



4.1.b STI Cooperation Barometer

Interim report about the results of the first round

Project	STI International Cooperation Network for Eastern Partnership Countries – PLUS
Project Acronym	EaP PLUS
Project Number	692471
Deliverable Number:	D4.1.b Interim report
Date	23.02.2017
Responsible author(s):	Ildikó Dorogi (RCISD)

Short abstract (max. 500 characters):

Initiated by the IncoNet EaP project, the STI cooperation barometer, a tool to measure the ‘attitude towards EU-EaP STI cooperation’ over time, will continue, in the context of EaP PLUS, to identify long-term trends. It is addressed to stakeholders and researchers with EU-EaP R&D cooperation experience in order to analyse any perceived developments on the ground (“sounding board”) regarding the development of framework conditions, cooperation opportunities and potentials of bi-regional STI cooperation.



This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 692471.

1. Introduction – Task description

The barometer addresses stakeholders and researchers with EU-EaP research and development cooperation experience in the STI policy, research and innovation communities. The STI cooperation barometer between EU and EaP has already been implemented in the IncoNet EaP project through two online-questionnaires sent to around 600 contacts in two rounds and the results have been analysed. In this project two more rounds of questionnaires are sent and analysed since it is important to monitor the cooperation over time and observe the trends, which will feed other tasks (e.g. policy dialogue, training and dissemination activities, etc.). The first questionnaire was sent out in M8 (April 2017) and the second one will be sent in M20 (April 2018). The results between the two rounds will be analysed and compared with the results of the Barometer in IncoNet EaP project by M27 (November 2018).

2. Process of the first round

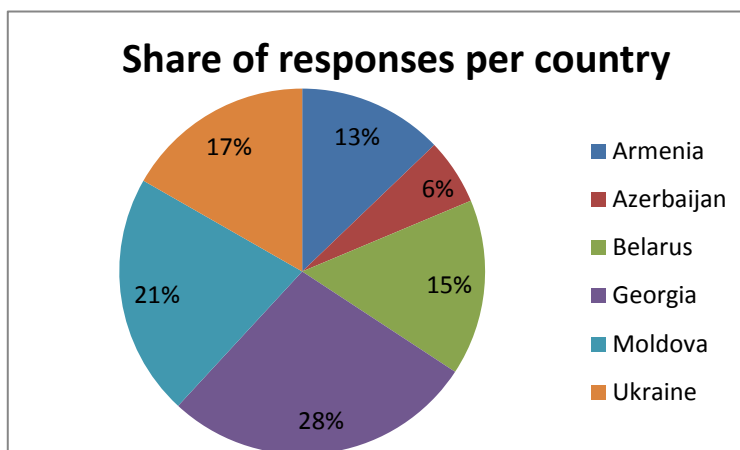
The survey of the first round is elaborated based on the online-questionnaire that was used in the IncoNet EaP project. The online survey tool was set up and tested by RCISD in March 2017. The first questionnaire was sent out at the end of March 2017 to 600 stakeholders and the survey was also published on the EaP PLUS website, social media channels and websites of local partners, ERC. The survey was closed in May 2017. The number of the total responses was 413, from that 257 questionnaires could be analysed (the other 156 questionnaires were partially completed). The main target group of the task was the scientific community in each Eastern Partnership countries, namely Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine. The results of the two surveys will be analysed by RCISD.

The barometer also contributed to the dissemination of the EaP PLUS project, as after submitting the survey, participants were redirected to the EaP PLUS project website. Besides, the survey asked the participants to add their email address if they wish to subscribe to the EaP PLUS newsletter. 140 new contacts were subscribed thanks to this option.

3. Results of the first round

There is a significant difference between the share of country respondents in the first round. 28% of the respondents are Georgian, while the respondent rate from Azerbaijan is quite low, only 6%. Therefore, special measures will be taken when analysing the results between the rounds to avoid a distortion by the unbalanced responses.

