



## DELIVERABLE D1



# European Research Infrastructures Development Watch (ERID-Watch)

## Annex D1-1 Initial sample of RI sites WP 1 – phase 1

*This is the initial sample of the interviewed RI sites of WP1. But, at the moment not all RIs are contacted and asked if they are willing to participate. This means that some RIs listed in the sample could be replaced by similar RIs. Also some lines have to be filled with RIs and institution. The sample is an ongoing process.*

Scientific Domain	name of the institution	Ris	Country
Social Sc. & Human.	ESS		EU
Social Sc. & Human.	SHARE		EU
Social Sc. & Human.	Royal Museum for Central Africa		BE
Social Sc. & Human.	National & Cultural Heritage		SL
Social Sc. & Human.	National Welfare Database		FI
Enviro. Sc.	AWI	Neumayer Station	DE
Enviro. Sc.	AWI	Polarstern	DE
Enviro. Sc.	Ifremer	x	FR
Enviro. Sc.	Ifremer	x	FR
Enviro. Sc.	SINTEF Multiphase Flow Loop Facility		NO
Enviro. Sc.	MARINTEK Hydrodynamic Laboratories		NO
Enviro. Sc.	Agricultural Competence Center		AT
Enviro. Sc.	Research Vessel OGS Explora		IT
Enviro. Sc.	Royal Botanic Gardens of Kew		UK
Enviro. Sc.	Natural History Museum of London		UK

Enviro. Sc.	Marine Institute Newport - Fish Trapping		IE
Enviro. Sc.	Natural History Museum of Paris		FR
Enviro. Sc.	International Cooperative Programme on Integrated Monitoring of airpollution		FI
Enviro. Sc.	Structural Dynamic and Vibration Control		IT
Enviro. Sc.	National Institute for Agricultural Research and Fisheries		PT
Enviro. Sc.	Geological Databases		PL
Enviro. Sc.	Research Station Jungfrauoch		CH
Enviro. Sc.	Noise Research Laboratory		IT
Enviro. Sc.	Bulgarian Ship Hydrodynamic Center		BG
Enviro. Sc.	INERIS		FR
Energy	FOM Rijnhuizen		NL
Energy	PSI	x	CH
Energy	Laboratory of Fluid Mechanics and Energy		EL
Energy	High Field Laboratory		NL
Energy	Laserlab EUROPE		EU
Energy	EFDA	Iter	EU
Energy			
Energy			
Energy			
Energy			
Biomed. & Life Sc.	EMBL	x	EU
Biomed. & Life Sc	EMBL	y	EU
Biomed. & Life Sc	HZI	Mousehouse	DE
Biomed. & Life Sc	Copenhagen Animal Facilities		DK
Biomed. & Life Sc	BNI		DE
Biomed. & Life Sc	Decode Genetics		IS
Biomed. & Life Sc	Finish Institutie of Occupational Health		FI

Biomed. & Life Sc	Estacion Biologica de donana		ES
Biomed. & Life Sc	St. S. Nicolau Institute of Virology		RO
Material Sc.	Wind tunnels and structural tests	x	CZ
Material Sc.	Großer Wellenkanal		DE
Material Sc.	Thermoplastic Composites Infrastructure		UK
Material Sc.	Elettra	x	IT
Material Sc.	Elettra Fermi	y	IT
Material Sc.	ILL	x	FR
Material Sc.	ESRF	x	EU
Physics & Astron. <sup>1</sup>	ESA	x	EU
Physics & Astron.	ESA	y	EU
Physics & Astron.	ESO	x	EU
Physics & Astron.	ESO	y	EU
Physics & Astron.	CERN	x	EU
Physics & Astron.	CERN	y	EU
Physics & Astron.	DESY		DE
Physics & Astron.	DESY		DE
Physics & Astron.	Maxlab	x	SE
Physics & Astron.	CCLRC	x	UK
Physics & Astron.	CCLRC	y	UK
Physics & Astron.	INSTITUTO DE ASTROFÍSICA	Northern European	ES
Physics & Astron.	INSTITUTO DE ASTROFÍSICA	Northern European	ES
Physics & Astron.	GSI	x	DE
Physics & Astron.	GANIL	x	FR
Physics & Astron.	Soleil	x	FR
Physics & Astron.			

