

XI. Annexes



DELIVERABLE D2



European Research Infrastructures Development Watch (ERID-Watch)

Annex D2-1 Sample of RI sites WP 1 – phase 1

Scientific Domain	name of the institution	Ris	Country
Biomed. & Life Sc	HZI	Mouse House	DE
Biomed. & Life Sc	HZI	Array facility	DE
Biomed. & Life Sc	Decode Genetics		IS
Biomed. & Life Sc	INSTRUCT	Weizman	ISR
Biomed. & Life Sc	Fleming Institute	Mouse facility	GR
Biomed. & Life Sc	Fleming Institute	Array facility	GR
Biomed. & Life Sc	University of Liege	Cyclotron & Imaging Platform	BE
Biomed. & Life Sc.	Copenhagen Animal Research Unit	CARU	DK
CDT	CNRS/IN2P3	Computation Center	FR
CDT	GBIF	French Nodal Point	FR
CDT ¹	CERN	Grid	EU
Energy	EFDA	JET	EU
Enviro. Sc.	AWI	Neumayer Station	DE
Enviro. Sc.	AWI	Polarstern	DE
Enviro. Sc.	Ifremer	Genavir	FR
Enviro. Sc.	Ifremer	Test Facilities	FR

¹ Computation and Data treatment

Enviro. Sc.	Natural History Museum of London	Collections	UK
Enviro. Sc.	Natural History Museum of Paris	Collections	FR
Enviro. Sc.	SINTEF Multiphase Flow Loop Facility	Loop Facility	NO
Enviro. Sc.	Royal Botanic Gardens of Kew	Herbarium	UK
Enviro. Sc.	Royal Botanic Gardens of Kew	Jodrell Lab	UK
Enviro. Sc.	Large Wave Channel	Wave Channel	DE
Material Sc.	FORTH IESL	UltraViolet Laser Facility	GR
Material Sc.	Max-Lab	Max-Lab	SE
Material Sc.	DESY	HASYLAB	DE
Material Sc.	DESY	Flash	DE
Material Sc.	Elettra	Elettra	IT
Material Sc.	Elettra	Fermi@Elettra	IT
Material Sc.	FOM Rijnhuizen	FELIX Laser Facility	NL
Material Sc.	FOM Rijnhuizen	Magnum PSI	NL
Material Sc.	ESFR		EU
Material Sc.	STFC	Diamond	UK
Material Sc.	STFC	CLF	UK
Material Sc.	PSI	SLS	CH
Material Sc.	PSI	SINQ	CH
Material Sciences	Danchip	Danchip	DK
Material Sc.	Soleil	Soleil Synchrotron	FR
Material Sc.	ILL	ILL	FR
Physics & Astron.	GANIL	GANIL	FR
Physics & Astron.	IEAP CTU		CZ
Physics & Astron.	ESO	Telescope 1	EU
Physics & Astron.	ESO	Telescope 2	EU
Physics & Astron.	CERN	LHC	EU

Physics & Astron.	ESA	ISS	EU
Social Sc. & Human.	ESS	ESS	EU



DELIVERABLE D2

European Research Infrastructures Development Watch (ERID-Watch)

Annex D2-2

WP 1 Pilot Group members

Pilot Group:

- 1) Claire Dougan, PPARC-CCLRC (UK)
- 2) Felise Fortmann, Hamburg University (DE)
- 3) André Staropoli (FR) - from March 2007
- 4) Ute Krell, DESY (DE)
- 5) Ricarda Opitz, Helmholtz Association (DE)
- 6) Denis Raoux, Soleil Synchrotron (FR)
- 7) Regina Rochow, Elettra (IT)
- 8) Eberhard Sauter, AWI (DE)
- 9) Marc Isabelle, CEA (FR) – till March 2007

Leader of WP1:

9) Karsten Wurr, DESY (DE)

Project collaborator:

10) Katharina Henjes-Kunst, DESY (DE)

Deputy:

Jean-Pierre Caminade, CEA (FR)



DELIVERABLE D2

European Research Infrastructures Development Watch (ERID-Watch)

Annex D2-3

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 organisation²?

