



## **BILAT-USA and Link2US**

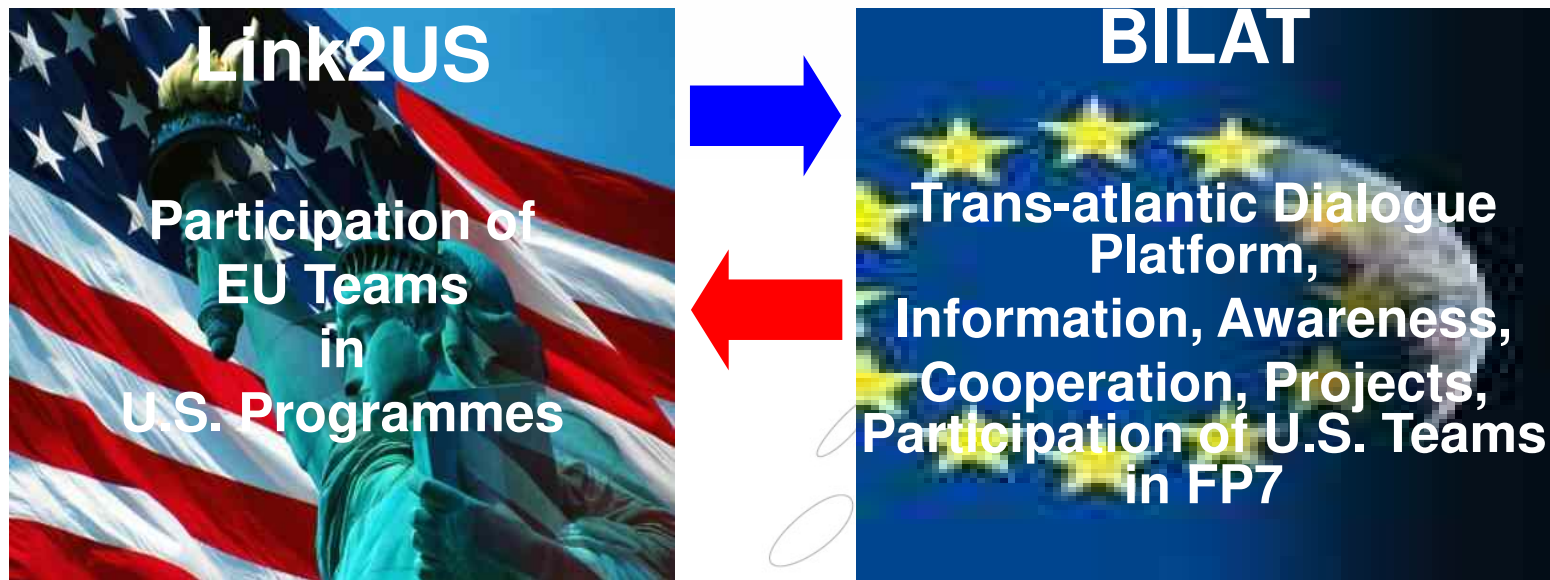
*2 complementary projects enhancing  
EU-U.S. S&T cooperation*

### ***Symposium***

***“Ways of successful science, technology and innovation  
cooperation between Europe and the USA”***

Vienna, April 23, 2012

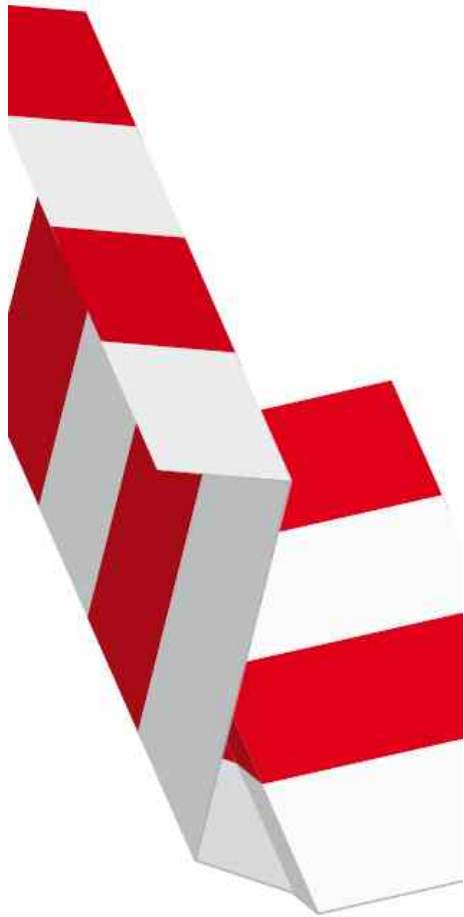
## Two complementary projects fostering the strategic EU – U.S. S&T cooperation



Link2US: European Union – United States Research Cooperation Network: Link to the United States; Coordinator: AAAS

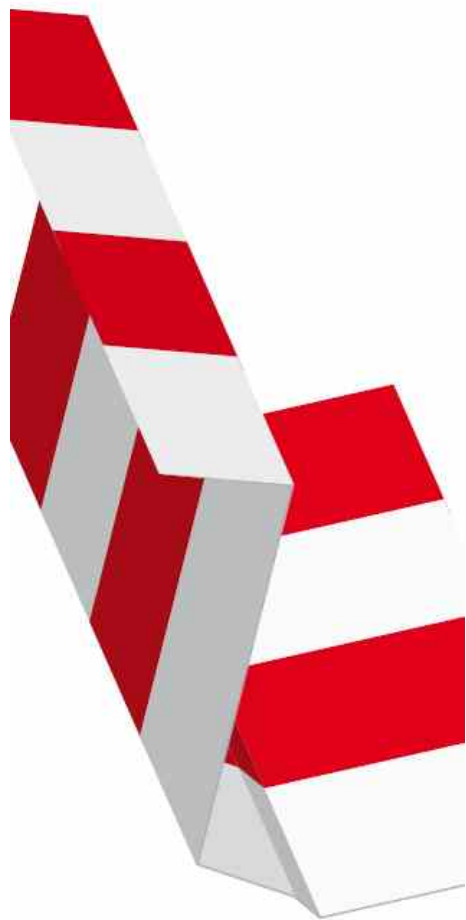
## Bilateral Coordination for the Enhancement and Development of S&T Partnerships between the European Union and the United States of America

