

# Revised and supplemented handbook of ENT cooperation processes and procedures („Cooperation Action Handbook“)

## Deliverable 2.1

August 2009

This deliverable consists of two parts: “Explanation Part” and “Presentation Part”

# Revised and supplemented handbook of ENT cooperation processes and procedures („Cooperation Action Handbook“)

## Deliverable 2.1 (Explanation part)

August 2009

WP no: 2  
Written by: Heimo Aichmaier, Walter Wasner  
Version no: 1.2

Other information: This deliverable consists of two parts (“Explanation Part”, “Presentation Part”) and several accompanying materials (“toolkit”) available on the ENT web page (will be provided at a later stage).

For further information on this report,  
please contact

### Task 2.1 leader

Austrian Federal Ministry for Transport, Innovation and  
Technology (BMVIT)  
A-1010 Vienna  
Phone +43 (0) 1-711 62 65-3109  
Fax +43 (0) 1-711 62 65-2230  
www.bmvit.gv.at

WPL leader: BMVIT

### Main author

Austrian Federal Ministry for Transport, Innovation and  
Technology (BMVIT)  
A-1010 Vienna  
Phone +43 (0) 1-711 62 65-3109  
Fax +43 (0) 1-711 62 65-2230  
www.bmvit.gv.at

Heimo Aichmaier  
Walter Wasner

For further information on the ERA-NET TRANSPORT programme,  
please contact

### Coordination and Secretariat

TÜV Rheinland Consulting GmbH  
Research Management  
TÜV Rheinland Group  
Am Grauen Stein  
D-51105 Köln  
Phone +49 221 806 4141  
Fax +49 221 806 3496  
www.tuvpt.de

Oliver Althoff (Coordinator)  
www.transport-era.net under Contact

***This document was created as part of the  
ERA-NET TRANSPORT programme.  
All information is public and we encourage the use.***

**Copyright (c) 2008**

***Copyright: Permission is granted to copy, distribute and/or  
use this document under the terms of the  
Free Documentation Dissemination License, Version 1,  
available at <http://pauillac.inria.fr/~lang/licence/v1/fddl.html>***

Version no.: "1.2"  
Date of publishing: 04. September 2009  
Developed by: BMVIT

Written by: Heimo Aichmaier  
Walter Wasner

Checked by: "Initials"

Deliverable no.: 2.1  
Project no.: SCS7-GA-2008-219169  
Project acronym: ENT II  
Project title: ERA-NET TRANSPORT II  
Instrument: Coordination Actions  
Thematic Priority: ERA-NET  
Project duration: 010508 – 311010

## List of content

### Summary

<b>1.</b>	<b>Introduction .....</b>	<b>1</b>
<b>2.</b>	<b>General Information .....</b>	<b>2</b>
2.1.	<i>ERA-NET TRANSPORT in brief .....</i>	<i>2</i>
2.2.	<i>ENT Action Groups and definitions.....</i>	<i>3</i>
<b>3.</b>	<b>Procedural elements for AG.....</b>	<b>6</b>
3.1.	<i>Building of an AG (forming stage).....</i>	<i>6</i>
3.2.	<i>Refining the topic and team building (storming stage 1).....</i>	<i>7</i>
3.3.	<i>Setting up a cooperation architecture (storming stage 2) .....</i>	<i>8</i>
3.4.	<i>Refinements &amp; operative preparations for setting the action into operation (norming stage).....</i>	<i>11</i>
3.5.	<i>Carry out the joint funding action (performing stage).....</i>	<i>12</i>
<b>4.</b>	<b>Annex .....</b>	<b>13</b>
4.1.	<i>Key terms.....</i>	<i>13</i>
4.2.	<i>Concept for Evaluation of ENT Action Groups.....</i>	<i>14</i>

## Summary

ERA-NET TRANSPORT (ENT) has compiled the learning out of previous transnational cooperative transport research funding activities to a set of procedural recommendations for upcoming cooperation activities in thematically oriented groups supported by ENT (ENT Action Groups).

While previous versions of this “guidebook” represented only preliminary experiences or assumptions within some procedural segments, new ENT Action Groups can now take advantage of a **comprehensive procedural framework** which is already subject to a 3<sup>rd</sup> update and revision of previous handbook definitions (Cooperation Action Handbook). This version facilitates the full life-cycle of ENT Action Groups covering both preparation of a joint funding action and accompanying the activity during operation.

