



**European Participation in U.S. Federal Science & Technology
Research Funding Programmes:
Addendum - Survey of EU-based Researchers on
Department of Energy Grant Funding**

Appendices



June 2011

Table of Contents

| | |
|---|----|
| Appendices..... | 3 |
| Appendix A: Introductory Letter to Researchers..... | 3 |
| Appendix B: Questionnaire | 4 |
| Appendix C: Member State of Current Institution | 10 |
| Appendix D: Breakdown of Organization Type..... | 10 |
| Appendix E: Number of New DOE Grants Awarded | 10 |
| Appendix F: Type of U.S.-based Institution of Previously Collaboration..... | 11 |
| Appendix G: Did Researchers Study in the U.S. Prior to First DOE Grant..... | 11 |
| Appendix H: General Challenges to Participation in DOE Funding Programmes | 12 |
| Appendix I: Legal, Policy, and Administrative Challenges to DOE Participation | 14 |
| Appendix J: Are New DOE Funding Opportunities Easy to Find Out About? | 15 |
| Appendix K: Other How Researchers Hear About New DOE Opportunities | 16 |
| Appendix L: Other Issues Related to Awareness Programmes and Opportunities..... | 16 |
| Appendix M: Contribution of DOE Funding to Overall Research Programme | 17 |
| Appendix N: Positive Experiences/Aspects/Issues with DOE Programmes | 17 |
| Appendix O: Recommendations for DOE Funding Programmes..... | 18 |

Acknowledgments

The authors, Stephanie Papia, Program Associate, and Tom Wang, Director for International Cooperation, American Association for the Advancement of Science (AAAS), gratefully acknowledge the researchers who responded to this survey and provided their invaluable input.

Disclaimer

The information contained within this report has been compiled from public sources and communications with U.S. funding entities. This report is not an official publication of any U.S. federal government entity nor necessarily reflects the views of the U.S. federal government or of the organizations comprising the Link2US project. The opinions and any errors within the report are entirely the responsibility of the authors.

Appendices

Appendix A: Introductory Letter to Researchers

Dear Researcher,

The Link2US Project (more information below signature and attached), co-funded by the European Union (EU) Framework Programme and coordinated by the American Association for the Advancement of Science (AAAS), the world's largest general scientific society and publisher of the journal Science, seeks your assistance with its Questionnaire on EU Researcher Participation in U.S. Funding Programmes.

You are receiving this questionnaire because you have had or currently have one or more grants or other funding awards from the U.S. Department of Energy (DOE). If you have not received any awards from DOE, please respond to this email (Link2US@aaas.org) and we will promptly remove you from our list.

The main objective of this questionnaire is to identify barriers and other challenges that EU institutions and researchers face when applying to and participating in DOE research funding programmes. The outcomes of this questionnaire will be used in an analysis of key issues to address in improving funding programmes for international cooperation, which will be shared with stakeholders (including the European Commission and U.S. funding bodies). This questionnaire is not officially connected with any U.S. federal funding body.

Directions: The questionnaire will be implemented electronically. To complete the survey, please visit http://www.surveymonkey.com/s/Researchers_DOE. The questionnaire is open from 5-19 November 2010. Please submit your completed questionnaire no later than 18h00 Central European Time on 19 November.

Confidentiality: All information will be treated confidentially and will only be distributed in an anonymous format (no attribution to individuals) to any entity outside of the Link2US Project (e.g., government funding agencies).

Should you have any questions, please contact Ms. Stephanie Pals (Link2US@aaas.org; Tel: +1 (202) 326-6663), Link2US project officer.

Thank you for your time and effort in responding to this survey. You will receive a copy of the report once the analysis is completed. Your responses will contribute to improving and strengthening EU - U.S. science and technology cooperation.

