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WORKING PAPER

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WORKING DOCUMENT

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

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

In view of the discussions under item 4.1 of the agenda of the ERAC plenary on 17 May, delegations will find attached the progress report on the Review of the ERA advisory structure.



REVIEW OF THE ERA ADVISORY STRUCTURE:

Progress Report for ERAC Plenary of 17 May 2018

Document:	Review of the ERA Advisory Structure: Progress Report
Authors:	CH: Philipp LANGER, Lisa MÜLLER NO: Kari B. ØISETH
Date / Version:	7.5.2018 / 1.0
Annex:	Code-Book (for illustration purposes)
Distribution:	ERAC Plenary

1. CONCEPT

The 2018 review of the ERA advisory structure builds on the guiding principles and scope formulated in the ERA review's Terms of Reference (ToR, Document WK 992/2018 INIT) and consist of two main parts:

1. An evaluation of all ERA-related groups (ERAC, GPC, ESFRI, SWG HRM, SWG GRI, SWG OSI, SFIC), their work and impact during the assessment period (2016-2018);
2. An online survey covering all ERA-related groups, to be filled out by all ERAC delegations (including the European Commission), the chair of each ERA-related group (in consultation with or on behalf of the whole group), the countries that held the Council Presidency during the assessment period and the ERA Stakeholder Platform organisations.

In preparation of the online survey, the rapporteurs will seek input from ERAC Delegations, the European Commission, the Council Secretariat and the ERA Stakeholder Platform. The discussion at the ERAC Plenary meeting of 17 May 2018, besides giving a short progress report of the work done so far, serves to gather input from ERAC Delegations regarding aspects to consider in the online survey.

2. PROGRESS REPORT

2.1 Part 1: Evaluation of ERA-Related Groups and their Work

Part 1 of the review consists of an evaluation of each ERA-related group and their work. On the one hand, the evaluation is based on a **documentary analysis** of the following information and documents:

- Mandate(s) of each group (ERA-related group only, i.e. no mandates of sub-groups etc.)
- Work Programme(s)
- Output / publications
- Other documents (if applicable)

The Chair(s) of each ERA-related group were contacted on 19 March 2018 with the request to provide the above documents by 30 March 2018 to the rapporteur. For a consistent analysis of these documents

between groups, the rapporteurs have developed an analytical framework for the documentary analysis (“Code Book”) to ensure comparability across groups, along four dimensions:

1. *Scope of the group:*
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.
2. *Organisation and working conditions of the group:*
Assess organisational aspects, such as the group’s composition and whether it is active and well integrated into the ERA advisory structure.
3. *Output:*
Assess the group’s output, both in quantitative and qualitative terms.
4. *Impact:*
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.

For illustration purposes, you find the Code Book as attachment 1 to this Progress Report.

Switzerland and Norway have divided the groups for the documentary analysis as follows:

- Switzerland: ERAC, ESFRI, SWG OSI, SWG HRM.
- Norway: GPC, SFIC, SWG GRI.

As of end of April, the documentary analysis is completed for all except one ERA-related group (for which additional documents had to be requested). The findings from this exercise have been summarised in a short text per group (done by the respective analyst), already pointing to potential areas of discussion, such as gaps or shortcomings.

On the other hand, in addition to the documentary analysis, the Chairs of the ERA-related groups have been invited on 3 April to provide by 20 April a short **self-assessment** with the help of a template that asks a number of questions for each of the above four dimensions. The replies (max. 300 words) for each of the above dimensions will be taken up directly in the Review Final Report as a self-presentation of each ERA-related group. As of 7 May (date of this Progress Report), the self-assessment reports of three groups were still missing.

Final Deliverable: The main result of part 1 of the 2018 ERA review is an overview of the state of play of the ERA advisory structure, an identification of gaps and shortcomings as well as potential areas for recommendations, to be validated by the survey (see chapter 2.2).

2.2 Survey

Part 2 of the review includes an online survey. The survey will mainly consist of closed questions but also provide opportunities for open-ended comments and feedback. The survey will take up challenges identified from Part 1 of the review and during the preliminary discussions with ERAC Delegations, the European Commission, the Council Secretariat and the ERA Stakeholder Platform.

The survey is scheduled to be open between 4 – 29 June 2018 (no extensions possible). It will be addressed in a variable form to ERAC delegations and the ERAC Co-Chairs, to the Chairs of the other ERA-related groups (who may provide a consolidated response representing the view of their group as a whole), to the countries that held the Council Presidency during the assessment period 2016-2018 (i.e. Netherlands, Slovakia, Malta, Estonia, Bulgaria and Austria), as well as to the members of the ERA Stakeholder Platform to gather feedback from these organisations (such as LERU, EUA, Science Europe, EARTO, CESAER, and others).

The survey will cover the same four dimensions used during the documentary analysis (1. Scope, 2. Organisation and working conditions, 3. Output, 4. Impact) for each ERA-related group, and it will in addition ask some more general questions about ERA and its advisory structure, also allowing for reflections about the future development and direction of the ERA. The Rapporteur and his team will present an outline of the survey at the ERAC Plenary meeting for discussion.

