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From: ERAC Secretariat  
To: ERAC (European Research Area and Innovation Committee)

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Subject: ERAC plenary 17 May - agenda item 4.1 (Review of the ERA advisory structure - Codebook)

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In view of the discussions under item 4.1 of the agenda of the ERAC plenary on 17 May, delegations will find attached a codebook for documentary analysis.

**ERA-RELATED GROUP:**

**Corresponding ERA Priority:**

Description of Priority according to the ERA Roadmap 2015-2020<sup>1</sup>:

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<sup>1</sup> ERAC 1208/15, available at: <http://data.consilium.europa.eu/doc/document/ST-1208-2015-INIT/en/pdf>

**1. Scope of the group**

The purpose of this section is to assess whether the mandate and activities of the group are in line with the ERA Priority they are responsible for and to what degree they cover the respective Priority. The table below indicates the questions to be answered from which source.

	<b>Source</b>	<b>Question</b>	<b>Assessment</b>	<b>Further comments, explanations, examples etc.</b>
1	Mandate	Is the ERA Top Action Priority covered (see description of Priority on p.1 of the codebook)?	<input type="checkbox"/> Fully covered <input type="checkbox"/> To a large extent <input type="checkbox"/> To a small extent <input type="checkbox"/> Not at all covered	
2	Mandate	Are the other aspects of the ERA Priority as defined in the ERA Roadmap covered (see description of Priority on p.1 of the codebook)?	<input type="checkbox"/> Fully covered <input type="checkbox"/> To a large extent <input type="checkbox"/> To a small extent <input type="checkbox"/> Not at all covered	
3	Mandate	Are there any elements in the mandate which are out of scope of the ERA Priority?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No	If yes, please specify here.
4	Mandate	Are there elements of the ERA Priority missing in the mandate?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No	If yes, please specify here.
5	Mandate	Does the mandate cover or refer to any of the other six ERA Priorities?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No	If yes, please specify here.
6	Work Programmes	Is the mandate adequately reflected, i.e. are all aspects of the mandate covered?	<input type="checkbox"/> Mandate fully covered <input type="checkbox"/> To a large extent (majority of aspects) <input type="checkbox"/> To a small extent (less than half) <input type="checkbox"/> Not at all covered	

7	Work Programmes	Are all aspects of the mandate covered in a well-balanced way?	<input type="checkbox"/> Yes <input type="checkbox"/> No (please specify)	If no, please specify here and, if possible, provide explanations (e.g. some aspects already dealt with prior to 2016).
8	Work Programmes	Are there any elements in the Work Programme which are out of scope of the mandate?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No	If yes, please specify here.
9	Work Programmes	Are there elements of the mandate missing in the Work Programme?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No	If yes, please specify here and, if possible, provide explanations (e.g. some aspects already dealt with prior to 2016).
10	Work Programmes	Do the Work Programmes cover any of the other six ERA Priorities?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No	If yes, please specify here.
11	Work Programmes	Do the Work Programmes refer to any activities in relation to the ERA National Action Plans and their implementation with regard to the group's ERA Priority?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
12	Work Programmes	Do the Work Programmes envisage a monitoring instrument (toolbox or similar) of the group's work and the implementation of its ERA Priority?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
13	Outputs	How many of the group's outputs (reports etc.) are in line with the mandate?	<input type="checkbox"/> In line: ... <input type="checkbox"/> Out of scope: ... (please specify) <input type="checkbox"/> Unclear: ...	Please list the outputs which are out of scope:

## **2. Organisation & working conditions of the group**

The purpose of this section is to assess organisational aspects, such as the group's composition and whether it is active and well integrated into the ERA advisory structure. The table below indicates the questions to be answered from which source.

	<b>Source</b>	<b>Question</b>	<b>Assessment</b>	<b>Further comments, explanations, examples etc.</b>
1	Mandate	What is the role of the European Commission in the group?	<input type="checkbox"/> Co-Chair <input type="checkbox"/> Participant <input type="checkbox"/> Other (please specify)	If other, please specify here.
2	List of countries in the Word form	How many countries participate in the group?	<input type="checkbox"/> Member States: ... <input type="checkbox"/> Associated Countries: ...	
3	Mandate	How often is the group supposed to meet?	... times per year.	
4	List of meetings in the Word form	How often did the group meet (plenary meetings)?	<input type="checkbox"/> 2016: ... <input type="checkbox"/> 2017: ... <input type="checkbox"/> 2018: ...	<i>Keep in mind: SWG HRM and GRI had little or no meetings because of their transfers from COM to Council (COM said that they will no longer organise meetings).</i>
5	List of meetings in the Word form	Where did the group meet? How many times in Brussels, how many in other locations?	<input type="checkbox"/> Brussels: ... <input type="checkbox"/> Other location: ... (please specify)	If other, please list the locations.
6	List of meetings in the Word form	Is the group's meeting calendar well-aligned with ERAC's meeting calendar <sup>2</sup> ? Did/do the group's meetings usually take place within a month before ERAC meetings?	<input type="checkbox"/> To a large extent <input type="checkbox"/> To some extent <input type="checkbox"/> Not at all	

<sup>2</sup> 2016: 14-15 January; 22 April; 15-16 September; 2 December  
 2017: 15-17 March; 16 June; 21-22 September; 5 December  
 2018: 15-16 March; 17 May; 17-18 September; 6 December