Sincerely,
Dr. Tom Wang
Coordinator, Link2US Project
Director for International Cooperation,
American Association for the Advancement of Science (AAAS)
Link2US@aaas.org
www.EuUsScienceTechnology.eu/Link2US

The Link2US Project aims to enhance the understanding of U.S. collaborative research funding programmes by facilitating easy access to relevant information on U.S. cooperation programmes through electronic communities such as a website, e-newsletter, and virtual helpdesk. The Project is co-funded by the EU's Capacities Programme on International Cooperation under the 7th Framework Programme for Research and Technological Cooperation. See attached document for more information.

Appendix B: Questionnaire

European Union (EU) Researcher Participation in U.S. Funding

Questionnaire for Researchers: EU Researcher Participation in U.S. Funding ...

Dear Researcher,

Thank you for participating in the Link2US Project's¹ Questionnaire on European Union (EU) Researcher Participation in U.S. Funding Programmes. You are receiving this questionnaire because you have had or currently have one or more grants or other funding awards from the U.S. Department of Energy (DOE). If you have not received any awards from DOE, please contact us (Link2US@aaas.org) and we will remove you from our list.

The main objective of this questionnaire is to identify barriers and other challenges that EU researchers and institutions face when applying to and participating in DOE research funding programmes. The outcomes of this questionnaire will be used in an analysis of key issues to address in improving funding programmes for international cooperation, which will be shared with stakeholders (including the European Commission and U.S. funding bodies).²

Directions: Please answer all questions in relation to your own experience with DOE funding programmes. The estimated time for completion of the questionnaire is 10-15 minutes. The questionnaire is open from 5-19 November 2010. Please submit your completed questionnaire no later than **18h00 Central European Time on 19 November**. As you are completing the questionnaire, your answers are saved when you click on the "next/save" or "submit" button at the bottom of each page. Should your session be interrupted, you may return to the system at a later time to pick up where you left off and finish, as long as you are using the same computer and browser and cookies are accepted.

Confidentiality: All information will be treated confidentially and will only be distributed in an anonymous format (no attribution to individuals) to any entity outside of the Link2US Project (e.g., government funding agencies).

Should you have any questions, please contact Ms. Stephanie Pals (Link2US@aaas.org; Tel: +1 (202) 326-6663), Link2US project officer.

Thank you for your time and effort in responding to this survey. You will receive a copy of the report once the analysis is completed. Your responses will contribute to improving and strengthening EU – U.S. science and technology cooperation.

Sincerely,

Dr. Tom Wang
Coordinator, Link2US Project
Director for International Cooperation,
American Association for the Advancement of Science (AAAS)
Link2US@aaas.org
www.EuUsScienceTechnology.eu/Link2US

¹The Link2US Project aims to enhance the understanding of U.S. collaborative research funding programmes by facilitating easy access to relevant information on U.S. cooperation programmes through electronic communities such as a website, e-newsletter, and virtual helpdesk. The Project is co-funded by the EU's Capacities Programme on International Cooperation under the 7th Framework Programme for Research and Technological Cooperation.

²This questionnaire is not officially connected with any U.S. federal funding body.

European Union (EU) Researcher Participation in U.S. Funding

Questionnaire for Researchers: EU Researcher Participation in U.S. Funding ...

GENERAL INFORMATION/DEMOGRAPHICS

*** 1. Name (Surname, Given Name)**

*** 2. Title**

*** 3. Name of your institution**

*** 4. Location of institution (country)**

5. Your department, center, or other organizational unit within your institution

*** 6. Which of the following best describes your organization?**

*** 7. Please indicate the number of new awards you have received from DOE between 2003-2010, and what funding instrument(s) these awards are/were funded under (e.g., Office of Science grants, etc):**

A. Number of direct awards (e.g. you are the principal investigator):

Funding instrument(s):

*** Number of indirect awards (e.g. subcontract):**

Funding instrument(s):

European Union (EU) Researcher Participation in U.S. Funding

*** 8. Contribution of DOE funding to your overall research programme: (please select all statements that are appropriate)**

- Provides a significant financial resource (makes up more than 25% of all your research funding in a given year)
- Provides credibility to access other funding sources
- Provides access to U.S. researchers/institutions
- None of the above
- Other (please specify)

European Union (EU) Researcher Participation in U.S. Funding

Questionnaire for Researchers: EU Researcher Participation in U.S. Funding ...