<sup>1</sup> Includes Astronomy, Astrophysics, Nuclear and Particle Physics

Physics & Astron.			
Physics & Astron.			
CDT <sup>2</sup>	DANTE	Geant	FR
CDT	Renater		FR
CDT	Interdisciplinary Center for Neural Computation		IL
CDT	Mare Nostrum Supercomputer		ES

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<sup>2</sup> Computation and Data treatment



## DELIVERABLE D1



# European Research Infrastructures Development Watch (ERID-Watch)

## Annex D1-2

### WP 1 Pilot Group members

**Pilot Group:**

- 1) Claire Dougan, PPARC-CCLRC (UK)
- 2) Felise Fortmann, Hamburg University (DE)
- 3) Marc Isabelle, CEA (FR)
- 4) Ute Krell, DESY (DE)
- 5) Tania Lieckweg, Helmholtz Society (DE)
- 6) Denis Raoux, Soleil Synchrotron (FR)
- 7) Regina Rochow, Elettra (IT)
- 8) Eberhard Sauter, AWI (DE)

**Leader of WP1:**

9) Karsten Wurr, DESY (DE)

**Project collaborator:**

10) Katharina Henjes-Kunst, DESY (DE)

**Deputy:**

Jean-Pierre Caminade, CEA (FR)

Ricarda Opitz, Helmholtz Society (DE)