In connection with the Del 2.1 “Presentation Part” and the supplementing support materials offered on the ENT web page this handbook can be used as a **working tool** to

- point out what is important and helping Action Groups to get on track quickly,
- show efficient ways to step forward to minimize required resources and to improve the results
- and to avoid typical traps and detours which can arise in the complex field of cooperative transnational transport R&D funding.

The content of this “Explanation Part” of the handbook is limited to the most crucial information. It can be used hand in hand with the corresponding “Presentation Part” for deepening aspects or “stand alone” to get a first glimpse of typical Action Group tasks.

To empower (potential) Action Group Members for achieving a high degree of independency in procedural learning typical questions are summed up in a FAQ section after each chapter.





## 1. Introduction

The experiences gained out of previous cooperation actions in ERA-NET TRANSPORT (ENT) have led to a set of cooperation procedures and practices. This “Cooperation Action Handbook” provides a state-of-the-art collection of cooperation procedures and supplementary materials with the aim, to support ERA-NET TRANSPORT Action Groups (AG) on their way of establishing **new cooperation action in the field of transnational transport research funding**.

The idea of this handbook is to pose as a **toolkit with tailored information** according to the respective demand of the AG in their current stage of work. The core part of the handbook has been compiled in a Powerpoint Presentation – **Del. 2.1 “Presentation part”** – to ensure a quick and practical access to the most striking contents as well as to allow a convenient information transfer to Action Group Members (AGM) by picking out slides. This part comprises

- general information about ENT and the guiding procedure (general process model) for AG and
- procedural elements according to all stages of the guiding procedure (aim of the current stage, proposed steps, additional good practice information and toolkit materials, role model definitions).

The information was enriched and supplemented by additional insights and explanations in this **accompanying report – Del. 2.1 “Explanation Part”** – to provide a **compact, but still comprehensive compendium on cooperation procedures**. In order to answer most frequent questions the chapters in the report are rounded up FAQ sections.

Both parts of the Handbook appear in a consistent structure to allow an integrated use (e.g. request deepening information for the Presentation Part where necessary). **Additional support materials** (templates, forms, example documents) are provided on the ENT webpage according to the reference given in the presentation part.

Please note that this most recent information provided is based on the observation of previous Action Groups, best-practice examples and discussion with AGL and Support Team Members. These experiences should inspire new groups for establishing smoother processes and to avoid problems where ever possible. However, the definitions are not representing a “one-fits-all” model and have to be adopted according to the specific needs of an AG.

The ERA-NET TRANSPORT project supports a continuous improvement process. Thus, ENT is depending on Feed-Back from AG to update and further amend this knowledge base in the future.

## 2. General Information

### 2.1. ERA-NET TRANSPORT in brief

ERA-NET TRANSPORT is a network of national transport research funding programme Program Owners and Managers in Europe. The development of cooperation procedures and setting cooperation activities into practice is supported by the EC in the Framework Programme 7 (FP7).

The project aims for motivating and facilitating programme responsible persons to cooperate trans-nationally for

- exchanging experiences,
- enriching, supplementing and opening national programmes by generating added value
- and filling gaps in community research

by setting up **bi- or multilateral, transnational funding activities**.

15 organisations of 12 countries are currently cooperating in the ENT network (ENTII) on a permanent base. Additional organisations are or have been temporary involved in ENT activities (principle of openness for new partners).

**Table 1: Who is ERA-NET TRANSPORT?**

ENT Partner Name	Short Name	Country
Austrian Federal Ministry for Transport, Innovation and Technology	BMVIT	Austria
The Danish Ministry of Transport and Energy	DKMTE	Denmark
Tetraplan A/S	TET	Denmark
Ministry of Transport and Communications	LVM	Finland
Ministry of Ecology, Sustainable Development and Spatial Planning	MEDAD	France
Institute des sciences et des techniques de l'équipement et de l'environnement pour le développement – ISTED	ISTED	France
TUV Rheinland Consulting GmbH (Coordinator)	TUV	Germany
Federal Ministry of Economics and Technology	BMWi	Germany
Ministry of Transport, Public Works and Water Management	MinVenW	Netherlands
Ministry of Transport and Communications	SD-NOR	Norway
National Centre for Research and Development	NCBiR	Poland
Centro de Estudios y Experimentación de Obras Públicas	CEDEX	Spain
Swedish Agency for Innovation Systems	VINNOVA	Sweden
Federal Department of Environment, Transport, Energy and Communications	DETEC	Switzerland
Department for Transport	DfT	UK

Additional basic information about ENT, its structure, consortium and objectives can be found in the herewith document "A new era for the European transport research" (Template 1) in the document centre of the ENT website of ENT ([www.transport-era.net](http://www.transport-era.net)), refer to Action Groups / Document Center).

