net **4** society
socio-economic
sciences & humanities

Analysis of participation of new EU Member States ("EU-13") in FP7 in the area of Socio-economic Sciences and Humanities (SSH)

A Task 3.3 Report

Authors:

Larissa Titarenko   (BSU)
Nataly Kovalenko   (SPIE)

This publication reflects only the author's views
– the EU Commission is not liable for any use that may be made of the information contained therein.

SEVENTH FRAMEWORK
PROGRAMME

This Project is funded by the European
Union under the 7th Framework Programme

Table of Contents

Figures

Tables

Table 1: List of Abbreviations

Abbreviation	Explanation
EC	European Commission
EP	European Parliament
ERA	The European Research Area is composed of all research and development activities, programmes and policies in Europe which involve a transnational perspective. Together, they enable researchers, research institutions and businesses to increasingly circulate, compete and co-operate across borders. The aim is to give them access to a Europe-wide open space for knowledge and technologies in which transnational synergies and complementarities are fully exploited[1].
ERC	European Research Council: the European Union funding body that implements the specific FP7 Ideas Programme. The Ideas Programme supports "investigator-driven" research carried out across all fields by individual national or transnational teams in competition at the European level. The ERC consists of an independent Scientific Council, responsible for scientific strategy, and an administrative arm, the European Research Council Executive Agency (ERCEA).
EU	European Union
EU-12	European Union Member States that acceded to the EU in 2004 (Cyprus, Czech Republic, Estonia, Hungary, Lithuania, Latvia, Malta, Poland, Slovenia, Slovakia) and 2007 (Bulgaria, Romania)
EU-13	European Union Member States that acceded to the EU in 2004-2013 (EU-12 and HR)
EU-15	The old Member States that acceded to the EU before 2000
EU-27	The enlarged EU after the accession of 12 new Member States (2004-2007)
EU-28	The enlarged EU after the accession of Croatia (2013)
FP	European Framework Programme for Research and Technological Development.
GERD	General expenditure on Research & Development
GDP	Gross domestic product
GNI PPP	Gross national income (by purchasing power parity)
Horizon 2020	The EU Framework Programme for Research and Innovation for the period 2014-2020
ICT	Information and Communication Technologies
MS	European Union Member State
NCP	National Contact Point: National official representative to the Framework Programme in Member, Associated Countries and Third Countries.
NET4SOCIETY	International Network of the National Contact Points for Socio-economic Sciences and Humanities
R&D	Research & Development
SSH	Socio-economic Sciences and Humanities

---

[1] Source: http://ec.europa.eu/research/era/understanding/what/what_is_era_en.htm.

Executive Summary

The problem of lower success rates of the EU Member States (MS) that joined the European Union in 2004-2013 (EU-13) has been outlined and analyzed in the literature on the topic. The EU-13 MS demonstrate divergent levels of research capacities and performance in Socio-economic Sciences and Humanities (SSH) in the Framework Programmes (FPs), but they are united by the fact that their participation in FP7 (successful projects per 100,000 population) is about half of that in the older MS (EU-15). This problem has been named as a critical issue in several reports and official documents dedicated to the analysis of FP7. This report aims at understanding major factors of EU-13 performance in SSH FP, including the analysis of more successful MS and the reasons for their success.

Among the economic factors, the absolute number of scientists and research expenditure per 1,000 scientists are two important figures that allow for monitoring national situations in research. In MS with higher success rates in FPs, national research spending exceeds 100,000 EUR per 1,000 researchers per year. Human resources are another important factor. The overall research personnel of the EU-13 comprises only 12 % of the EU-28 researchers. This report suggests that a steady growth of research personnel and investment into research careers would be beneficial for the number of active researchers, their networking capacities, and for providing high-quality impact of their research.

Apart from objective statistical indicators, there are a number of institutional factors responsible for the countries' performance in the FPs.

The analysis of average success rates of the EU-13 has shown that EU-13 have much lower success rates with regard to coordinators, who are capable of attracting more researchers to the FP and receiving more European funding. If these MS want to make a significant step forward in success rates in SSH FP research calls, they would have to strongly support the development of more excellent researchers into EU project coordinators.

Two major obstacles that SSH researchers face in the EU-13 are, first, dealing with information on the FP/ Horizon 2020 and, second, networking with scholars and centres of excellence from the older MS (EU-15). Different funding strategies in different parts of the EU and a shorter experience of the EU-13 within the FP both contribute to current institutional obstacles that impede submitting successful proposals from the EU-13.

Researchers in the EU-13 currently suffer from the lack of relevant experience and knowledge, low competitiveness, and insufficient national funding for research. They openly declare that they need more help from their NCPs.

Other problems include low visibility of EU-13 researchers, scarce professional networks with EU-15, and lack of lobbying for research topics of specific relevance for EU-13 researchers in Brussels.

What Societal Challenge 6 NCPs can do now[2] is to:

- Facilitate networking with researchers from other countries and other disciplines; and

- Further promote and provide relevant information services about Horizon 2020.

National policy-makers, on their part, could greatly help national researchers by:

- Introducing more competitive national funding with special institutional support for drafting research proposals;

- Supporting young researchers' careers and attracting more youth into science; and

- Lobbying more actively on the national and European level for research topics of specific relevance for EU-13 researchers (e.g. via national and joint position papers).

---

[2] See Section 3 for detail.

Since FP / Horizon 2020 rules assume the primary importance of excellence, it is up to researchers and their cooperation between EU-13 and EU-15 to accelerate institutional learning in the EU-13 and to overcome existing barriers for their SSH FP projects.

Possible recommended measures for the EU-13 here are:

- to increase competitive national funding;

- to create regional Centres of Excellence that would attract international scholars, and

- to invest more in the young scholars who would develop international networks.

Learning experience is an important aspect for success in European research funding: "The more often institutions participate in the Framework Programme, the more likely is repeated participation. Repeated participation and the assumption of a project-coordinating role lead to higher levels of participation in the future".[3] This means that if recommended measures are taken, the situation is likely to improve in time, and new MS would not feel "*like a new client in a restaurant*" – they would know what is on the menu and how to deal with it.

Within the EU-13, there are more successful countries. The case of Estonia demonstrates that taking advantage of structural funds, existing regional networks, and making connections to the top research institutions may bring about the valuable results, such as higher FP success rates.

NCPs are expected by EU-13 researchers to play their role as mediators between their national research community and international funding opportunities. For the time being, they are important as "info-angels" delivering relevant information up to the point of interest. The target audience of EU-13 SSH researchers is located mostly at education centres (50 %) and research bodies (20 %). This is where the information flows from NCPs should be most energetic and easily reachable.

Currently, many potentially active researchers lack both "fish" and "rods", which NCPs are supposed to possess. NCPs in the EU-13 would also benefit from deriving more feedback from their clients. Sharing best practice should rather be widespread, so that the knowledge transfer of EU-15 experience could happen.

Not the least activity should be informing EU-13 researchers about the common problems of FP participation (increasing the network of participants, conducing competitive research, etc.) and best practices in other EU-13 MS, so that they are not shelled in their small research communities. By contrast, effective information flows might organize and unite EU-13 into new networks, for which NET4SOCIETY[4] has already created useful infrastructure tools, such as the Partner Search Support Service or the Research Directory.

---

[3] Rauch, *Op. Cit.*: 18.
[4] NET4SOCIETY is the international network of National Contact Points for the Societal Challenge 6 ("Europe in a changing world: inclusive, innovative and reflective societies") and Socio-economic Sciences and Humanities (SSH) in Horizon 2020

Recommendations

"Give a man a fish; feed him for a day. Teach a man to fish; feed him for a lifetime."(Lao Tzu)

As the analysis in this report shows, the issue of boosting success rates of newer Member States (EU-13) in SSH FP/ Horizon 2020 is not exactly the same across all of them. Since newer MS are largely diversified, the practical goal for national policy makers and NCPs in these countries might be reformulated into achieving progress and catching up with the good practices within the EU-13, a group which has its own leaders and followers.

Disparate success rates of the EU-13 and EU-15 in SSH FP are an exacerbating problem stemming from objective reasons such as lower expenditures on R&D in the country or a smaller number of institutions with previous experience of participating in the FP and smaller numbers of research personnel. While in the countries where there are more FP coordinators and partners, research networks tend to grow, as a rule, and the excellence of research tends to increase, it will be more difficult for countries with fewer FP partners and coordinators. For instance, a survey conducted in 2010 in the area of ICT demonstrated that coordinators choose their research teams in 49% from previous collaborations and 27% on the suggestion of other consortium members.[5] For these reasons a growing gap in Horizon 2020 success rates can be predicted, especially in the times of austerity. Those MS with smaller GERD per 1,000 researchers will be likely to cut down on research expenditures among other budget cuts. As a result, the "followers" among MS will be likely to suffer from the ever widening gap between the countries (see section 2.2).

The SSH (or now "Societal Challenge 6") NCPs help their countries by informing and training researchers as required by the specific needs of their country. In previous studies it was identified that stakeholders are rather sceptical about the work of NCPs regarding their low level of resources and a rather limited range of their tasks.[6] In other words, NCPs may have little authority. However, what they can do is to provide information in an effective way, to network with other NCPs and to organize events that have practical importance to the researchers of their country since "networking and cooperation skills may be as important as research expertise" for successful FP participation.[7]

The participants of the conference "Half Time – Highway, Interim evaluation of FP7 from different perspectives" (2010)[8] suggested the following major steps for increasing the scientific excellence in the EU-13:

- During the remaining years of FP7 and certainly in the future Common Strategic Framework, **special attention should be paid to creating research capacity in terms of both human and physical capital** (not only in EU-13). Making better use of networking shall also contribute to developing these capacities;
- The **simplification process** has to be continued facilitating to a greater extent the participation of future applicants with special focus on industrial participants (particularly that of SMEs) and on EU-13 countries. The **harmonization** of the modalities of the different instruments can contribute to reach the desired effect;
- The Common Strategic Framework should address the needs of all EU Member States by boosting excellence and **unlocking the full potential of all the regions and Member States in the EU**. **Promoting the internal dimension of ERA by raising the capacity and the competitiveness of the EU-13 Member States** and identifying

---

[5] Ideal-ist 2011 Project, reported in Ferligoj et al., *Op. Cit.*

[6] Rauch, *Op. Cit.*: 17.

[7] Ferligoj et al., *Op. Cit.*: 12.

[8] Organized by the Ministry for National Economy and the National Innovation Office of Hungary; see Half Time Highway - Interim Evaluation of FP7 from Different Perspectives. 11 February 2011.

more inclusive and flexible instruments shall be taken into account in the preparation of the Common Strategic Framework.

Starting from this common position and from the results of NET4SOCIETY's documents analysis, survey, and expert interviews, the following recommendations for overcoming identified obstacles can be proposed.

Recommendations for NCPs

1) **Networking for synergy:** NCPs are in a position to facilitate maintaining and widening inter-organizational ties between researchers within the country and across borders, exchanging information with other NCPs on possibilities of interdisciplinary cooperation, providing relevant information on the rules of Horizon 2020 to national researchers, which may imply but is not limited to the following:

   a) Organizing information stands at major national conferences and international scientific events taking place in the country.

   b) Regular information exchange in the form of bulletins or short memos with other NCPs in the field of SSH and other fields.

   c) Increasing visibility and accessibility of their service to researchers by regular postings of short practical information on their Internet site with public access and opportunity to give feedback on the provided information.

   d) Creating short memos on the participation rules of Horizon 2020 in national languages or otherwise adopted from the official rules for easier use.

   e) Motivating national researchers to register in expert evaluators' database of Horizon 2020 projects.

   f) Regular publishing of success stories from their country or other MS on their Internet site with public access.

2) **Trainings on practical issues** (project management, evaluation criteria, funding schemes available, best practice). Success has to start somewhere. NCPs are capable of identifying where their help is needed most by regularly talking to researchers, which includes:

   a) Addressing the weaker parts of researchers' competence by suggesting a range of topics for trainings.

   b) Inviting scholars for discussing how to overcome problematic issues that hinder their participation in Horizon 2020 if they wish to participate.

   c) Organizing meetings with successful participants from their country and more successful MS to share experience and establish new contacts.

NCPs are in a perfect position to identify the gaps in national participation in the FP, and they are capable of delivering that message to the researchers.

However, if national research capacities are not fully deployed or developed to match the high standards of FP Projects (see sections 2.2.2, 2.2.5), the message about research opportunities will not realize its full potential. In that case, NCPs could extend their information and networking activities in order to stimulate learning among researchers, and working on new research contacts within their countries and with institutions in other MS alike.

NCPs are potentially capable of catalysing changes in national research communities by spreading knowledge and facilitating networking. "All the good things" should be available from the NCPs, and good practice pass through them.

NET4SOCIETY as the NCP network can play an important role to help NCPs be well informed and transfer their up-to-date knowledge to their national research communities.

As for the single researchers, they benefit from developing their scientific networks by participating in large European events and learning about mobility schemes (e.g. the re-launched Marie Skłodowsja Curie Actions for academic mobility). Researchers who are active in international research tend to learn about opportunities and make use of them. Naturally, they would also require institutional support.

Recommendations for National Policy Makers

The goal set by the European Commission for the MS to allocate up to 3 % of their GDP on R&D is fully supported by the data. However, other factors such as the number of research personnel in the country and higher quality of research personnel require long-term favourable conditions for the development of dense and pro-active national and cross-national research networks. Such policy issues as lobbying, introducing more competition in national research funding, and allocating funding to support participation in highly competitive but rewarding FP calls are especially in demand in EU-13.

National policy makers, on their part, could contribute to higher success rates of the EU-13 countries in SSH in Horizon 2020 by lobbying at the Programme Committee level and in national funding organizations to support proposal writing and other learning activities of researchers. The analysis suggests that the following activities could be particularly important for the success of SSH researchers in Horizon 2020:

1) **Lobbying on the national and EU level for national research interests and for a greater share of project evaluators from EU-13[9]:**
   a) All new MS could improve their position in Brussels by lobbying mechanisms which may be currently underused,
   b) Issuing national position papers on research priorities and research policies are another important and generally rather underused activity.

2) **Creating regional Centres of Excellence and interdisciplinary groups which would attract scholars from EU-15 and expand research networks:**
   a) The EU-15 MS have already created these new organizational structures where interdisciplinary problems are researched; they attract excellent researchers from other MS, including the EU-13, and third countries.
   b) One positive external effect of such international research centres is the widening of research networks, which is necessary to increase the success of EU-13 in Horizon 2020.

3) **Supporting young researchers' careers:**
   a) Developing national research capacities via EU mobility programmes is especially relevant for younger researchers and PhDs from the EU-13 MS.
   b) The EU struggles to attract more youth into science in order to increase its innovation capacities, thus there is funding available for information campaigns.

4) **Higher expenditure on Research and Development:** to level up the research capacities, 100,000 EUR per 1,000 researchers a year should become the official goal for the EU-13 MS.

---

[9] This recommendation is directly based on Principle 15 of the Common Position Paper of the EU-13 Member States for the next Framework Programme - FP7, 2011, p. 4, even though it was mentioned here only briefly.

5) Special actions for smaller countries, which include:

   a) making use of existing regional networks to create interdisciplinary and international research centres;

   b) using structural funds for science development (best practice from EU-13 leaders in FPs);

   c) making connections to the top research European institutions: inviting top researchers as experts and advisers for developing national research structures, organising mobility and experience sharing schemes.