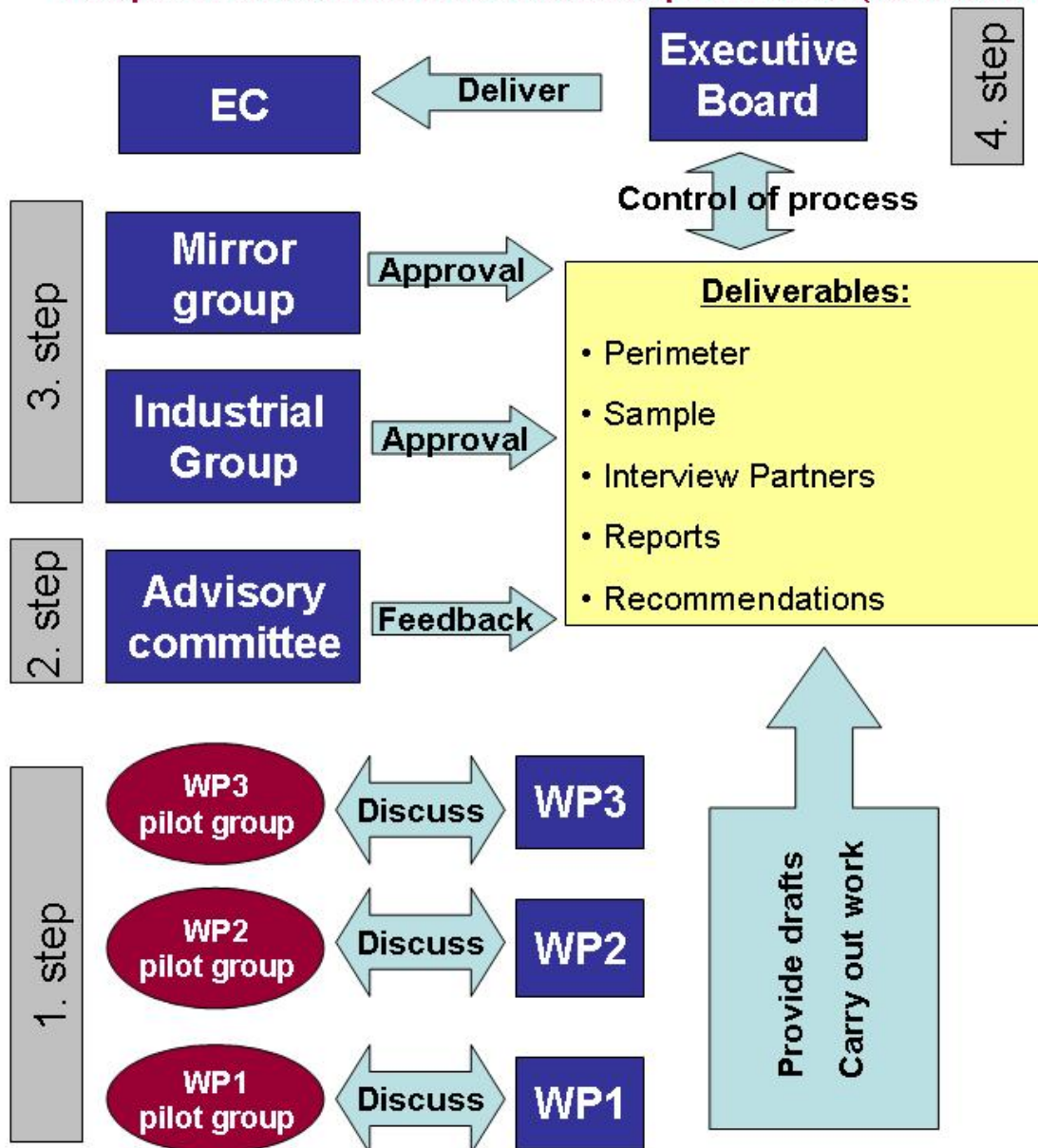
# DELIVERABLE D1

## Annex D 1-3

### Structure of communication & feedback



#### European Research Infrastructures Development Watch (ERID-Watch)



*Karsten Wurr, WP1 Leader*

*D1-3*



## DELIVERABLE D1



# European Research Infrastructures Development Watch (ERID-Watch)

## Annex D1-4

### Pre-Questionnaire Work Package 1&2

*Thank you for taking time for the ERID-Watch project. We very much appreciate your input. Please, fill in the answers (with the help of your colleagues) and send this questionnaire back to the interviewer before the interview date. Your responses will be kept confidential within the operational team of ERID-Watch. When the final report is being drafted you will be contacted in order to accept/decline data/comments appropriate for publication. At the day of the face-to-face interview the answers from this pre-questionnaire are taken into consideration and additional qualitative questions are asked.*

Name of the Institute:

Address:

Country:

Name:

Department:

Position:

Tel.:

E-mail:

#### **1. Your institution – short description of your institution/ centre**

*All questions under topic 1 refer to the institutional level.*

1.1 Name and short description of your institution

1.2 When was the institution set up? What were the reasons for setting it up?

1.3 How is your institution organised? Is it integrated in an umbrella organisation<sup>3</sup>?

1.4 What legal structure has your centre?

1.5 Which laws applies to your institution?

1.6 Which bank controls your transactions? *State bank, Public bank, ...* Do you have access to any special financial support (*e.g. for the establishment of a new RI*)? If yes, what support?

1.7 Who designs and approves/concludes the contracts for collaboration and TT-projects your institution is involved in?

1.8 Which are the scientific domains you work within? Is your organisation focusing in particular on any of these scientific domains?

1.9 If there is a foreseeable change in the future regarding scientific focus at your institution, which scientific areas would then get more attention (financial resources for instance)?

## **2. Your infrastructures – short description of the Research infrastructures of your institution**

*The main objective of ERID-Watch is to generate information about Research Infrastructures in particular, and not only Research Institutions. A Research Infrastructure (RI) is defined as a facility or joint resource that provides unique access and services to research communities in both academic and/or technological domains. For example at DESY, the infrastructure is not DESY (even not the sites Hamburg-Bahrenfeld and Zeuthen) but the infrastructure XFEL (as a future infrastructure) and FLASH.*

*If you have more than one infrastructure running, please select two of them, and answer the questions accordingly. If one infrastructure which you choose cannot technically work without another specific infrastructure – please primarily select these two infrastructures which are dependent upon each other. One infrastructure could also be a future installation. All questions under topic 2 refer to the Research Infrastructures.*

### **2.1 Research Infrastructure 1**

2.1.1 Name and short description of the Infrastructure

2.1.2 Scientific domain of the infrastructure<sup>4</sup>

(the division was made according to the ESFRI-Roadmap division)

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<sup>3</sup> *An umbrella organisation is defined in this context as any association of institutions, which formally work together to coordinate activities. For example, DESY or AWI are organised within the Helmholtz Society as umbrella organisations.*

<sup>4</sup> *The scientific domain of the infrastructure is the domain to which the equipment/facilities are classified under, and not the scientific domain of the RI users (which could come from a various range of disciplines).*

- Social sciences and Humanities
- Environmental Sciences; Energy
- Biomedical & Life Sciences
- Material Sciences
- Astronomy, Astrophysics, Nuclear & Particle Physics
- Computation and Data Treatment
- Engineering

### 2.1.3 Type of RI

*Single sited RIs are based on one physical site while distributed means that the different parts of the infrastructure (not of the institution) are distributed to different places. A virtual RI could be a network of people without a common physical infrastructure.*