- Increasing the transatlantic dialogue through reinforced implementation of EU-U.S. S&T agreement
- Strengthening participation of U.S. research teams in FP7
- Providing easy access to information
- Identifying and promote best practices and raise awareness on cooperation opportunities
- Creating synergies with other existing projects and initiatives



## Bilateral Coordination for the Enhancement and Development of S&T Partnerships between the European Union and the United States of America

- ..brings together relevant stakeholders from both sides of the Atlantic
- ..organises science fora at policy level, symposia on cross-cutting issues, workshops and brokerage events
- ..provides information on S&T cooperation activities and opportunities in order to facilitate new partnerships
- ..offers a web-site with EU-U.S. S&T related news, events and documents



# Major Activities

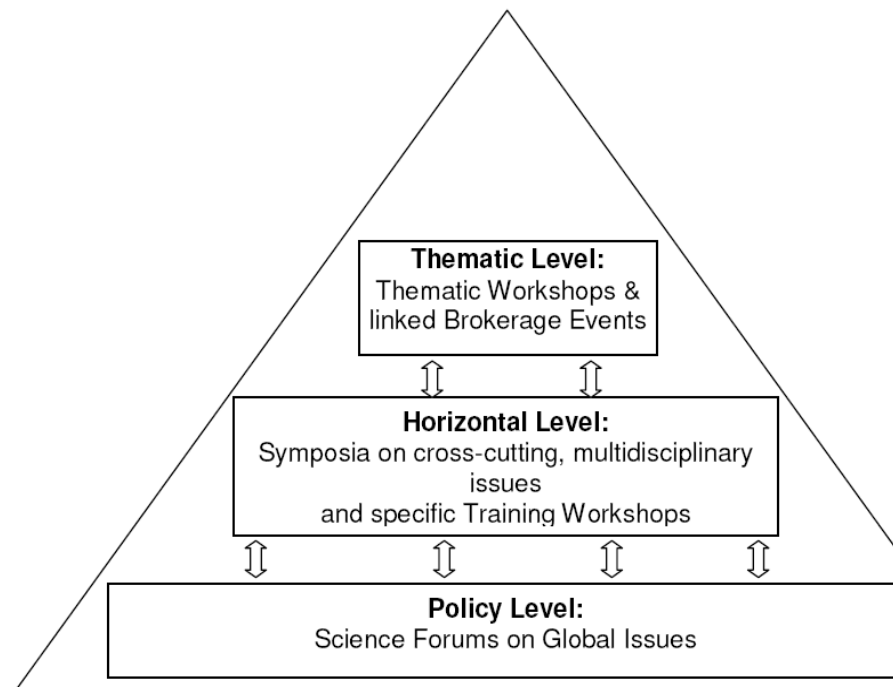


Figure 1: Cascade of interlinked events foreseen in the BILAT-USA

## Thematic Level:

2 Thematic Workshops linked with Brokerage Events

- [Environment](#)
- [Nanotechnology, Grenoble, 31 May](#)

## Horizontal Level:

2 Symposia

- [Large Scale Research Infrastructure, Oct. 2010](#)
- [Innovation & Technology Transfer, March 2011](#)
- [Symposium Vienna, 23-24 April](#)
- [Transatlantic Mobility, Alexandria, VA, 22 May 2012](#)

2 Training Workshops

- [ITT Management, Oct. 2011](#)
- [IPR and Contractual Issues, June 2011](#)

## Policy Level:

2 Fora on Global Issues

- [AAAS Forum on S&T Policy, May 2010](#)
- [ESOF 2012, Dublin, July 2012](#)

## Consortium

- Austrian Research Promotion Agency (FFG) - Coordinator
- American Association for the Advancement of Science (AAAS)
- Hungarian Science and Technology Foundation (TETALAP)
- Agenzia per la Promozione della Ricerca Europea (APRE)
- INTRASOFT International S.A







**Improve the awareness of European scientists and research organisations of U.S. collaborative funding schemes and their success in participating in the schemes to enhance cooperative research with American counterparts and therefore take fuller advantage of the bilateral S&T agreements**



**Enhancing participation of EU teams in U.S. funding programmes**

- Elucidating U.S. national cooperative funding programmes, surveying bilateral agreements, analysing barriers to cooperation, and monitoring participation of European-based researchers in U.S. funding schemes.
- Raising awareness and providing assistance to European-based researchers on U.S. cooperative funding programmes
- Coordinating and maintaining strong relationships with U.S. national authorities, EC, and other stakeholders.



## Increase awareness by European scientists and research organisations of U.S. collaborative funding schemes

- ..analyses U.S. national funding programme opportunities open to EU researchers and research organisations
- ..identifies potential obstacles to S&T cooperation in order to give recommendations / solutions for their avoidance
- ..organises awareness raising events





## Consortium

- American Association for the Advancement of Science (AAAS) - Coordinator
- Austrian Research Promotion Agency (FFG)
- Hungarian S&T Foundation (TETALAP)
- Agenzia per la Promozione della Ricerca Europea (APRE)



## Results

- **Inventory of existing cooperations and projects with the U.S.**  
<http://www.euussciencetechnology.eu/bilat-usa/inventory.html>
- **Inventory of key players, stakeholders and multipliers in the EU and in the U.S.**  
<http://www.euussciencetechnology.eu/bilat-usa/key-players.html>
- **Analysis of U.S. participation in FP6 and FP7**  
<http://www.euussciencetechnology.eu/document/show/id/259>
- **Analysis on obstacles to U.S. participation in the 7th Framework Programme**  
*Online survey in September 2011 amongst FP7 project coordinators and (separately) U.S. participants*
- **First project period results**  
<http://www.euussciencetechnology.eu/news/show?id=176>

## Results

- **Funding programmes open to EU-based researchers / institutions**  
<http://www.euussciencetechnology.eu/link2us/funding-opportunities.html>
- **Workshop Report on "Opportunities for doing Health research in Third Countries" session**  
*(9 June 2011, European Commission (Research and Innovation DG RTI Directorate Health) organised an Open Information Day on FP7 Health research presenting the Seventh Framework Programme's (FP7) Health 2012 call orientations)*  
[http://www.euussciencetechnology.eu/uploads/docs/Wokshop\\_report.pdf](http://www.euussciencetechnology.eu/uploads/docs/Wokshop_report.pdf)
- **Participation Statistics of EU-Based Researchers in U.S. National Programmes**  
[http://www.euussciencetechnology.eu/uploads/docs/LU\\_T1.5\\_Statistics%20Draft\\_Final\\_WebsiteVersion.pdf](http://www.euussciencetechnology.eu/uploads/docs/LU_T1.5_Statistics%20Draft_Final_WebsiteVersion.pdf)
- **First project period results**  
<http://www.euussciencetechnology.eu/news/show?id=177>