Rauch[10] suggests to concentrate on a few research priorities among the broad list of priorities developed by the European Commission; to introduce more competitive national research funding, so that researchers develop the skills of proposal writing; and to foster Centres of Excellence and national FP Coordinators, since they attract scholars, and coordinators have higher benefits per project but have to assume the responsibility for developing the proposal and management.

Other recommendations include enhancing cooperation with business (the "triple helix" of universities – industry – government[11]) and the links between social and natural sciences, which improves the environment for knowledge-intensive SME and enhances the impact of interdisciplinary research produced in the European research projects.

---

[10] Rauch, *Op. Cit.*: 19-21.

[11] http://triplehelix.stanford.edu/3helix_concept

1. **Introduction**

The **goal** of this report is to provide practical evidence-based recommendations for SSH National Contact Points (NCPs) and national stakeholders in the EU-13 and other countries as to the ways how they could contribute to higher success rates of the EU-13 in socio-economic and humanities-related themes of "Horizon 2020".

In the Introduction, the problem of low success of newer EU Member States in the FP is argued first, followed by a short review of previous reports on this topic. Then, the research design, the scope of this report, and the data sources are described.

In Part 2, the results of the data analysis are presented. Section 4.1 presents general statistics on Member State success rates in SSH FP calls, and 4.2 proceeds with the analysis of major factors of MS success such as national R&D funding (4.2.1), national research capacities (4.2.2), national track record in the FP6 (4.2.3), national support for EU research (4.2.4), and national research priorities (4.2.5). Section 4.3 follows with the results of the SSH scholars' survey on the factors of success in FP, whereas section 4.4, finally, presents experts' opinions on the same subject.

The conclusions drawn from this analysis are included in the executive summary that precedes this introduction.

This report is a data-based analysis carried out within Task 3.3 "EU-12 New Member States" of the NET4SOCIETY project.[12] It addresses the different performance levels of EU Member States in Socio-economic Sciences and Humanities (SSH) projects within the European Framework Programme (FP) 7 and, on a more limited scale, the FP6. This issue, which was raised several times during the past few years, is still a central element of discussion in the European debates on the subject.[13]

The EC's strategy in research is to involve all the EU Member States and the FP Associated Countries in joint innovative international research cooperation. However, the relatively lower performance of the new EU Member States (EU-12[14]) was highlighted as a critical point in the general interim evaluation report of the FP7.[15] In particular, the authors pointed out that there were "no organisations based in EU-12 Member States in the top 50 list" of successful research organizations that participated in the FP7.[16] The report promoted the idea of "full-scale involvement" of the EU-12 in the FP that would contribute to bridging the differences in research capacities among the Member States.

The report was followed by a Common Position Paper of the EU-12 Member States (2011)[17] that pledged for more "inclusive solutions for a more integrated European Research Area (ERA)", pointing to different starting points of European Union Member States (EU MS) and to the fact that the FP should be able to work for the "needs of all EU Member States".[18] In particular, it was suggested that the ERA instruments become more flexible, and the process

---

[12] NET4SOCIETY is the international network of National Contact Points for the Societal Challenge 6 ("Europe in a changing world: inclusive, innovative and reflective societies") and Socio-economic Sciences and Humanities (SSH) in Horizon 2020.

[13] See for example such documents as: Council of the European Union: From the General Secretariat of the Council to Delegations. Annex II. Analysis on low participation in FP 7 – Information from the Commission. 28 September 2011; PRESS RELEASE - R&D into higher gears prepared by the Hungarian Ministry for National Economy (Budapest, 25. February, 2011); 5th ERAC Meeting on 27-29 April 2011. ERAC Opinion in view of the future Framework Programme ("Common Strategic Framework"). Background note by Christian Seiser, Rapporteur; ESF Forward Look report 'Central and Eastern Europe Beyond Transition: Convergence and Divergence in Europe' / Executive summary. Budapest, 2012, etc.

[14] Since Croatia acceded to the EU in July 2013, it may be relevant to speak of EU-13 and EU-28 now.

[15] *Interim Evaluation of the Seventh Framework Programme. Report of the Expert Group* (Final Report 12.11. 2010).

[16] *Ibid.*

[17] Common Position Paper of the EU-13 Member States for the next Framework Programme - FP7, 2011.

[18] *Ibid.,* p. 2.

---

of selecting experts and evaluators invited by the Commission when preparing strategic documents should be more transparent and balanced in terms of participation of all MS.[19] A number of benefits of more active inclusion of new MS in the FP Projects such as inclusiveness, higher cost efficiency, higher relevance of research, and more effective contribution to growth and jobs were mentioned.[20]

Thus, the issue of lower performance of the EU-13 in the FP has been on the agenda for some time, which indicates pertaining awareness of the problem among the national and European stakeholders. However, the problem of different performance rates in the FP has a complex structure. For one thing, the FP theme of Social Sciences and Humanities has its own specificity for the reason that many research problems in the domains of social sciences and humanities by their nature have regional relevance.[21]

SSH FP Projects are oriented at solving the challenges of European scope by joining the efforts of best research capacities available in the EU MS as well as the best researchers from the whole world. European research priorities established for the SSH in FP7 (see Annex 1 of this document) have been to a varying degree reflected in the national research priorities. In this respect, finding the proper niche for national researchers within the broad FP goals is necessary for effective participation.

It is important to stress that the FP7 evaluation criteria for selecting the best projects and participants from any country are identical. Briefly, they are focused on the (1) quality and originality of the research project and the (2) qualifications of the applicants. This equal opportunity approach assumes that applicants from the EU-15[22] and EU-13 have the same chances to be selected. It means that the researchers from the EU-13 MS can work in any FP7 projects under the same conditions as the selected researchers from the EU-15 MS. However, as the analysis of the E-Corda[23] database shows (Fig. 2-3), in practice the researchers and organizations from the EU-15 are more successful in SSH FP7 projects than researchers from EU-13.

In the recent document "Strategy for implementing Horizon 2020 in 2014-2016" it is also clearly stated that the EU supports Member States' cooperation and provides financial support for the projects that fit its thematic priorities and meet the selection criteria: "Europe requires more cooperation so that the brightest minds work together to make greater impact on societal challenges (e.g. demographic-ageing, energy security, mobility, environmental degradation), and to avoid unnecessary duplication of research and infrastructure investment at national level".[24]

The EU-13 MS demonstrate divergent levels of research capacities and performance in SSH FPs (Fig. 1, 4). The EU-13 MS are united by the fact that their participation in the FP7 (successful projects per 100,000 population) is about half of that in the EU-15.[25] Since the EU-13 vary greatly as to their territory, population size, and, logically, the absolute rate of researchers, comparing successful projects per 100,000 provides a more balanced view. Even though in SSH FP7 some EU-13 countries such as Estonia demonstrate success rates above the average EU-15 rate, the problem of EU-13 participation in SSH still requires more detailed analysis and recommendations as to the possible ways of improving the situation.

---

[19] *Ibid.*

[20] *Ibid.*

[21] World Social Science Report 2010: Knowledge Divides. - Paris: UNESCO, 2010.

[22] The old Member States that acceded to the EU before 2000.

[23] EU database for FP proposals and projects.

[24] Geoghegan-Quinn, M. *Strategy for implementing Horizon 2020 in 2014-2016.* Issued 28 01 2013.

[25] Rauch, M. and Sommer-Ulrich, J. *Participation of the Central and Eastern European EU Member States in the 7th Framework Programme: Analysis, Evaluation, Recommendations. Summary*, 2012: 6;
|Schuch, K. "Influence of Research and Economic Factors on Participating in FP5," in: *The Integration of Central Europe into the European System of Research.* Vienna and Mülheim a.d. Ruhr: Guthmann-Peterson, 2005.

1.1   **About this analysis**

This report is part of a whole range of activities under the umbrella of Task 3.3 of NET4SOCIETY. These are aimed at developing fact-based and practice oriented recommendations that could be used by SSH National Contact Points (NCPs) and by national policy makers in promoting SSH research within the FP and Horizon 2020 in their countries.

The scope of this Task and the variety of methods are intended to cover the topic of EU-13 participation in a new light with more aspects highlighted than in previous reports on this issue.

This report analyses the literature on new Member States' participation in the SSH FP7 Projects, on the one hand, and the state-of-the-art positions of scholars on the reasons for lower success rate of EU-13 in SSH FP7, on the other. The analysis made in this report will allow us to clarify the relations existing between the European Commission goals/priorities and their understanding/reflection in the national documents related to the FP7 (in particular to SSH). Also, the reasons for different levels of success of the EU-13 in comparison with the EU-15 have been summarized as presented in the different documents, surveys, and interviews.

After analysing the relevant national and European documents, the following step under this Task was to collect **feedback** from the NCPs and researchers of EU-13 MS on the problematic points they had encountered in FP participation. This has been done by combining different methods of information collection – survey and interviews, so that not only statistical data but also personal experience of participants, specific illustrative cases and good practice would be taken into account.

On the basis of this data analysis the next step was an empirical **online survey** for current EU-13 research communities. The aim of this survey was to find out whether the scholars support the reasons for weak points of EU-13 participation as described in the documents and whether the points mentioned in the documents are similar to those expressed by researchers from these countries.

The online survey aimed to discover the current views of researchers on the situation. Its results were compared with the information already available from the documents presented below. Additionally, a comparison of the survey data with the interviews carried out with the leaders of the FP research communities and representatives of the EC, provided the possibility to understand which views on the reasons for the lower success rate of EU-13 are shared by the majority of the SSH scholars in the EU. By combining various methods, we obtained an in-depth, shared understanding of the situation of lower success rates of EU-13 in funded EU projects and give some recommendations on how to improve this situation.

1.2   **Objectives of this Report**

The goal of this report is to provide practical evidence-based recommendations for SSH National Contact Points (NCPs) and national stakeholders in the EU-13 and other countries as to the ways how they could contribute to higher success rates of the EU-13 in socio-economic and humanities themes of "Horizon 2020".

The **target groups** of the recommendations made in this report are mainly national NCPs and national policy makers dealing with the research domain of socio-economic sciences and humanities.

The report covers the following aspects of the problem:

- It analyses previous studies and findings on MS EU-13 specific performances;
- It compares the performance of EU-13 in FP7 SSH as compared to the EU-15;

- It outlines the factors affecting the EU-13 performance on different levels:
    - o National investment in research;
    - o National research capacities;
    - o National research priorities;
- It attempts at relating European and national research priorities;
- It attempts to summarize the key conditions affecting EU-13 success in FPs as seen by researchers;
- It attempts at providing recommendations on improving the success rate of EU-13 in SSH FP projects.

Data

The data used in this report come from various sources. First of all, the E-Corda data (reference date: 21.06.2013) are used in assessing the success rates of the MS in Framework Programmes. In addition, the METRIS[26] country reports on Social Sciences and Humanities (2012, see Annex 2) on each of the EU-13 countries are used for establishing national research priorities. The data on the Gross Domestic Product (GDP) come from the World Bank, and the data on the number of researchers per country come from Eurostat.

A second major source of data is drawn from official documents and previous studies on the disparities of MS in FP success rates. For the purposes of this task several documents were analyzed (in total, more than 30 documents were selected). Those include international and national documents with the following information: national government policy making and coordination, National Policy fields influencing SSH policies, matching European and international SSH research with national ones, defining thematic priorities at national level, or important national research programmes where any explanation or interpretation of the reasons for low success rate of MS in the FP are provided. The full list of documents used for the preparation of this report is available in Annex 2.

A third source for this report is the survey and interview data obtained specifically for this Task in September – November 2013 via an online survey of SSH NCPs and SSH researchers from EU-13, and from EU experts interviewed during the conference "Horizons for Social Sciences and Humanities" (23–24 September 2013, Vilnius, Lithuania) and other meetings. More than 230 active researchers from EU-13 MS answered the questionnaire. In addition, around 20 expert interviews were collected from experts and representatives of the European Commission, including Helga Nowotny (President of ERC in 2010-2013), Line Matthiessen (EC), Anda Adamsone-Fiskovica (Latvian delegate of Horizon 2020 Programme Committee), etc. This source complements country statistics with the voice of EU-13 researchers themselves, on the one hand, and active EU-15 experts in SSH, on the other.

Together, these data sources combine into a multidimensional picture of EU-13 participation in SSH FP themes and research projects which is presented below.

---

[26] METRIS was a joint network project of the European Commission, DG-Research and Innovation which covers the structures, resources and ways of functioning of different national systems in the social sciences and humanities (SSH) in 43 countries targeted at the stakeholders in this area; URL: http://www.metrisnet.eu/metris/.

2.   **Participation of EU-13 in FP7 SSH Projects: State of Affairs**

In this part of the report, after the introductory review of previous studies, country-level factors of success in SSH FP are analyzed including GERD investments (4.2.1), national research capacities (4.2.2), history of success in FP6 (4.2.3), NCP services as well as national support for EU research (4.2.4), and national research priorities (4.2.5). Section 4.3 presents and summarizes the results of the scholars' survey and expert interviews. First, an overview of the survey results is presented, with greater details provided in sections 4.3.1 and 4.3.2, followed by a summary of expert interviews with key players (4.4).

As of June 2013, the general success rate for FP7 projects amounted to 16.9 %, while for SSH it was equal to 10.95 % among the EU-27 for the 16 calls announced over the period 2007–2013.[27]

In SSH, the EU-13 MS researchers were especially active, and the number of applicants who submitted project proposals from the EU-13 was twice as high as the average application participation of those countries in the FP7.[28] In total, 4224 participants from EU-12 (4401, including Croatia) were involved in eligible submitted proposals for SSH FP7. After evaluations, 354 participants and 5 coordinators from EU-12 countries were involved in funded SSH projects. The general success rate for the EU-12 amounted to 8.8 %; the success rates of participants from each EU-13 MS are presented in Figure 1.
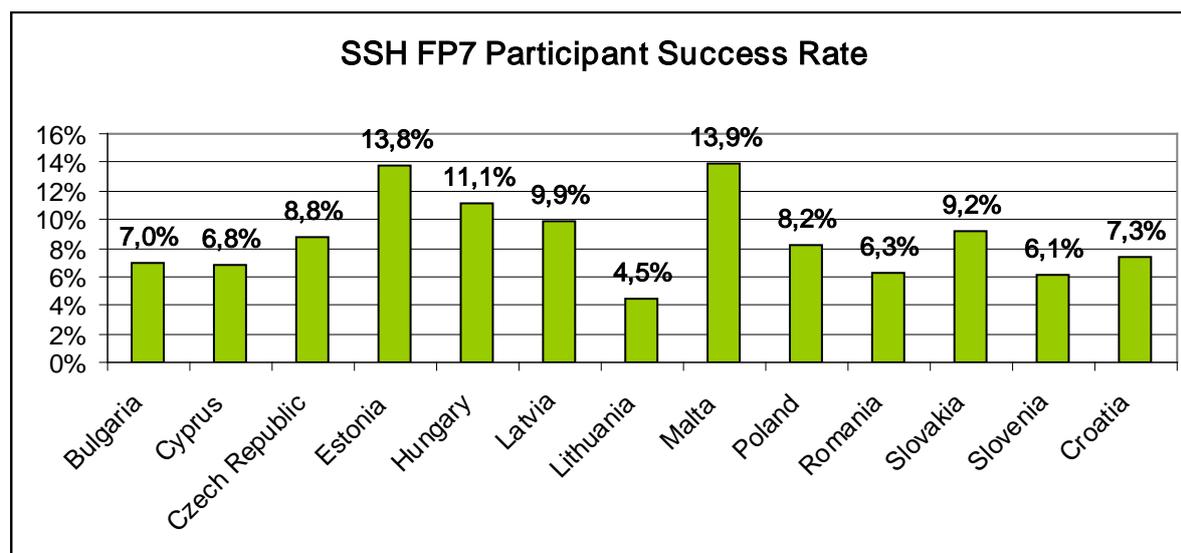
Fig. 1 EU-13 Partner Success Rate in SSH FP7 (% of submitted proposals)
Source: E-Corda, reference date 26/05/2014

2.1   **Statistics and Previous Research Findings**

Looking at the countries' success rates in SSH FP7 (proportion of participants from a country in all retained proposals to the general number of participants from the country in submitted proposals) of all Member States, the EU-15 have a success rate of 11.0 % and the EU-13 a success rate of 8.8 % for participations (both as partners and coordinators). This may create the impression that the difference between the EU-15 and EU-13 is not very large (Figure 2). However, this percentage is somewhat misleading.

