



EUROPEAN COMMISSION
DIRECTORATE GENERAL FOR RESEARCH & INNOVATION
Directorate B - Innovation Union and European Research Area
B.2 - ERA policy and Reform

2014 Survey on the State of Play Concerning ERA Priorities in Research Funding Organisations and in Research Performing Organisations

GLOSSARY

2010 European Strategy Forum on Research Infrastructure (ESFRI) Roadmap¹: the ESFRI Roadmap identifies new Research Infrastructures of pan-European interest corresponding to the long term needs of the European research communities. It covers all scientific areas, regardless of possible location.

Applied research: applied research is an original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific practical aim or objective (Source: OECD, 2002).

Assessment or evaluation procedure (within the context of funding allocation): evaluation procedure which analyses the entire institution in terms of input, throughput (processes) and output factors. Among the latter, the assessment may include research performance and may be linked to funding allocation. Salaries and other staff costs are not included in the assessment.

Associate country to the EU Framework Programme (AC): Several countries are associated with the implementation of the EU 7th Framework Programme for Research and Technological Development. These include Albania, Bosnia & Herzegovina, Faroe Islands, Iceland, Israel, Liechtenstein, Former Yugoslav Republic of Macedonia, Moldova, Montenegro, Norway, Serbia, Switzerland and Turkey.

¹ http://ec.europa.eu/research/infrastructures/pdf/esfri-strategy_report_and_roadmap.pdf#view=fit&pagemode=none

Basic (fundamental) research: basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of underlying foundations of phenomena and observable facts, without any particular application or use in view (Source: OECD, 2002)

Cloud services: services to remotely deliver computing and storage capacity to end-users.

Collaboration programmes (within the context of international cooperation): programmes whose activities have been agreed on or arranged by the national agency and agencies of one or more third countries aimed at promoting collaboration in research between organisations or individuals from these countries

Collaborative agreement: an agreement between two or more legal entities to co-invest in the research and development (R&D) of products or processes.

Computing services: services enabling researchers to use local or remote computing resources, offered, e.g., by High Performance Computers, or distributed grid-or cloud-based computing infrastructures. For example, PRACE and EGI support the development and provision of these services in the EU.

Dedicated staff employed in knowledge transfer activities: number of employed people engaged in knowledge transfer activity.

Digital research services: examples of digital services include scientific repositories, computing services, cloud services (from external provider), scientific software, research collaboration platform, etc.

European Union (EU): economic and political union of 28 Member States. EU countries are: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

EU countries: countries which are part of the EU. These include Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

EU Framework Programme for Research and Technological Development: is the EU's main instrument for funding research in Europe. It provides grants to research actors in Europe and beyond, in order to co-finance research, technological development and demonstration projects. Grants are determined on the basis of calls for proposals and a peer review process.

EURAXESS portal²: a service which provides information and services to mobile researchers.

European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers³: aims at ensuring that the nature of the relationship between researchers and employers or funders is conducive to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers. It outlines a set of general principles and requirements which specifies the roles, responsibilities and entitlements of researchers as well as of employers and/or funders of researchers. The Code of Conduct for the recruitment of researchers consists of a set of general principles and requirements that should be followed by employers and/or funders when appointing or recruiting researchers. The principles are complementary to those in the European Charter for Researchers.

European Research Council (ERC)⁴: The mission of the ERC is to encourage the highest quality research in Europe through competitive funding and to support investigator-initiated frontier research across all fields of research, on the basis of scientific excellence.

Evaluation: process of evaluating; after completion; the outcomes; results and impacts of projects; programmes and/or research agendas.

Federated electronic identity: federated identity allows researchers to use their own organisation user account when accessing other organisations' digital services.

Female researchers: researchers' data is collected from Members States, Candidate and other European countries through questionnaires. It is run by Eurostat in close co-operation with OECD in accordance with the definition provided by the Frascati manual. Data can be further disaggregated by economic sectors, hence specific figures are provided separately for the Higher Education, Government and Business Enterprise sector. Preliminary data are disseminated in mid-November (T+11) and final data in October (T+22). Every year data are published by Eurostat.