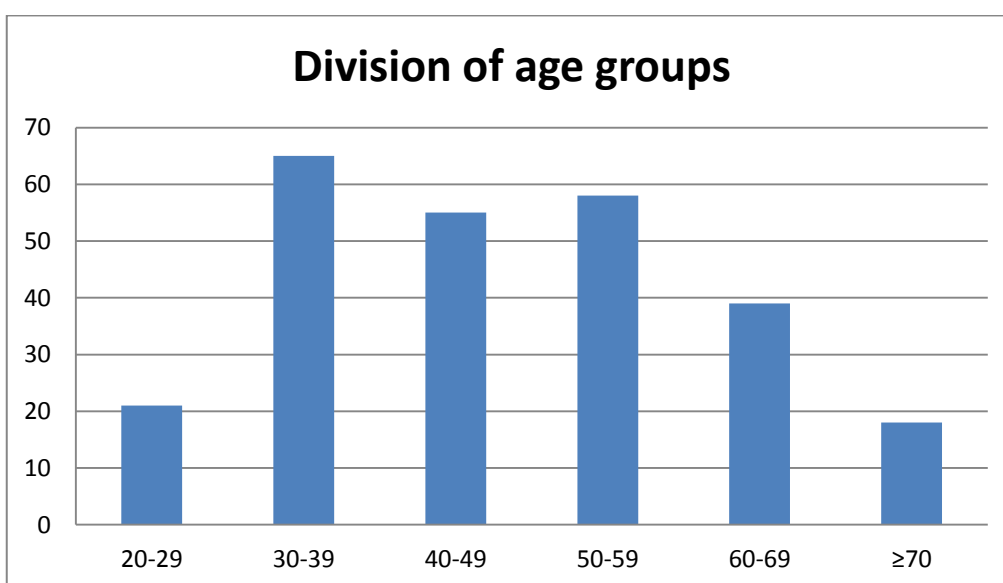
Country	Number of responses
Armenia	33
Azerbaijan	15
Belarus	40
Georgia	71
Moldova	55
Ukraine	43



1. Table: The number of respondents per country

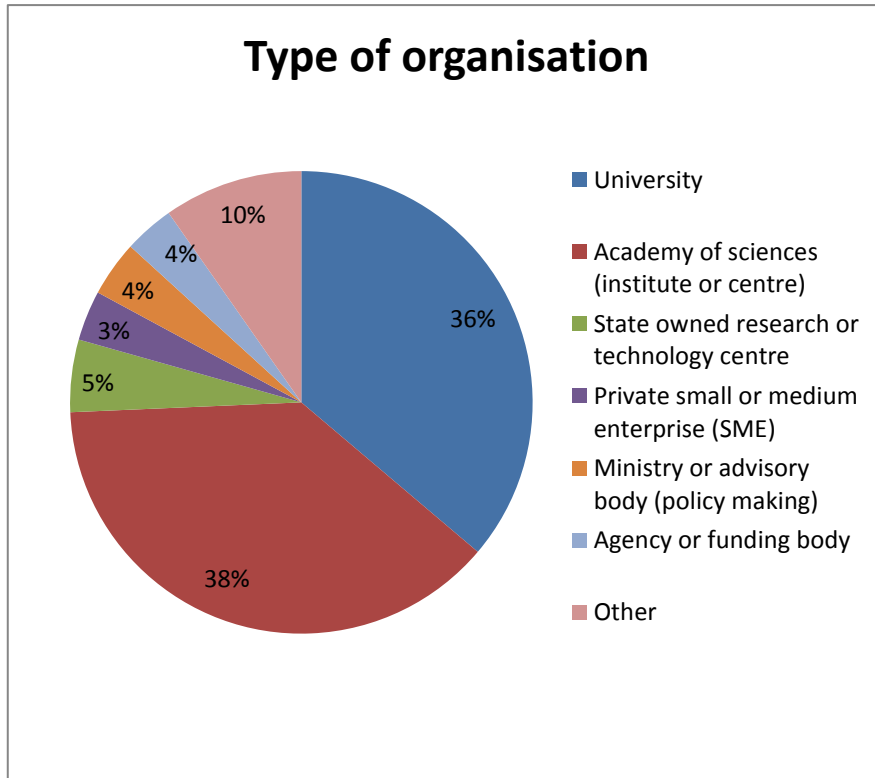
1. Figure: The share of respondents per country

The share of *male and female* respondents is nearly well balanced: 56% of the respondents are male and 44% female. As for the *age division*, almost half of the survey participants are younger researchers, which shows the interest of these age groups in the future of S&T cooperation.