---

[27] Source: E-Corda, Total Number of Concluded Calls, reference date: 21/06/2013.

[28] Rauch, *Op. Cit.:* 13.

A closer analysis demonstrates that the whole number of successful participants from the EU-13 MS amounts to 354 participants, which is comparable by size to one single country most successful by this figure, the UK, with 314 participants. In other words, there is a disproportional representation of EU-15 and EU-13 in the FP7.

Among the EU-13 MS, the most successful participants came from Malta (13.9 % success rate[29]), Estonia (13.8 %), Hungary (11.1 %), Latvia (9.9 %), and Slovakia (9.2 %).
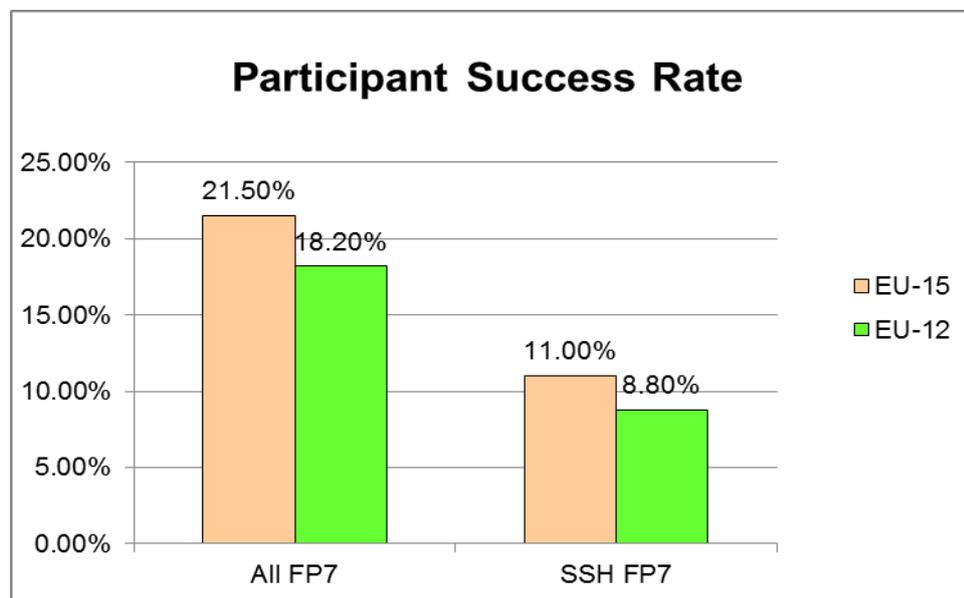
Fig. 2 Member States' Participant Success Rate in SSH FP7
Source: E-Corda, country indicators, reference date 26/05/2014

Furthermore, the success rate of coordinators from the EU-13 in SSH FP7 is only 1.8%, compared to 10.3 % among the EU-15 MS (Figure 3). This means that, while general competition among prospective SSH coordinators is higher than in other parts of the FP, proposals from EU-13 coordinators are also especially affected by the lower success rate. At the same time, there are relatively few applications from EU-13 coordinators: The initial number of coordinator applicants from the EU-13 amounted to 274, while in the UK (leading in this indicator) the number of coordinator applicants was 400. Both factors need to be combined in explaining why, in absolute numbers, out of 225 coordinators of SSH FP7 Projects, only five come from the EU-13.

Most successful coordinators from the EU-13 in SSH came from Lithuania (14.3 % success rate), Hungary (7.7 %), and Poland (2.5 %).

---

[29] Malta is a small sea state and sometimes it is not even taken into account in the report due to its small size, see Rauch, *Op. Cit.*
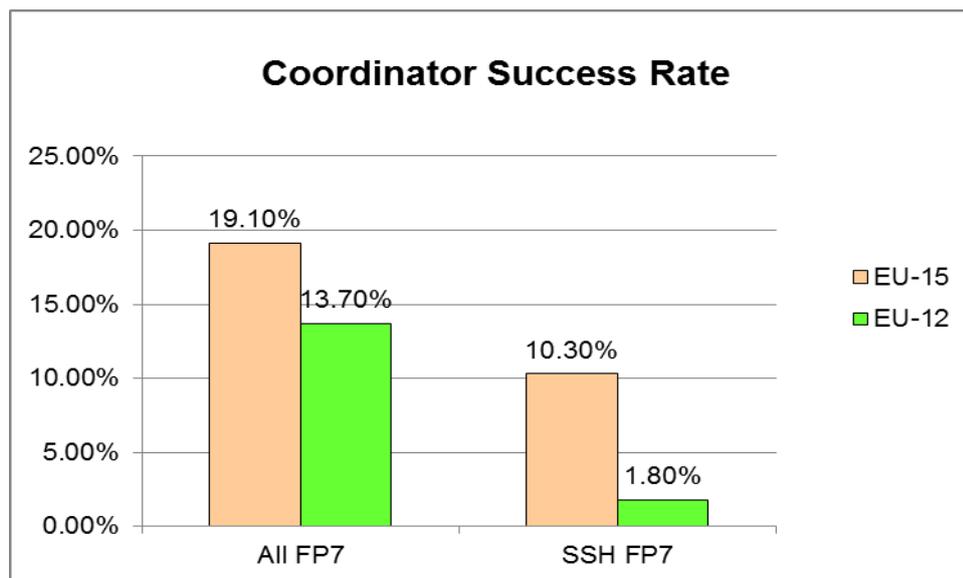
Fig. 3 Member States' Coordinator Success Rate in SSH FP7
Source: E-Corda, reference date 26/05/2014

After this first glance at the figures, we may identify the fact of a low success rate of coordinators from the EU-13, whatever the possible reasons behind it (quality of proposals, oversubscription, etc.). In the beginning of the FP7, this rate was somewhat higher at 3.7 %.[30] As was shown in other reports, the status of **coordinator is very important** for FP participation: on average, a coordinator draws additional 1.6 participants from his/her country of origin to the project he/she coordinates in the EU-15 and 0.9 participants in the EU-13. This indicates that coordinators in the EU-13 are somewhat weaker in attracting additional national participants to the projects, but also that "the networks within a country are less strongly constructed than those among the EU-15 MS".[31] Coordinators function as networking hubs mobilizing other scientists in their countries into high-quality European research and facilitating the development of science in their countries. That is why the number of coordinators and not only of participants in total is important for a country profile in the FPs.

The total number of projects in SSH FP7 remains relatively low for the EU-13 (Figure 4).

---

[30] Rauch, *Op. Cit.*: 10.

[31] Rauch, *Op. Cit.:* 11.
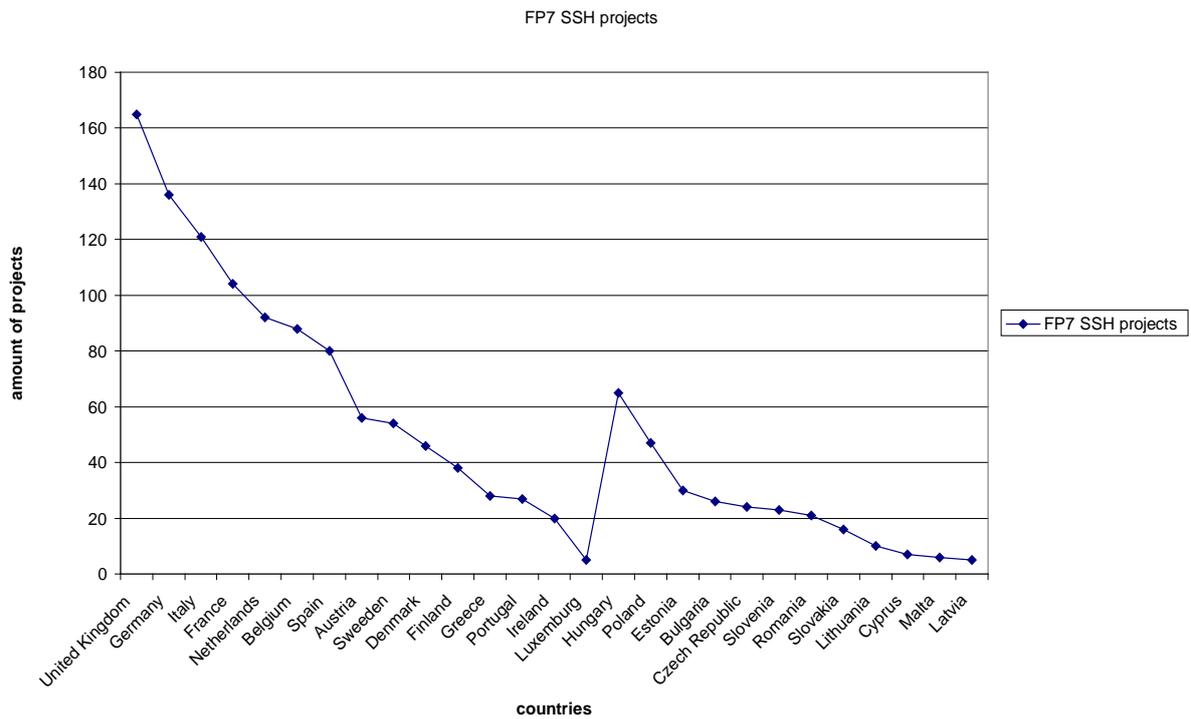
Fig. 4 SSH FP7 Projects per country
Source: CORDIS, 06/2013.

As can be seen from Figure 4, in some EU-13 MS the total number of SSH Projects is comparable to the EU-15 countries (Hungary, Poland, and Estonia).

To sum up, an **overview** of success rates of the EU-13 in the FP7 in general and SSH FP7 in particular, shows that: (1) the EU-13 MS are different in terms of success rates (and probably should be addressed differently); (2) the coordinator success rate in the EU-13 is several times lower than in the EU-15.

2.2 **Country-Level Factors of Performance in FP7 SSH Projects**

Initially, the following reasons for lower success rates (in the whole of the FP) were suggested in the Interim FP7 expert report[32] that put forward the issue of EU-13 performance:

- Narrow or specified **national research priorities** as compared to the FP themes (as we will see in this report, this factor is not straightforward);

- Fewer **excellent researchers** and research institutions in the EU-13 than in the EU-15;

- The problems of small countries where **research networks** are not as expansive and research institutions are less numerous;

- The intra-EU **circulation of researchers** who are drawn from smaller EU-13 MS to the bigger EU-15 with more research capacities.

The smaller population size (and scientific community size) of most EU-13 countries as compared to France, Germany, or the UK, can partly explain why the networks in the EU-13 are less dense and active and why the coordinators are less effective in attracting new participants. In addition, management skills (or lack thereof) could be the reason for lower success rates among the EU-13.[33]

The EU-13 MS are very different not only by size, proportion of financing allocated for science, the areas of scientific excellence, but also by their institutions responsible for policy making in science, by their information services and advice on the FP in each country.

Previous research demonstrated that the sheer availability of researchers, just like any other "simple" measure, is no guarantee for a success in European research endeavours.[34]

Among all the factors affecting success rates in the FP, economic capacities of science in the country and the number of research personnel seem to be most prominent in existing reports.[35]

2.2.1 National Investment in Research (GERD)

Most authors agree that successful research is closely connected to financial expenditures on research and development as measured by General Expenditure on Research & Development (GERD), or relative measures such as the level of R&D investments per 1,000 researchers. In addition, economic development and Gross domestic product (GDP) of the country is likely to affect the amount of financing allocated for science.[36]

For this reason, we compare how much the economic development (measured as Gross national income by purchasing power parity (GNI PPP)) and the amount of GERD (as mln of EUR and as per cent of GDP) are correlated with success in SSH FP7 Projects (Table 2; for absolute numbers see Annex 3).

---

[32] *Interim Evaluation of the Seventh Framework Programme. Report of the Expert Group.* Final Report 12.11. 2010, p. 46 ff.

[33] Rauch, *Op. Cit.*: 11.

[34] Schuch, *Op. Cit.*: 12.

[35] Ferligoj, A. et al., *Op. Cit.*; Rauch, M. and Sommer-Ulrich, J., *Op. Cit., Schuch, Op. Cit.*

[36] Cf. Potočnik, J. *EU research: let's connect*; SPEECH/09/220; Opening event for Research Connection Conference. May 7, 2009.

Table 2: Correlation of SSH FP7 Success Rate in EU-13, EU-15, and EU-27 with Economic Indicators

	Indicators	EU-15	EU-13	EU-27[37]
1	GNI PPP	0,27[a]	0,13	**0,48**
2	GERD % of GDP, mln EUR, 2010	0,22	0,14	**0,44**
3	SSH GERD, mln EUR, 2010	0,27	-0,08	**0,38**
4	GERD/ 1,000 researchers	0,37	0,12	**0,58**

[a] The correlation values range from -1 to 1; values close to 0 are weak correlations, values above 0.3 or below -0.3 are medium correlations, values above 0.6 or below -0.6 are strong correlations; negative correlation values mean that the higher one indicator, the lower the other; positive correlation values mean that the higher one indicator, the higher the other one. In this table, all the values in cells are correlations with one indicator – SSH FP7 success rate. Separate correlations were computed for EU-15, EU-13 and EU-27 (no statistics is yet available for 2013 when Croatia joined and EU-27 turned into EU-28).

Source: E-Corda, Eurostat, World Bank; authors' own calculations.

The correlations between success rates and economic indicators are meant to show whether success rates in SSH FP7 are likely to be higher in more well-doing MS. This correlation has largely been proven for the FP in general. **Economic development of the country is an objective indicator, which is why we can only observe the connection between two variables, without giving any recommendations.**

In this case, we can see that in the EU-15, economic capacities of the country are more closely related to higher success of participants in the SSH FP7. One of the reasons is that economic development affects the size of expenditures on science, the number of researchers and other factors that mediate the correlation between GNI PPP (or GDP) with successful participation in the FP7.

Here, one of the reasons why correlations within the EU-27[38] become much stronger than for either of the two groups (EU-15 and EU-13) is that more affluent societies have more excellent research institutions which are likely to succeed in competitive FP calls. By contrast, when expenditures on R&D are lower, the positive effect is not evident (note the negative correlation between the absolute size of GERD and success rate).