First stage researcher: researcher who is at the beginning of his career (i.e. junior researchers, PhD candidates, Post-Docs)

Full Time Equivalent (FTE): it is a unit to measure employment, taking into account work load of individual persons (average number of hours worked per week). An FTE of 1 means that the person is equivalent to a full-time worker, while an FTE of 0.5 signals that the worker is only half-time.

² <http://ec.europa.eu/euraxess/>

³ http://www.upr.si/fileadmin/user_upload/RK_RS/RK_RS_angleska/am509774CEE_EN_E4.pdf

⁴ <http://erc.europa.eu/>

Gender balanced committee/panel: a committee/panel is considered gender balanced when the percentage of members of the under-represented sex is of, at least, 40%. In cases of committees/panels with only three members, these committees are considered 'gender balanced' if they are represented by both sexes.

Gender dimension in research content is making gender a dimension of research by integrating it as part of research design and process. This entails sex and gender analysis being integrated into basic and applied research.

Gender equality: is also known as sex equality or sexual equality. It is the goal of equality of genders. Gender equality entails making women's rights equal to men's, and making men's rights equal to women's.

Gender equality plan: a Gender Equality plan is a consistent set of provisions and actions aiming at ensuring gender equality.

Grant: research specific grant, with funding associated with setting up a medium- and/or long-term research programme. The term 'grant' used in this survey does not include grants to doctorate candidates for short-term mobility.

Head of organisation: highest decision making official in the organisation (e.g. rector or equivalent in the academy, president or equivalent in non-academic research organisations).

Headcount: headcount data measures the total number of persons who are fully or partially employed by an organisation.

Human Resources (HR) Strategy for Researchers (HRS4R): it supports research institutions and funding organisations in the implementation of the Charter & Code in their policies and practices⁵

Innovation: technological product and process (TPP) innovations comprise of implemented technologically new products and processes and significant technological improvements in products and processes. A TPP innovation has been implemented if it has been introduced on the market (product innovation) or used within a production process (process innovation). TPP innovations involve a series of scientific, technological, organisational, financial and commercial activities (Source: OECD, 2005).

Institutional funding: is general funding of institutions with no direct selection of R&D project or programmes. There are various formulae for the allocation of institutional funding that consider to a lower or higher extent the research performance. In some cases, institutional funding includes a quota related to number of staff, students etc. (Source: OECD, 2011).

⁵ <http://ec.europa.eu/euraxess/index.cfm/rights/strategy4Researcher>

International organisation: An international organisation arises from an association of states. It is established on the basis of a treaty or similar act and has an international legal personality distinct from that of its Member States. It has an international membership, scope, or presence.⁶

Joint research agendas: annual or multiannual research agendas for a joint programme between EU Member States outside the framework of the EU Framework Programme. Joint research agendas include activities such as Joint Programming Initiatives and ERA-Net+ where the bulk of funding does not come from EU sources.

Knowledge transfer is the process of transferring the rights to use and exploit knowledge from one source. It is transferred to those in a position to best exploit it in placing new products and services on the market.

Lead Agency: This procedure foresees that research councils accept the results of the evaluation of international projects done by the ‘lead agency’ and fund the parts of the project that are being performed in their respective countries (e.g. D-A-CH).

Leading researcher: internationally recognised researcher (e.g. team leader, in management positions, full professor, etc.)

Legal status: the legal status is the relative positions or standing of an organisation in the eyes of the law.

License held: all licenses, options and assignments for all types of IP (count multiple (identical) licenses with a value of less than 500 EUR as one license)⁷.

License income: total income from all types of know-how and intellectual property (patents, copyright, designs, material transfer agreements, confidentiality agreements, plant breeder rights, etc.) before disbursement to the inventor or other parties. Includes license issue fees, annual fees, option fees and milestone, termination and cash-in payments. Excludes license income forwarded to other institutions than those served by the knowledge transfer office or to companies.