U.S. FUNDING PROGRAMME QUESTIONS

*** 9. General challenges to participation in DOE funding programmes (for each of the following issues, rate from 0-5: where as a guide 5 is extremely important and needs priority attention; 3 is challenging but no more so than other funding programmes; 0 is not an issue).**

| | Rate |
|---|----------------------|
| Communication and information awareness of programmes | <input type="text"/> |
| Contractual issues and intellectual property | <input type="text"/> |
| Lack of administrative support from own organization | <input type="text"/> |
| Lack of administrative support from the U.S. funding body | <input type="text"/> |
| Lack of complementary funding | <input type="text"/> |
| Cultural differences in management of grants | <input type="text"/> |
| Other (please specify and indicate rating) | |
| <input type="text"/> | |

Information and Awareness

*** 10. Before receiving your first DOE award, had you studied or conducted research in the United States?**

*** 11. Before receiving your DOE first award, had you previously collaborated with a U.S.-based researcher at: (check all that apply)**

- DOE national laboratories
- Any other U.S. federal government laboratory or affiliated laboratory (e.g., National Institute of Standards and Technology (NIST))
- Any non-governmental U.S. research institution (e.g., public or private university)
- None

European Union (EU) Researcher Participation in U.S. Funding

*** 12. How do/did you hear about new DOE funding opportunities? (check all that apply)**

- Administrative staff at your institution
- Colleagues/collaborators at your own or other non-U.S. institution
- Commercial vendor or funding opportunities database/search
- DOE website
- DOE programme officer or other staff
- U.S. colleagues or collaborators
- Other (please specify)

*** 13. Are new DOE funding opportunities easy to find out about?**

If No, please explain.

14. Please describe any other issues related to awareness of DOE funding programmes and opportunities.

European Union (EU) Researcher Participation in U.S. Funding

Questionnaire for Researchers: EU Researcher Participation in U.S. Funding ...

Legal/Policy/Administrative

- * 15. Challenges to participation in DOE funding programmes (for each of the following issues, rate from 0-5: where as a guide 5 is extremely important and needs priority attention; 3 is challenging but no more so than other funding programmes; 0 is not an issue)**

| | Rate |
|---|----------------------|
| Audit requirements | <input type="text"/> |
| Budgeting requirements | <input type="text"/> |
| Facilities & administrative (F&A)/indirect cost recovery limits | <input type="text"/> |
| Intellectual property | <input type="text"/> |
| Other contractual (grant) requirements | <input type="text"/> |

Other (please specify and indicate rating)

- 16. Please describe any other issues related to administrative/policy/legal aspects of DOE funding programmes and opportunities.**

General

- 17. What recommendations could ease/improve research collaboration through DOE funding programmes?**

- 18. What have been positive experiences/aspects/issues in applying for and/or receiving DOE awards that could be lessons for other (U.S. or European) funding bodies?**

Appendix C: Member State of Current Institution

| Member State of Current Institution | |
|-------------------------------------|------------------------|
| <u>Country</u> | <u>Response Amount</u> |
| Denmark | 1 |
| United Kingdom | 5 |
| Total Responses | 6 |

Appendix D: Breakdown of Organization Type

| Breakdown of Organization Type | |
|---|------------------------|
| <u>Organization Type</u> | <u>Response Amount</u> |
| Higher education institution | 5 |
| Research organization - public or private | 1 |
| Industry | 0 |
| Total Responses | 6 |

Appendix E: Number of New DOE Grants Awarded

| Number of New DOE Grants Awarded Between 2005-2009 | | |
|--|------------------------|--------------------------|
| <u>Number of Direct Awards Received</u> | <u>Response Amount</u> | <u>Office within DOE</u> |
| 1 | 3 | Office of Science |
| 2 | 2 | Office of Science |
| 3 | 1 | Office of Science |
| <u>Number of Indirect Awards Received</u> | <u>Response Amount</u> | <u>Office within DOE</u> |
| 0 | 5 | N/A |
| 1 | 1 | N/A |