- Single-sited
- Virtual
- Distributed

2.1.4 What was the total sum for capital expenditure of building this infrastructure?

### 2.1.5 Access

2.1.5.1 What does this infrastructure offer for external users?

2.1.5.2 To whom do you offer these allowances (target groups of users)?

2.1.5.3 Usage of these allowances to industry / scientific institutions/ internal usage in percentage?

2.1.5.4 Do you offer full R&D services for the users of the RI – if yes, on what terms/rates?

2.1.5.5 Do you offer basic services (housing, catering) for the user of the RI?

2.1.5.6 Do you offer further services for the user of the RI (placing of manpower, IP protection etc.)?

### 2.1.6 Infrastructure

2.1.6.1 What is the funding source for operating the RI?

2.1.6.2 Do you plan any upgrades of the RI (when)?

## 2.2 Research Infrastructure 2

2.2.1 Name and short description

2.2.2 Scientific domain of the infrastructure

Social sciences and Humanities

- Environmental Sciences; Energy

- Biomedical & Life Sciences
- Material Sciences
- Astronomy, Astrophysics, Nuclear & Particle Physics
- Computation and Data Treatment
- Engineering

#### 2.2.3 Type of RI

- Single-sited
- Virtual
- Distributed

2.2.4 What was the total sum for capital expenditure of building this infrastructure?

#### 2.2.5 Access

2.2.5.1 What does this infrastructure offer for external users?

2.2.5.2 To whom do you offer these allowances (target groups of users)?

2.2.5.3 Usage of these allowances to industry / scientific institutions/ internal usage in percentage?

2.2.5.4 Do you offer full R&D services for the users of the RI – if yes, on what terms/rates?

2.2.5.5 Do you offer basic services (housing, catering) for the user of the RI?

2.2.5.6 Do you offer further services for the user of the RI (placing of manpower, IP protection etc.)?

#### 2.2.5 Infrastructure

2.2.5.1 What is the funding source for operating the RI?

2.2.5.2 Do you plan any upgrades of the RI (when)?

2.3 Please give us the names of all infrastructures your institution is involved in:

- 
- 
- 

### 3. Human Resources

*From here on, the questions refer to your institution in general. However in some questions we specifically ask for data about the infrastructures as well.*

3.1 How many people (fulltime-equivalent) are working within your institution respectively your infrastructures?

	at all	RI 1	RI 2
Administrative staff <sup>5</sup>			
Technical staff			
Scientific staff			

3.2 What are the skills levels (vocational qualification/ scientific qualification (students/ PhD students/ postdoc/ senior fellow and professors)) of your staff (~ in percentage)?

3.3 What is the proportion of different types (~in percentage) of employment contracts (fix-term, permanent, and freelancer)?

3.4 Does your institution offer education of non-scientific staff? What kind of training is offered?

3.5 Does your institution offer special programs for postgraduates (also national programs) – if yes, which ones?

**3.6 Please define the origin of your staff (~, in percentage)**

3.6.1 Regarding their nationality?

3.6.2 Regarding the country they worked in before (~)?

3.6.3 Regarding the type (Industrial/ Public) of their former employer (~)?

	Industrial employer	Public employer
Administrative staff		
Technical staff		
Scientific staff		

**3.7 Visiting Scientist<sup>6</sup>**

3.7.1 How many visiting scientists do you host at your institution per year (*regarding each of the previously mentioned RIs if possible*)?

Year	RI 1	RI 2	All
2004			
2005			
2006			

<sup>5</sup> We would be happy if you could provide specific figures in relation to staff working at institutional/infrastructure level.

<sup>6</sup> We refer to visiting scientists as scientists who are using your Research Infrastructures but are not paid by your institution.

3.7.2 What is their average stay at your institution (*~ in days*)?

3.7.3 What are the home-countries of your visiting scientist? *Please mention some typical countries.*

- 
- 
- 

#### 4. Know-how and Technology Transfer

##### 4.1 Institutional set-up

4.1.1 How is technology or knowledge transfer organised/ situated at your institution? *Please describe it in some words.*

4.1.2 How many people (*fulltime equivalent*) are working for the technology or knowledge transfer department? Are they allocated separately at each infrastructure?

4.1.3 What is the funding source of the technology or knowledge transfer offices – *general budget/ income from commercialisation (percentage of total income)*? If there is an income from commercialisation – what percentage is this of the total income of the office?

4.1.4 If your technology office is taking part in any networks (*regional, national, scientific*), which significance do these have for your organisation?