Money-Follows-Cooperation Line: this scheme allows small parts of a project funded by one of the participating research councils to be conducted in a different country (overhead costs are, however, excluded).

Money-Follows-Researcher: this scheme enables researchers moving to a research institution in a different country to transfer on-going grant funding to the new institution and continue research activities according to original terms and objectives.

National identification number: The national identification number is a unique number allocated to organisations or individuals for the purposes of work, taxation, government

⁶ http://ec.europa.eu/research/fp6/model-contract/pdf/fp6-public-bodies-annex5231_en.pdf

⁷ http://www.wipo.int/sme/en/ip_business/licensing/licensing.htm

benefits, health care, and other government-related functions. The equivalent of the national identification number for private organisations is the value added tax identification number.

Non-governmental sector: the non-governmental sector includes organisations which are neither a part of a government nor conventional for-profit businesses.

Open access: refers to the practice of granting free access to research outputs over the Internet, most notably peer-reviewed publications and research data.

Organisation under private law with public mission: refers to a public sector body or a legal entity governed by private law with a public service mission⁸.

Patent: A patent is an exclusive right granted by a government authority (typically a patent office) for an invention, which is a product or a process that provides a new way of doing something or offers a new technical solution to a problem. In order to be patentable, the invention must fulfil certain conditions⁹.

Patent application: A patent application is an application made to a government authority (typically a patent office) to have a patent granted for invention. An invention is a product or a process that provides, in general, a new way of doing something, or offers a new technical solution to a problem. In order to be patentable, the invention must fulfil certain conditions¹⁰.

Peer review: peer review is the evaluation of research proposals by independent external experts and based on transparent and evaluation criteria communicated in advance. Peer review can be based on a group of principles such as excellence, impact, quality and efficiency of the project implementation¹¹.

Peer reviewed scientific publications: original empirical or theoretical piece of work in sciences which are subject to the scrutiny of peers. These peers are experts in the same field. The peer review process takes place before the paper is published in a journal.

PhD graduate: An individual who earned a doctoral diploma, having successfully completed a PhD programme¹²

PhD student: An individual who attends a PhD program in order to obtain a PhD diploma.

⁸ http://ec.europa.eu/research/fp6/model-contract/pdf/fp6-public-bodies-annex5231_en.pdf

⁹ Source: http://www.wipo.int/patentscope/en/patents_faq.html#patent

¹⁰ Source : http://www.wipo.int/patentscope/en/patents_faq.html#patent

¹¹ http://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-h-esacrit_en.pdf

¹² UNESCO, UIS (2012), International Standard Classification of Education ISCED 2011, available at : <http://www.uis.unesco.org/Education/Documents/isced-2011-en.pdf>

Portability of grants: situation in which a researcher who moves to a different country may transfer an on-going grant.

Post-doc: a postdoctoral research candidate has completed doctoral studies and intends to further deepen expertise in a specialised subject.

Principles for innovative doctoral training¹³: the principles include research excellence, attractive institutional environment, interdisciplinary research options, exposure to industry and other relevant employment sectors, international networking, transferable skills training and quality assurance.

Private organisation without a public mission: a firm or company in the private (non-public) sector of an economy whose main aim is to generate profit, which is controlled and operated by private individuals (and not by civil servants or government-employees) and is not accountable to governmental organisations¹⁴.

Project-based funding is attributed on the basis of a project submission by a group or individuals for an R&D activity that is limited in scope, budget and time (Source: OECD, 2011).

Public sector: it includes the government and higher education sectors but excludes public-sector corporations who are part of the business enterprise sector, as defined in the Frascati Manual. The higher education sector may include private and public corporations as well as private not-for-profit organisations as defined in the System of National Accounts (Source: OECD, 2011).