### Next steps/activities

- **Policy Level: Fora on Global Issues**  
*“Harnessing the EU Diaspora to Enhance EU - U.S. S&T Collaboration”*  
ESOF 2012, Dublin, July 2012
- **Horizontal Level: Symposia**  
Promotion of transatlantic mobility, Alexandria, VA, (NORDP), 22 May 2012
- **Thematic Level: Thematic Workshops**  
Nanotechnology, Grenoble (NanoSafety Cluster), 31 May 2012

## BILAT USA

### U.S. Participation in the 7th Framework Programme Online survey during September 2011

#### EC aim:

- to study the experience of participants (coordinators and U.S. partners separately) in FP7 projects
- to design more effective arrangements in order to improve EU-U.S. cooperation in research and innovation

#### Project aim:

- analyzing the current possibilities for U.S. participation in the FP including rules for participation, cooperation schemes, and availability of funding.
- identifying the most common limitations or constraints that create obstacles for the participation of U.S. researchers/research institutions in the Framework Programme.
- results of this analysis will be presented to the EU and U.S. authorities
- dissemination of the main findings to the relevant EU and U.S. scientific communities

## BILAT USA

### **U.S. Participation in the 7th Framework Programme Online survey during September 2011**

- two questionnaires developed in cooperation of BILAT-USA and EC DG RTI / INCO Directorate
- statistics overview
- practical/real experiences and recommendations in a EU & U.S. researcher's point of view
- short summary of main results
- final internal report available



## BILAT USA

### U.S. Participation in the 7th Framework Programme Online survey statistics #1

- **633 project coordinators** and **U.S. participants** have been invited by the European Commission to fill-in the BILAT-USA online survey (*277 coordinators of and 356 U.S. participants in FP7 projects*)
- The invitations were sent to **all coordinators** and **U.S. participants of successful FP7 proposals** with U.S. participants (SP COOPERATION, SP CAPACITIES, EURATOM). Not contacted were participants in the SP PEOPLE/mostly individual fellowships, IDEAS and INCO/CAPACITIES programme.
- **130 coordinators** (47%) of and **105 U.S. participants** (29%) FP7 projects filled in the online questionnaire.
- Questions were related to advantages/disadvantages of EU-U.S. FP7 collaboration, challenges and obstacles in FP7

## U.S. Participation in the 7th Framework Programme Online survey statistics #2

	FP7 Programme	initially contacted	successfully contacted
<b>Coordinators:</b>	CIP-ICT-PSP	1	1
	ENERGY	13	12
#5	ENV	24	24
	Fission (EURATOM)	6	5
#1	HEALTH	69	65
#2	ICT	62	58
#5	INFRA (Capacities)	24	23
#3	KBBE	33	29
#4	NMP	25	24
	SEC	4	4
	SiS (Capacities)	8	8
	SP1-JTI	2	1
	SPA	12	12
	SSH	4	4
	TPT	7	7
<b>Coordinator^s Total:</b>		<b>294</b>	<b>277</b>

	FP7 Programme	initially contacted	successfully contacted
<b>U.S. Participants:</b>	CIP-ICT-PSP	1	0
	ENERGY	16	16
#5	ENV	32	30
	Fission (EURATOM)	6	6
#1	HEALTH	90	81
#2	ICT	73	65
#5	INFRA (Capacities)	32	32
#3	KBBE	48	45
#4	NMP	42	40
	SEC	4	4
	SiS (Capacities)	10	8
	SP1-JTI	2	1
	SPA	17	17
	SSH	4	4
	TPT	8	7
<b>U.S. Participant sTotal:</b>		<b>385</b>	<b>356</b>

## Obstacles to U.S. Participation in the 7th Framework Programme

### Main results of an online survey during September 2011

#### FP7 Coordinators

2.4 a) Cooperation Programme	% of Respondents	Number of Respondents
Health	25.22%	29
Food, agriculture/fisheries & biotechnology	6.96%	8
Information and communication technologies	23.48%	27
Nanosciences, materials and new production technologies	7.83%	9
Energy	8.70%	10
Environment (including Climate change)	13.04%	15
Transport (including Aeronautics)	4.35%	5
Socio-economic sciences and the humanities	1.74%	2
Space	6.09%	7
Security	2.61%	
<i>Number of respondents</i>		
<i>Number of respondents who skipped this question</i>		

Leading research topics in Health, ICT and Environment (incl. Climate change)

Access to specific expertise and scientific excellence as leading reason for U.S. involvement

3.2 Main reasons for U.S. partners involvement in your project (multiple choices are allowed)	% of Respondents	Number of Respondents
Access to specific expertise	21.34%	83
Improve scientific excellence of the proposal/ project	19.28%	75
Share cost and/or risk of developing new knowledge	1.54%	6
Improve relations to U.S. researcher(s)	9.25%	36
Improve bilateral relationship at institutional level	5.14%	20
Expectations of technological advantages/ breakthroughs	7.71%	30
Access to research infrastructure/ labs of partner(s)	5.91%	23
Establish a wider cooperation network	12.34%	48
Expectations of higher project impact	12.60%	49
Improve chances to be retained for funding	3.08%	12

## Obstacles to U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

### FP7 Coordinators

#### 4.1.3 Obstacles related to administrative/legal issues

##### a) Legal concerns

	1	2	3	4	5	Number of Respondents
Issues concerning applicable law/jurisdiction (EU/ US)	31% (27)	11% (10)	10% (9)	17% (15)	29% (25)	86
Issues concerning dispute settlement/binding arbitration	60% (51)	15% (13)	3% (3)	9% (8)	10% (9)	84
Export control restrictions	74% (61)	10% (9)	7% (6)	3% (3)	3% (3)	82
Restriction to transfer materials/bio-resources	75% (61)	8% (7)	11% (9)	2% (2)	2% (2)	81
Confidentiality of data	63% (52)	17% (14)	12% (10)	4% (4)	2% (2)	82
Financial penalties/ liquidated damages	69% (57)	12% (10)	7% (6)	3% (3)	7% (6)	82
						<i>Number of Respondents</i> 87
						<i>Number of respondents who skipped this question</i> 43