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 infrastructure³

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

² *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.*

³ *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

RI

	al	1
	I	
Administrative staff ⁴		
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 Scientist⁵

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

⁴ We would be happy if you could provide specific figures in relation to staff working at institutional/infrastructure level.

⁵ We refer to visiting scientists as scientists who are using your Research Infrastructures but are not paid by your institution.

2004		
2005		
2006		

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.*

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-
-

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 inventions⁶ at the institution per year (*if possible, specify for the two previously mentioned RIs*)?

Year	RI	RI

⁶ *Inventions which the employer has notified the employer of, but a patent has not been taken.*

	1	2
2004		
2005		
2006		

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

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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€		

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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!

Pre-Questionnaire

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 organisation⁷?

1.4 What legal structure has your centre?

1.5 Which laws applies to your institution?

⁷ *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.*

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

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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

2.1.1.1 What was the historical reason for setting up the Infrastructure?

2.1.2 Scientific domain of the Infrastructure⁸

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

- 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.

⁸ 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).

- 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?

2.2 Research Infrastructure 2

2.2.1 Name and short description of the Infrastructure

2.2.1.1 What was the historical reason for setting up the Infrastructure?

2.2.2 Scientific domain of the Infrastructure⁹

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

- 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

⁹ 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).

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.

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- 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?

2.3 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?

	in		RI
	t		1
	h		
	e		
	w		
	h		
	ol		
	e		
	in		
	st		
	it		
	u		
	ti		
	o		
	n		
Administrative staff ¹⁰			
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 Please define the origin of your staff (~, in percentage)

3.4.1 Regarding their nationality?

¹⁰ We would be happy if you could provide specific figures in relation to staff working at institutional/infrastructure level.

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

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

	Industrial employer	Public employer
Administrative staff		
Technical staff		
Scientific staff		

3.5 Visiting Scientist¹¹

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

Year	in the whole institution	RI 1	RI 2
2004			
2005			
2006			

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

3.5.3 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?

¹¹ We refer to visiting scientists as scientists who are using your Research Infrastructures but are not paid by your institution.

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?

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 inventions¹² at the institution per year *(if possible, specify for the two previously mentioned RIs)?*

Year	in the whole institution	RI 1	RI 2
2004			
2005			
2006			

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	

¹² *Inventions which the employer has notified the employer of, but a patent has not been taken.*

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 Are they located in the geographical region of your institution?

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

4.3.4 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?

5. Budget and procurement

5.1 Budget

5.1.1 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, sponsorship)	Amount €/ Share (% of total contribution)	Other contributions (loans, advantages, human resources)	Context (EU project, special program, partnership)	Notes

5.1.2 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)*

	in the whole institution		RI 1		RI 2	
	Capital	Operat.	Capital	Operat.	Capital	Operat.
Internal	 	 	 	 	 	
Facilities	 	 	 	 	 	
Instruments	 	 	 	 	 	
Services	 	 	 	 	 	
Others	 	 	 	 	 	
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 expenditures.

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

5.1.3.1 Last five years

5.1.3.2 Last ten years

5.1.3.3 Coming five years

5.1.3.4 Coming ten years

5.2 Procurement

5.2.1 What is the annual amount of procurement?

5.2.2 How many tenders do you issue a year?

5.2.3 What is the share of the annual amount of procurement dedicated to **technical** purchases (instruments, tools, services related to the experiments)?