Judging on the strength of correlation across the whole of the EU (Table 2, last column), the *success rate of participants in SSH FP is related not only to the economic conditions but also to the research personnel capacities* of the country. This is a fact largely acknowledged among the authors.[39] Only **when GERD per 1,000 researchers reaches ca. 100,000 EUR**, the further effect of increasing GERD diminishes.[40] For the time being, the average GERD/1,000 researchers for the EU-15 amounts to 177,500 EUR, while for the EU-13 MS it is equal to 51,800 EUR. Among the EU-13, only Slovenia (96.8) and Cyprus (95.2) are close to this estimated threshold of 100.0 thousand EUR.

The figures presented here are relevant specifically for the SSH FP7 and they prove the importance of GNI and GERD for the excellence of science and higher success rates in the FP.

---

[37] Here, we believe it is more justified to refer to the EU-27 as the data come from 2007-2013 and R&D policy conditions in the MS are more comparable than those including both MS and Candidate Countries (i.e. HR).
[38] See footnote 3.
[39] Ferligoj, A. et al. (2011) *Participation in the EU FP – policy implications*; Rauch, M. and Sommer-Ulrich, J. (2012) *Participation of the Central and Eastern European EU Member States in the 7th Framework Programme: Analysis, Evaluation, Recommendations*. Summary.
[40] Rauch, *Op. Cit.*: 13.

Performance of Member States in the FP is strongly related to the investment in R&D in a country.[41] However, the causal relations between these two indicators are not clear. On the one hand, strong research capacities and higher investments in R&D can be indicative of a knowledge-based economy and higher level of research in the country. On the other hand, better funding of R&D is likely to attract stronger research national actors to the field, and increase national performance in the FP. In the countries with low R&D budgets, the best performing research actors might be distracted from science to other kinds of activity.

2.2.2 National Research Capacities

The size of the research community and its excellence are evidently affecting the MS performance in the FP and in SSH FP7.

The absolute number of scientists in the country is significantly different across EU-13 (see Annex 4):

- The number of research and development personnel in the EU-13 spans from 759 people in Malta (2011) to 64,133 in Poland (2011). However, the sum total of R&D personnel in the EU-13 MS amounts to less than 12 % of EU-28 R&D personnel.

- Among the 13 countries, only Poland, the Czech Republic, and Hungary possess more than 1 % of the EU-28 R&D personnel.

- While the growth rate of R&D personnel in EU-13 in the 2000s (+4.1 % in 2002-2007) was higher than in the EU on average (+2.2 %), a substantively positive dynamic was observable only in the Czech Republic (+13.6 %), Cyprus (+9.3 %), and Malta (+12.2 %), of which the latter two have a general R&D personnel of less than 1,000 people.

Overall, given the much lower absolute numbers of R&D personnel in the EU-13, their success rate in SSH FP as partners is surprisingly high. The coordinator success rate reflects the present situation better, since, compared to the total population of the country,[42] EU-13 MS demonstrate a **level of participation** in FP7 that is almost **half as high** as in the EU-15.[43] The fact that the number of R&D personnel in the EU-13 is not as high as in the EU-15 could possibly be the reason for lower competition in the FP, fewer connections with other research communities and fewer research proposals.

Previous studies of the issue reveal that the **number of researchers per inhabitants is important for the success in the FP**. For instance, the average number of research personnel per 100,000 inhabitants for the EU-13 without Cyprus and Malta amounts to approximately **250**, while in the EU-15 countries the average is **560** per 100,000 population.[44]

In general, it would definitely be beneficial to the national research capacities if the number (and quality – which is not the same) of SSH researchers in the EU-13 steadily grew. However, this issue is of structural and institutional nature, which is out of the scope of this report and beyond the influence of NCPs.

To sum up, high quality research personnel and financial capacities of a country in the domain of research and development exert high influence on the country's participation in the

---

[41] Ferligoj et al., *Op. Cit.*: 12.

[42] This is necessary to compensate for the difference in population size across the EU-13 MS; cf. 38 mln people in Poland, 9 mln in Hungary, or 1 mln in Estonia

[43] Rauch, *Op. Cit.:* 6.

[44] Rauch, *Op. Cit.*: 5.

FP.[45] The EU-13 differ significantly in their research funding and national research capacities.

The state-of-play situation with GERD and R&D personnel in the EU-13 demonstrates that their rates are on average twice as low as in the EU-15 MS, both in funding and in personnel capacities, with some notable exceptions among the EU-13 MS.

Other factors covering economic, human, and institutional resources of the country have been suggested in the literature. Those include the following:

- **investments** in R&D (higher investments in R&D in a Member State leads to a higher scientific and technical excellence, thus making the MS more competitive in the FP);

- scientific and technical **excellence** of a MS (higher S&T excellence is likely to contribute to higher success on FP);

- **time** in the FP (earlier inclusion in the FP could have positive impact on the success of a MS due to the experience of participation);

- country **population** (affects the participation due to internal networks in a MS: partners working together on national level are likely to continue also on the European level, which could contribute to the success of particularly larger MS).[46]

These effects are largely grasped by the described economic and personnel factors. However, to trace down the specific institutional factors, more specific country-based studies would be necessary, which is beyond the reach of this report.

2.2.3 Groups of Countries by Performance in FP within the EU-13

There is a number of different performance indicators (e.g. success rate, number of coordinators, GERD per 1,000 researchers, etc.), and while some of the EU-13 MS perform above the average of the EU-28 in certain indicators, others fall significantly below.

Ferligoj et al. (2011) analyzed the distribution of two components describing research funding and population size of the country. All MS were discovered to fall into 4 groups. **EU-13** were generally characterized by lower financial contribution per successful FP project and lower proportion of coordinators per successful projects, but they fell into **two groups** in terms of size and the number of projects per million of GDP:

1) Cyprus, Estonia, Malta, Slovenia – scoring lowest on EU funding per successful project but high on EU funding per million of GDP. These are countries with small population size (up to 2 mln people) and high number of FP projects as compared to received EU funding.

2) Bulgaria, Czech Republic, Hungary, Lithuania, Latvia, Poland, Romania, Slovakia – scoring low on all the analyzed indicators of funding and size.[47] This group varies significantly as to the size of the population and research capacities (compare Annex 3, 4).[48]

Since the second group is largely various (besides its commonly low performance on FP7) and even includes two of the EU-15 MS (Luxembourg and Portugal), it is more relevant to look into the first cluster of EU-13 for relevant information. The first cluster is formed by smaller countries that are either better performing in terms of GDP and GERD (Estonia and Slovenia), or otherwise attractive for researchers (Cyprus and Malta).

That the EU-13 is divided into several groups is not a new finding. In evaluating the impact of the FP6, researchers have found out that the four countries from the first group perform on the level close to the EU-28 average (which is, of course, lower than the EU-15 average). Czech Republic and Hungary formed an "in-between" group underperforming in comparison

---

[45] Rauch, *Op. Cit.*: 4.

[46] For these and other factors, see Ferligoj et al. *Op. Cit.*: 7; Rauch, *Op. Cit.*: 5-6.

[47] Ferligoj et al., *Op. Cit.*: 4-5.

[48] See Blejec, A. and Ferligoj, A. *Participation in the EU FP: animation of PCA results,* 2012: 2.

to the four leaders but holding a substantive potential, while the other countries were lagging behind.[49]

Thus, EU-13 is not a homogeneous group of countries, not only in terms of FP participation, but also in size, economic development, and research capacities. It is reasonable to consider EU-13 via empirically based groupings.

Another important data-based message comes from that same research.[50] When compared, the success rates of MS in FP6 and FP7 reveal that, **despite significantly higher funding in FP7 and a slightly bigger number of successful projects in FP7, the growth in the number of successful projects has not been universal across the EU** (Figure 5).
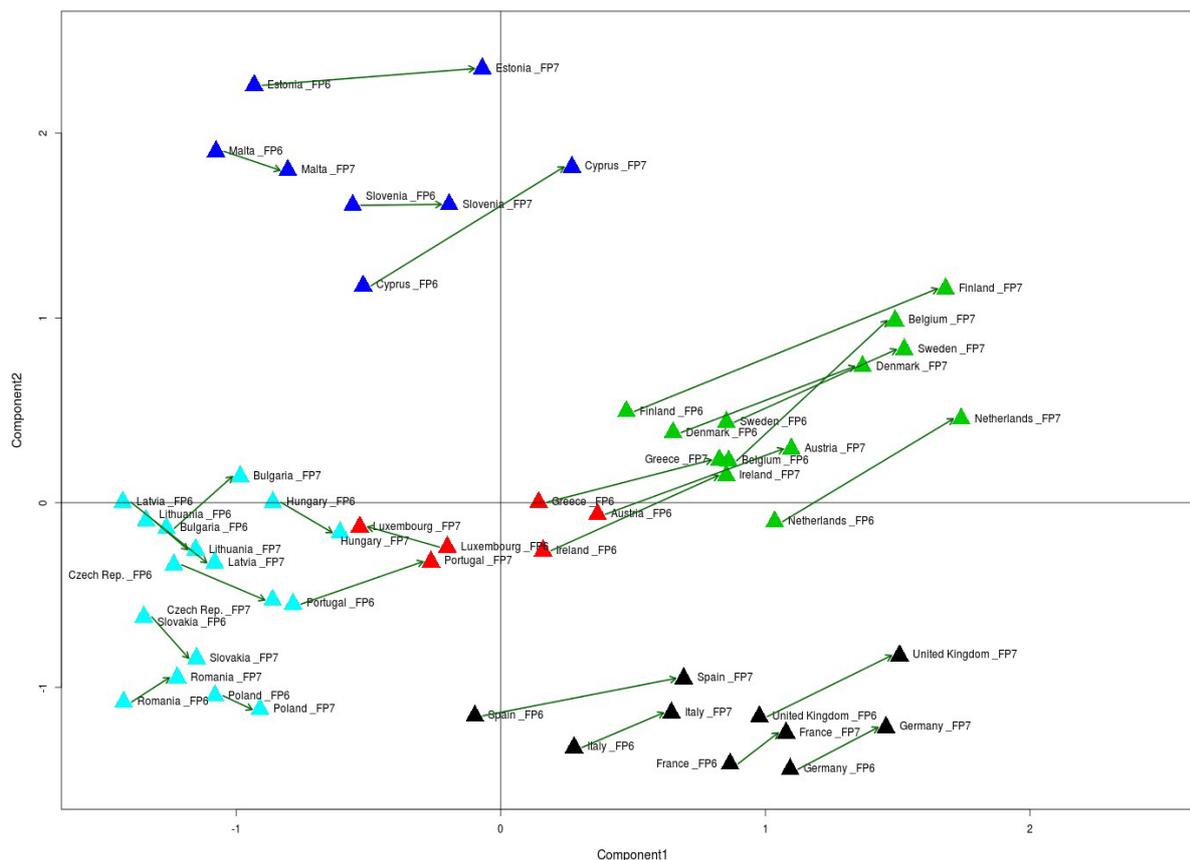
Fig. 5 Member States' Participation in FP6 and FP7
The first component is strongly correlated with FP funding per capita and the proportion of coordinated projects among all retained projects; the second component is related to the number of retained projects per capita (see Ferligoj et al. 2011:5-16).

Source: Ferligoj et al. (2011:13).

Figure 5 contains all MS countries' positions on FP funding and the number of FP Projects per GDP as of FP6 and FP7. Five clusters during FP6 period could be discerned that reshaped into 4 clusters in the FP7, two of which are informed by the EU-13 MS.

Those countries in the figures that have been moving upwards and to the right, have ended with a greater number of successful and better financed projects in FP7.

---

[49] European Commission, DG RTD. *Assessment of the Impact of the 6th Framework Programme on new Member States*. Kongens Lyngby: COWI, 2009: 6.
[50] Ferligoj et al., *Op. Cit.*

One of the conclusions that authors of that report make is that the gap is growing between the EU-13 (8 countries at the bottom left corner) and the rest of Europe.[51] This is evident in the dissolution of a previously existing group at the centre of the graph, in the direction of change in funding and the number of projects per capita.

Two messages come from this review:

1) **EU-13 MS are different in their FP performance**, for which numerous factors are responsible (including those outlined above). For further analysis, it would be more informative to look at the EU-13 as consisting of a more successful group and a less successful group and test them against different criteria.

2) **The gap is growing between EU-13 performing lower in FP and the rest of the EU, which increases the value of further effective participation of EU-13 in the FP.** Paradoxically, the newcomer barriers to the FP are lower not in smaller, better performing countries, but in bigger countries where national research networks are wide and thriving. Lack of **contacts and professional networks** was the "single most important barrier" back in the FP6 as well (European Commission 2009:47). Bridging this gap is one of the longer-term goals for enabling a smooth working of ERA.

2.2.4 Advice system / NCP system and national support for EU research

The SSH NCPs across Europe are very heterogeneous, as the structure of national FP7 NCP systems exists in various forms, from highly centralised to decentralised. The organisations that host NCPs range from ministries, public research councils, governmental agencies, universities and research institutions to private companies and consultancies. Some SSH NCPs work full time whereas others may only dedicate part of their working time to their NCP duties. This means that the NCPs work in all kinds of organizational environments and structures and their background and methods may vary accordingly.

In the interviews with NCPs we posed the following questions:

1) whether NCPs themselves saw that the time they have spent advising researchers (via information events, commenting on proposals, and individual consultations) is a major factor in the success of proposals;

2) which established ways existed in their countries to lobby SSH research interests to the European Commission level;

3) how new topics and themes got included into national research programmes and whether SSH NCPs had access to this process;

4) finally, whether the NCPs were hosted by one organization or many, what those organizations were (if there are many) and the reasons behind these arrangements.

With more information of this kind in hand, it is possible to comment on the relations between the structure of national NCPs teams, their institutional position in national SSH agendas, the institutional connection between national and EU-level policy making in the SSH across the countries (see 2.4).

2.2.5 National Research Priorities

As revealed by the data analysis, the scales of the research priorities established by the EU in general and by any of the EU-13 Member States are different. The European Commission usually puts ahead rather broad priorities that assume the involvement of many countries and span across many fields of research. Therefore, the Commission pays a lot of attention

---

[51] Ferligoj et al., *Op. Cit.*: 12.

to the large-scale projects, as this is one of the ultimate goals of the EU – to arrange and fund large-scale projects which meet the Grand Societal challenges.

The Framework Programmes instigated significant policy changes in some countries (in particular, Lithuania and Poland). In some other countries such as Bulgaria and Romania, the FP first required putting forward and formulating their own research priorities. Still other EU-13 MS had previously formulated their national research priorities and tried to "channel" their efforts according to the opportunities they found in the FP. Estonia has been particularly successful on this track, effectively allocating not only research priorities but also funding for the FP projects.[52]

Overall, when FP priorities are assessed by national research actors as primary and as more important than national priorities, the focus on applied and policy-relevant research may entail less basic research and may not reflect national needs and academic traditions.[53] However, FP research priorities act as a major catalyst for national research. Thus, the basic problem for successful participation is to combine the relevant national research priorities with the research opportunities available in the FP.

Our hypothesis was that fewer national research priorities across the EU-13 in the domain of SSH FP7 may indicate more elaborated mechanisms of interaction with the FP7. Fewer national research priorities provide a more specific focus of research in which researchers may concentrate their efforts and excel, while extra funding for these areas would also be available on the national level (for full list of national Research Priorities by country, see Annex 5). A comparison of participant success rates in the EU-13 MS and the number of national research priorities provided some hints towards such a conclusion (Table 3).