7	List of sub-groups in the Word form	How many sub-groups, working groups, task forces etc. of the group were active between 2016-2018?	...	
8	Mandate	Who provides the secretariat?	<input type="checkbox"/> Council <input type="checkbox"/> Commission <input type="checkbox"/> Other (please specify)	If other, please specify here.
9	Mandate, Work Programmes	How many different lines of action (mandate) / activities (WPs) are foreseen?	<input type="checkbox"/> Mandate: ... <input type="checkbox"/> Work Programmes: ...	
10	Mandate, Work Programmes	Do the mandate or Work Programmes envisage any collaboration or interaction with other ERA-related groups?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No	If yes, please specify here which ones.
11	List of sub-groups in the Word form	Were/are there any joint sub-groups with another ERA-related group?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No	If yes, please specify here which ones.
12	Outputs	How many of the group's outputs resulted from a collaboration with another ERA-related group (only count if explicitly mentioned)	... out of ...	If applicable, please specify how many with which other group.
13	Outputs, List of meetings in the Word form	Judging from the publication and event dates, was the group's level of activity constant between 2016-2018?	<input type="checkbox"/> More or less constant <input type="checkbox"/> Marked differences between high- and low-activity phases (please specify) <input type="checkbox"/> Other (please specify)	Please specify which different phases can be identified or if other patterns can be observed.

### **3. Output**

The purpose of this section is to assess the group's output, both in quantitative and qualitative terms.

	<b>Source</b>	<b>Question</b>	<b>Assessment</b>	<b>Further comments, explanations, examples etc.</b>
1	Outputs	How many and what kind of outputs / publications has the group produced?	<input type="checkbox"/> Reports: ... <input type="checkbox"/> Position papers: ... <input type="checkbox"/> Guidelines: ... <input type="checkbox"/> Recommendations: ... <input type="checkbox"/> Annual reports: ... <input type="checkbox"/> Other (please specify): ...	If other, please specify here.
2	List of meetings in the Word form	How many and what kind of events has the group organised?	<input type="checkbox"/> Workshops: ... <input type="checkbox"/> Conferences: ... <input type="checkbox"/> Other (please specify): ...	If other, please specify here.
3	Work Programme, Outputs	Did every planned activity in the Work Programme result in a concrete output?	<input type="checkbox"/> Yes <input type="checkbox"/> No (please specify)	<p>If no, please specify here and, if possible, provide explanations (e.g. some aspects already dealt with prior to 2016 or not yet dealt with; activity not supposed to lead to concrete output).</p> <p>If there is a large discrepancy between WP and outputs, ask perhaps for the minutes to see whether certain activities have only been addressed as a discussion point in their meetings, or ask the Chair of that group.</p>
4	Outputs	How many of the group's outputs / publications include clear policy recommendations or even commitments/decisions?	... out of ...	
5	Outputs	How practical are they (e.g. directly applicable, measurable)?	<input type="checkbox"/> Fully practical <input type="checkbox"/> Largely practical <input type="checkbox"/> Mostly vague	

			<input type="checkbox"/> Not practical at all	
6	Outputs	Who are the target groups of the outputs' recommendations and how often?	<input type="checkbox"/> Council: ... <input type="checkbox"/> Commission: ... <input type="checkbox"/> National governments: ... <input type="checkbox"/> RFOs: ... <input type="checkbox"/> RPOs: ... <input type="checkbox"/> Learned societies: ... <input type="checkbox"/> Libraries: ... <input type="checkbox"/> Other stakeholders (please specify): ...	If other stakeholders, please specify here.
7	Outputs	Is there a publication dealing with the ERA National Action Plans and their implementation with regard to the group's ERA Priority	<input type="checkbox"/> Yes <input type="checkbox"/> No (please specify)	If no, please specify here and, if possible, provide explanations (e.g. some already dealt with prior to 2016 or not yet dealt with; no stipulation in the mandate / Work Programme).
8	Outputs	How many of the group's outputs / publications make references to the ERA National Action Plans?	... out of ...	
9	Outputs	Is there a publication dedicated to a specific monitoring mechanism or framework for the group?	<input type="checkbox"/> Yes <input type="checkbox"/> No (please specify)	If no, please specify here and, if possible, provide explanations (e.g. some already dealt with prior to 2016 or not yet dealt with; no stipulation in the mandate / Work Programme).
10	Outputs	How many of the group's outputs / publications include monitoring efforts (such as reflections about possible monitoring instruments, national statistics or national best practice examples)?	... out of ...	



**4. Impact**

The purpose of this section is to assess what impact the group's work has had, i.e. if and how it has been taken up on the EU and the national level.

	<b>Source</b>	<b>Question</b>	<b>Assessment</b>	<b>Further comments, explanations, examples etc.</b>
1	List of impact from Word form	How often has the work of the group been taken up in publications by other actors, organisations or institutions?	<input type="checkbox"/> Council conclusions: ... <input type="checkbox"/> Commission communications or other EC publications: ... <input type="checkbox"/> National policy documents (please specify): ... <input type="checkbox"/> Stakeholder publications (please specify): ... <input type="checkbox"/> Other (please specify): ...	Please specify here which countries, stakeholders or other organisations. If possible, also specify the legal status of national-level documents.
2	Google search	Please perform a Google search to find out – as far as possible – how often the work of the group has been taken up in publications by other actors, organisations or institutions between 2016 and 2018 (not counting references already recorded with the question before).	<input type="checkbox"/> Council conclusions: ... <input type="checkbox"/> Commission communications or other EC publications: ... <input type="checkbox"/> National policy documents (please specify): ... <input type="checkbox"/> Stakeholder publications (please specify): ... <input type="checkbox"/> Other (please specify): ...	Please specify here which countries, stakeholders or other organisations. If possible, also specify the legal status of national-level documents.