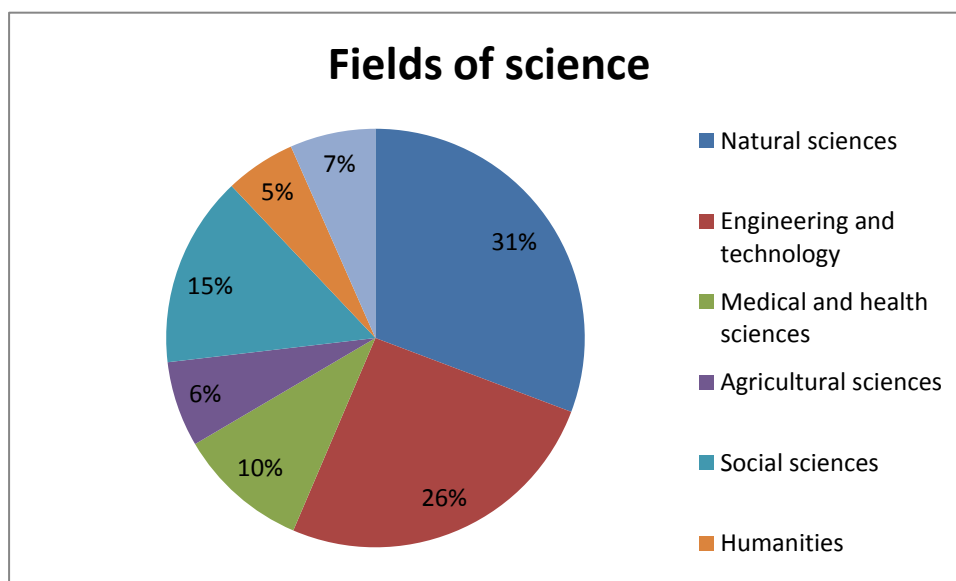
2. Figure: Division of age groups

As regards the *types of organisations*, more than half of the respondents are working with universities and academies of sciences, however only few of them are coming from the business sector.



3. Figure: Type of organisation

Regarding the *fields of science*, natural sciences and engineering are much better represented than agricultural sciences and humanities.



4. Figure: Fields of science

Respondents indicated that *international cooperation is very important for their organisation*, on a scale from 1 to 5 (1 = not important at all, 5 = very important) the average result was 4,71.

The survey asked the researchers to define the *importance of various international research, science and technology cooperation activities* on a scale from 1 to 5 (where 1 = unimportant and 5 = very important). **Bilateral and international multilateral project collaboration with the EU countries;** and **exchange of S&T Information on a strategic level to set up future joint activities** are the most important activities (average index above 4,3). Teaching assignments, hosting young researchers from abroad; market oriented activities to utilize research results with partners from abroad are considered as the most unimportant actions.

As regards *experience in type of action between EaP and European countries*, **joint research collaboration including mobility** is the most typical form of scientific cooperation, while research cooperation with industry or small and medium enterprises is the least popular action.

