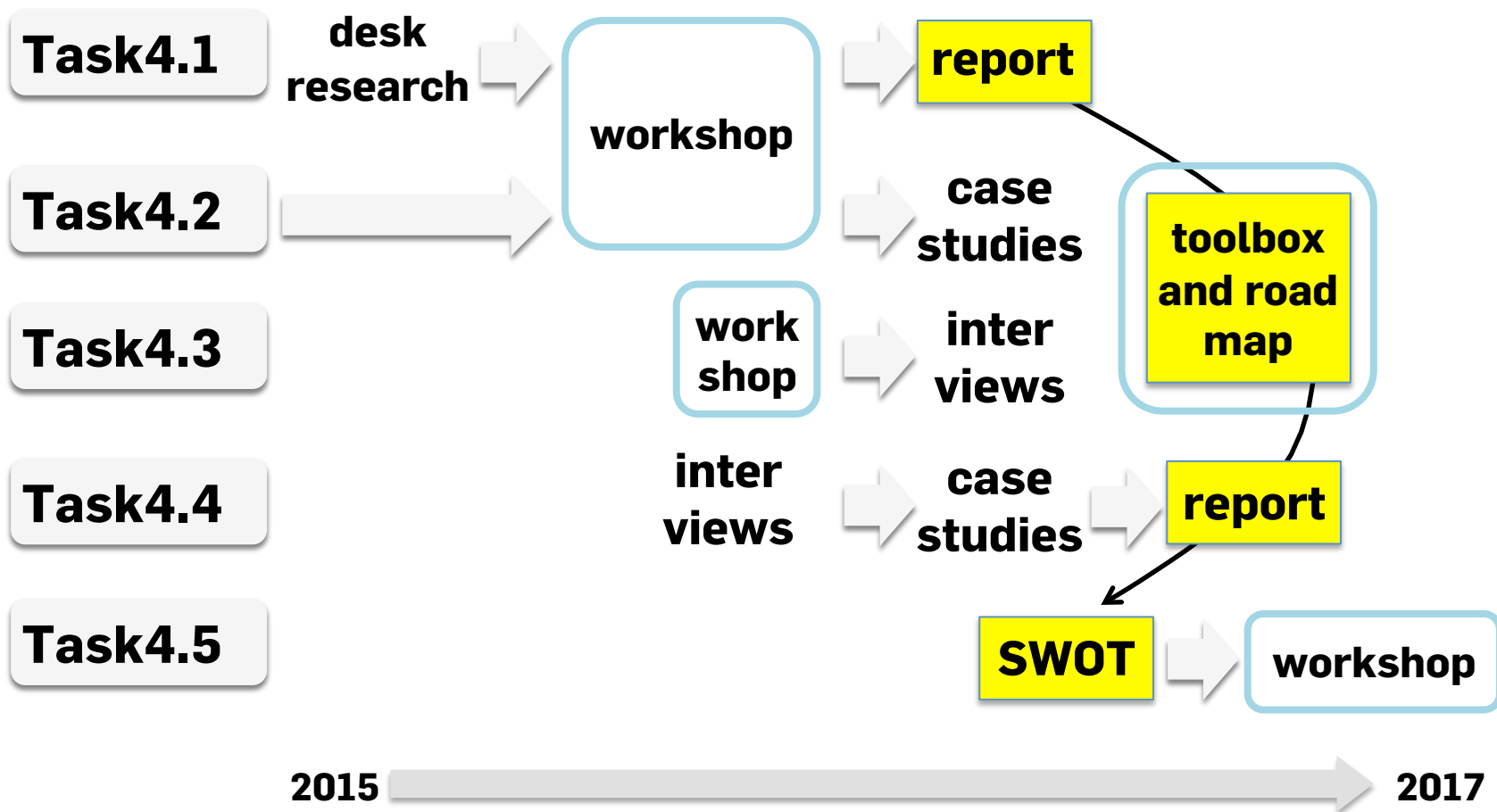


Task4.4



Task4.5

Tasks of WP4



Definition of alignment and assessment of current approaches (Task 4.1 & 4.2-INRA)

No common definition of what 'alignment' means. There are a variety of definitions, approaches and tools



Definition and typology of alignment (Task 4.1-INRA)