Table 3: Number of EU-13's National Research Priorities and Participant Success Rate in SSH FP (listed by success rate)

	MS	No. of national priorities	SSH FP7 success rate, participants
1	Malta	**5**	**13.89%**
2	Estonia	**5**	**13.82%**
3	Hungary	**6**	**11.08%**
4	Latvia	11	9.91%
5	Slovakia	8	9.17%
6	Czech Republic	7	8.77%
7	Poland	8	8.20%
8	Croatia	7	7.34%
9	Bulgaria	**12**	**6.98%**
10	Cyprus	6	6.79%
11	Romania	**19**	**6.26%**
12	Slovenia	7	6.12%
13	Lithuania	9	4.51%

Source: E-Corda, Metris; authors' own calculations.

To illustrate the differences between the EU-13 MS, it is important to disclose national positions on the issue. For the purpose of illustration, we consider below the case of

---

[52] Rauch, *Op. Cit.*: 5.

[53] European Commission, *Op. Cit.*: 43.

Romania (19 priorities, 6 % success rate), on the one hand, and the cases of Hungary (6 priorities, 11 % success rate), and Malta (5 priorities, 14 % success rate), on the other.

The example of the Romanian national position regarding settling the EU SSH priorities as national ones can be described as follows:

"…As the mid-term evaluation of the Romanian National RDI Strategy 2007-2013 states, there are a total of 148 thematic priorities mentioned in the Strategy, without putting any weight on a specific field of focus. This explains why the thematic priorities in the field of SSH are <u>very fragmented</u> and basically cover a very generous range of topics…"[54]

With this picture in mind, the reasons why some EU-13 MS choose fewer EU SSH priorities as national ones are the decrease in national R&D funding and the use of the advantages of FP research for developing national research priorities. Such examples of national research policies are shown below – for Estonia, Hungary, and Malta:

"…Hungarian research organisations try their best to <u>establish international cooperation</u> linkages partly because participation in international research networks is highly esteemed in institutional evaluations. Moreover, with the drastic <u>reduction of national research funding,</u> participation in European and international research projects has become a question of survival <…> The range of Hungarian participants became more diversified than before. Previously it was mainly Central European University and some of the largest Hungarian research universities the network capital of which allowed for a participation in FP6-related research consortia. As for FP7 programmes, already a larger-than-before number of organizations managed to participate."[55]

And for Malta:

"…In the drafting of the National Strategic R&I Plan (NSPRI) 2011-2020 <u>the priority themes were better aligned with the 'grand challenges'</u> approach of making research more relevant to societal challenges <…> An 'International Cooperation' Pillar in the NSPRI acknowledges the critical <u>importance of international research collaboration for a small country</u>. Also a 'Research Infrastructures' pillar was introduced in the NSPRI for Malta to be in a better position to collaborate at European level and attract European researchers..."[56]

As can be seen, the countries with fewer national priorities (Estonia - 5, Hungary - 6, Malta - 5) are also those with higher success rates. What kind of substantial relations stand behind this pattern, was further explored in national-level interviews.

---

[54] Country report Social Sciences and Humanities in Romania, 2012:23.

[55] Country report Social Sciences and Humanities in Hungary, 2012: 13.

[56] Country report Social Sciences and Humanities in Malta, 2012: 12.

2.3   **Survey of EU-13 Scholars: An Overview**

Scholars from the EU-13 are one of the first-hand sources on the topic of EU-13 FP performance, whose experience supplements the evidence from the documents analysed above. On the one hand, their opinions are rather subjective and they reflect the challenges of specific countries. On the other hand, though, their personal experience of working in the EU-13 and, in many cases, being successful in the SSH FP provides a unique perspective on the problems and a possible basis for evidence-based recommendations for NCPs and national policy makers.

NET4SOCIETY carried out a survey in the fall of 2013 (see Annex 6 for Questionnaire), which collected the answers of 245 SSH researchers from all the EU-13 MS, of whom 88 respondents were either partners or coordinators in ongoing FP projects at the moment of the survey or had been on the advisory boards of FP projects previously. Most survey respondents came from Slovenia (44 persons), Poland (37), Lithuania (29), Cyprus and the Czech Republic (20 persons each).

About half of our respondents were in touch with participants or coordinators of running FP projects (54 %), which renders this survey a rather informed and unique measurement done.

Most respondents' main activity is research (60 %). Half of the respondents work in higher or secondary education (50 %), another 20 % in non-profit research organizations, 5 % in SMEs, and 1 % in ministries.

The analysis of survey data will proceed in the following steps. First, we will present results for each survey question one by one. Second, we will analyze the most important questions concerning the factors of success by dividing all the respondents into groups, according to their experience with the FP (keeping in touch with current FP projects, being a coordinator, intending to apply for Horizon 2020, etc.). The third step will be a summary of survey findings.

The questionnaire of the survey was focused on the following topics:

- The survey participants' assessment of success factors for a proposal in the FP (Fig. 6),

- their understanding of proposal evaluation procedure (Fig. 7),

- their motivation for applying to the FP Calls (Fig. 8),

- the main obstacles they saw when submitting a project proposal (Fig. 9-10), and

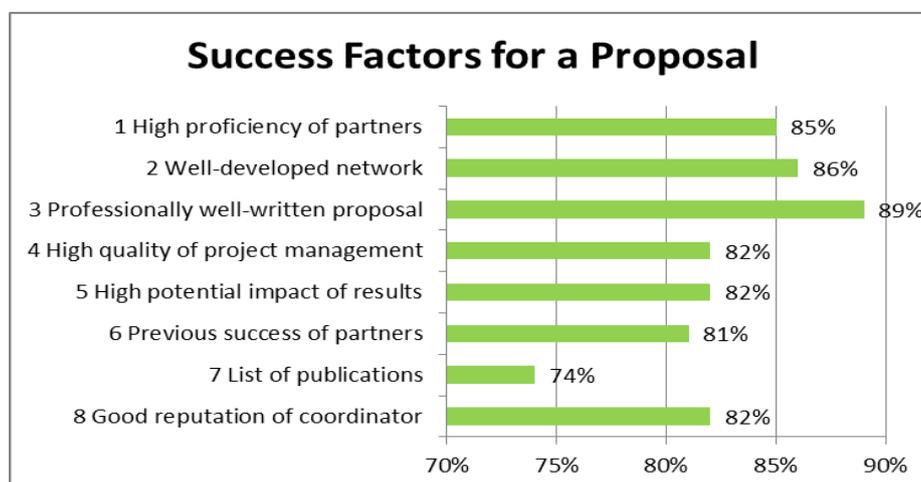- their expectations of NCP services and their use of NET4SOCIETY services (Fig. 11-13).

Fig. 6 Success Factors for Submitted Proposals (189 answers)

Transparency of Proposal Evaluation

The process is transparent enough, decisions are understandable 19%

The process is rather closed, not enough information available 40%

I don't know 41%
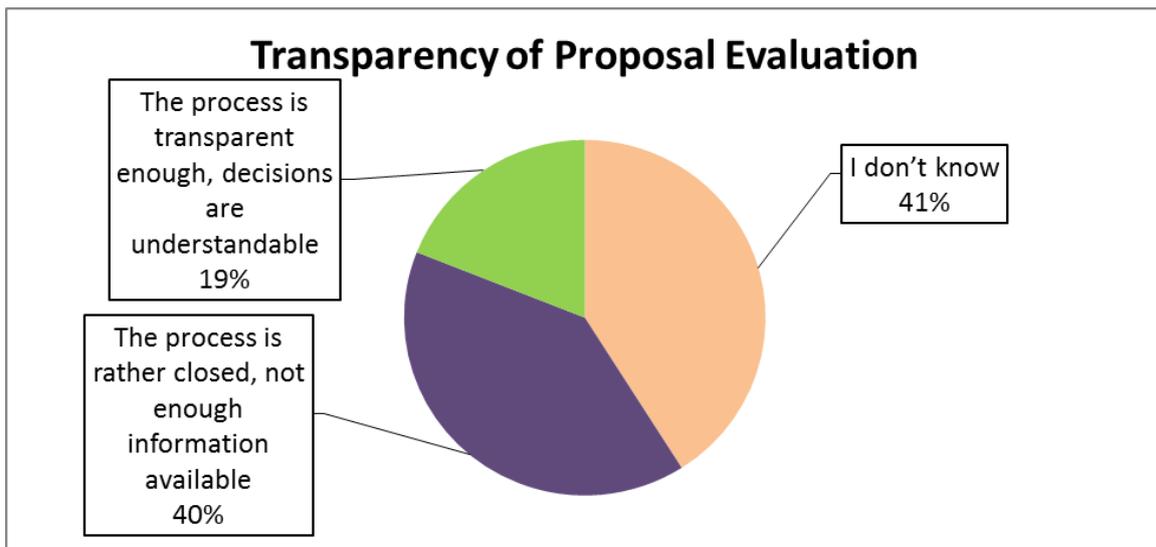
Fig. 7 Perceived Transparency of Proposal Evaluation Process (195 answers)

Reasons for Participating in the FP

Reason	%
1 Improvement of skills	12%
2 International collaborative research	21%
3 New contacts in my disciplinary area	16%
4 Multidisciplinary research	16%
5 More funding for research	23%
6 Improvement of career status	11%
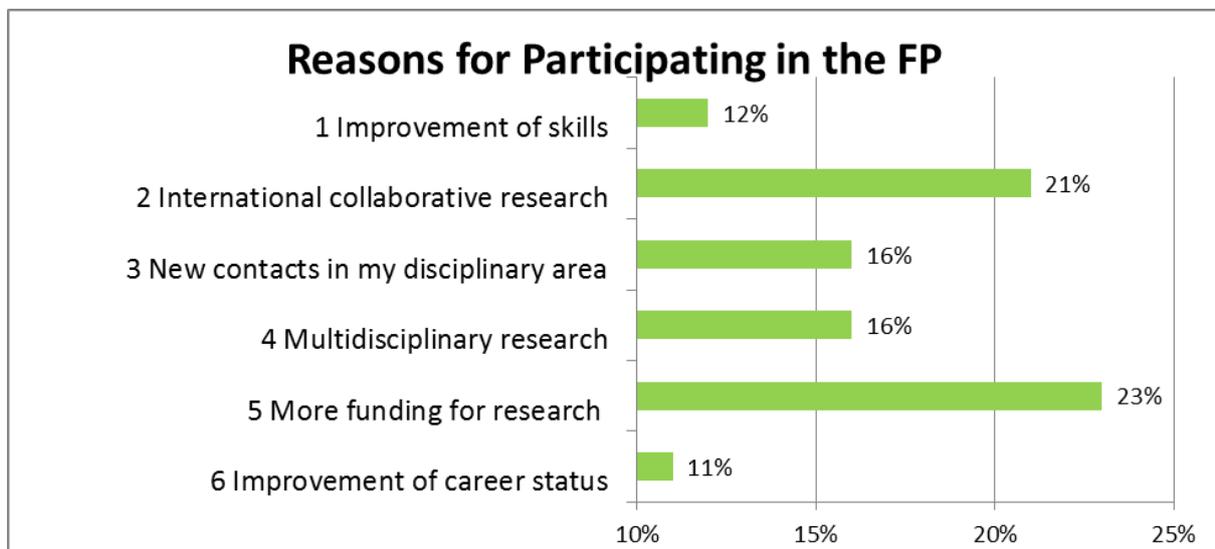
Fig. 8 Motivation for Submitting Proposals to the FP (195 answers)

Main Obstacles for Submitting to the FP

Obstacle	%
1 No research networks	14%
2 Low probability of success	25%
3 No funding for proposal writing	17%
4 Topics are different	8%
5 Sufficient national funding	2%
6 No advice for proposal writing	7%
7 Insufficient information on calls	7%
8 Unfamiliar procedures	8%
9 Writing in English	4%

Fig. 9 Main Obstacles for Submitting Proposals to the FP (195 answers)

Specific Obstacles in EU-13

Obstacle	Percentage
1 Our expertise is not known	28%
2 No funding for proposals	25%
3 Poor networks	20%
4 No specific difficulties	11%
5 Weaker expertise than required	8%

Fig. 10 Specific EU-13 Obstacles for Submitting Proposals to the FP (195 answers)

Desirable NCP Services

Service	Percentage
1 Learn how my proposal fits in the call	66%
2 Information on funding sources	72%
3 Information on FP7/Horizon 2020 rules	73%
4 Advice on improving a proposal	66%
5 Proposal check	63%
6 A service in the national language	33%
7 Support for networking	57%
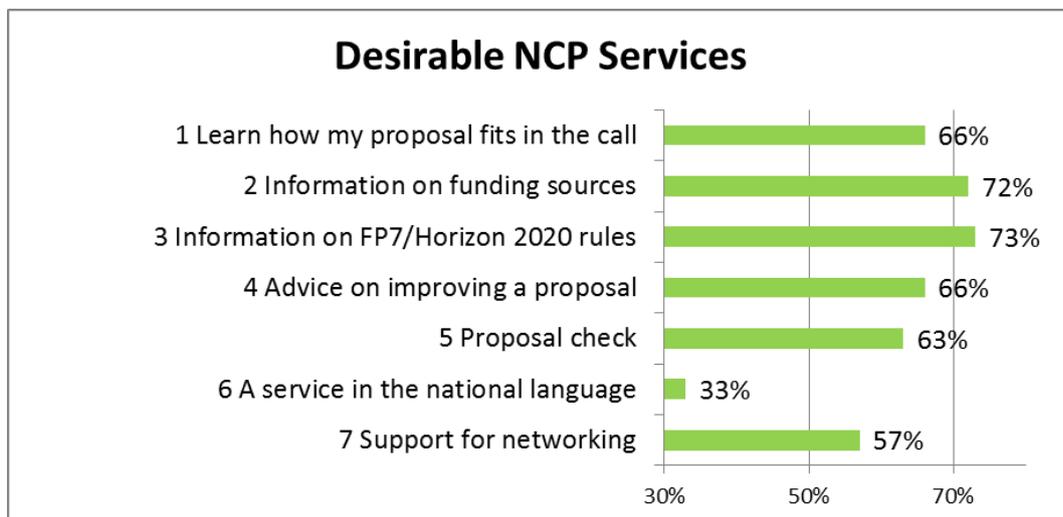
Fig. 11 Desirable NCP Services (245 answers)

	NET4SOCIETY Partner Search Support	NET4SOCIETY Research Directory
Use	9%	8%
Know	25%	25%
Don't know	66%	67%