## 2.2. ENT Action Groups and definitions

Given the fact that transportation is offering a wide range of themes regarding different modalities, policy alignments (technology orientation, transport policy orientation) and levels of cooperation ENT has to deal with a large variety of approaches and actions. In order to build homogeneous groups with tailored cooperation profiles and to provide targeted support organisational units of **ENT Action Groups (AGs)** have been introduced.

Action Group Members (AGM) shall be composed out of representatives of national research funding programmes (Programme Owners/Managers) with the perspective to prepare joint funding activities. According to different national organisational structures the representatives can comprise people in charge of strategically and/or operationally affairs.

The envisaged funding activities of ENT AGs (“**levels of cooperation**”) comprise joint (unified) or coordinated (separated by aligned) **competitive calls for**

- **proposals** (define program research questions to generate respective research projects),
- **tenders** (specify a project and request proposals for contracting),

Non-competitive joint funding of research projects (**joint projects**) – e.g. to prepare upcoming funding activities – or to **cluster** existing or recently finished **projects** (for generating added value). Furthermore AGs can coordinate programming activities which will lead to joint research funding in a later stage.

ENT Action Groups are not meant to be a pure information exchange circles of Programme Owners and Managers only nor should an AG pose as an exchange platform for researchers to jointly prepare projects. The aim of an AG is also not to prepare a project which should then be handed in the Framework Programme.

Activities out of ENT AGs can be constituted by national funding budgets and funding body rules (principle of national sovereignty). ENT is never acting as a funding body nor will ENT provide any funds, funding obligations or requirements as such. However, experiences of previous AGs have shown, that a guiding procedure (general process model) is useful to establish **a systematically approach for teams aiming towards transnational funding cooperation activities**. The purpose of the **general process model** is to

- provide an orientation grid for the Action Group Members to guide them through the process and ensure the processing of fundamental products (milestone products),
- trace the status of the group through the process and to allow a cross-utilization of finding with other groups and
- to provide targeted support with relevant procedural elements and support materials according to the actual status of the group.

The guiding procedure is based on a classical 4-stage team building model adopted for the preparation of joint funding activities and amended by a stepwise task description to achieve certain milestones. These definitions have been made by using previous good practices and taking into account obstacle and problems of former groups.

In order to ensure a fair and efficient support by ENT for all AGs the group is requested to act according to the outlined cornerstones of the general process

model and to work out the defined milestone-products (ENT preconditions and requirements to provide support).

**New Action Groups** might run through the process right from the beginning. **Existing ENT Action Groups**, which have previously initiated trans-national cooperation activities already (performing stage) and would like to continue or restart their collaboration work, shall again follow the general ENT cooperation process model. The AG shall propose the content and scope of the follow-up cooperation activity in written form (updated position paper including an estimation of the demanded ENT support resources) to the ENT Management Group (MG). The MG will then decide about a follow-up support. The AG will then be expected to enter and follow the general ENT cooperation process model at a suitable stage.

**Table 2: Key contents and recommended items of the general ENT cooperation process model**

General Process Model Stage	Milestone product	Content	Recommended schedule (months)	Recommended no. of meetings	ENT support for the AG
Forming	Draft position paper	Outline the content and goals of the AG	until approval 1-3	-	Contacts
<b>Storming 1</b>	<b>Final position paper</b>	<b>Establish a team. Specify, refine and agree on the focus of the joint action.</b>	<b>2-4</b>	<b>1-2</b>	<b>Operational support, reimbursement, tools&amp; procedures</b>
<b>Storming 2</b>	<b>Work plan as basis for a co-operation agreement (LoI/MoU)</b>	<b>Outline the way towards the joint action, commit contribution and funding</b>	<b>4-6</b>	<b>1-2</b>	
Norming	Have action ready for launch	Lead the administrative and operative preparatory tasks		1	tools& procedures
Performing	(Implementation)	Carry out the joint action		2 (peer-review and exchange results)	tools& procedures

Supplementary to the provision of contacts and cooperation tools/procedures ENT can support the AG by providing manpower (nominated Support Team Person) and by providing money for reimbursement of AG meetings. These support activities are limited to those stages of the process model, which have been proven to comprise the most critical elements for structuring and achieving a transnational commitment for the action (storming 1 and 2).