46% Very relevant and relevant legal obstacle (is the applicable Belgian law/jurisdiction)

IPR, administrative and financial constraints seem not to be a hindering issue according to FP7 Coordinators having an U.S. partner organisation

## Obstacles to U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

### U.S. Participants in FP7

1.6 EU funding was requested for your organization in the proposal?		% of Respondents	Number of Respondents
Yes		57.83%	48
No		42.17%	35
		<i>Number of respondents</i>	<b>83</b>
		<i>Number of respondents who skipped this question</i>	<b>22</b>

1.7 EU funding was agreed to be provided to your organization?		% of Respondents	Number of Respondents
Yes		46.99%	39
No		53.01%	44
		<i>Number of respondents</i>	<b>83</b>
		<i>Number of respondents who skipped this question</i>	<b>22</b>

48% Very relevant and relevant financial hurdle being the lack of funding for the U.S. partner

#### Financial constraints

	1	2	3	4	5	Number of Respondents	
Lack of funding for the U.S. partners	27% (22)	6% (5)	16% (13)	17% (14)	31% (25)	79	
Level of overheads	39% (30)	15% (12)	21% (16)	11% (9)	11% (9)	76	
Contribution to Guarantee Fund	61% (45)	9% (7)	16% (12)	5% (4)	6% (5)	73	
						<i>Number of Respondents</i>	<b>79</b>
						<i>Number of respondents who skipped this question</i>	<b>26</b>

## Online Survey Structure for Project Coordinators

### 1. PROPOSAL/PROJECT INFORMATION

1.1 Proposal/Project title (106/130)

1.2 Proposal/Project acronym (107/130)

1.3 Proposal/Project status (109/130)

1.4 Did the U.S. partner(s) all sign a FP7 Grant Agreement? (106/130)

- *If No, did the U.S. partner(s) retain a relationship with the project? (42/130)*
- *If your U.S. partner(s) did not sign the Grant Agreement but did retain a relationship, please state the ways in which you collaborated (35/130)*

1.5 Total EC Contribution (105/130)

1.6 Total EC contribution for U.S. partner(s) in total (100/130)

2. CONSORTIUM PROFILE

3. INFORMATION ON THE PREPARATION OF THE PROPOSAL

4. CHALLENGES AND CONCERNS



## BILAT USA

### Online Survey Structure for Project Coordinators

1. PROPOSAL/PROJECT INFORMATION
2. **CONSORTIUM PROFILE**
  - 2.1 Where is your organization based? (107/130)
  - 2.2 Which type of organization do you represent? (107/130)
  - 2.3 Which types of U.S. partners were involved in the proposal? (103/130)
  - 2.4 **a) Cooperation Programme** (96/130)
  - 2.4 **b) Ideas Programme** (0/130)
  - 2.4 **c) People Programme (Marie Curie Actions)** (1/129)
  - 2.4 **d) Capacities Programme** (14/116)
3. INFORMATION ON THE PREPARATION OF THE PROPOSAL
4. CHALLENGES AND CONCERNS

## BILAT USA

### Online Survey Structure for Project Coordinators

1. PROPOSAL/PROJECT INFORMATION
2. CONSORTIUM PROFILE
- 3. INFORMATION ON THE PREPARATION OF THE PROPOSAL**
  - 3.1** How was the contact with the U.S. project partner established? (103/27)
  - 3.2** Main reasons for U.S. partners involvement in your project ?(103/130)
  - 3.3** Involvement of U.S. partner(s) in the proposal writing process? (102/130)
4. CHALLENGES AND CONCERNS

## Online Survey Structure for Project Coordinators

1. PROPOSAL/PROJECT INFORMATION
2. CONSORTIUM PROFILE
3. INFORMATION ON THE PREPARATION OF THE PROPOSAL
4. **CHALLENGES AND CONCERNS**
  - 4.1.1 Obstacles related to scientific issues (89/130)
  - 4.1.2 Obstacles concerning the consortium (87/130)
  - 4.1.3 Obstacles related to administrative/legal issues
    - a) Legal concerns (87/130)
    - b) Administrative issues (85/130)
    - c) Issues concerning IP provisions (86/130)
    - d) Financial constraints (87/130)
  - 4.2 Have you previously experienced any other type of collaboration with U.S. other than within the EU Framework Programmes? (86/130)
    - *If Yes, please explain the problems you encountered (31/130)*
  - 4.3 Please indicate which are, in your opinion, the most important limitations or constraints that create obstacles for the participation of U.S. researchers/research institutions in FP7? (75/130)
  - 4.4 Please indicate your recommendations to address these limitations or constraints? (62/130)

## BILAT USA

### Online Survey Structure for U.S. Partners

#### 1. PROPOSAL/PROJECT INFORMATION

1.1 Proposal/Project title (81/105)

1.2 Project acronym (83/105)

1.3 Project coordinator (Organization) (77/105)

1.4 Proposal/Project status (83/22)

1.5 Did you/your organization sign a FP7 Grant Agreement? (83/105)

- *If No, did you retain a relationship with the project? (28/105)*
- *If you did not sign the Grant Agreement but did retain a relationship, please state the ways in which you collaborated (23/82)*

1.6 EU funding was requested for your organization in the proposal? (83/105)

1.7 EU funding was agreed to be provided to your organization? (83/105)

2. CONSORTIUM PROFILE

3. INFORMATION ON THE PREPARATION OF THE PROPOSAL

4. CHALLENGES AND CONCERNS

## BILAT USA

### Online Survey Structure for U.S. Partners

1. PROPOSAL/PROJECT INFORMATION
- 2. CONSORTIUM PROFILE**
  - 2.1** Which type of organization do you represent? (82/105)
  - 2.2 a)** Cooperation Programme (76/105)
  - 2.2 b)** Ideas Programme (2/105)
  - 2.2 c)** People Programme (Marie Curie Actions) (5/105)
  - 2.2 d)** Capacities Programme (14/105)
3. INFORMATION ON THE PREPARATION OF THE PROPOSAL
4. CHALLENGES AND CONCERNS