4.1.5 What legal boundaries could be changed to support a better technology transfer from your institution to industry?

*Do you handle inventions/ patents at your institution? If yes, continue with the following questions, if not, please tell us why and continue with question 4.3.*

##### 4.2 Intellectual Property

4.2.1 Number of officially notified inventions<sup>7</sup> at the institution per year (*if possible, specify for the two previously mentioned RIs*)?

Year	RI 1	RI 2	All
2004			
2005			
2006			

<sup>7</sup> *Inventions which the employer has notified the employer of, but a patent has not been taken.*

4.2.2 Number of patent applications per year? How many of them are applied for internationally?

Year	applications	International applications
2004		
2005		
2006		

4.2.3 How many patent applications did you hold in 2006 in total? How many patent families are there?

4.2.4 How many licences were given per year?

Year	Licences
2004	
2005	
2006	

4.2.5 What was the annual income from license agreements?

Year	Income in €
2004	
2005	
2006	

4.2.6 How many licences have you given in total (including 2006)?

### 4.3 Spin-offs

4.3.1 How many spin-offs originate from your institution?

4.3.2 Do the spin-offs and your institution still have contact – which relation exists?

4.3.3 How many spin-offs were still active three years after their establishment?

### 4.4 Research and Development

4.4.1 Do you carry out any research such as R&D contracts for external clients?

4.4.2. What was the number of R&D contracts during the last years? How many of them were R&D contracts with industry?

Year	R&D contracts	R&D contracts with industry
2004		
2005		
2006		

4.4.3 Did other kinds of collaborative R&D projects exist?

4.4.4 Did your institution experience disadvantages in respect to the exploitation of results arisen from joint R&D projects due to any regulations or contractual requirements (*for example within FP programmes or, within collaboration with industry*)? If yes, which regulations were relevant?

## 5. Public-Private Partnership (PPP) & sub-contracted tasks to industry

5.1 What is the purpose of PPPs in your institution?

5.2 How important are PPPs in respect to procurement, operation, and commercialisation?

5.3 How relevant are PPPs relative to basic and additional public funding?

5.4 What are the limits and obstacles in respect to PPPs?

5.5. Are there any good/ bad examples of PPPs which your institution have been involved in?

5.6 How important are subcontracts in respect to procurement, operation, and commercialisation?

5.7 What amount (*~percentage*) of annual investment at your institution is placed in PPPs?

5.8 Are there any critical issues in relation to PPPs for the future of your RI?

5.9 From which scientific area/industrial sector do your industrial partners/subcontractors (SME) come from? What is the general size (*~staff*) of these organisations?

## 6. Budget and procurement

### 6.1 Budget

6.1.1 Could you please define the *capital and operational expenditure* for the last financial year for following areas (*if possible, also define specifically for the two previously mentioned RIs*)

	RI 1		RI 2		All RIs (institutional level)	
	Capital	Operat.	Capital	Operat.	Capital	Operat.
Internal						
Facilities						
Instruments						
Services						
Other						
Total annual budget						

By **Internal** we mean the proportion of RI funding that is spent on staff and other elements not available to industry. By **Facilities** we mean the buildings, general utilities and other infrastructure not directly connected to the experiment. By **Instruments** (tools) we include the instruments, experimental infrastructure and associated technical services. By **Services** we refer to initial and ongoing services not directly connected to the experiments. By **Others** we refer to any other costs.

6.1.2 How have/will the capital and operational expenditure for these areas develop(d) during the (~ in percentage):

6.1.2.1 Last five years

6.1.2.2 Last ten years

6.1.2.3 Coming five years

6.1.2.4 Coming ten years

6.1.3 Please specify the contributors, and the details of their contribution?

Public bodies

Name	Type of body (government, public agencies, research centres, local)	Amount €/ Share (% of total contribution)	Other contributions (loans, advantages, human resources)	Context (EU project, special program, partnership)	Notes

Private companies

Name	Industry sector	Type of contribution (contracts, corporate patronage (def. as being a high level of sponsorship), sponsorship)	Amount € / Share (% of total contribution)	Other contributions (loans, advantages, human resources)	Context (EU project, special program, partnership)	Notes

**6.2 Procurement**

6.2.1 Which different types of tenders/orders exist?

*Please also define specific constraints, terms of payment etcetera for these*

6.2.2 Please describe your purchasing process.

6.2.3 Please describe the process for a company who wants to sell to your RI.

6.2.4 Could you list your 10-20 major suppliers (*if possible*) by:

Company	Country	Goods supplied		Services supplied		Specific development for your RI	Notes
		Type	Quantity/ Amount€	Type	Quantity/ Amount€		