The aim is to support the group in establishing a stable basis for cooperation which can then be continued independently. **A limitation of support for a maximum number of 4 meetings** over a total duration of **12 months** applies. Further operative support of ENT can only be provided in exceptional cases.

## **FAQ – General Information**

### **Does ENT provide funds for operative transport related research?**

No. ENT is facilitating transnational cooperation activities aiming towards joint funding initiatives between two or more countries. Provided funding budgets for these cooperation activities have to come from national funding budgets. Financial support from ENT is limited to the reimbursement for meeting participation of ENT AG.

### **Is an AG meant to be a platform for research activities and can an AG be constituted by a circle of researchers (experts) only?**

No. Action Groups pose as organisational units for Programme Owners and Mangers of national research funding programmes only. Researcher can only be temporarily involved as policy advisers or can cooperate in a accompanying group in parallel to an Action Group supported by ENT.

### **Are the procedural elements of this handbook obligatory for ENT Action Groups?**

Only the reference to the overall structure of the general ENT cooperation process model, the defined milestone products and the limitation for reimbursing meetings are obligatory. All other proposed procedural elements pose as a “menu card” to provide a wide range of **flexibility for the AG** to pick-up or leave out items according to their actual needs.

## 3. Procedural elements for AG

### 3.1. *Building of an AG (forming stage)*

ENT activities arise out of pro-actively stimulating of potential cooperation activities by identifying themes for cooperation and launching AGs in a series of exploratory and targeted workshops ("pro-active approach"). Complementary cooperation ideas emerging during the discussion processes in the AGs or sudden emerging challenges/options raised externally by countries are welcome and can result into the deployment of new Action Groups ("responsive approach").

The forming of an ENT AG is based on a cooperation idea which should be outlined in a draft position paper ("milestone product"). After submitting the position paper to the ENT secretariat the Management Group (MG) of ERA-NET TRANSPORT will decide about the official installation of a new AG and the provision of AG support (approval of an AG). Following criteria will be taken into account by ENT for this decision:

- Expected potential and added value of the outlined cooperation in comparison to a solely national or Framework Programme activity
- Clear scope and orientation towards joint R&D funding activities
- Expected partner structure (minimum 2 countries)
- Available resources in ENT to support the group
- Compliance of the group concept with the ENT preconditions & requirements to provide support for an AG

If no different definitions exist the country which is requesting the approval of the group is asked to appoint the preliminary Action Group Leader. ENT will appoint a Support Team Person (ST) along with the approval of the group. The ST will then pose as link between ENT and the AG.

Mission of the ST Person is to provide all necessary support actions offered by ENT to the group and keep the group on track (refer to milestones and limitations for support above). The ST will therefore work in close cooperation with the Action Group Leader. The ST is not responsible for thematically or procedural decisions of the group.

### **FAQ - Building of an AG (forming stage)**

#### **Who is « the leader» (AGL) for a topic / an Action Group?**

The leader of a proposed topic / an action group has been assigned during a targeted workshop by ENT. In case of that no leader appears, this proposal has to be endorsed by the ENT Management Group. Action groups which will be build up on request of ENT countries will be (preliminarily) led by the proposing country. The AG leadership definitions can also be based on a rotating principle and therefore subject to a periodically change.

#### **Which countries can take part in cooperation activities of ERA-NET Action Groups?**

ENT AG are not restricted to organisations of ENT full partner countries. Responsible organisations for research funding programming of any country can take part in the cooperation.

### **Can an Action Group be proposed by one country only?**

At least two supporting countries are necessary for proposing an AG. Additional partners can join in later.