## BILAT USA

### Online Survey Structure for U.S. Partners

1. PROPOSAL/PROJECT INFORMATION
2. CONSORTIUM PROFILE
- 3. INFORMATION ON THE PREPARATION OF THE PROPOSAL**
  - 3.1** How did you join the Consortium? (82/105)
  - 3.2** Main reasons/expectations for your involvement in this proposal/project ? (82/105)
  - 3.3** Please indicate your involvement level in the proposal writing process? (82/105)
4. CHALLENGES AND CONCERNS



## BILAT USA

### Online Survey Structure for U.S. Partners

1. PROPOSAL/PROJECT INFORMATION
2. CONSORTIUM PROFILE
3. INFORMATION ON THE PREPARATION OF THE PROPOSAL
- 4. CHALLENGES AND CONCERNS**
  - 4.1.1** Obstacles related to scientific issues (77/105)
  - 4.1.2** Obstacles concerning the consortium (76/105)
  - 4.1.3** Obstacles related to administrative/legal issues
    - a) Legal concerns (77/105)
    - b) Administrative issues (77/105)
    - c) Issues concerning IP provisions (77/105)
    - d) Financial constraints (79/105)
  - 4.2** Have you previously experienced any other type of collaboration with European partners other than within the EU Framework Programmes? (78/105)
    - *If Yes, please explain the main advantages and disadvantages of this collaboration, in comparison to FP7?* (32/105)
  - 4.3** Please indicate what are, in your opinion, the most common limitations or constraints that create obstacles for the participation of U.S. researchers/research institutions in FP7? (63/105)
  - 4.4** Please indicate your recommendations to address these limitations or constraints (50/105)

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011 FP7 Coordinators

2.4 a) Cooperation Programme	% of Respondents	Number of Respondents
Health	25.22%	29
Food, agriculture/fisheries & biotechnology	6.96%	8
Information and communication technologies	23.48%	27
Nanosciences, materials and new production technologies	7.83%	9
Energy	8.70%	10
Environment (including Climate change)	13.04%	15
Transport (including Aeronautics)	4.35%	5
Socio-economic sciences and the humanities	1.74%	2
Space	6.09%	7
Security	2.61%	
<i>Number of respondents</i>		
<i>Number of respondents who skipped this question</i>		

Leading research topics  
in Health, ICT and  
Environment

Access to specific expertise  
and scientific excellence as  
leading reason for U.S.  
involvement

3.2 Main reasons for U.S. partners involvement in your project (multiple choices are allowed)	% of Respondents	Number of Respondents
Access to specific expertise	21.34%	83
Improve scientific excellence of the proposal/ project	19.28%	75
Share cost and/or risk of developing new knowledge	1.54%	6
Improve relations to U.S. researcher(s)	9.25%	36
Improve bilateral relationship at institutional level	5.14%	20
Expectations of technological advantages/ breakthroughs	7.71%	30
Access to research infrastructure/ labs of partner(s)	5.91%	23
Establish a wider cooperation network	12.34%	48
Expectations of higher project impact	12.60%	49
Improve chances to be retained for funding	3.08%	12

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011 FP7 Coordinators

1.4 Did the U.S. partner(s) all sign a FP7 Grant Agreement?	% of Respondents	Number of Respondents
Yes (go directly to question 1.5)	60.38%	64
No	39.62%	42
<i>Number of respondents</i>		<b>106</b>
<i>Number of respondents who skipped this question</i>		<b>24</b>
If No, did the U.S. partner(s) retain a relationship with the project?	% of Respondents	Number of Respondents
Yes	88.10%	37
No (go directly to question 1.5)	11.90%	5
<i>Number of respondents</i>		<b>42</b>
<i>Number of respondents who skipped this question</i>		<b>88</b>

## U.S. Participation in the 7th Framework Programme

### Main results of an online survey during September 2011

#### FP7 Coordinators

#### 4.1.1 Obstacles related to scientific issues

	1 (not relevant)	2	3	4	5 (very relevant)	Number of Respondents
Knowledge Sharing	60% (53)	20% (18)	10% (9)	4% (4)	3% (3)	87
Access to U.S. partner specific material, documents, etc	60% (53)	19% (17)	13% (12)	3% (3)	2% (2)	87
Access to U.S. research, infrastructures/labs	71% (63)	13% (12)	9% (8)	2% (2)	3% (3)	88
Access to U.S. scientific community	73% (64)	16% (14)	8% (7)	0% (0)	2% (2)	87
<b>Number of Respondents</b>						<b>89</b>
<b>Number of respondents who skipped this question</b>						<b>41</b>

#### 4.1.2 Obstacles concerning the consortium

	1	2	3	4	5	Number of Respondents
Staff exchanges	60% (51)	17% (15)	14% (12)	4% (4)	2% (2)	84
Decision making process within the consortium	63% (54)	21% (18)	10% (9)	1% (1)	3% (3)	85
Cooperation with partners	69% (59)	12% (11)	12% (11)	2% (2)	2% (2)	85
Commitment of partners	59% (52)	20% (18)	9% (8)	3% (3)	6% (6)	87
Communication, information exchange	55% (48)	29% (25)	6% (6)	5% (5)	2% (2)	86
<b>Number of Respondents</b>						<b>87</b>
<b>Number of respondents who skipped this question</b>						<b>43</b>

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011 FP7 Coordinators

### 4.1.3 Obstacles related to administrative/legal issues

#### a) Legal concerns

	1	2	3	4	5	Number of Respondents
Issues concerning applicable law/jurisdiction (EU/ US)	31% (27)	11% (10)	10% (9)	17% (15)	29% (25)	86
Issues concerning dispute settlement/binding arbitration	60% (51)	15% (13)	3% (3)	9% (8)	10% (9)	84
Export control restrictions	74% (61)	10% (9)	7% (6)	3% (3)	3% (3)	82
Restriction to transfer materials/bio-resources	75% (61)	8% (7)	11% (9)	2% (2)	2% (2)	81
Confidentiality of data	63% (52)	17% (14)	12% (10)	4% (4)	2% (2)	82
Financial penalties/ liquidated damages	69% (57)	12% (10)	7% (6)	3% (3)	7% (6)	82
						<i>Number of Respondents</i> 87
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46% Very relevant and relevant legal obstacle (is the applicable Belgian law/jurisdiction)

IPR, administrative and financial constraints seem not to be a hindering issue according to FP7 Coordinators cooperating with an U.S. partner organisation