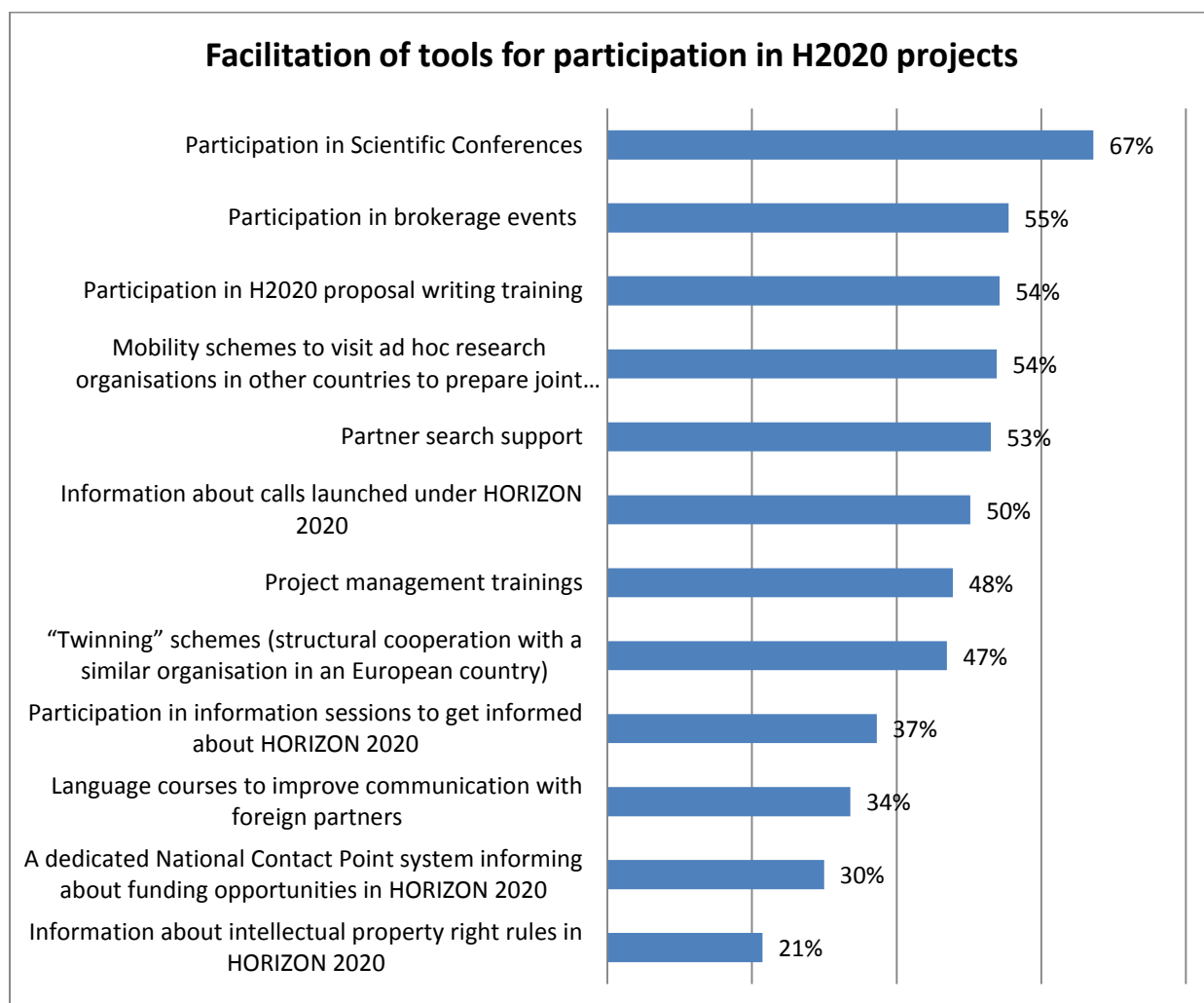
Based on the result of the survey the *level of cooperation with European countries* is increasing, as 64% of the respondents indicated that they have been working with European countries more than five years, only 9% indicated that they have been working with European countries for 1-2 years or have never worked with them.

Most of the respondents are well *informed about H2020* (98% of the respondents now about this platform) and the majority of them know about *ERA-NETs* (62%), however less than 30% of them familiar with other instruments and initiatives (*JPIs, ETP, EIT, JTI*).

Approximately 44% of the respondents have never *submitted any proposals under FP7* and 55% *under H2020*. 81% of the respondents are planning to submit proposals for Work Programme 2016-2017 of Horizon 2020, although only 41% of them are already involved in a consortium. 73% of the respondents have already tried to establish contacts with European researchers to get involved in Horizon 2020 applications.