### **How can I find partners for my cooperation idea?**

If you do not have access to a network of Programme Owners and Managers in other countries you can access the ERA-NET TRANSPORT network by contacting any ENT partner or the ENT secretariat with a “Request for Interest”. Contacts can also be set-up by retrieving information from ENT-rada database or by contacting relevant technology platforms.

### **3.2. Refining the topic and team building (storming stage 1)**

The previously abstract cooperation idea has to be refined and viewpoints of the Action Group Members have to be aligned towards a common understanding of the joint action. For this purpose a kick-off meeting is planned in order to clarify the concept of the group.

Dominated by figuring out others rationales and by role finding of the participants discussion on the group concept can be rather abstract at the first stage and the groups can face problems of identifying the most relevant issues. After intensive discussions, compromises and consensus building, clarity of the team rationale typically increases even though plenty of uncertainties may persist.

It is important for the group leader to direct this team building process to ensure the progress of the group. The team leader plays here a crucial role as a “coach to success” support by the Support Team Person. Moreover, it is important that the AG keeps up the momentum and takes the focus on a refined thematically orientation of the action.

A two half-day meeting is recommended in order to deepen contacts during a joint dinner. The host for the first meeting is typically the leader of the AG. The kick-off meeting should concentrate on bringing together governance side of national programs (Programme Owners/Managers).

Mixed meeting between Programme Owners/Managers and researchers without distinctive agenda items have not been proved as very productive due to different rationales of the stakeholders.

The first meeting should be used to explain ENT to all Action Group Members including

- the concept of AGs and general process model of ENT with all cornerstones and role models,
- the support options and the preconditions & requirements for ENT to provide support for an AG (done by the ST Person).

This should clear information deficiencies and raise awareness of all Action Group Members regarding expected support options, limitations, obligations and duties of the partners for building an effective team.

Ultimate result of this process is an atmosphere of trust and understanding in the group based on a clear thematically alignment of the joint action outlined in a **Final Position Paper** (milestone product, answering the “What?” question).

To ensure sustainable progress in the group it is important, to involve all relevant national stakeholder in appropriate ways to achieve their national backing. Partners of other countries can here significantly contribute to support the national Action Group Member in convincing other stakeholders (“neutral position”).

### **FAQ - Refining the topic and team building (storming stage 1)**

#### **Why should we concentrate on the topical level first?**

Experiences have shown that different viewpoints regarding the topical alignment can show up after investing heaps of resources in the preparation of a joint action, if a sufficient initial process to work out the thematically scope of the action did not take place. This could significantly slow down or even stall the progress, when different expectations have to be cleared out in a late stage.

#### **How should we deal with expert (researcher) involvement in the group?**

Involve researchers (as expert) in the group after achieving a first understanding of the team concept. If a researcher or a group of researcher have been the drivers for a cooperation idea further expertise can be gathered after a compatibility check of the idea with national program alignments and a first commitment of national program responsible persons to support the idea. In some cases it can make sense to establish a researcher group for accompanying the governance level with expert knowledge.

#### **What is an effective way to screen country viewpoints for building a common understanding of the action?**

Ask participants to pre-process their position according a template and present it at the first meeting. Try to outline the overall picture of the relevant part of national governance system for the envisaged cooperation and focus on similarities and complementarities the topic level. If the topic level has been clarified further insights on the governance structure should follow (storming 2).

#### **How should we involve new partners in the process?**

State clearly that new partners are welcome to joint the group, as long as further group decisions are accepted in order to avoid bounce-backs and delays in the group process. Provide minutes of previous meeting and all documents to ensure an efficient step-in process for new partners.

### ***3.3. Setting up a cooperation architecture (storming stage 2)***

While the topic of the joint action has been outlined in the previous step and the foundations for group cooperation have been settled, it is now time to elaborate on the architecture of the joint action and on a plan for carrying it out (work plan). In order to avoid misunderstandings, to provide a solid foundation for national decision making and to formalize the cooperation, these aspects should be bound to a **cooperation agreement**. The cooperation agreement represents a binding foundation for all Action Groups regarding the procedural and financial background of the joint action (answering the “how” question).