5.2.4 What is the breakdown (in percentage) of your **technical** purchasing activities:

5.2.4.1 At regional Level?

5.2.4.2 At national Level?

5.2.4.3 At European Level?

5.2.4.4 At global Level?

5.2.5 Could you list your 10-20 major technical suppliers **for both Research Infrastructure 1 and 2** by:

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

5.2.6 What are the main purchasing activities for the next 10 years **for both Research Infrastructure 1 and 2**, related to:

5.2.6.1 Internal

5.2.6.2 Facilities

5.2.6.3 Instruments (tools)

5.2.6.4 Services

5.2.6.5 Others

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 D2

European Research Infrastructures Development Watch (ERID-Watch)

Annex D2-4

Interview guideline Work Package 1 & 2

Interview guideline

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

1.3 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?

1.4 Who designs and approves/concludes the contracts for collaboration and TT-projects (Technology Transfer) your institution is involved in?

1.5 Which are the scientific domains you work within (scientific domain of application)? Is your organisation focusing in particular on any of these scientific domains?

1.6 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. Research Infrastructures

2.1 Research Infrastructure 1

2.1.1 How many different research infrastructures in your scientific field are found in Europe? How big part (percentage) of the overall European market would your research infrastructure represent (looking staff/financial figures)?

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

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

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

2.2 Research Infrastructure 2

2.2.1 How many different research infrastructures in your scientific field are found in Europe? How big part (percentage) of the overall European market would your research infrastructure represent (looking staff/financial figures)?

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

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

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

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?

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

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

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?

4.2.1 Are the people working on TT allocated separately at each infrastructure?

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

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

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 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?

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

4.6 Do you also have a worst practice experience?

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

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

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

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

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

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

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

6. Budget

6.1 Is there any significant difference in financial contribution from public bodies or private companies between the **entire institution** and for **each specific research infrastructure 1** and 2? If yes, please specify.

6.2 Is there any significant difference in how the capital and operational expenditure will/(have) develop(ed) for the coming (/last) 5 and 10 years for the **entire institution** and for **each specific research infrastructure 1** and 2? If yes, please specify.

6.3 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?

6.4 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?

6.5 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
- no direct allocation (cumulated in general budget as well as public contributions)
- others, please specify

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

6.6.1 Number of contributors

6.6.2 Public bodies

6.6.3 Private companies

6.7 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

7. Procurement

7.1 Are there any differences in procurement practices between the **entire institution** and for **each specific research infrastructure** 1 and 2? If yes, please specify.

7.2 Which different types of tenders/orders exist?

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

7.3 Please describe your purchasing process.

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

7.5 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

7.6 Which procurement laws apply to your organisation?

- national
- European
- international
- others, please specify

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

7.7.1 Present developments:

7.7.2 Future developments:

Technology Show Stoppers are defined as: Technologies which are needed to achieve overall research objectives, but are not present on the market. They can be separated in the following sectors :

- Cryogenics, Vacuum and Gas:
- Electronics:
- Power management and distribution:
- Motion and control:
- Mechanical Components and Systems:
- Optics/optronics:

- Health and safety:
- Detectors:
- Analytical systems:
- Data acquisition and handling / Computers, peripherals and software:
- Radio:
- Communication systems:
- Autonomous systems, robotics and automation:
- Pyrotechnic devices:
- Biotechnology:

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

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

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

7.9 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

7.10 What is the direct economic impact of your purchasing activities at regional level?

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

7.11.1 Amount of suppliers?

7.11.2 Difficulty in finding appropriate suppliers?

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

7.11.4 Others, please specify

8. Future procurement and budget

8.1 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

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

- official
- lobbying
- others, please specify

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

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

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

8.4.1 Financial aspects?

8.4.2 Competitors?

8.4.3 Development of partnerships between:

8.4.3.1 RIs?

8.4.3.2 RI and industry?

8.4.3.3 Others? please specify

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

8.5.1 Funding, with regard to:

8.5.1.1 FP8?

8.5.1.2 National initiatives?

8.5.1.3 Improvements in virtual technologies

8.5.1.4 Others? please specify

8.5.2 Roadmaps?

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

8.7 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