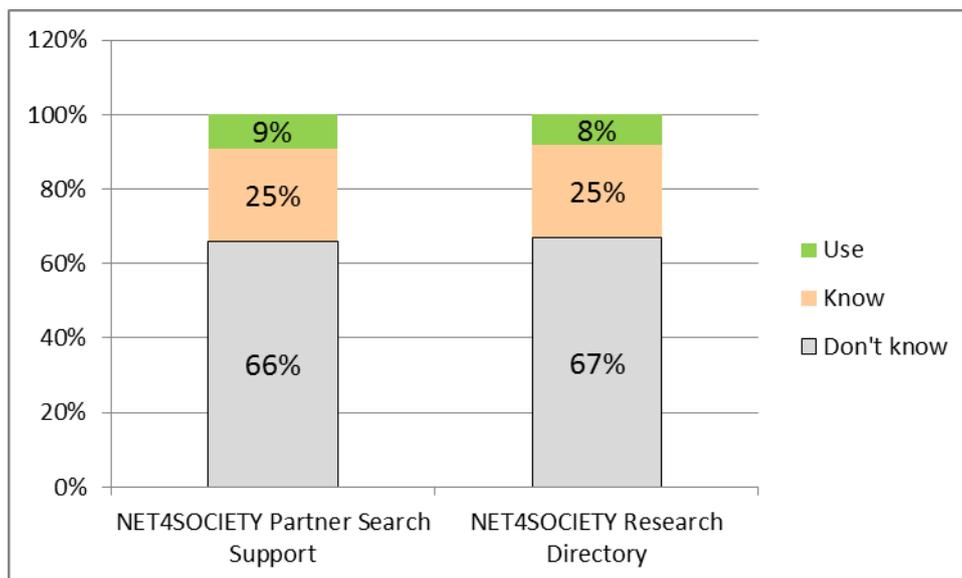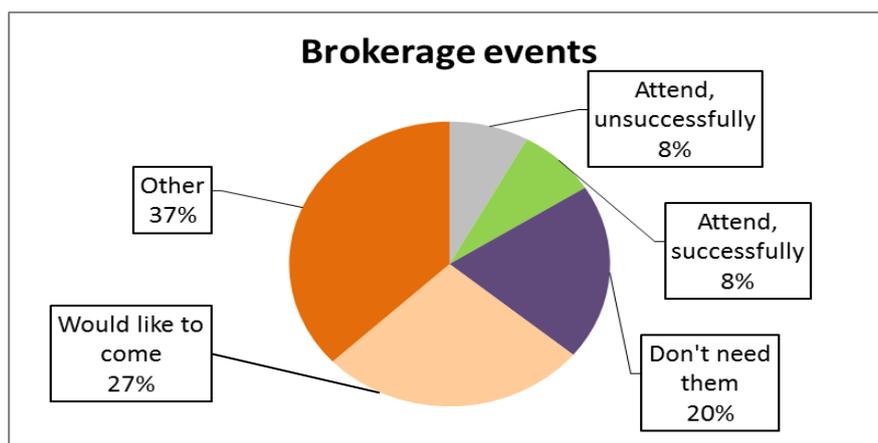**Fig. 12 NET4SOCIETY Services in Demand (195 answers)**

Fig. 13 Use of Brokerage Events (195 answers)

As can be seen from these figures, the scholars believe that the highest impact on proposal success is the high quality of **a professionally-written proposal** (89 %), followed by a **developed network** of partners (86 %) and **high proficiency** of applying partners (85 %). All other factors are rendered as very important as well. However, it is these three that are, probably, most important.

The main obstacles for EU-13 scholars in submitting proposals are, according to the respondents, high competition and high probability of oversubscription (25 %), no funding available for preparing a proposal (17 %) and insufficient networks among European researchers (14 %). Notably, neither writing in English nor following special application rules is considered an obstacle by most respondents. Many respondents also agree that there are obstacles affecting the EU-13 especially strongly. Almost half of the respondents believe that the expertise of EU-13 scholars is poorly known on the European level; 25 % point out that they suffer from lack of funding for proposal preparation and another 20 % say that they do not have sufficient networks of researcher in other European countries.

These figures are corroborated by the results to the question whether respondents had a network of international partners with whom they could organize a new SSH FP project proposal. The most popular answer (29 %) was yes; however, 22 % indicated that they lack a coordinator while having a network of partners with another 17 % indicating that they have neither potential partners nor a coordinator in sight.

Yet another possible obstacle for the EU-13 researchers is the proposal evaluation process, which is not clear and understandable enough to 40 % of the respondents (vs. 20 % who believe the process is clear enough). These results show that knowledge of the evaluation process is not yet widely distributed among the majority of potential SSH FP partners in EU-13.

As for the major driving forces that motivate scholars to submit proposals to the FP calls, those are mainly the opportunity to receive a better funding for research (23 %) and to carry out research internationally, on a cross-country basis (21 %). Close to the second point are the third and fourth popular options, establishing new contacts in the research area and conducting interdisciplinary research (16 % each).

As for the NCP services deemed necessary by the respondents, most highly evaluated is the service of explaining the FP rules and possible funding sources available for the planned project (72 %). The next popular category of services covers help and advice on proposal preparation (66 %). Networking is the third most important service expected from the NCPs (57 %).

NET4SOCIETY Partner Search and Research Directory tools are familiar to 33 % of all respondents, which is a fairly good level of awareness. However, only a quarter of those 33 % find these tools useful for themselves. This means that, under the condition of 100 %

information, up to 25 % of all researchers might want to use the tools proposed by the NET4SOCIETY project. As for the brokerage events, they were useful for approximately 50 % of those respondents who attended them. However, 27 % had not heard about them and would like to attend.

2.3.1 Survey of EU-13 Scholars: Project Partners and Coordinators

All the respondents of the survey were addressed with the same questions. However, respondents themselves created several groups which can be distinguished by their previous experience with the FPs, by their contact with participants of ongoing projects ("in touch"), whether they have a network of international partners or not, and whether they intend to apply for the upcoming calls. This part of the analysis compares opinions of different groups of respondents on the questions in focus of this research (Fig. 14-16).
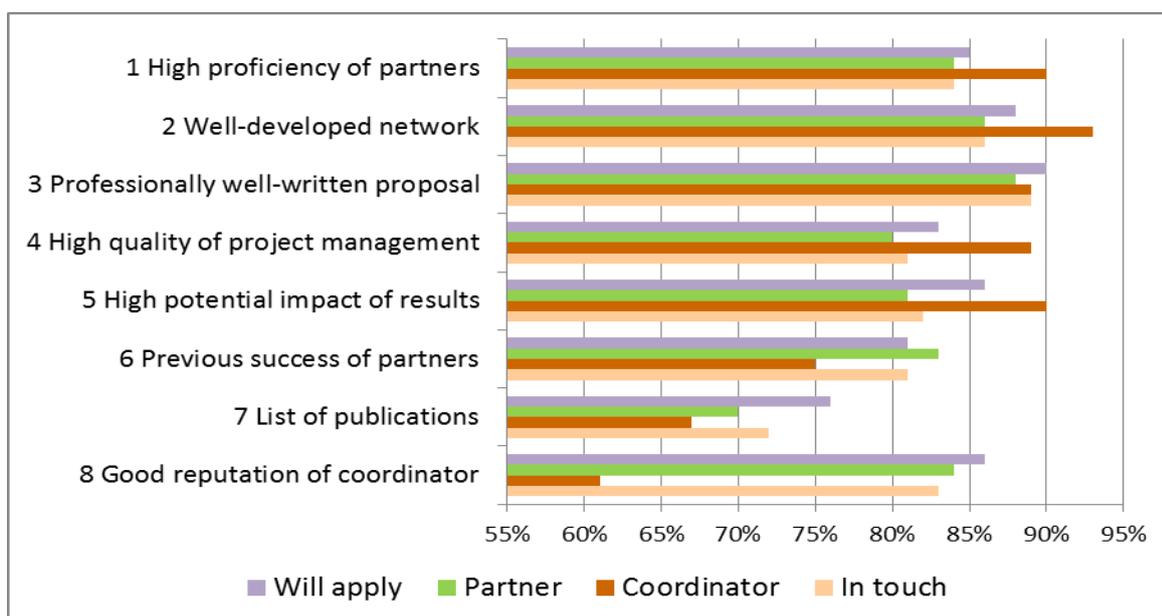

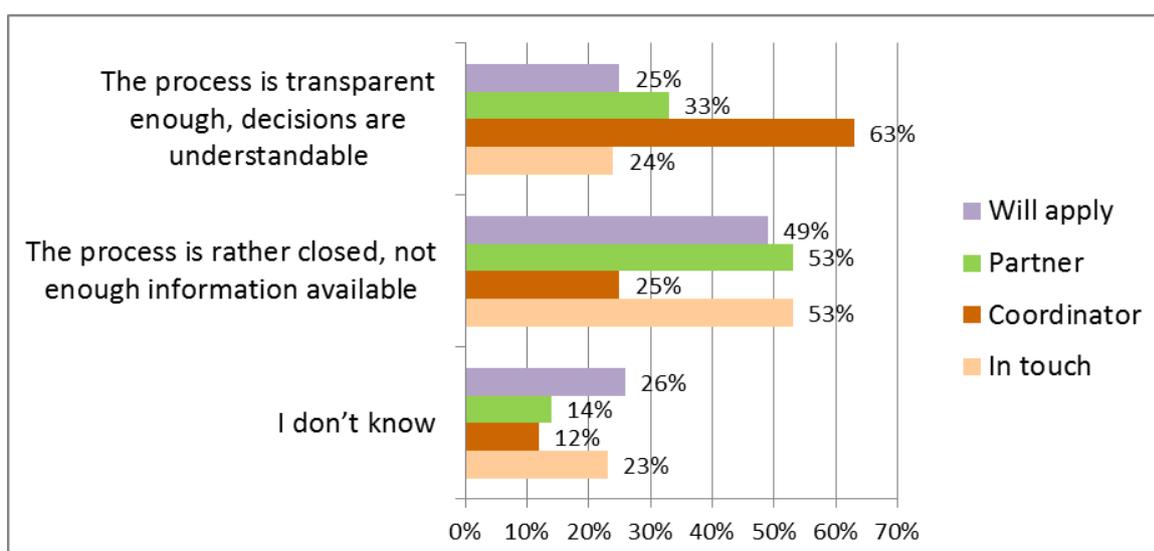**Fig. 14 Factors of Proposal Success (different groups, 187 answers)**

Fig. 15 Transparency of Evaluation Process (different groups, 187 answers)
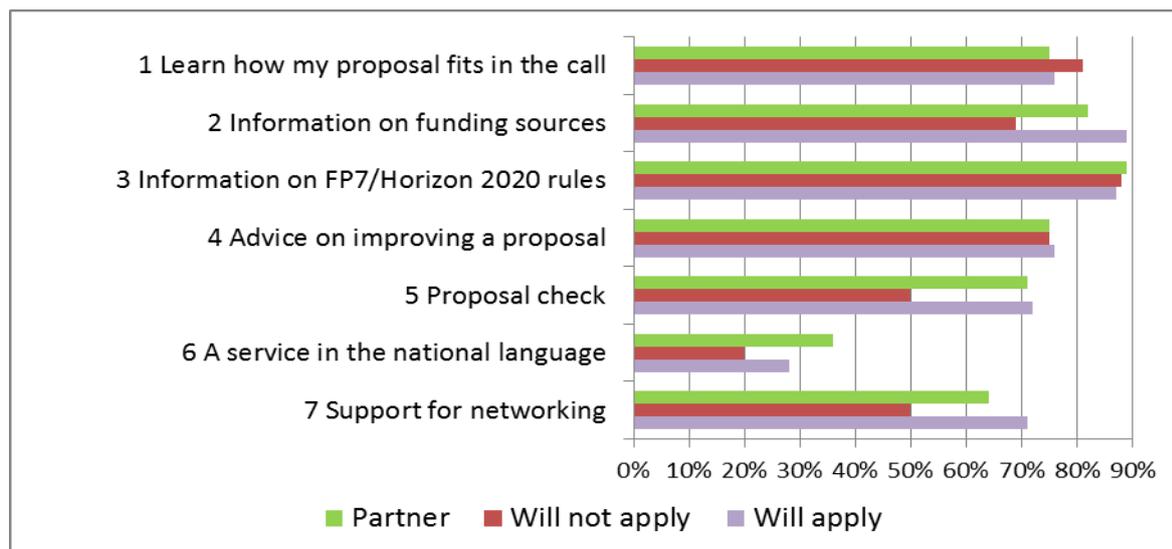
Fig. 16 NCPs Services in Demand (different groups, 187 answers)

As expected, the answers of respondents actively participating in FP projects were somewhat different from other respondents.

As for the factors of proposal success (Fig. 13), current project coordinators believe that a well-developed network, high proficiency of partners and high potential impact of results are most important. At the same time, prospective and active partners as well as those in touch with current partners/ coordinators believe that good reputation of the coordinator plays an important role there. All the groups of these "expert EU-13 scholars" are united in the opinion that a **professionally written proposal** and a **well-developed network** are the key components of success for a proposal. Since these two factors were also the leaders in general, they could be considered most important here.

Transparency of proposal evaluation is an issue even for those scholars who are already participating in FP projects. Compared to the general figures, these "more experienced" groups are more positive about the transparency of evaluation process (25 % vs. 20 % in general). However, for all these groups (excluding coordinators, which could be expected) the evaluation process is as often as not (50 %) rather closed.

Last but not least, the services that more experienced scholars expect from their SSH NCPs lie in the domains of explaining FP/Horizon 2020 rules and advising on the available funding schemes in the first place. Other significant spheres of NCP services are advice on proposals and support for networking, which are, however, necessary only to those scholars who expect to apply or reapply to the European funding. As for the service in national languages, this option is not very popular with experienced scholars (about 30 % believe it is desirable). It is possible that this kind of service is in demand in some countries while being not very significant in others.

2.3.2 Survey of EU-13 Scholars: Summary

To sum up, the survey conducted among the EU-13 scholars has revealed some information as to their motivating factors for applying to the FPs and to the perceived obstacles on their way to success in the FP and Horizon 2020.

Among all the possible factors of success proposed in the questionnaire, the following three items were chosen by the general majority of respondents:

- A professionally written proposal text (89 % very important);

- A well-developed research network (86 %);

- High proficiency of partners / Good reputation of the coordinator (85 %).

Thus, to improve success rates of EU-13 scholars, more attention should be given to boosting **research networks** and providing some support for professional **proposal writing**.

Poor networks and scarce coordinators are the main perceived difficulties encountered by EU-13 scholars. Almost 50 % of them indicate that their expertise is not sufficiently known to European partners. Every fifth respondent has a network of collaborators, but they lack a coordinator who would be able to unite them into a project.

Among the general obstacles for participating in the FP, EU-13 scholars mention the low probability of success against the backdrop of lacking funding on proposal writing. Being aware of this disadvantage, EU-13 scholars would like their NCPs to explain to them the rules of FPs and Horizon 2020 (75 %), and to tell them about possible funding opportunities for European research proposals (70 %). It is quite probable that currently, not all the opportunities of funding are used by EU-13 scholars due to the fact that they are not aware of them. Thus, the task of the NCPs is both to inform more thoroughly their target audience and to deliver appropriate advice on writing research proposals.

As for the NET4SOCIETY tools available to the EU-13 scholars, only about half of the scholars know about the Partner Search tool and the Research Directory. Among those who know about these tools, only about 33 % register there. Moreover, only a minor part of scholars are aware about the brokerage events (36 %), but they would like to know more about them and participate (27 %). Those scholars who are planning to apply for the upcoming calls are, as can be expected, more actively participating in the Research Directory and Partner Search (14 % vs. 8 %). Since 45 % of respondents reported they did not know about these tools, the saturation point has not been reached, and more work could be done in **spreading the information** about these tools among the EU-13 researchers.

All in all, EU-13 seem to suffer from lack of relevant information on the funding opportunities and proposal writing, on the one hand, and from the lack of funding for proposal preparation itself, on the other. A clearer focus on participation in the FP has a positive effect on understanding the rules of European cooperation. However, the potential of EU-13 in developing research networks and fostering local project coordinators is very high, and many researchers are currently "lost" for cooperation, being rather vaguely informed and equipped for the FP/ Horizon 2020.