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011 FP7 Coordinators

b) Administrative issues						
	1	2	3	4	5	Number of Respondents
Administrative burden and costs	41% (35)	20% (17)	17% (15)	7% (6)	13% (11)	84
Reporting requirements	48% (40)	20% (17)	12% (10)	8% (7)	10% (9)	83
Assessment of final reports	57% (47)	20% (17)	12% (10)	4% (4)	4% (4)	82
<b>Number of Respondents</b>						<b>85</b>
<b>Number of respondents who skipped this question</b>						<b>45</b>
c) Issues concerning IP provisions						
	1	2	3	4	5	Number of Respondents
Publication restrictions / delays	68% (58)	15% (13)	10% (9)	2% (2)	3% (3)	85
Concerns about protection of know how	52% (45)	18% (16)	12% (11)	5% (5)	10% (9)	86
Concerns about ownership of know how	55% (47)	16% (14)	12% (11)	4% (4)	10% (9)	85
Concerns about licensing of know how	60% (50)	15% (13)	10% (9)	6% (5)	6% (5)	82
<b>Number of Respondents</b>						<b>86</b>
<b>Number of respondents who skipped this question</b>						<b>44</b>



## U.S. Participation in the 7th Framework Programme

### Main results of an online survey during September 2011

#### FP7 Coordinators

d) Financial constraints						
	1	2	3	4	5	Number of Respondents
Lack of funding for the U.S. partners	42% (37)	14% (13)	8% (7)	10% (9)	24% (21)	87
Level of overheads	60% (52)	19% (17)	5% (5)	6% (6)	6% (6)	86
Contribution to Guarantee Fund	80% (67)	7% (6)	6% (5)	4% (4)	1% (1)	83
	<i>Number of Respondents</i>					<b>87</b>
	<i>Number of respondents who skipped this question</i>					<b>43</b>

## BILAT USA

### **U.S. Participation in the 7th Framework Programme** **Main results of an online survey during September 2011** **Main obstacles according to FP7 Coordinators**

*“U.S. partners do not receive any funding or reimbursement of costs neither from the U.S. nor the EU!”*

*“Lack of funding for U.S. partners!”*

*“Grant Agreement unacceptable by legal U.S. authorities!”*

*“Writing of the Consortium Agreement!”*

*“EU Grant rules and regulations!”*

## BILAT USA

### U.S. Participation in the 7th Framework Programme

#### Main results of an online survey during September 2011

#### Main recommendations according to FP7 Coordinators #1

- *“top level agreement among U.S. and EC in order to be able to provide the US partners with a certain level of US funding if they participate to EC programs that include U.S. research priorities.”*
- *“There must be some kind of agreement between the EU and US that U.S. partners will get national funding if they participate in a successful proposal.”*
- *“Contracting or agreeing with an U.S. institution to carry out audits/controls might be helpful”*
- *“A bi-lateral agreement should be found concerning the legal issue. A framework should be provided so that both entities trust the good will of one another and use a foreign legal system to solve the issues pertaining to that entity.”*
- *“Synchronization of R&D programs with identical/similar objectives. Funding of participating researchers from both sides or shared financial issues.”*

## BILAT USA

### U.S. Participation in the 7th Framework Programme

#### Main results of an online survey during September 2011

#### Main recommendations according to FP7 Coordinators #2

- *“Fund the U.S. partners - Establish a joint grant agreement”*
- *“Availability of funds (ideally U.S. rather than EU) to the U.S. partners, through the same funding route. Submit the funding applications at the same time to the two funding agencies.”*
- *“Agree with the U.S./ find a compromise for the legal matters. The result would be a standard procedure (easy-to-use) that is known throughout the US.”*
- *“Request U.S. administration to open up the USA projects to EU scientists under the same terms that U.S. scientists participate in EU projects”*
- *“some alignment in funding schemes between, say, NSF and EU would be desirable, joint calls would be a dream.”*

## BILAT USA

### U.S. Participation in the 7th Framework Programme

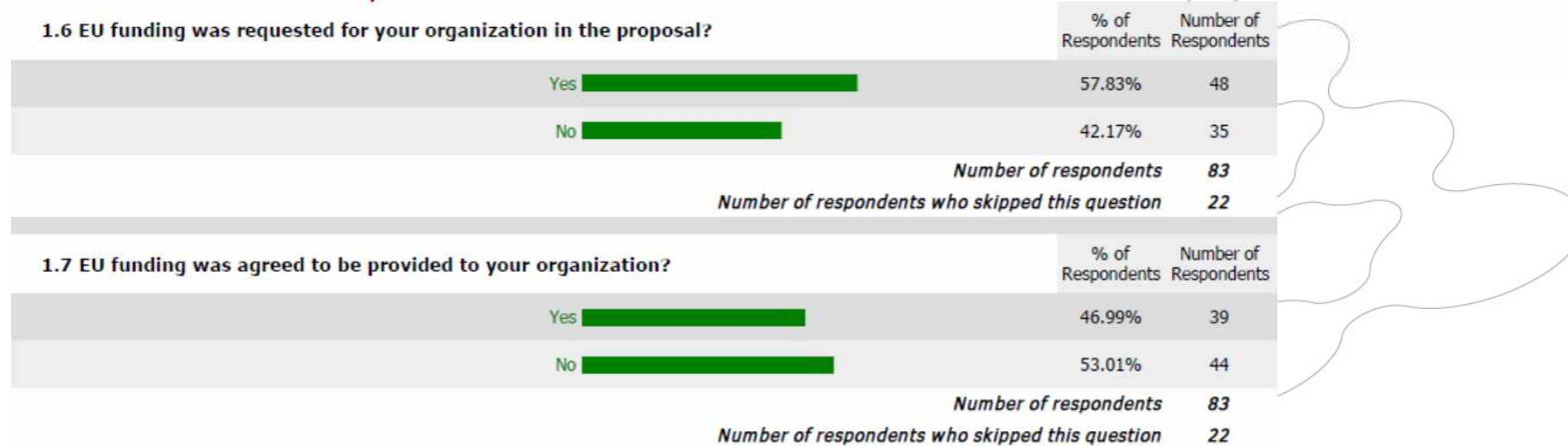
#### Main results of an online survey during September 2011