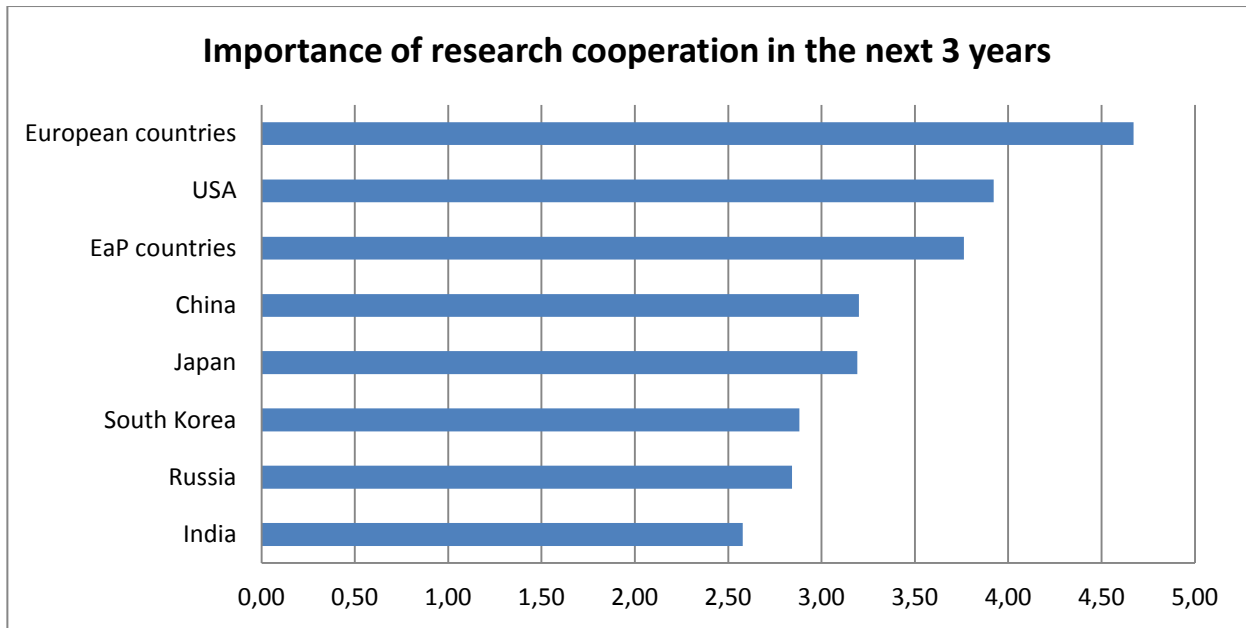
Researchers claimed that **communication problems between partners; unclear conditions of the application and implementation;** and **incomprehensible and overregulated legal rules** are the main difficulties of *preparing and implementing a project*. Nevertheless, fewer respondents face the following difficulties when preparing and implementing the project: finding potential project coordinator from EU countries, poor infrastructure and financial support as difficulties.

Respondents also indicated the *tools that might facilitate their participation in H2020*. The most positive responses were given for participation in scientific conferences (67%), participation in brokerage events (55%), participation in H2020 proposal writing training (54%), mobility schemes to visit ad hoc research organisations in other countries to discuss and prepare joint HORIZON 2020 proposals (54%). The **dedicated National Contact Point system informing about funding opportunities in HORIZON 2020 were considered to be useful by only 30% of the respondents**, and information about IPR received only 20%.