Appendix F: Type of U.S.-based Institution of Previously Collaboration

Type of U.S. Based Institution Previously Collaborated with Before First DOE Grant was Awarded

| <u>Type of Institution</u> | <u>Response Amount</u> |
|---|------------------------|
| Non-governmental U.S. research institution | 3 |
| U.S. Department of Energy | 2 |
| Other U.S. federal government or affiliated | 2 |
| None | 1 |
| Total Responses | 8 |

*Researchers were able to check all that apply (a total of 6 individual researchers responded)

Appendix G: Did Researchers Study in the U.S. Prior to First DOE Grant

Did Researchers Study in the U.S. Prior to Receiving their First DOE Grant

| <u>Response</u> | <u>Response</u> |
|------------------------|-----------------|
| Yes | 3 |
| No | 3 |
| Total Responses | 6 |

Appendix H: General Challenges to Participation in DOE Funding Programmes

General Challenges to Participation in DOE Funding Programmes

| <u>Challenge</u> | | <u>Response</u> | <u>Amount</u> |
|--|--------|------------------------|---------------|
| Communication and information awareness of programmes | Low | 0 | 0 |
| | | 1 | 0 |
| | | 2 | 1 |
| | Medium | 3 | 3 |
| | High | 4 | 1 |
| | | 5 | 1 |
| | | Total Responses | 6 |
| Contractual issues and intellectual property | Low | 0 | 1 |
| | | 1 | 0 |
| | | 2 | 1 |
| | Medium | 3 | 3 |
| | High | 4 | 1 |
| | | 5 | 0 |
| | | Total Responses | 6 |
| Cultural differences in management of grants | Low | 0 | 2 |
| | | 1 | 0 |
| | | 2 | 0 |
| | Medium | 3 | 3 |
| | High | 4 | 1 |
| | | 5 | 0 |
| | | Total Responses | 6 |
| Lack of administrative support from own organization | Low | 0 | 2 |
| | | 1 | 1 |
| | | 2 | 1 |
| | Medium | 3 | 1 |
| | High | 4 | 0 |
| | | 5 | 1 |
| | | Total Responses | 6 |



| | | | |
|--|--------|---|----------|
| Lack of administrative support from U.S. funding body | Low | 0 | 1 |
| | | 1 | 0 |
| | | 2 | 0 |
| | Medium | 3 | 3 |
| | | 4 | 2 |
| | High | 5 | 0 |
| Total Responses | | | 6 |
| Lack of complementary funding | Low | 0 | 3 |
| | | 1 | 2 |
| | | 2 | 0 |
| | Medium | 3 | 1 |
| | | 4 | 0 |
| | High | 5 | 0 |
| Total Responses | | | 6 |

Appendix I: Legal, Policy, and Administrative Challenges to DOE Participation

Legal, Policy, & Administrative Challenges to Participation in DOE Funding Programmes

| <u>Challenge</u> | | <u>Response</u> | <u>Amount</u> |
|--|--------|-----------------|---------------|
| Audit requirements | Low | 0 | 1 |
| | | 1 | 1 |
| | | 2 | 0 |
| | Medium | 3 | 3 |
| | High | 4 | 0 |
| | | 5 | 0 |
| Total Responses | | | 5 |
| Budgeting requirements | Low | 0 | 1 |
| | | 1 | 1 |
| | | 2 | 0 |
| | Medium | 3 | 2 |
| | High | 4 | 2 |
| | | 5 | 0 |
| Total Responses | | | 6 |
| Facilities & administrative (F&A)/indirect cost recovery limits | Low | 0 | 1 |
| | | 1 | 0 |
| | | 2 | 1 |
| | Medium | 3 | 4 |
| | High | 4 | 0 |
| | | 5 | 0 |
| Total Responses | | | 6 |
| Intellectual property | Low | 0 | 1 |
| | | 1 | 0 |
| | | 2 | 1 |
| | Medium | 3 | 4 |
| | High | 4 | 0 |
| | | 5 | 0 |
| Total Responses | | | 6 |



| | | | |
|---|--------|----------|---|
| Other contractual (grant) requirements | Low | 0 | 1 |
| | | 1 | 1 |
| | | 2 | 0 |
| | Medium | 3 | 4 |
| | | 4 | 0 |
| | High | 5 | 0 |
| Total Responses | | 6 | |