The annex of the cooperation agreement should comprise the Final Position Paper (outlining the topic level) and a **work plan** covering following items:

- The activities to be carried out in the norming and performing stage including distribution of the tasks and a time schedule
- The financial commitment for the Action Group activities to prepare these operative tasks (planned labour and financial contributions from AG-members)
- Further financial contributions expected from ENT if requested (like organization of meetings, minutes, costs of meeting rooms, reimbursement of travel cost etc.)
- Any additional information and demand for coordination (e.g. with national research agencies)

The documents should be drafted by the AG leader with the support from the Support Team Person. The Action Group Members should revise and amend the documents. After a final correction round the cooperation agreement should be subject to a signature procedure.

A main question to be clarified is targeted towards related rules bound to the funding pot for the specific purpose of the joint action. Research funding can be limited to resident researchers of the corresponding country only (**virtual funding pot**) or cross-boarder money transfers can be foreseen (**common pot**). In addition various combinations of virtual and common pot regimes can be deployed (**mixed mode-mechanisms**).

**Virtual funding pot models** are usually easy to install due to accepted and established national procedures and rules for allocating financial resources. However, the application of different national procedures (e.g. different national requirements of partners within one project consortia) can lead to conflicts and has therefore to be investigated carefully. Thus, longstanding processes (e.g. during peer-review) can arise and the project selection options are limited (e.g. problem of projects which are exceeding the corresponding national budgets).

**Common pots** can contribute to overcome hindrances mentioned above for providing a set of similar and easy-to-handle procedures. This model demands a stronger commitment of partners and is often restricted by national granting practices, although in many cases these restrictions are not subject to legal definitions. Joint studies or basic research related issues for “common knowledge generation” can more easily be addressed with common pots than applied research projects within a competitive industrial surrounding with the aim to stimulate economical benefits for national states.

**Mixed-mode mechanisms** can be a pragmatic intermediate between the avoidance of difficulties with a general cross-boarder funding commitment and overcoming program selection restrictions of the virtual funding pot. While the cooperation is based on a virtual pot an option of case-by-case cross-boarder funding decision will here be kept open.

The final cooperation agreement represents the strategically framework with rules for further work in the group (including rules bound to the funding budgets). Additional partners joining the group after the approval of the cooperation agreement have to take into account previous decisions.

## **FAQ - Setting up a cooperation architecture (storming stage 2)**

### **We do suspect significant differences in national procedures and regulations. How can we set-up a cooperation action under these pre-conditions?**

Experiences have proven that prototypes of transnational actions – by testing the borderlines of national rules or even exceeding national framework borders – are most likely to succeed. This is due to fact, that the acceptance for freedom of design in terms transnational cooperation is usually significantly higher than expected and there is quite some space for creativity and flexibility. Furthermore it is not necessary to align the national procedures of all partner countries. In most cases joint actions can work well with a certain plurality of national procedures as long as possible negative side effects are extensively discussed beforehand and countermeasures have been set-up.

### **How many active and observing partners do we need to go on (to the norming stage)?**

Consider observing partners as a “sleeping potential” for later cooperation stages but do not take them into account for the go or no go decisions. Stepping forward makes sense if at least two partners commit to an active partnership. One active partner can not go on with observing partners only.

### **Can new partners joint the group after approval of the cooperation agreement?**

New partners should be welcome after accepting previous group decisions by officially signing the cooperation agreement. This could be done easily by preparing a side-letter to the cooperation agreement.

### **Who should sign the cooperation agreement?**

The answer is depending on the national organisation and situation. It is recommended to go for signatures of high level representative in order to ensure a fundamental national backing. In any case the responsibility should correspond with the budgetary cover.

### **Should the group go on with refined operative preparations for carrying out the action if a general cooperation agreement could not yet be reached?**

Without an official document representing the foundation for the joint action it is not recommended to go deeper into operative preparations. Experiences have shown that heterogeneous procedures, different viewpoints or misunderstands could lead to sub-optimal result or to a stalling of the group.

### **Is it obligatory to fund researchers from other countries (non-resident researchers) in joint actions?**

No. In fact most cooperation activity only foresees national money for resident researchers only (virtual funding pot). This is usually the most pragmatically approach to transnational funding activities.

### **3.4. Refinements & operative preparations for setting the action into operation (norming stage)**

Changed framework conditions can demand an update or a refinement of the cooperation architecture after longer approval procedures of the cooperation agreement. This refers especially to timetable subjects of the work plan, where overall milestone definitions have now to be broken down to **refined timetable** with most actual definitions. Apart from previous steps the group is now working according to a strict time-schedule, which is in many cases also already externally communicated (e.g. the preparation of a call for proposals).