6.2.5 What are the main purchasing activities for the next 10 years, related to:

6.2.5.1 Internal

6.2.5.2 Facilities

6.2.5.3 Instruments (tools)

6.2.5.4 Services

6.2.5.5 Others

*If possible, it would be nice to get some further information about your institution and your Research infrastructures (as for example annual reviews, brochures ...). Perhaps you can prepare them for the interview appointment. Thank you!*



## DELIVERABLE D1



# European Research Infrastructures Development Watch (ERID-Watch)

## Annex D1-5

### Interview guideline Work Package 1 & 2

<b>Name:</b> <b>Address:</b> <b>Country:</b>	
<b>Type of Interview :</b> Phone / Face to Face	
<b>Name of Interviewer:</b>	
<b>Date:</b>	
<b>Interviewed person N°1:</b>  Research Infrastructure: Department: Position: Tel.: E-mail: Origin of contact:	<b>Interviewed person N°2:</b>  Research Infrastructure: Department: Position: Tel.: E-mail: Origin of contact:
<b>Interviewed person N°3:</b>  Research Infrastructure: Department: Position: Tel.: E-mail: Origin of contact:	<b>Interviewed person N°4:</b>  Research Infrastructure: Department: Position: Tel.: E-mail: Origin of contact:

→ Present the ERID-Watch project

→ Are there any further questions about the project?

#### 1. Questions about the institution

1.1 Has there been a change in the total annual budget during the last ten years? If yes, why?

1.2 Has there been a change in the budget for capital expenditure during the last ten years? If yes, why?

## 2. Infrastructure

2.1 What was the historical reason for setting up the RIs?

## 3. Human Resources

3.1 How is the recruitment of manpower organised at your institution? Who prepares and who decides about employment decisions?

### 3.2 Special Programs

3.2.1 Does your institution encourage the transfer of human resources between industry and the scientific world? Does your institution support personnel exchange with industry in association with RI operation?

3.2.2 How does your institution recruit appropriate personnel for the operation of RIs and performance of related R&D projects?

3.3 What Restrictions/ Problems do you see regarding human resources (e.g. salaries, condition of work, termed contracts) at your institution?

## 4. Technology and Knowledge transfer

4.1 What are the focuses in the work of your technology transfer office?

4.2 Since when is TT a prioritised domain at your institution? What changed during the last years at your institution in the area of technology or knowledge transfer –why?

4.3 If you are handling IP: What is your culture regarding handling Intellectual Property (*payment for the inventors,...*)? Are there ambitions to change this culture?

4.4 Spin-offs: Are they located in the geographical region of your institution?

4.5 What do you think is a best practise experience within the area of your technology transfer office?

4.6 Do you also have a worst practise experience?

## 5. Budget

5.1 If you are not satisfied with the system of how public money is transferred to your RI, which improvements to it, if any, would you like to see?

5.2 Could you describe where the private money (if any), which is financing your RI, specifically goes to?

- budget for permanent staff
- budget for staff employed on project basis
- purchasing of equipment
- facilities

- others, please specify

5.3 What changes have you seen within your budget during the last decade, from:

5.3.1 Contributors

5.3.2 Public bodies

5.3.3 Private companies

5.4 If there have been any phases that have had a major impact on your budget during the last decade, which have these been?

- construction
- utilisation
- major upgrades
- others, please specify

5.5 Given many partners/contributors come from other countries, some RIs have developed their own internal financial reporting rules to improve the communication between partner and RI. Have you set up specific rules for communication and reporting to your partners/contributors? If so, what are they?

## 6. Procurement

6.1 Who of the following are (jointly if appropriate) responsible for the procurement at your RI?

- scientific committee
- procurement department
- staff at each department
- others, please specify

6.2 Which procurement laws apply to your organisation?

- national
- European
- international
- others, please specify

6.3 Which countries do your RI buy instruments (tools) from?

6.4 What percentage of your expenditure on instruments (tools) is related to each of these countries?

6.5 Which *technology show stoppers* could you define for:

6.5.1 Present developments:

6.5.2 Future developments:

**Technology Show Stoppers** are defined as: Technologies which are needed to achieve overall research objectives, but are not present on the market.

6.6 Which *technology show stoppers* are most likely to be available on the market in the coming 1-10 years?

6.7 Which *technology show stoppers* are most likely **not** to be available on the market in the coming 1-10 years?

6.8 Which other RIs are you communicating directly with related to supply issues (technology show stoppers)?

6.9 Are there any particular benefits (apart from the financial advantage) for private companies to supply products to you?