2.4   **Expert Interviews on EU-13 Participation in FP7**

The goal of interviewing experts as part of this Task and source of information for this report was to assess the views of (1) EU-13 research leaders, (2) European Commission representatives, and (3) national level stakeholders on the reasons for lower EU-13 participation in the FP7 and on the possible tools for increasing their success rate.

A total of 27 expert interviews were carried out (18 interviews with EU-13 NCPs and research leaders, or higher officials in education and research; 5 interviews with representatives of European research bodies based in the EU-15, and 4 interviews with representatives of the European Commission). Among the EU-13 experts, several interviewees were working both in the EU-13 research and in the European bodies (e.g. being national delegates to the FP/ Horizon 2020 Programme Committee).

In the interviews with experts, the questions concerned the following issues:

1) the difficulties for the EU-13 researchers in the FP;

2) the reasons for the lower success rate, with regard to the successful participation in the SSH programme in FP7;

3) realistic recommendations on how to overcome the unfavourable situation.

The European Commission representatives as well as research leaders from the EU-15 MS list the following reasons for lower success rates of EU-13 in SSH FP:

- Much smaller national funding and research investments (the experts underline that it takes time to reach the level of EU-15 and that different regions require different schemes);

- Poorer research networks (coordinating institutions should be big enough to be able to manage and administrate research projects, and they should focus on establishing closer connections with the EU-15 at big international events);

- Lower capacity on the political level (EU-13 do not speak up enough at the Programme Committee, thus losing potential benefits from lobbying);

- Shorter experience with the FPs (hence, limited learning experience, when compared to EU-15 MS; this should pass with time);

- Weak networks with EU-15 scholars, which is partly due to less visibility at international events and partly due to some language barrier.

According to this group of experts, **SSH NCPs** should pursuit the goal of establishing closer relations with research institutions (e.g. via special trainings on how to prepare valuable proposals) and work together with NCPs from neighboring countries in order to create **synergies** of their actions (e.g. attend thematic info days, organize common info days and brokerages, like in the Nordic countries where a viable regional NCP network has developed). Overall, SSH NCPs should look into interdisciplinary opportunities across the "Societal Challenges" in Horizon 2020, since many of the projects in other "Societal Challenges" outside the mainly SSH-driven 6th Societal Challenge need SSH expertise.

On the whole, success of a proposal is "a lottery", but consistently well-prepared projects tend to pass. The position of the EC representatives on the EU-13 is more critical than that of common EU-13 researchers themselves.

For the research **experts from the EU-13**, by contrast, the list of substantial difficulties is somewhat longer and connected to the following issues:

- **Knowledge** capacities, attracting young researchers and counteracting the outflow and emigration of scientists;

- Human capacities: **small-scale research units** are insufficient for project coordination;

- Lack of **permanent national funding** (including zero funding for proposal preparation and trainings);

- Lack of **good networks** of cooperation among less successful researchers, parochialism, while there are several very successful researchers who have networks and do not need NCPs ("good networks = projects");

- Many researchers **do not know where to find information** focused on their needs, explaining to them how to join existing networks; **procedures** are not yet familiar;

- "zero" **institutional support for drafting proposals** (which takes financial, human, time resources and experience), while not many researchers have the skills of competing for funding (funding scheme in EU-15 MS are different);

- Pessimism as to the **evaluation** procedures (some EU-13 experts mentioned they did not **trust** that they would be treated equally when proposing to coordinate a project (from the point of view of EU-15 evaluators).

As to national **research priorities**, the general understanding was that it is favorable if they coincide on the national and European levels but it is only helpful and not very important for success.

By contrast, the **role of NCPs** is seen as that of "*info-angels*" who should (1) provide relevant information and (2) teach researchers how to apply ("inform, promote, encourage, support"). They should also occasionally organize meetings with evaluators (so that researchers learn more about evaluation procedures) and NCPs from other thematic areas, to promote interdisciplinary research.

Overall, there were some pessimistic voices evident in the EU-13 experts' interviews, e.g. "EU-15 do not use the research potential of EU-13", and "we remain undervalued". EU-13 scholars believe the best researchers from EU-13 should receive some extra motivation or incentive to apply for the FP projects. At the same time, some experts noted that higher success rates are a matter of **institutional learning**, which takes time, and top-down efforts might not be very effective here.

> More successful **cases** such as Estonia have **several strong points** when compared to other new MS:
>
> - Existing regional networks, e.g. with Nordic countries vs. limited networking in other countries;
> - Contacts with top research centres and the possibility of learning from them (vs. trying to coordinate a project with scarce management and human resources and limited funding);
> - Use of mobility schemes to study and carry out research (vs. common problem of low research mobility);
> - Use of structural funds with high (30 %) success rate for national research projects.

Some good illustrations of the positions of EU-13 experts are provided in the following quotes:

1) "*EU-13 feel like a new client in a restaurant: he sees the menu but does not know what is what, and how to start*";

2) "*There is a "catch-22" of lack of experience being a hurdle to writing a good project, but a good project cannot be written without experience*".

To put it in other words, higher success rates in FP projects are dependent on institutional learning (getting hold of procedures, techniques, skills of writing proposals, managing projects, etc.). Positive examples of integration into European research necessarily include

taking advantage of existing research networks, exchange schemes, and infrastructures. On balance, insufficient institutional support to proposal writing, the outflow of researchers, and somewhat low levels of trust between researchers in different MS create barriers for the participation in FPs (and, potentially, Horizon 2020).

The tools to improve EU-13 performance proposed by the experts of both groups can be summarized as follows:

1) national funding for the training of a new generation of scholars who would establish networks with the EU-15 centres of excellence via education and exchange;

2) investment in research infrastructure and establishment of regional Centres of Excellence which would attract researchers from EU-15;

3) national funding and incentives (structural funds) to write and submit proposals;

4) creation of multidisciplinary inter-organizational (interuniversity) groups and their promotion;

5) more lobbying of national research interests and topics.

Some experts desired more active and stronger NCP networks which would act not only as information gateways to the FP, but also to other available international funding schemes.

In a nutshell, "the most important for the success are contacts and networks".

Apart from these common recommendations, there is also some divergence as to the "proper" ways of encouraging EU-13 scholars. As Helga Nowotny, President of the European Research Council, put it, there is a gap between the vision of future of SSH research by EU-13 (special programmes, favors or even quotas for EU-13 participation) and the vision of future by EU-15 and the European Commission (no special programmes, but better use of structural funds and investments for training of research staff for the participation in Horizon 2020).

This discrepancy among the experts will possibly diminish when more research networks are established and working and when the research infrastructure in EU-13 MS resembles more that of the EU-15.

Annexes

Annex 1. The List of Common EU Research Priorities in the SSH

	Priorities
1	Behaviour, cognition
2	Competitiveness, Innovation
3	Conflicts, peace, security and human rights within the EU and beyond
4	Crime and Crime prevention (including drugs, organized crime etc.)
5	Cultural heritage (including preservation and conservation)
6	Democracy, governance, accountability and responsibility
7	Demography (Ageing, Fertility)
8	Economy and finance
9	Education, skills, knowledge and life-long learning
10	Employment, Work, Working conditions
11	Ethics
12	Families, life-styles and well-being
13	Gender, gender equality
14	Globalization
15	Health and Health systems
16	Identity, religion, language, multiculturalism
17	International relations
18	Migration
19	Social cohesion, exclusion, inequalities, poverty
20	Sustainable development
21	Urban and rural development
22	Others

Source: Metris country reports SSH in the EU-13 2012 (12 separate reports).
URL:http://www.metrisnet.eu/metris…2012.pdf

Annex 2. The List of Relevant Literature Used for Analysis

Blejec, A. and Ferligoj, A. (2012) *Participation in the EU FP: animation of PCA results*. URL:
http://www.fmf.uni-lj.si/storage/23294/Ferligoj%20-%20FP6-
7.pdf?access=a39b71791173dd77de61c1a1e9b3f20f

Council of the European Union: From the General Secretariat of the Council to Delegations.
Annex II. Analysis on low participation in FP 7 – Information from the Commission. 28
September 2011.

Conference "Half Time – Highway, Interim evaluation of FP7 from different perspectives"
(2010).

Common Position Paper of the EU-13 Member States for the next Framework Programme -
FP7 (2005-6). 2011.

Country report Social Sciences and Humanities in Bulgaria 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Bulgaria_2012.pdf

Country report Social Sciences and Humanities in Cyprus 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Cyprus_2012.pdf

Country report Social Sciences and Humanities in Czech Republic 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/CzechRepublic_2012.pdf

Country report Social Sciences and Humanities in Estonia 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Estonia_2012.pdf

Country report Social Sciences and Humanities in Hungary 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Hungary_2012.pdf

Country report Social Sciences and Humanities in Latvia 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Latvia_2012.pdf

Country report Social Sciences and Humanities in Lithuania 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Lithuania_2012.pdf

Country report Social Sciences and Humanities in Malta 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Malta_2012.pdf

Country report Social Sciences and Humanities in Poland 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Poland_2012.pdf

Country report Social Sciences and Humanities in Romania 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Romania_2012.pdf

Country report Social Sciences and Humanities in Slovakia 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Slovakia_2012.pdf

Country report Social Sciences and Humanities in Slovenia 2012
http://www.metrisnet.eu/metris//fileUpload/countryReports/Slovenia_2012.pdf

DG RTD Annual Report on Programme Evaluation Activities 2011 /
http://ec.europa.eu/research/evaluations/index_en.cfm

Enhancing and focusing EU international cooperation in research and innovation: A strategic
approach (2012) COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN
PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL
COMMITTEE AND THE COMMITTEE OF THE REGIONS

ESF Forward Look report 'Central and Eastern Europe Beyond Transition: Convergence and
Divergence in Europe' / Executive summary. Budapest, 2012.

EU International Strategy for Research and Innovation
http://ec.europa.eu/research/iscp/index.cfm?pg=strategy EU-13 Member States (2011) *Common Position Paper of the EU-13 Member States for the next Framework Programme.*

European Commission, DG RTD. (2009) *Assessment of the Impact of the 6th Framework Programme on new Member States.* Kongens Lyngby: COWI.

European Commission (2010) *Interim Evaluation of the Seventh Framework Programme – Report of the Expert Group.* Brussels, Stockholm.

Ferligoj, A. et al. (2011) *Participation in the EU FP – policy implications.* URL: http://www.arhiv.mvzt.gov.si/fileadmin/mvzt.gov.si/pageuploads/pdf/7OP/UNDERREPRESENT-STUDIJA.pdf

Fifth FP7 Monitoring Report/ http://ec.europa.eu/research/evaluations/index_en.cfm

Interim Evaluation of the Seventh Framework Programme - Report of the Expert Group   / http://ec.europa.eu/research/evaluations/index_en.cfm

Malta country profile in FP7 / Overall review of EU Member States and Associated countries

On the Response to the Report of the Expert Group on the Interim Evaluation of the Seventh Framework Programme for Research, Technological Development and Demonstration Activities and to the Report of the Expert Group on the Interim Evaluation of the Risk-Sharing Finance Facility (2011) COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS.

Participation of the Central and Eastern European EU Member States in the 7th Framework Programme / Analysis, Evaluation, Recommendations, Summary in English, 29.01.2012

Potočnik, J. EU research: let's connect; SPEECH/09/220; Opening event for Research Connection Conference. May 7, 2009.

PRESS RELEASE - R&D into higher gears prepared by the Hungarian Ministry for National Economy (Budapest, 25. February, 2011).

Projects in support of international research and innovation cooperation / International cooperation activities of the FP7 Capacities programme

Rauch, M. and Sommer-Ulrich, J. (2012) *Participation of the Central and Eastern European EU Member States in the 7th Framework Programme: Analysis, Evaluation, Recommendations.* Summary. URL: http://www.bmbf.de/pubRD/MOEZ_summary_final.pdf

Schuch, K. (2005): "Influence of Research and Economic Factors on Participating in FP5," in: *The Integration of Central Europe into the European System of Research.* Vienna and Mülheim a.d.Ruhr: Guthmann-Peterson.

SSH Experiences with FP7 – a Commentary (NET4SOCIETY-1 project, 2011)

S&T International Cooperation Network for Eastern European and Central Asian / Countries Third annual monitoring report on EECA participation in FP7 (Archimedus, Estonia) 2008-2011.

The 5th ERAC Meeting on 27-29 April 2011. ERAC Opinion in view of the future Framework Programme („Common Strategic Framework"). Background note by Christian Seiser, Rapporteur.

THE HORIZON 2020 STRATEGIC PROGRAMME FOR THE 2014-2016 WORK PROGRAMMES (2013) the letter from Marie Geoghegan Quinn to President Barroso

The list of projects funded within the 7th Framework Programme per country
http://cordis.europa.eu/fp7/projects_en.html

UNESCO (2010) *World Social Science Report 2010: Knowledge Divides*. Paris.

Annex 3. Participant Success Rate and Economic Indicators (Eurostat, E-Corda)

Nr.	Member State	SSH FP7 success rate, all participants	GNI PPP (latest)	GERD % of GDP, mln eur, 2010	GERD, mln eur, 2010	SSH GERD, mln eur, 2010	GERD/1,000 researchers
1	Austria	13.19%	43,220	2.8	7,984	-	220.4
2	Belgium	15.85%	39,260	2	7,140.2	-	186.3
3	Denmark	12.88%	42,620	3.1	7,257.5	577.8	193.0
4	Finland	8.78%	38,210	3.9	6,971.3	-	168.3
5	France	13.34%	36,460	2.2	43,387	-	181.1
6	Germany	13.10%	41,370	2.8	69,948	-	213.3
7	Greece	6.11%	24,790	-	-	-	-
8	Ireland	10.17%	35,110	1.7	2,672.5	227.4	183.7
9	Italy	10.21%	32,280	1.3	19,625	-	183.7
10	Luxemburg	9.23%	63,000	1.5	591.6	-	224.4
11	Netherlands	15.12%	43,360	1.9	10,892	-	202.8
12	Portugal	7.21%	24,670	1.6	2,748.6	506.9	59.4
13	Spain	8.14%	31,780	1.4	14,589	-	108.3
14	Sweden	11.95%	43,160	3.4	11,870	-	240.7
15	United Kingdom	10.78%	35,800	1.8	30,732	-	119.8
16	Bulgaria	6.98%	15,390	0.6	215.6	14.8	19.6
17	Croatia	7.34%	19,760	0.75	335.1	54.7	47.2
18	Cyprus	6.79%	29,400	0.5	86.2	21.5	95.2
19	Czech Republic	8.77%	24,550	1.55	2,334.8	155.9	79.9
20	Estonia	13.82%	21,990	1.63	232.8	22.4	57.1
21	Hungary	11.08%	20,200	1.17	1,126.1	114.8	52.8
22	Latvia	9.91%	21,020	0.6	108.7	13	27.9
23	Lithuania	4.51%	22,760	0.8	219.6	46.3	25.5
24	Malta	13.89%	26,990	0.67	42	5.5	70.1
25	Poland	8.20%	20,920	0.74	2,607.5	269.8	40.4
26	Romania	6.26%	16,310	0.46	573	66.6	29.0
27	Slovakia	9.17%	24,370	0.63	416.3	46.6	27.4
28	Slovenia	6.12%	26,470	2.09	746	69.5	96.8

Annex 4. Total Research and Development Personnel in EU-13 (Eurostat)

Nr.	Member State	Full-time employed R&D personnel, 2011	Per cent, of EU-28	Average annual growth rate, 2002-2007*
1	Bulgaria	11,902	0.73	2.4
2	Croatia	6,847	0.42	-4.8
3	Cyprus	915	0.00	**9.3**
4	Czech Republic	30,628	**1.88**	**13.6**
5	Estonia	4,511	0.28	3.9
6	Hungary	23,019	**1.41**	1.8
7	Latvia	3,947	0.24	3.8
8	Lithuania	8,390	0.52	5.8
9	Malta	759	0.00	**12.2**
10	Poland	64,133	**3.93**	-0.2
11	Romania	16,080	0.98	-2.4
12	Slovakia	15,326	0.94	2.5
13	Slovenia	8,774	0.53	3.8
	EU-13 total	**183,329**	**11.86 %**	**+4.11**
	EU-28	**1,628,127**	**100 %**	**+2.20***

*EU-27 (Eurostat 2010 book).