R&D personnel: persons employed directly on R&D as well as those providing direct services such as R&D managers, administrators, and clerical staff (Source: OECD, 2002).

Recruitment committee: no matter how they are designated (e.g. by nomination, election, pool), recruitment committees are set for the recruitment of one or more persons when there is an open position (at any level and temporary or permanent).

Repository: electronic archive for the storage of academic publications, such as peer reviewed scientific articles.

Research and development budget (for research funding organisations): is the estimation of the total amount of funds (or revenue and expenses) handled by the organisation for the purpose of funding research and development activities.

Research and development budget (for research performing organisations): is the estimation of the total amount of funds (or revenue and expenses) handled by the

¹³ http://ec.europa.eu/euraxess/pdf/research_policies/Principles_for_Innovative_Doctoral_Training.pdf

¹⁴ Source: BusinessDictionary

organisation for the purpose of performing and funding research and development activities. It should include overheads but not funding to teaching activities.

Research and experimental development (R&D): research and experimental development comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications (Source: OECD, 2002).

Research and Technology Organisations (RTOs) are mission-oriented providers of innovation services to governments and firms, dedicated to improving quality of life and building economic competitiveness.¹⁵

Research collaboration platform: collaboration platform which gathers scientific resources, tools, data and work management facilities to enable remote collaboration and exchanges between researchers on a specific research topic or working as a research team.

Research data (within the context of open access to research data): data collected, observed or created for the purpose of analysis to produce original research results¹⁶.

Research evaluation committees are responsible for the evaluation of research projects and programmes as well as performance at the institutional or individual level. The outcome of the evaluation may be linked to the allocation of research funding and/or other resources.

Research infrastructures: a research infrastructure is facilities, resources and related services used by the scientific community to conduct top-level research in their respective fields. Examples include singular large-scale research installations, collections, special habitats, libraries, databases, biological archives, integrated arrays of small research installations, high-capacity/high speed communication networks, highly distributed capacity and capability computing facilities, data infrastructure, etc.

Researcher: professional engaged in the conception or creation of new knowledge, products, processes, methods and systems and also in the management of the projects. Postgraduate students at the PhD level engaged in R&D should be considered as researchers concerned (OECD, 2002).

Scientific software: software for specific scientific tasks, such as modelling and visualisation of data, or operating specific virtual laboratory experiments. This kind of software can be installed in one institution and also accessed remotely by researchers from other institutions.

¹⁵ Source: EARTO

¹⁶ <http://www.bu.edu/datamanagement/background/whatisdata/>

Structure for knowledge transfer activities: a structure in place which facilitates or incentivises knowledge transfer. This could be a formal Knowledge/Technology Transfer Office or dedicated staff.

Structured innovative doctoral training programmes: apply all the principles for innovative doctoral training. The principles include research excellence, attractive institutional environment, interdisciplinary research options, exposure to industry and other relevant employment sectors, international networking, transferable skills training and quality assurance¹⁷.

Total number of staff: total number of employees in your organisation.

SOURCES

OECD (2011): OECD Science, Technology and Industry Scoreboard 2011: Innovation and Growth in Knowledge Economies¹⁸

OECD (2005): Oslo Manual: Guidelines for Collecting and Interpreting Innovation Data, 3rd Edition¹⁹

OECD (2002): Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual 2002²⁰

World Intellectual Property Organisation

¹⁷ http://ec.europa.eu/euraxess/pdf/research_policies/Principles_for_Innovative_Doctoral_Training.pdf

¹⁸ <http://www.oecd.org/sti/oecdsciencetechnologyandindustryscoreboard2011innovationandgrowthinknowledgeeconomies.htm>

¹⁹ <http://www.oecd.org/innovation/innovationinsciencetechnologyandindustry/oslomanualguidelinesforcollectingandinterpretinginnovationdata3rdedition.htm>

²⁰ http://www.uis.unesco.org/Library/Documents/OECDFrascatiManual02_en.pdf