- associated R&D
- communication
- brand image
- others, please specify

6.10 What is the direct economic impact of your purchasing activities:

6.10.1 At regional Level?

6.10.2 At national Level?

6.10.3 At European Level?

6.10.4 At global Level?

6.11 How has the purchasing activity developed during the last decade with regard to suppliers:

6.11.1 Amount of suppliers?

6.11.2 Difficulty in finding appropriate suppliers?

6.11.3 Geographic origin of suppliers: regional/national/European/global?

6.11.4 Others, please specify

## 7. Future procurement and budget

7.1 Which are the main underlying reasons for changes (if any) in the future purchasing activity level (increase/decrease of expenditure)?

- New governmental/political focus regarding RIs/science
- Change in number of R&D contracts, with regard to
  - private companies
  - EU projects
- others, please specify

7.2 Who are the decision makers for potential changes in the future purchasing activity?

- official
- lobbying
- others, please specify

7.3 If there is a future increase in budget, how will this then be funded?

- new contributors
- new scheme of financing
- others, please specify

7.4 How do you see the future of your RI, regarding:

7.4.1 Financial aspects?

7.4.2 Competitors?

7.4.3 Development of partnerships between:

7.4.3.1 RIs?

7.4.3.2 RI and industry?

7.4.3.3 Others? please specify

7.5 How do you see the future for RIs in Europe, regarding:

7.5.1 Funding, with regard to:

7.5.1.1 FP7?

7.5.1.2 National initiatives?

7.5.1.3 Improvements in virtual technologies

7.5.1.4 Others? please specify

7.5.2 Roadmaps?

7.6 Could you describe all different reasons (not only financial ones) to communicate with industry?

7.7 Are there any barriers to communicate with industry? If yes, what barriers?

## Interview Guideline Work Package 1 & 2

### Attachment

#### What is done by whom?

	R&D	Maintenance	Use
Research Infrastructure			
Research Institution			
External (user, supplier)			

++= very much done

+ = done

- = not done

#### What type of institution is analysed?

Main Research Institute		Main Research Infrastructure	
Hosting one RI	Hosting several RIs	Hosting 1 major equipment	Hosting several equipments



## DELIVERABLE D1



# European Research Infrastructures Development Watch (ERID-Watch)

## Annex D1-6 Initial Industrial Companies List

Institution	Title	Last Name	First Name	nationality
Pfeiffer Vacuum Austria		Salamonovic	Radan	Czech
Jobin-Yvon		Brunet	Didier-Luc	France
Phi-Axis		Doucet	Jean	France
Air Liquide		Marot	Gérard	France
Thales Electron Devices		Giguet	Eric	France
Norgenta	Dr.	Kathrin	Adlkofer	German
TNO Science		Mandersloot	Wart	NL
Diamond Light Source		FREEMAN	Robert	UK
INERIS		Villeneuve de Janti	Philippe	France
ELYTT Energy		ECHEANDIA	Aitor	Spanish
Haldor Topsøe A/S	Dr	Molenbroek	Alfons	Denmark
Tescan		Zadrazil	Martin	Czech
QINETIQ	Dr.	Truss	Peter	English
Accel Instruments GmbH	Dr.	Peiniger	Michael	German
Jobin-Yvon	M.	Brunet	Didier-Luc	French



## DELIVERABLE D1



# European Research Infrastructures Development Watch (ERID-Watch)

## Annex D1-7 Template for the Midterm Report

### ***I. Abstract***

Summarises the basic terms and findings of the report.

### ***II. Methodology***

This chapter will contain an up-to-date version of the corresponding chapter in D1, modified in the light of the experiences during Phase 1 of the project.

#### **II.1. Scope**

Characterises the scope of the survey and details its areas of interest.

#### **II.2. Focus**

Explains the areas of central interest and the motives for their selection.

#### **II.3. Sample**

Explains and details the composition of the sample, i.e. the RI's having been interviewed.

### ***III. RI general information***

Contains in a summarised form basic information about the RI's having been interviewed, e.g.

- Umbrella organisations
- Main sources of funding
- Internal organisation
- Average No. of RIs in one institution
- Key figures on budget (invest & operation) and personnel
- No. of internal and external users and their origin (scientific fields & public/private)

If applicable this information will be sorted and/or ranked by scientific domain, country and type of RI.