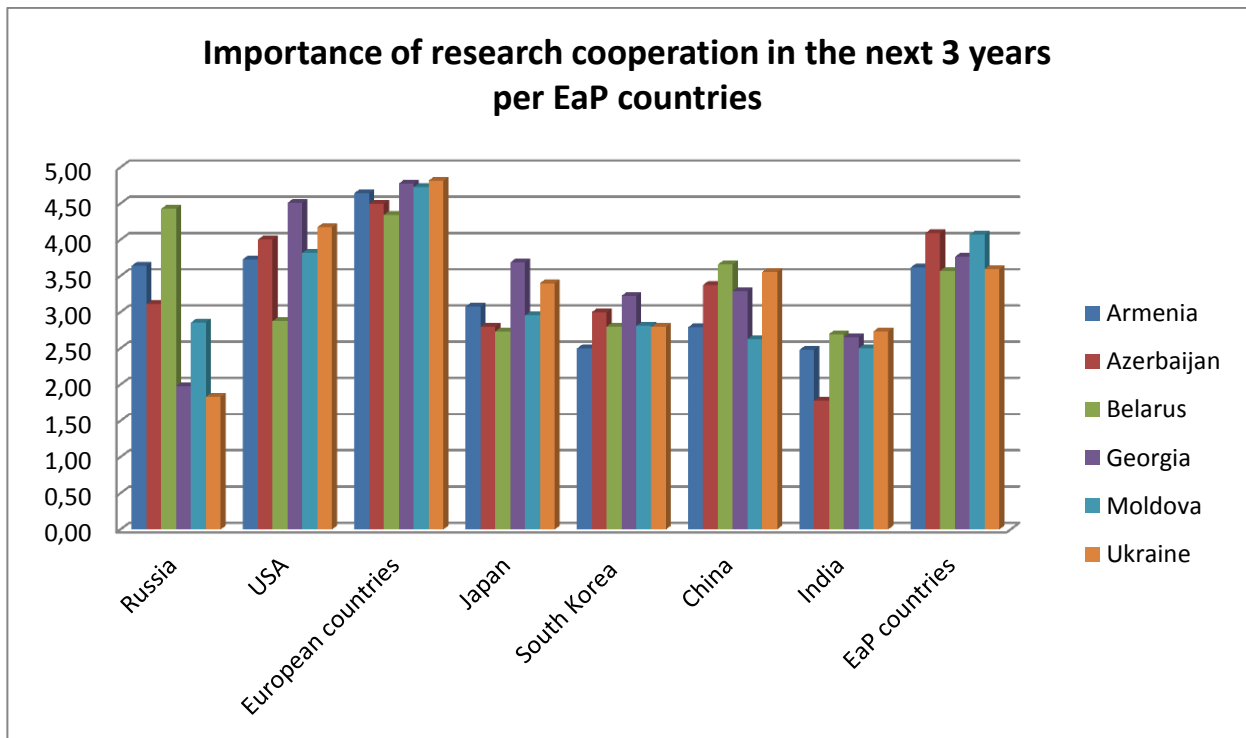
5. Figure: Facilitation of tools for participation in H2020 project

The *importance of research cooperation between Russia, USA, European countries, Japan, South Korea, China, India and the EaP countries in the next three years* is also evaluated. Overall, the most important are the European countries that received 4,57 average index and the less important is India.



6. Figure: Importance of research cooperation in the next 3 years

Overall, future cooperation with the European countries in the next 3 years shows the strongest increase, since all the EaP countries have positive expectations. Perspectives for stronger cooperation with Russia are characteristic for Armenia and Belarus. In case of cooperation with the USA and Japan we can see the similar order of importance: relatively positive expectations from Georgia and slightly negative estimations from Belarus.



7. Figure: Importance of research cooperation in the next 3 years per EaP country

4. Process of the second round

In this project two rounds of questionnaires are sent and analysed since it is important to monitor the cooperation over time and observe the trends, which will feed other tasks (e.g. policy dialogue, training and dissemination activities, etc.). The survey of the second round will be prepared by RCISD with some minor changes in March 2018. The second questionnaire will be sent out April 2018 to 600 stakeholders. The survey is closed in June 2018, will be also published on the EaP PLUS website, social media channels and websites of local partners. The long final report (deliverable) with comparison of the two rounds and two projects (EaP PLUS and Inconet EaP) will be analysed by RCISD between August and November 2018 that will be also available on EaP PLUS website, social media channels from November 2018.

5. Annexes – Survey tool as of 2017

1. Please choose your country! (Country of permanent residence)
Note: This question is compulsory!

Choose one of the following answers

- Armenia
- Azerbaijan
- Belarus
- Georgia
- Moldova
- Ukraine
- I am from another country

2. This survey will be delivered to you a second time in 12 months to see the developments concerning international cooperation with your country. It is important that you indicate here your e-mail address! This will facilitate a profound analysis. We will not share your contact details or use your data for any other purpose!

Please write your answer here:

Experience with cooperation and backward looking I.