Develop a common understanding of what alignment means and how it can be implemented (list available types and tools)

Assessment of current alignment approaches/ instruments (Task 4.2-INRA)

Review the effectiveness of existing approaches and tools and develop a common understanding of their strengths and weaknesses under various circumstances

Exploration and assessment of 'novel' alignment modalities (Task 4.3-AIT)

- **Main Objectives:**

Exploration of 'novel' alignment modalities put forward from various communities. By 'novel' we mean modalities, instruments or approaches that contribute to alignment of research activities at the strategic or operational level that are at a pilot stage, or have been introduced in schemes or networks other than the JPI or ERA-NETs .

- **Planned Activities :**

Identification and elaboration of 10-15 cases in contexts other than ERA-NETs and JPIs focusing on alignment of

- strategic research (at the level of programming research agendas),
- research at level of institutions/research groups.

Description of intrinsic features of alignment modalities and their context, i.e. governance, institutional and operational conditions.

Synthesis of "alignment options"

Elaboration of an "alignment roadmap" for P2P community

Investigate alignment modalities at trans-regional level (Task 4.4-MIUR)

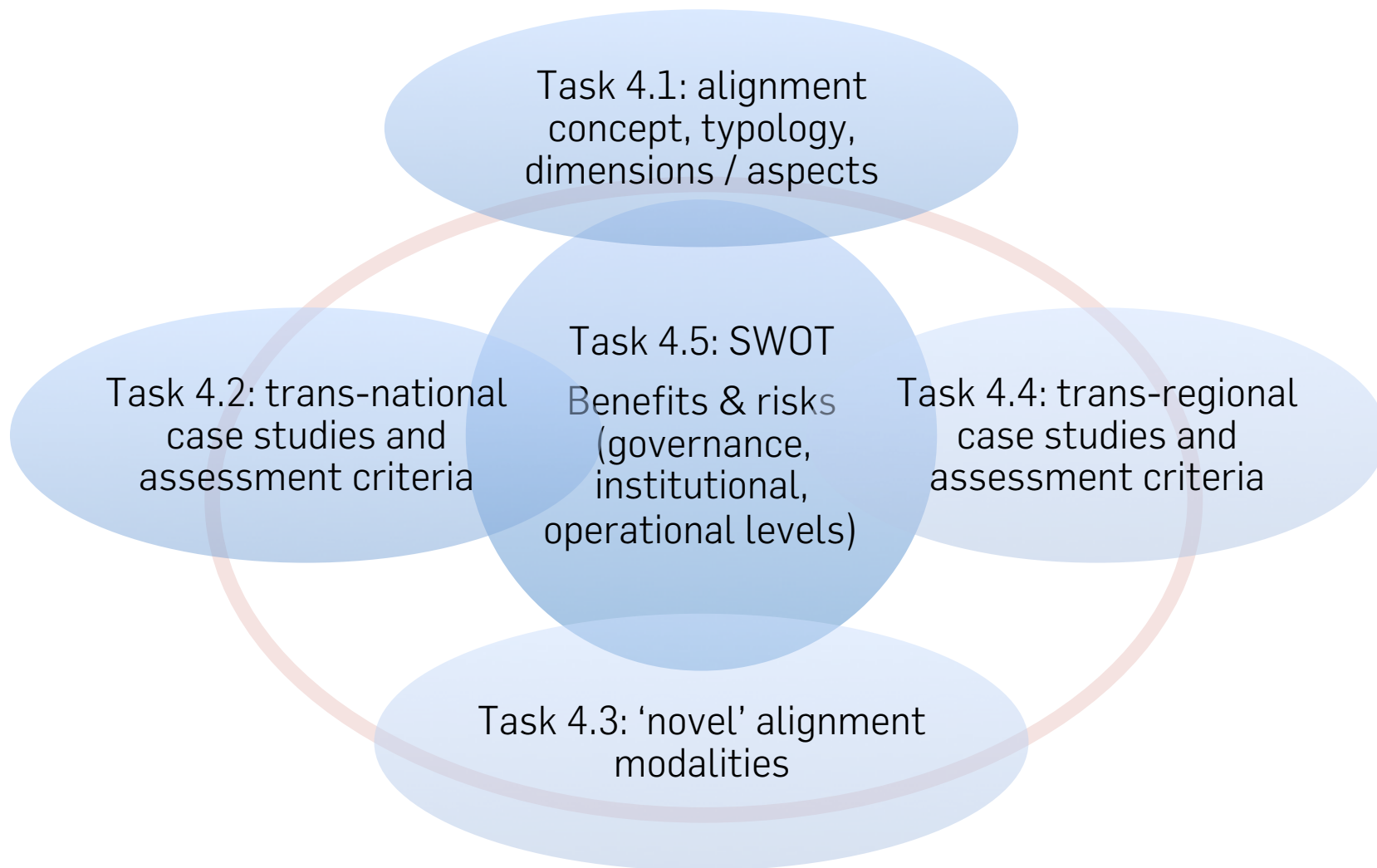
Two main regional and trans-regional aspects:

- **Strategic level:** alignment as a challenge and/or a major opportunity for regional autonomies
- **Operational level:** differences on procedure for implementation of joint initiatives

Investigate alignment possibilities at the regional and trans-regional level

- elaborate new and/or complement the instruments and guidelines on alignment to the current joint programming landscape at the regional and trans-regional level
- elaborate new alignment options at strategic and implementation level

SWOT Analysis (Task 4.5-UNIMAN)



Ongoing activities #1

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Objectives

- Develop a common understanding of what alignment is and **how to implement** it in public-to-public partnerships
- **Map and categorise** alignment actions/instruments currently in use, including to promote alignment *across P2P initiatives*
- Identify **strengths and weaknesses** of different alignment actions/ instruments
- Develop an in-depth assessment (next step)



Build on the work of the “Groupe de Programmation Conjointe”
to provide practical advice for practitioners

Definition of alignment

“Alignment is the strategic approach taken by Member States to modify their national [research] programmes, priorities or activities as a consequence of the adoption of joint research priorities in the context of Joint Programming, with a view to improving the efficiency of investment in research at the level of Member States and the European Research Area”.

(GPC Working Group on Alignment, 2014)

Key goals and features of alignment

- **Main goals:**
 - ✓ Optimally using existing national research funds
 - ✓ Addressing societal (global) challenges more effectively
 - ✓ Structuring & strengthening the European Research Area
- Alignment is **not only** about organising joint calls for research. Can be achieved via various (joint) actions !
- Successful alignment combines “bottom-up” (researchers, RPO) & “top-down” actions (Ministry, RFO)
- **Key barrier at operational level:** inter-operability of national rules for funding & executing research (*focus of a different Task*)

Alignment Typology: Overview

- The typology identifies **29 modalities** currently in use by public-to-public partnerships that facilitate alignment (« alignment actions & instruments »)
- These can be undertaken during various stages of the research **programming cycle**
- Different actions are often **complementary** to each other. Some can be conducted in **parallel** (launch of joint call + sharing of research infrastructure)
- The typology is constructed using an excel sheet with **12 different categories** (*gives the possibility to filter results*)

Alignment Typology: Structure

- 1. Short description** of the action
- 2. Overall approach** (strategic, operational, financial)
- 3. Actors involved** (policymakers, research financing organisations, research performing organisations, individual researchers)
- 4. Mode of cooperation** (e.g., programme integration, institutional cooperation, networking amongst researchers, etc.)
- 5. Intensity** (1, 2, 3), e.g., network of RPOs vs. a joint research centre; shared use of existing infrastructure vs. establishment of a common infrastructure facility
- 6a. Instruments** on which the action relies (e.g., ERANETs, Knowledge Hubs, COST, open data strategy, etc.)

Alignment Typology: Structure (cont.)

- 6b. Existence** of a dedicated EU instrument (yes/no)
- 7. Financing of the action** (participating countries –cash, in-kind; and/or the EC)
- 8. Implementation** (short explanation of the steps usually involved and web link to further information)
- 9. Benefits/ Strengths** (*to be further elaborated*)
- 10. Weaknesses/ Challenges** (*to be further elaborated*)
- 11. Examples**

Example 1: Conduct of joint mapping (*Research planning*)

- **Description:** Joint mapping is an activity that aims to identify and map national research programmes & identify possible research gaps amongst participating countries
- **Approach:** Operational
- **Actors:** Research funding and implementation organisations
- **Cooperation mode:** Joint analysis
- **Instruments:** Posters; joint mapping meetings (no dedicated EC instrument)
- **Financing:** Member-States, sometimes with EC support (Coordination and Support Action)

Example 1: Conduct of joint mapping (Research planning) (cont.)