Other (All information below are direct quotes from researchers)

Establishing the correct method to invoice and actually receive the awarded money was quite difficult and I am aware that others find this difficult.

It's a very beauracratic process with its own language.

Not charging for own time as PI is different to U.S. labs and may cause confusion at review of science as project looks less expensive.

Appendix J: Are New DOE Funding Opportunities Easy to Find Out About?

Are New DOE Funding Opportunities Easy to Find Out About?

| <u>Response</u> | <u>Response Amount</u> |
|------------------------|------------------------|
| Yes | 2 |
| No | 4 |
| Total Responses | 6 |

If No, please explain (All information below are direct quotes from researchers)

I do not actively look at the website but targeted email alerts could be useful.

I do not go looking for them assuming relevant ones would be hard to find.

I only learn about such opportunities from U.S. colleagues.

The competitions are very high, therefore the funding is limited.

Appendix K: Other How Researchers Hear About New DOE Opportunities

| How Researchers Hear About New DOE Opportunities | |
|--|-------------------------|
| <u>Method of Hearing About New Awards</u> | <u>Response Amount*</u> |
| Administrative staff at your institution | 0 |
| Commercial vendor of funding opportunities database/search | 0 |
| DOE programme officer or other staff | 3 |
| DOE website | 1 |
| Colleagues/collaborators at your own or other non-U.S. institution | 3 |
| U.S. colleagues or collaborators | 4 |
| Other | 0 |

*Researchers were able to check all that apply (a total of 6 individual researchers responded)

Appendix L: Other Issues Related to Awareness Programmes and Opportunities

| Other Issues Related to Awareness of DOE Funding Programmes and Opportunities |
|--|
| <u>Responses (All information below are direct quotes from researchers)</u> |
| In radiation field the opportunities are made aware through scientific Societies. |

Appendix M: Contribution of DOE Funding to Overall Research Programme

Contribution of DOE Funding to Overall Research Programme

| <u>Type of Contribution</u> | <u>Response Amount*</u> |
|--|-------------------------|
| Provides access to U.S. researchers/institutions | 4 |
| Provides credibility to access other funding | 2 |
| Provides a significant financial resource | 3 |
| None of the options listed | 1 |
| Other | 0 |

* Researchers were able to check all that apply (a total of 6 individual researchers responded).

Appendix N: Positive Experiences/Aspects/Issues with DOE Programmes

Postive Experiences/Aspects/Issues in Applying for and/or Receiving DOE Awards That Could be Lessons for Other (U.S. or European) Funding Bodies

Responses (All information below are direct quotes from researchers)

The application procedure is similar to that for UK research council grants except the detail of experiments required is more extensive for DOE grants. Proof of principle has to be shown, more so than European grants.

The engagement with U.S. based researchers and the programme meetings bring benefits in raised awareness of other relevant work and potential for identifying new research collaborators.

The reporting procedure for DOE program project is much simpler compare to others such as the EU.

Appendix O: Recommendations for DOE Funding Programmes

Recommendations That Could Ease/Improve Research Collaboration Through DOE Funding Programmes

Responses (All information below are direct quotes from researchers)

Better alerting of funding opportunities, clear statements on eligibility.

I found it important to have a partnership with a U.S. laboratory;
Need to understand the different approach to writing U.S. grant than European grant; Grant application is less demanding than an EU grant for non-scientific aspects.

Simplification of language, application process and notification of funding opportunities.

The way to improve research collaborations is through Multidisciplinary Integration program. So Scientist work together to achieve specific goal.