3. Gender

👉 Choose one of the following answers

- male
- female

4. Age

👉 Choose one of the following answers

- 20-29
- 30-39
- 40-49
- 50-59
- 60-69
- ≥70

5. For which type of organisation are you working?

👉 Choose one of the following answers

- University
- Academy of sciences (institute or centre)
- State owned research or technology centre
- Private small or medium enterprise (SME) <250 employees
- Private industry (large enterprise, >250 employees)
- Ministry or advisory body (policy making)
- Agency or funding body
- Other:

6. In which fields of science are you active? - (Revised field of science and technology classification of the FRASCATI Manual)

Choose one of the following answers

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

7. How important is international co-operation for your organisation?

- 1 2 3 4 5



1=not important at all, 5=very important

8. The following countries were most important for me and my organisation concerning science, research and technology cooperation during the last two years:

9. How relevant are the following activities for your organisation in terms of international research, science and technology cooperation?

(1=unimportant, 5=very important)

Please choose the appropriate response for each item:

	1	2	3	4	5
Mobility and Exchange of Scientists (outgoing)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mobility and Exchange of Scientists (incoming to my country)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Teaching assignments (outgoing)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Teaching assignments (incoming)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sending young researchers abroad	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hosting young researchers from abroad	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Bilateral project collaboration (working with one European country)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
International multilateral project collaboration (cooperation with more than one European country)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collaboration on international co-publications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Institutional cooperation for establishing agreements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Technology cooperation with commercial potential including a partner from abroad	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Market oriented activities to utilize research results with a partner from abroad	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to research infrastructure abroad	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Exchange of science and technology information on strategic level to set up future joint activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



1=unimportant, 5=very important

10. My organisation has experience in the following type(s) of action with European countries:

👉 Check all that apply

- Joint research collaboration including mobility
- Higher education cooperation including mobility
- Research cooperation with industry or small and medium enterprises
- Policy making in the field of science, research or innovation
- Development cooperation (development assistance)
- No experience yet
- Other:

11. How well are you informed about calls for proposals launched under bilateral S&T agreements with single European countries?

- 1 2 3 4 5

📘
1=not informed, 5=very well informed

12. How many years does your organisation work with European countries in European cooperation programmes?

👉 Choose one of the following answers

- not yet
- 1-2 years
- 3-5 years
- more than 5 years

13. Do you know about the following European research instruments or platforms?

Please choose the appropriate response for each item:

	Yes	No
HORIZON 2020, the EU Framework Programme for Research and Innovation (2014-2020)	<input type="radio"/>	<input type="radio"/>
ERA-NETs (Supports the coordination of national research programmes across countries)	<input type="radio"/>	<input type="radio"/>
JPIs (Joint Programming Initiatives)	<input type="radio"/>	<input type="radio"/>
ETP (European Technology Platforms)	<input type="radio"/>	<input type="radio"/>
JTI (Joint Technology Initiatives)	<input type="radio"/>	<input type="radio"/>
EIT (European Institute of Technology)	<input type="radio"/>	<input type="radio"/>

14. How well are you informed about HORIZON 2020, the EU Framework Programme for Research and Innovation (2014-2020)?

1 2 3 4 5



1=not informed, 5=very well informed

15. How well are you informed about calls for proposals launched by HORIZON 2020, the EU Framework Programme for Research and Innovation (2014-2020)?

1 2 3 4 5



1=not informed, 5=very well informed

16. In how many proposals or funded projects have you been personally involved in the 7th Framework Programme for Research and Technological Development (2007-2013)?

Only numbers may be entered in these fields.

Number of proposals submitted in FP7

Number of funded projects in FP7

17. In how many proposals have you been personally involved so far in HORIZON 2020, the EU Framework Programme for Research and Innovation (2014-2020)?

Only numbers may be entered in these fields.

Number of proposals submitted in HORIZON 2020

Number of funded projects in HORIZON 2020

18. Are you planning to submit proposals for Work Programme 2016-2017 or Work Programme 2018-2020 of Horizon 2020?

Yes

No

19. If you plan to submit proposals in Horizon 2020 do you have the consortium?

Yes

No

20. My organisation faced the following difficulties when preparing and implementing the project(s):

📌 Check all that apply

- Finding a potential partner
- Finding a potential project coordinator from EU countries
- Identifying partners from EU countries
- Lack of personal network with partners
- Communication problems between partners
- Building a consortium
- Lack of experience in writing project proposals
- Economic, political problems, legislative system of the country
- Poor infrastructure and financial support
- Long administration, bureaucracy
- Unclear conditions of the application and implementation
- Legal rules are incomprehensible and overregulated
- Other:

21. Have you ever tried to establish contacts with European researchers to get involved in HORIZON 2020 applications?

Yes

No

22. How difficult is it for you to establish contacts with European researchers to get involved in HORIZON 2020 applications?