Annex 5. National Research Priorities in the EU-13 (based on Metris Database)

From 22 SSH thematic priorities the largest national scope is for Romania – 19:

- ✓ Behaviour, cognition;
- ✓ Competitiveness, Innovation;
- ✓ Conflicts, peace, security and human rights within the EU and beyond;
- ✓ Cultural heritage (including preservation and conservation);
- ✓ Democracy, governance, accountability and responsibility;
- ✓ Demography (Ageing, Fertility);
- ✓ Economy and finance;
- ✓ Education, skills, knowledge and life-long learning;
- ✓ Employment, Work, Working conditions;
- ✓ Families, life-styles and well-being;
- ✓ Gender, gender equality;
- ✓ Globalisation;
- ✓ Identity, religion, language, multiculturalism;
- ✓ International relations ;
- ✓ Migration;
- ✓ Social cohesion, exclusion, inequalities, poverty ;
- ✓ Sustainable finance;
- ✓ Education, skills, knowledge and life-long learning;
- ✓ Employment, Work, Working conditions;
- ✓ Gender, gender equality;
- ✓ Health and Health systems;
- ✓ Identity, religion, language, multiculturalism;
- ✓ Migration;
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Sustainable development.

Croatia – 7 national priorities:

- ✓ Competitiveness, Innovation;
- ✓ Conflicts, peace, security and human rights within the EU and beyond;
- ✓ Cultural heritage (including preservation and conservation);
- ✓ Demography (Ageing, Fertility);
- ✓ Education, skills, knowledge and life-long learning;
- ✓ Employment, Work, Working conditions;
- ✓ Identity, religion, language, multiculturalism.

Cyprus – 7 national priorities:

- ✓ Conflicts, peace, security and human rights within the EU and beyond;
- ✓ Education, skills, knowledge and life-long learning;
- ✓ Gender, gender equality;
- ✓ Identity, religion, language, multiculturalism;
- ✓ Sustainable development;
- ✓ Others (Media and Communication).

Czech republic – 6 national priorities:

- ✓ Competitiveness, Innovation;
- ✓ Cultural heritage (including preservation and conservation);
- ✓ Economy and finance;
- ✓ Education, skills, knowledge and life-long learning;

- ✓ Identity, religion, language, multiculturalism;
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Others.

Estonia selected only 5 national thematic priorities:

- ✓ Demography (Ageing, Fertility);
- ✓ Education, skills, knowledge and life-long learning;
- ✓ Employment, Work, Working conditions;
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Sustainable development.

Hungary – 6 out of all 22 priorities:

- ✓ Competitiveness, Innovation;
- ✓ Democracy, governance, accountability and responsibility;
- ✓ Economy and finance;
- ✓ Employment, Work, Working conditions;
- ✓ Health and Health systems;
- ✓ Identity, religion, language, multiculturalism.

Latvia -11 out of 22:

- ✓ Behaviour, cognition;
- ✓ Competitiveness, Innovation;
- ✓ Cultural heritage (including preservation and conservation);
- ✓ Demography (Ageing, Fertility);
- ✓ Education, skills, knowledge and life-long learning;
- ✓ Employment, Work, Working conditions;
- ✓ Families, life-styles and well-being;
- ✓ Identity, religion, language, multiculturalism;
- ✓ Migration;
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Urban and rural development.

Lithuania – 9 national priorities:

- ✓ Crime and Crime prevention (including drugs, organised crime etc.);
- ✓ Cultural heritage (including preservation and conservation);
- ✓ Demography (Ageing, Fertility);
- ✓ Employment, Work, Working conditions;
- ✓ Globalisation;
- ✓ Health and Health systems;
- ✓ Identity, religion, language, multiculturalism;
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Others.

Malta - 5 out of 22 thematic priorities:

- ✓ Cultural heritage (including preservation and conservation);
- ✓ Education, skills, knowledge and life-long learning;
- ✓ Health and Health systems;
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Others: The performing arts and creative industries.

Poland – 8, among 22 priorities:

- ✓ Competitiveness, Innovation;
- ✓ Cultural heritage (including preservation and conservation);
- ✓ Democracy, governance, accountability and responsibility;
- ✓ Demography (Ageing, Fertility);
- ✓ Economy and finance,
- ✓ Health and Health systems,
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Sustainable development).

Slovakia – 8, among them:

- ✓ Conflicts, peace, security and human rights within the EU and beyond;
- ✓ Cultural heritage (including preservation and conservation);
- ✓ Families, life-styles and well-being;
- ✓ Health and Health systems;
- ✓ International relations;
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Sustainable development;
- ✓ Urban and rural development).

Slovenia – 7 national priorities:

- ✓ Competitiveness, Innovation;
- ✓ Cultural heritage (including preservation and conservation);
- ✓ Ethics;
- ✓ Health and Health systems;
- ✓ Social cohesion, exclusion, inequalities, poverty;
- ✓ Urban and rural development;
- ✓ Others.

Annex 6.1 Survey Questionnaire

Socio-Economic Sciences and Humanities in the Framework Programme (ONLINE)

Matching our services with your needs

Within the 7th Framework Programme (FP7) there is a National Contact Point (NCP) for the Socio-Economic Sciences and Humanities (SSH) in your country. Did you know there is also a network project of NCPs for SSH running that provides you with additional services? Check www.net4society.eu to find out about events, news, calls, and helpful background information on European research related to SSH.

What is this survey about?

As SSH NCPs we are interested in optimising our offer according to the clients' needs. We aim at supporting the successful participation of all EU Member States in Horizon 2020. This survey focuses in particular on FP7 participation and NCP services with regard to the new EU member states (EU-13): Bulgaria, Croatia, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, and Slovenia. The survey aims to provide information on the experiences that researchers from these countries have had with the 7th European Research Framework Programme (FP7, 2007-2013) in the field of SSH, and it will feed into a report on "EU13 New Member States in FP SSH Projects" that is to be submitted to the EU Commission in autumn 2014. Many questions focus on the services of NCPs. All the questions relate to EU-13.

Why should I participate?

Participation in this survey provides you with the possibility to give feedback on FP7 to the EU Commission and to make your views on FP7 heard.

Completing the questionnaire should not take more than *10 minutes*. Please note that you are often invited to provide specific comments.
The disclosed information is anonymous and cannot be connected to the identity of specific individuals.

If you have any questions concerning the questionnaire, please write to

contact@net4society.eu or contact us via phone: +371 26345145.

Thank you in advance for your contribution!

1. Your country _____

2. How many international conferences did you attend in the last 2 years? _____ (number)

3. Are you in contact with any currently running SSH FP project participant or coordinator?
ONE ANSWER
☐ Yes

☐ No

4. Have you ever participated in FP7 projects related to SSH? **ONE ANSWER**
☐ Yes, I was a member of a successful SSH FP7 project(s)

☐ Yes, I was a coordinator of one or more FP7 projects
☐ Yes, I was an advisory board member in FP7 project(s),
☐ Our organization submitted an SSH FP7 project proposal, but it was declined
☐ I haven`t submitted proposals in FP7
☐ Other, please specify_____

5. Do you have a network of international partners with whom you could organize a new SSH
Framework Programme (FP) project proposal? **ONE ANSWER**
☐ Yes, we have a working network of partners with a coordinator.
☐ I have a network of partners, but we need a coordinator.
☐ I could be a coordinator, but I need more contacts with prospect partners.
☐ I have neither a suitable network of partners nor a coordinator
☐ Other, please specify_____
☐ I don't know_____

6. Do you plan to submit SSH proposals within Horizon 2020? **ONE ANSWER**
☐ Yes
☐ No
☐ I don't know yet

6-a. If YES – What are the major driving forces to do it? **MULTIPLE ANSWERS**
☐ Improvement of my (professional) skills
☐ More opportunities for international collaborative research
☐ New contacts with researchers within my disciplinary area
☐ Opportunities for multidisciplinary research
☐ More funding for my research group through international project(s)
☐ Improvement of my career status as a result of participation in international
project(s)
☐
Other_____
_

7. What are the most serious barriers for <u>you</u> in applying for SSH FP Calls?
MULTIPLE
☐ I don't have enough contacts with other FP-experienced European researchers
☐ Low chances for the proposal to be funded due to oversubscription (too many
proposals)
☐ There is no funding available for writing the proposal
☐ Call topics are different from national research priorities on which I focus my
projects
☐ National funding opportunities are sufficient in my research and more easily
accessible
☐ I don't have any advice support for the SSH FP proposal within my organization
☐ I don't receive enough information on the SSH calls
☐ Procedures for proposal submission are unfamiliar
☐ The writing has to be done in English

☐
Other_____
☐ I don't know

8. Do you see any specific difficulties for FP participants <u>from your country</u>?
MULTIPLE
☐ No, I don't think so
☐ Yes, we are not so well connected with players from other countries
☐ Yes, our expertise and capabilities are not well known among our peers within other EU Member States
☐ Yes, our general expertise is not as high as required for the participation in FP
☐ Yes, we have limited or no national funding for proposal preparation activities acts as a barrier and limits participation in SSH FP7 projects
☐ Yes, because of sufficient national funding for national projects, funding from FP is not as attractive
☐ Yes, for other reasons: _____

9. In your view, what are the reasons for the low number of <u>coordinators from EU13</u> in the SSH theme within FP7? **MULTIPLE ANSWERS**
☐ No previous adequate experience of coordinating FP projects
☐ Lack of management skills among potential EU13 coordinators
☐ Lack of established international contacts/networks
☐ Writing in the English language
☐ Procedures for proposal submission are unfamiliar
☐ Not enough lobbying for EU13 research interests in the European Commission, so the themes are less attractive to EU13
☐ Limited national funding for proposal preparation
☐ Other: (please specify)

_____
☐ I don't know

10. Please range the following general success <u>factors for </u>submitted proposals (1-most important, 9-least important):

	Rank (1-9)	I don't know
High level of <u>proficiency</u> (skills) of the project <u>partners</u>	☐	☐
Well-developed <u>network</u> of project partners	☐	☐
Professionally well-written <u>text of a proposal</u>	☐	☐
High quality of <u>project management concept</u>	☐	☐
High potential impact of expected <u>project results</u>	☐	☐
<u>Previous success of partners</u> in international research	☐	☐
An authoritative list of <u>publications</u>	☐	☐
Good <u>reputation </u>of the <u>coordinator</u> among evaluators	☐	☐

11. How do you rate the <u>evaluation</u> of SSH proposals in FP? **ONE ANSWER**

☐ The process is transparent enough, decisions are understandable
☐ The process is rather closed, not enough information available
☐ Other, please specify

_____

☐ I don't know

12. Are you generally satisfied with the support provided by your NCP? **ONE ANSWER**

☐ Yes, I am completely satisfied

☐ Yes, I am rather satisfied

☐ I didn`t look for the support from NCPs or other experts

☐ Not quite satisfied

☐ I am completely dissatisfied

☐ I don't know the SSH NCP in my country

13. What kind of service do you need from a national NCP system? **ONE ANSWER PER ROW**

	Necessary	Nice to have	Not Necess- ary	Don't know
Assistance to learn how my proposal fits in the open call	☐	☐	☐	☐
A service on <u>suitable funding sources for EU projects</u>	☐	☐	☐	☐
Information on FP7/Horizon 2020 <u>rules</u>	☐	☐	☐	☐
Information on <u>how to write / improve</u> a proposal	☐	☐	☐	☐
Proposal <u>check</u>	☐	☐	☐	☐
A service in the national <u>language</u>	☐	☐	☐	☐
Support for <u>networking and building a consortium</u>	☐	☐	☐	☐

14. What support would you like for enhancing your international contacts? **MULTIPLE ANSWERS**

☐ International brokerage events

☐ Online partner search services for projects

☐ Online directory of potential partners

☐ Funding of international networks

☐ Other _____

☐ I don't know

15. Do you know/ use the NET4SOCIETY Research Directory? **ONE ANSWER**

☐ I am registered there

☐ I know it but I don't use it myself

☐ I don't know this directory

16. Do you know/ use the NET4SOCIETY Partner Search Support? **ONE ANSWER**

☐ I am a user

☐ I know it but I have never used it myself

☐ I don't know about such a tool

17. Do you go to brokerage events where potential partners and coordinators meet?
ONE ANSWER

☐ I didn't know there were such events organized, but I would like to come

☐ I know about such events, but I don't go because I have enough research partners

☐ Yes, I attend brokerages and find them helpful

☐ Yes, I attended brokerages, but did not find them helpful

☐ Other (please
specify)_____

18. What kind of institution are you employed in? **ONE ANSWER**

☐ Secondary or higher education establishment

☐ Ministry

☐ Non-Profit Research organisation

☐ Small- or medium-sized entreprise

☐ Other (please specify) _____

19. Your main duties: **ONE ANSWER**

☐ Research

☐ Other (please specify!)_____

Thank you for your participation in the survey!

Annex 6.2 Guide of the Expert Interview

Questions
for interview with SSH NCP and the most advanced researchers
(who successfully participated in FP7(6) in your country)

Notes for the interviewer:
1) explain the terms "EU-13", "SSH", etc. (if necessary) and tell the interviewee about the goals of this research
2) the interviewee's reply to the question can be broad, with many details, as there are no prepared answers for them, so, please, write down all the answers "as they are" and email the text of each interview with the indication of the name, position, place of interview, and time for it (for example: between 3pm and 4pm)
3) you may slightly reformulate the questions, if something is not clear, or give some example to the interviewee,
4) be sure it is enough time for interviewee to express his/her opinion, and all questions are clear
5) the order of the questions can be changed, but provide the full answers to all questions in the excel table format (excel file with the following 4 columns: a- country and researcher's name/position, b-answer to the questions 1-5, c- recommendation in relation to each 1-5 question, d- summary on the country's interviews)
6) researchers can give answers on the basis of their national expertise (just indicate if they talk about their country only or about EU-13 in general)

Questions:
1. What are the most serious difficulties for researchers from the EU-13 with regard to the successful participation in the SSH FP7?
2. What are the reasons for the low success rate of coordinators from the EU13 in the SSH FP7?
3. Do you think that similar national and the European (EU- SSH) research priorities can increase the submitted proposals' success rate? If not – what can increase this rate instead?
4. Do you think that sufficient national funding for national – level projects can be a negative factor for the participation of national researchers in FP projects?
5. What is the role of SSH NCP in promoting the project proposals from the EU-13?
6. In your opinion, what can be done in order to increase the success rate of the projects from the EU-13 in SSH-FP (or Horison2020)?