## ***IV. Legal environment***

This chapter will give a general overview on the basic regulations concerning RIs in several areas of their activities. Each aspect will be presented allowing for the following aspects

- General European regulations, valid for all RIs, mentioning special exceptions
- National regulations - grouped by similarity of effects, if possible
- Special regulations for individual RIs - grouped by similarity of effects, if possible

### **IV.1. Procurement**

Basic regulations concerning procurement matters.

### **IV.2. RI's legal status**

Basic regulations concerning the RI's legal status as well as an overview on the distribution of the RI's legal forms. The latter will be sorted by scientific domain, country and type of RI, if applicable.

### **IV.3. Labour law**

Basic regulations concerning employment matters, like general labor laws, tariffs etc.

### **IV.4. Tax regulations**

Basic regulations concerning tax matters, like V.A.T. handling, tax incentives for research etc.

### **IV.5. IPR rules**

basic regulations concerning intellectual property rights, like right to employees' inventions and their compensation, obligations to exploit inventions etc.

### **IV.6. Banking & funding conditions**

Basic regulations concerning financial relations of RIs, like report obligations, annual accounting, interest rates etc.

## ***V. Know-how and Technology Transfer***

## **V.1. Key figures & facts**

Contains key figures & facts from the questionnaires and interviews. If applicable sorted and/or ranked by scientific domain, country and type of RI or other obvious criteria.

## **V.2. Practice examples**

This chapter contains outstanding as well as very common positive examples from practice. Possible areas which will be detailed are

- R&D cooperation
- Licensing
- K&TT via procurement
- Personnel exchange and mobility

## **V.3. Problems**

This chapter details problems which either are mentioned quite often during the interviews or cause very drastic disadvantages. In a way this is the negative counterpart of the foregoing chapter. Thus sorting might be done under the same areas or alternatively following the categories from chapter IV.

## **V.4. Preliminary conclusions**

This chapter has a fourfold function:

- Discussing candidates for significant and comparable key figures and/or basic information which could be used as framework for a broadening of the survey.
- Identifying gaps in the used set of questions.
- Suggesting specific sub-problems which might be examined via separate case studies.
- Suggesting a cluster-oriented scheme for the preparation of the final report.

# ***VI. Public Private Relationship***

## **VI.1. Key figures & facts**

Contains key figures & facts from the questionnaires and interviews. If applicable sorted and/or ranked by scientific domain, country and type of RI or other obvious criteria.

## **VI.2. Practice examples**

This chapter contains outstanding as well as very common positive examples from practice, excluding K&TT items. Possible areas which will be detailed are

- Industrial use of RIs
- Industrial supply to RIs
- Privately run RI services & sub-contracting
- Private funding sources

### **VI.3. Problems**

This chapter details problems which either are mentioned quite often during the interviews or cause very drastic disadvantages. In a way this is the negative counterpart of the foregoing chapter. Thus sorting might be done under the same areas or alternatively following the categories from chapter IV.

### **VI.4. Preliminary conclusions**

This chapter has a fourfold function:

- Discussing candidates for significant and comparable key figures and/or basic information which could be used as framework for a broadening of the survey.
- Identifying gaps in the used set of questions.
- Suggesting specific sub-problems which might be examined via separate case studies.
- Suggesting a cluster-oriented scheme for the preparation of the final report.

## ***VII. Cross-cutting activities***

### **VII.1. Key figures & facts**

Contains key figures & facts from the questionnaires and interviews. If applicable sorted and/or ranked by scientific domain, country and type of RI or other obvious criteria.

### **VII.2. Practice examples**

This chapter contains outstanding as well as very common positive examples from practice. Possible areas which will be detailed are

- Co-operation and Networking
- Multidisciplinarity
- Market orientation

### **VII.3. Problems**

This chapter details problems which either are mentioned quite often during the interviews or cause very drastic disadvantages. In a way this is the negative counterpart of the foregoing chapter.

### **VII.4. Preliminary conclusions**

This chapter has a fourfold function:

- Discussing candidates for significant and comparable key figures and/or basic information which could be used as framework for a broadening of the survey.
- Identifying gaps in the used set of questions.
- Suggesting specific sub-problems which might be examined via separate case studies.
- Suggesting a cluster-oriented scheme for the preparation of the final report.

## ***VIII. Perspective***

Here the different options for Phase 2 of the project should be discussed considering especially the preliminary conclusions from the three foregoing chapters.