**Persons responsible for operative affairs** of the national programmes shall now take over to prepare respective administrative tasks (if applicable). The comprehension and the content of these activities are strongly dependent to the level of cooperation of the joint action. A comprehensive ENT toolkit of templates, forms and example documents with a focus on coordinated/joint call for proposals is available to support the group (ENT webpage).

Major aim of this step is to clarify all relevant issues for preparing a **precise communication** of the action to the research scene accompanied with all necessary **external and internal materials** to ensure a smooth operation of the action (in performing stage).

In order to meet the defined goals tasks have to be divided between Action Group Members equally. The Support Team Member will retreat from operative support activities and the Action Group Leader should concentrate on coordination tasks.

#### **FAQ - Refining the topic and team building (norming stage)**

##### **Why does ENT not provide reimbursement for operational preparation of the joint action in the norming stage and for realisation in performing stage?**

Most critical task is to design and agree on adequate common cooperation procedure definitions. This is where meaningful barriers are hidden and a lot of additional manpower needs to be invested from the national level of the Action Group Members. A certain need for intervention exists during this critical starting phase. ENT supposes that the action should be carried out sustainably on national resources once an official agreement between partners has been found. The mission of ENT is not to substitute national resources but to provide support to overcome most critical cooperation barriers.

##### **Why can't we prepare operative tasks for the performing stage just in time?**

Due to the complexity of transnational cooperation it is strongly recommended to prepare all necessary key tasks for the operative phase of the action in advance. Dissimilarities in national procedures and regulations often take time to be solved out.

### **3.5. Carry out the joint funding action (performing stage)**

After comprehensive preparations it is now time to set the action into operation. Depending on the level of cooperation this could mean that e.g. a call for proposals will now be launched or funding activities will be kicked off in other appropriate ways. While the focus of the norming stage can be expected to be targeted primarily on preparations to set the activity into operation, usually a procedural gap persists for further steps beyond.

Administrative procedures tend to be far more complex in the performing stage of a joint action than a pure national funding activities deployment, especially if the national procedures do differ significantly in the group. Clear common procedural definitions are especially important in the phase of submitting the **peer-review report** to the project consortia (Who is informing whom about what and when?). Proposal acceptations (possibly in connection with obligations) or refusals (comprising explanatory statements) have to be formulated and submitted in a well coordinated way, to avoid dissimilarities, misunderstandings and to minimize the risk of tactical interventions by project consortia by taking advantage of the plurality of the involved funding organisations in a transnational cooperation.

Further **communication streams between the funding organisations and funding organisations and the project consortia** have to be defined during the contract negotiations and contract building. The conditions for the fulfilment of obligations, the approval of a consortia agreement and further payment pre-conditions have to be clearly outlined for the contractors.

The smoothness of call process, positive feed-back from the research scene, continuous information and exchange processes and the capability to deal with sudden problems are benchmarks to reflect the quality of previous preparation steps of the Action Group. In order to ensure a continuous learning process an evaluation will be carried out by ENT both targeted towards the involved researchers and the program owners/managers. The **evaluation concepts** (see annex) can also be used for carrying out a self evaluation of the group.

## 4. Annex

### 4.1. Key terms

#### **Action Group (AG)**

An AG is a cooperative group under a proposed topic for cooperation that has been set-up by three or more of ENT countries. This AG is in charge of pushing as far and relevant as possible the cooperation upon this topic.

#### **ENT-rada ([www.ent-rada.net](http://www.ent-rada.net))**

A web based database system for the community of program owners and managers developed by ENT. The system will facilitate the work of ENT Action Groups in several ways providing information about national program designs and contacts. The tool will be available for public by the end of 2009.

#### **Level of cooperation**

This term is used for describing the nature of the funding activity. According to the research question, the partner structure or the specific framework conditions different levels can be addressed (refer to chapter 2.2)

#### **Management Group**

The Management Group is the principal decision-making body of the ERA-NET TRANSPORT. It is composed of all the contractors of the project.

#### **Memorandum of Understanding (MoU) / Letter of Intention (LoI)**

The Memorandum of Understanding (or the Letter of Intention) is a formal agreement on the joint action and on the technical annexe (work plan). It gives the commitment of members of the AG to participate in cooperation activities.