#### Main recommendations according to FP7 Coordinators #3

- *“as long as U.S. partners can not be funded directly they should be relieved from the administrative overhead of a project as far as possible - could there be an IPR contract template for joint EU/U.S. research projects, taking into account the diverse nature of IPR in both regions.”*
- *“First: USA-EU agreement to manage IP rights and other legal issues in a standard, agreed way.”*  
*“Second: USA-EU agreement to dedicate part of the USA research funds to EU partners and part of the EU funds to USA partners so to have a compensation mechanism that allows cross-fundings.”*
- *“make more joint calls with open topics to suit the specific sectors”*

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

### U.S. Participants in FP7



48% very relevant and relevant financial hurdle being the lack of funding for the U.S. partner

#### Financial constraints

	1	2	3	4	5	Number of Respondents
Lack of funding for the U.S. partners	27% (22)	6% (5)	16% (13)	17% (14)	31% (25)	79
Level of overheads	39% (30)	15% (12)	21% (16)	11% (9)	11% (9)	76
Contribution to Guarantee Fund	61% (45)	9% (7)	16% (12)	5% (4)	6% (5)	73
<i>Number of Respondents</i>						<b>79</b>
<i>Number of respondents who skipped this question</i>						<b>26</b>

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

### U.S. Participants in FP7

1.6 EU funding was requested for your organization in the proposal?		% of Respondents	Number of Respondents
Yes		57.83%	48
No		42.17%	35
<i>Number of respondents</i>			<b>83</b>
<i>Number of respondents who skipped this question</i>			<b>22</b>
1.7 EU funding was agreed to be provided to your organization?		% of Respondents	Number of Respondents
Yes		46.99%	39
No		53.01%	44
<i>Number of respondents</i>			<b>83</b>
<i>Number of respondents who skipped this question</i>			<b>22</b>



## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

### U.S. Participants in FP7

4.1.1 Obstacles related to scientific issues						
	1 (Not relevant)	2	3	4	5 (Very relevant)	Number of Respondents
Knowledge sharing	64% (50)	14% (11)	12% (10)	2% (2)	5% (4)	77
Access to specific material, documents, etc.	62% (48)	15% (12)	11% (9)	5% (4)	5% (4)	77
Access to research Infrastructures/labs	66% (50)	17% (13)	9% (7)	4% (3)	2% (2)	75
Access to wider U.S. scientific community	69% (53)	13% (10)	7% (6)	5% (4)	3% (3)	76
	<i>Number of Respondents</i>					77
	<i>Number of respondents who skipped this question</i>					28

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

### U.S. Participants in FP7

4.1.2 Obstacles concerning the consortium						
	1	2	3	4	5	Number of Respondents
Staff exchange	69% (53)	15% (12)	6% (5)	5% (4)	2% (2)	76
Decision making process within the consortium	52% (40)	22% (17)	14% (11)	6% (5)	3% (3)	76
Cooperation with partners	57% (44)	21% (16)	14% (11)	1% (1)	5% (4)	76
Commitment of partners	57% (44)	18% (14)	14% (11)	2% (2)	6% (5)	76
Communication, information exchange	53% (41)	23% (18)	10% (8)	7% (6)	3% (3)	76
<b>Number of Respondents</b>						<b>76</b>
<b>Number of respondents who skipped this question</b>						<b>29</b>
4.1.3 Obstacles related to administrative/legal issues						
Legal concerns						
	1	2	3	4	5	Number of Respondents
Issues concerning applicable law/jurisdiction (EU/ US)	37% (29)	6% (5)	16% (13)	11% (9)	27% (21)	77
Issues concerning dispute settlement/binding arbitration	59% (45)	10% (8)	10% (8)	5% (4)	14% (11)	76
Export control restrictions	65% (49)	9% (7)	16% (12)	4% (3)	5% (4)	75
Restriction to transfer materials/bio-resources	77% (58)	8% (6)	9% (7)	1% (1)	4% (3)	75
Confidentiality of data	62% (47)	17% (13)	10% (8)	1% (1)	8% (6)	75
Financial penalties/ liquidated damages	69% (53)	6% (5)	11% (9)	2% (2)	9% (7)	76
<b>Number of Respondents</b>						<b>77</b>
<b>Number of respondents who skipped this question</b>						<b>28</b>

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

### U.S. Participants in FP7

<b>Administrative issues</b>						
	1	2	3	4	5	Number of Respondents
Administrative burden and costs	22% (17)	24% (19)	19% (15)	12% (10)	20% (16)	77
Reporting requirements	31% (24)	27% (21)	19% (15)	9% (7)	12% (10)	77
Assessment of final reports	44% (33)	27% (20)	14% (11)	9% (7)	4% (3)	74
<i>Number of Respondents</i>						<b>77</b>
<i>Number of respondents who skipped this question</i>						<b>28</b>
<b>Issues concerning IP provisions:</b>						
	1	2	3	4	5	Number of Respondents
Publication restrictions / delays	74% (57)	10% (8)	9% (7)	2% (2)	3% (3)	77
Concerns about protection of know how	61% (47)	14% (11)	19% (15)	2% (2)	2% (2)	77
Concerns about ownership of know how	59% (46)	11% (9)	18% (14)	6% (5)	3% (3)	77
Concerns about licensing of know how	61% (47)	10% (8)	16% (13)	7% (6)	3% (3)	77
<i>Number of Respondents</i>						<b>77</b>
<i>Number of respondents who skipped this question</i>						<b>28</b>

## U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

### U.S. Participants in FP7

Financial constraints							
	1	2	3	4	5	Number of Respondents	
Lack of funding for the U.S. partners	27% (22)	6% (5)	16% (13)	17% (14)	31% (25)	79	
Level of overheads	39% (30)	15% (12)	21% (16)	11% (9)	11% (9)	76	
Contribution to Guarantee Fund	61% (45)	9% (7)	16% (12)	5% (4)	6% (5)	73	
						<b>Number of Respondents</b> 79	
						<b>Number of respondents who skipped this question</b> 26	

## BILAT USA

### **U.S. Participation in the 7th Framework Programme** **Main results of an online survey during September 2011** **Main recommendations according to U.S. Participants in FP7**

*“Streamline language for un-funded collaboration within EU projects by non-EU members!”*

*“Relax the language in the Grant Agreement for U.S. partners!”*

*“Harmonize legal framework with U.S. Grant agencies and law!”*

*“Lower the administrative barrier and allow some flexibility regarding administrative aspects that are different in the U.S.!”*