- ***Benefits/ Strengths:***
 - Promotes greater transparency
 - Helps avoid duplication of research
 - Helps identify research gaps and understand how research is conducted across various countries
 - Promotes networking amongst experts
- ***Weakenesses/ Challenges:*** Challenge in identifying and engaging adequate experts across countries
- ***Examples:*** Water JPI mapping exercise; SNOWMAN Network mapping exercise in the area of sustainable soil and water management

Ongoing activities #2

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Case Studies

- A mix of actions and instruments undertaken at different stages in the research programming cycle
- Representing different facets of alignment, with varying levels of intensity

Case study content

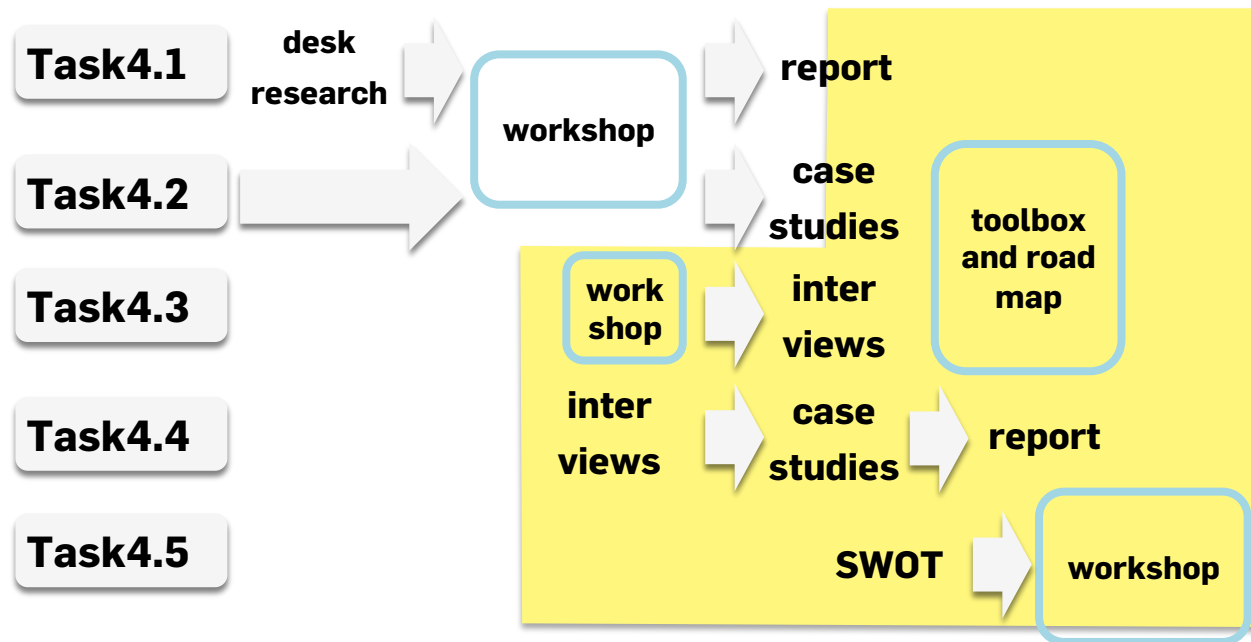
- Description/ key features of the case at hand (mission, governance, implementation, funding, etc.)
- Strengths and weaknesses of this action/ tool for alignment in a P2P context
- Difficulties encountered during implementation
- Approximate time and resources needed to set up and implement this action/ tool
- Key (internal/external) factors of success
- Suitability/ context (when can this action/ tool be best used

Case study methodology

- Review of existing literature
- Targeted interviews
- Each case: 5-10 pages long

Next steps

- Key results of the 10 case studies will be reflected in the typology sheet
- A case study report summarising the findings of the 10 case studies will also be produced



Thank you!

www.era-learn.eu
luciano.catani@miur.it