1 2 3 4 5



1=very difficult, 5=very easy

23. What kind of difficulties did you face when you try to establish contacts with European researchers to get involved in HORIZON 2020 applications?

24. Which tools would facilitate your participation in HORIZON 2020 projects?

📌 Check all that apply

- Participation in Scientific Conferences
- Partner search support
- Participation in brokerage events (partnering meetings that allow to present ideas)
- Project management trainings
- Language courses to improve communication with foreign partners
- "Twinning" schemes (structural cooperation with a similar organisation in an European country in terms of research agendas, research management, etc.)
- Information about calls launched under HORIZON 2020
- Participation in information sessions to get informed about HORIZON 2020
- Participation in H2020 proposal writing training
- A dedicated National Contact Point system informing about funding opportunities in HORIZON 2020
- Mobility schemes to visit ad hoc research organisations in other countries to discuss and prepare joint HORIZON 2020 proposals
- Information about intellectual property right rules in HORIZON 2020
- Other:

Perception of the importance of cooperation with selected countries

25. How did research cooperation of your country develop in the last 2 years with the following countries or regions?

Please choose the appropriate response for each item:

	Not relevant	Reducing	Stable	Increasing	I do not know
Research cooperation with single European countries (bilateral cooperation)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation within more European countries in the EU Programmes (such as FP7 or HORIZON 2020)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation with Russia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation with the USA	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation with Japan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation with South Korea	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation with China	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation with India	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation with Turkey	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research cooperation with the neighbouring countries (Armenia, Azerbaijan, Belarus, Georgia, Moldova, Ukraine)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

26. Please, indicate 5 EU countries and organisations with whom you have the most advanced STI cooperation!

Country 1	<input type="text"/>
Country 2	<input type="text"/>
Country 3	<input type="text"/>
Country 4	<input type="text"/>
Country 5	<input type="text"/>



Example: Spain, Institute of Chemistry, University of Madrid

27. What is your opinion for the likelihood of the following trends in the next 3 years in your country:

Please choose the appropriate response for each item:

	Very unlikely	Rather unlikely	Rather likely	Most likely	I do not know
Researchers will develop more international cooperation activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased use of funding opportunities for international cooperation of researchers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Stronger strategic cooperation of my own country with the European Union as a whole	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Stronger coordination of funding instruments and funding priorities of my own country with European countries	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
More cooperation in applied research, technology development and innovation across borders	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

28. In your opinion, which countries will be important for research cooperation with your country in the next 3 years?

1=not important, 5=very important

	1	2	3	4	5
Russia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
USA	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
European Countries	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Japan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
South Korea	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
China	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
India	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
EaP countries	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



1=not important, 5=very important

29. In the next 3 years, International Science, Technology and Innovation cooperation with European countries will be important for...

	1	2	3	4	5
My country	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My organisation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Me personally	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



1=not important, 5=very important

General Information

30. How well are you informed about the EaP PLUS project?

1 2 3 4 5



1=not at all 5=very well

31. Have you already been contacted and/or invited by the projects INCO-NET EaP or EaP PLUS to participate in events or other activities?

Yes

No

32. If you wish to subscribe to our newsletter please indicate your e-mail address here!

33. You are cordially invited to indicate here names and e-mail contacts (Scientists, STI policy makers) from the 6 Eastern Partnership countries (Armenia, Azerbaijan, Belarus, Georgia, Moldova, and Ukraine) so that we can invite them to join the "Cooperation Barometer" survey!

Name	<input type="text"/>
E-mail	<input type="text"/>
Name	<input type="text"/>
E-mail	<input type="text"/>
Name	<input type="text"/>
E-mail	<input type="text"/>

34. Please provide contact details in the text field and indicate phone number or skype address, e-mail for contacting you!