*“Special NSF and other agency involvement for support of U.S. researchers participating in FP7!”*

*“Reach an Agreement with NASA to encourage U.S. participation in ESA programmes. The current legal obstacles make U.S./European collaboration more difficult than it needs to be!”*

## BILAT USA

### U.S. Participation in the 7th Framework Programme

#### Main results of an online survey during September 2011

Summarized (provisional) outcomes #1

- obstacles of and recommendations for enhancement of EU-U.S. STI cooperation in researchers/scientists point of views
- feedback/replies from FP7 project coordinators and U.S. Project participants differ in some cases
- some potential obstacles assessed as not or less relevant
  - e.g. IPR, administrative and financial constraints seem not to be a hindering issue for the majority of FP7 Coordinators cooperating with an U.S. partner organization
- approx. 40% of U.S. participants did not sign the FP7 grant agreement (according to project coordinators) **but**
- approx. 88% retain a relationship with the project (according to project coordinators)

## BILAT USA

### U.S. Participation in the 7th Framework Programme

#### Main results of an online survey during September 2011

*Summarized (provisional) outcomes #2*

- approx. 58% of U.S. participants requested EU funding for their organization
- for approx. 47% U.S. participants EU funding was agreed to be provided
- approx 90% of U.S. partners joined the consortium because of existing contacts with European coordinator or with other project/proposal partners (according to coordinators and U.S. participants)
- answers to “*Have you previously experienced any other type of collaboration with European partners other than within the EU Framework Programmes?*” (*U.S. participants/EU coordinators*):
  - No (47.8% / 45.4%)
  - Yes, in other European-level or multilateral programs or initiatives including European partners (17.8% / 22.7%)
  - Yes, bilateral collaboration with programs of individual European countries (16.7% / 20.6%)



## BILAT USA

### U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011 *Summarized (provisional) outcomes #3*

- Main reasons for U.S. partner involvement in FP7 projects are (*U.S. participants/EU coordinators*):
  - improve scientific excellence of the proposal/project (*17.6% / 19.3%*)
  - establish a wider cooperation network (*16.4% / 12.3%*)
  - access to specific expertise (*15.6% / 21.3%*)
  - improve relations to European/U.S. researcher(s) (*12.8% / 9.3%*)
  - expectations of higher project impact (*12.2% / 12.6%*)

## BILAT USA

### U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011 Summarized (provisional) outcomes #4

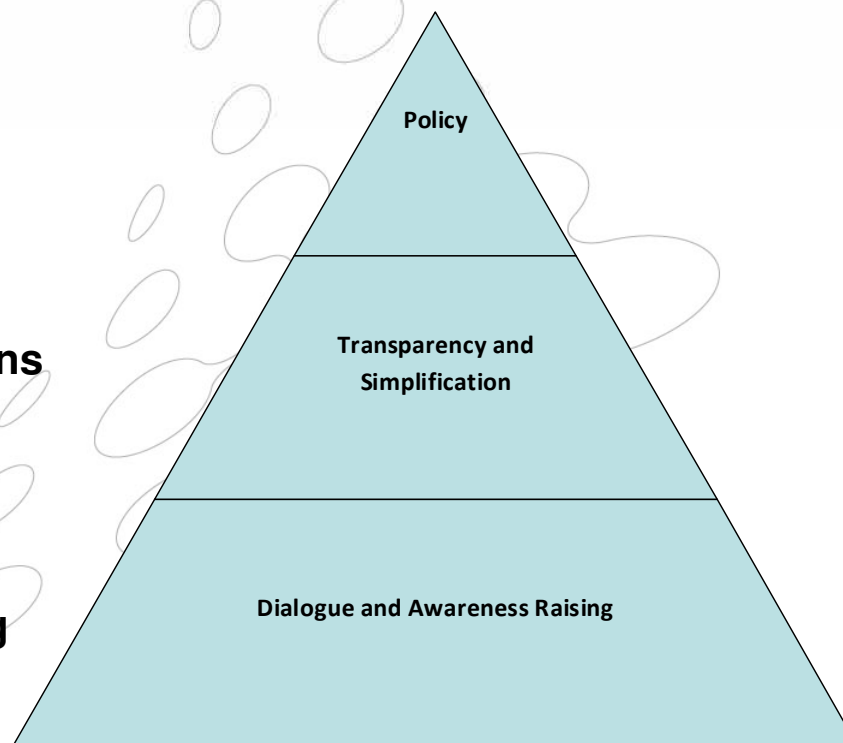
- **main mentioned recommendations to address limitations or constraints of EU-U.S. FP7 project cooperation**
  - bi-lateral EU-U.S. agreement
    - to guarantee respectively to give certainty (via clear guidelines) for funding of U.S. partner organizations
    - concerning the legal and administrative issues
    - how U.S. institutions can carry out audits/controls
    - standardized, IPR, consortium agreement template for joint EU/U.S. research projects, taking into account the diverse nature of IPR in both regions
  - synchronization of R&D programmes with identical/similar objectives
  - open U.S. programmes to EU scientists under the same terms that U.S. scientists participate in EU projects
  - alignment of funding schemes between EU and NSF, NIH, etc.
  - more joint (or coordinated) calls with open topics to suit the specific research areas

## BILAT USA

### U.S. Participation in the 7th Framework Programme Main results of an online survey during September 2011

Recommendations levels

- **Policy Recommendations**
- **Recommendations related to Transparency and Simplifications**
- **Recommendations related to Dialogue and Awareness Rising**



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The screenshot shows the BILAT-USA Link2US portal. At the top, there is a navigation bar with links for HOME, BILAT-USA, LINK2US, BACK OFFICE, and SIGN OUT. The main content area is titled "About the Portal" and includes a "News" section with several articles, an "Events" section, and three featured boxes: "Young Entrepreneurs Initiative Program - YEI", "FP7 Health Orientation paper to the FP7 2013 Work Programme published", and "Ways of successful science, technology and innovation cooperation between Europe and the USA". A sidebar on the left contains a "Newsletter subscription" button and logos for the Seventh Framework Programme, European Research Area, EuroCross, and Enterprise Europe Network. A footer at the bottom contains a disclaimer about funding by the European Union.

**Thank you for your attention !**

***Ralf König***

Head of Unit International Cooperation and Mobility

FFG-Austrian Research Promotion Agency

Division European and International Programmes

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