3. SCHEDULE OF WORK

Timeline	Activity / Milestone
19 March	Request to ERA-related groups (Chairs, Vice-Chairs and Secretariats) to provide documents for Part 1 analysis (deadline = 30 March) <u>Milestone</u> : collection of documents ready by 30 March
19 - 30 March	Preparatory work: drafting of codebook for analysis, preparing template for self-assessment 28 March: Meeting with ERAC Co-Chairs and Kari Balke Øiseth in Zurich to discuss concept and codebook <u>Milestone</u> : concept finalized, codebook ready, template for self-assessment ready by 30 March
2 - 20 April	Part 1: Documentary analysis and self-assessment of ERA-related group Chairs Part 2: clarify and organize survey tool. <u>Milestone</u> : analysis completed for every group, incl. short summary of results with main gaps and recommendations provided by 20 April
24 April	ERAC Steering Board: Rapporteur team takes part in an exchange of views about the progress of work. Informal exchange with COM and Council Secretariats (Mariano Menna and Minna Immonen)
7 May	Working meeting between NO and CH delegations in Geneva. <u>Milestone</u> : Distribution of progress report to ERAC in preparation for Plenary.
16 May	Informal roundtable with ERA stakeholders in Brussels
17 May	ERAC Plenary: Presentation and discussion of progress of work and of outline of questionnaire
24 May	Exchange with DG Jean-Eric Paquet and DDG Wolfgang Burtscher on ERA and its advisory structure (as preparation for online survey)
23 April - 1 June	Preparatory work: drafting of questionnaire and set-up of online survey <u>Milestone</u> : online survey ready to be launched by 4 June
4 June - 29 June	Part 2: Online survey open for respondents Part 1: Drafting of final report → summary of results; identification of gaps and challenges. <u>Milestone 1</u> : online survey closed by 29 June <u>Milestone 2</u> : draft final report about Part 1 completed by 29 June
2 – 13 July	Analysis of survey responses
16 July	Meeting with ERAC Co-Chairs and the Rapporteur team in the context of the Informal Council in Vienna to discuss (almost) final results of review.
16 July - 3 August	Drafting of final report about Part 2: summary of results; identification of major issues; recommendations for possible improvements and future directions. Synthesizing Part 1 and Part 2 to full final report. <u>Milestone</u> : draft final report completed and ready for distribution by 3 August
3 - 24 August	Feedback from ERAC on final report
27 August - 3 September	Revision of final report <u>Milestone</u> : final report ready for adoption by 3 September
3 September	Distribution of final report to ERAC in preparation for Plenary
17 September	ERAC Plenary: presentation, discussion and adoption of final report

2018 review of the ERA advisory structure - Schedule of work

Part	Task	Deadline	Resp.	March		April		May		June		July		August		September																								
				19.3.	26.3.	2.4.	9.4.	16.4.	23.4.	30.4.	7.5.	14.5.	21.5.	28.5.	4.6.	11.6.	18.6.	25.6.	2.7.	9.7.	16.7.	23.7.	30.7.	6.8.	13.8.	20.8.	27.8.	3.9.	10.9.	17.9.	24.9.									
-	Finalize concept for ERA review	30.03.2018	CH																																					
-	Preparatory meeting with ERAC Co-Chairs and Kari Balke	28.03.2018	CH																																					
1	Collection of documents for documentary analysis	30.03.2018	CH																																					
1	Elaborate codebook / analytical framework	30.03.2018	CH																																					
1	Prepare template for groups' self-assessment	30.03.2018	CH																																					
1	Documentary analysis	20.04.2018	CH, NO																																					
1	Self-assessment by ERA-related groups	20.04.2018	Groups																																					
-	ERAC Steering Board: Exchange on progress	24.04.2018	CH, NO, ERAC																																					
-	Exchange with Council and COM Secretariats (management aspects, during lunch break)	24.04.2018	CH, NO																																					
1	Summary of findings from documentary analysis from part 1	04.05.2018	CH, NO																																					
-	Working Meeting in Geneva	07.05.2018	CH, NO																																					
-	Distribution of short progress report (procedure) to ERAC in preparation for Plenary	07.05.2018	CH																																					
-	Exchange with ERA Stakeholders	16.05.2018	CH, NO, ERA Stakeholders																																					
-	ERAC Plenary: presentation and discussion of progress report (incl. draft of questionnaire)	17.05.2018	CH, NO, ERAC																																					
-	Exchange with COM (D.G. DDG)	24.05.2018	COM/DG, DDG, CH, NO																																					
1	Drafting of final report Part 1	29.06.2018	CH, NO																																					
2	Clarify and organize survey tool	20.04.2018	CH																																					
2	Drafting of questionnaire and set-up of online survey	01.06.2018	CH																																					
2	Online survey open	29.06.2018	ERAC, Groups, stakeholders																																					
2	Analysis of survey responses	13.07.2018	CH																																					
-	Meeting with ERAC Co-Chairs to discuss (almost) final results of review (Vienna, during Informal Council)	16.07.2018	ERAC Co-Chairs, CH, NO																																					
2	Drafting of final report Part 2 and synthesizing with Part 1 to full final report	03.08.2018	CH, NO																																					
-	Feedback from ERAC	24.08.2018	ERAC																																					
-	Revision of final report	31.08.2018	CH, NO																																					
-	Distribution of final report to ERAC in preparation for Plenary	03.09.2018	ERAC																																					
-	ERAC Plenary: presentation, discussion and adoption of final report	17.09.2018	CH, NO, ERAC																																					

■ General
■ Preparations Part 1
■ Documentary analysis
■ Group self-assessment
■ Preparations Part 2
■ Survey & interviews
■ Survey analysis
■ Report drafting
■ Feedback & revision

Rapporteur: Switzerland (Philipp Langer, Lisa Müller)
Collaborators: Norway (Kari Balke Øiseth)