#### **Program owners**

Programme owners can be ministries or regional authorities defining research programmes.

#### **Program managers**

Programme managers can be research councils or other research funding agencies managing research programmes.

#### **Support Team**

Each AG will get a appointed Support Team from ENT. At the start it will be decided which organization will take the responsibility for support. This organization is the "support team" of the AG. It has a role of facilitating the process and keeping the group on the right track.

#### **Work plan**

The work plan is the technical annexe of the Cooperation Agreement (see MoU or LoI above). It describes in detail the process of the norming and performing stages.

**4.2. Concept for Evaluation of ENT Action Groups**  
**Evaluation Concept (Researchers)**

<i>Questionnaire for ENT Researchers</i>					
ID	Name of researcher				
	Name of you organisation				
	Name of your ENT funding initiative				
	Name of your Project				
	Duration (months)				
	Further comments:				
1	<i>Do you think your ENT project results have achieved the quality and the objectives you had in mind when you decided to participate?</i>	Yes	1a		
		No (please comment below)	1b		
Further comments:					
2	<i>Did you find there was enough time:</i>	Between the publication of your ENT related call and the deadline for submission of proposals?	Yes	2a	
			No (please comment below)	2b	
		Between the publication of your ENT related call and the start of the effective work?	Yes	2c	
			No (please comment below)	2d	
		For negotiation (if existing).	Yes	2e	
			No (please comment below)	2f	
Further comments:					
3	<i>Did you find difficulties during the different phases of your ENT call?</i>	Between the publication of your ENT related call and the deadline for submission of proposals.	Yes	3a	
			No (please comment below)	3b	
		Between the publication of your ENT related call and the start of the effective work.	Yes	3c	
			No (please comment below)	3d	
		During negotiation phase (if existing).	Yes	3e	
			No (please comment below)	3f	
		During the operational project phase.	Yes	3g	
			No (please comment below)	3h	
		In none of them.	Yes	3i	
			No (please comment below)	3j	

	Further comments:				
4	<i>Did your ENT project results lead you to consider any follow-up Research activities</i>	Yes	4a		
		No (please comment below)	4b		
	Further comments:				
5	<i>Did your ENT project results lead you to consider the creation of an international research network?</i>	Yes	5a		
		No (please comment below)	5b		
	Further comments:				
6	<i>What differences did you find between your ENT funding initiative and any other RTD funding initiative on Trans-National Transport in which you have participated?</i>	ENT Program offers a better opportunity to know about emerging significant areas of transport research.	6a		
		ENT Program offers an easier way to contact researchers from other countries that have the same objectives.	6b		
		ENT Program involves less administrative/legislative work load.	6c		
		ENT Program provides better tools to disseminate information and knowledge.	6d		
		ENT Program funding scheme is more/less attractive.	6e		
		Other (please comment below).	6f		
	Further comments:				
7	<i>Did you consider the total funding was adequate to the project needs?</i>	Yes	7a		
		No (please comment below)	7b		
	Further comments:				
8	<i>Do you think the following items were a problem within your ENT consortium?</i>	Communication: e.g. different languages.	Yes (please comment below)	8a	
			No	8b	
		Availability of the other researchers: e.g. meetings, excessive workload.	Yes (please comment below)	8c	
			No	8d	
		Administrative aspects: e.g. different legislations.	Yes (please comment below)	8e	
			No	8f	
		Excessive/Insufficient number of partners.	Yes (please comment below)	8g	
No	8h				
Others (please comment below)	8i				
	Further comments:				
9	<i>How do you value (from 1 to 5) the following</i>	Exchange of knowledge and experiences.	9a		

	<i>items within your ENT consortium?</i>	Professional support.	9b	
		Development of common approaches with other countries	9c	
		International experience.	9d	
		Overall opinion/satisfaction.	9e	
	Further comments:			
10	<i>Would you participate again in another ENT call/activity of your interest?</i>	Yes	10a	
		Yes, under certain conditions (please comment below)	10b	
		No (please comment below)	10c	
	Further comments:			
11	<i>Please, provide 3 aspects of your ENT related call/activity that you liked the most.</i>	11a		
		11b		
		11c		
	Further comments:			
12	<i>Please, provide 3 aspects of your ENT related call/activity that you liked the least.</i>	12a		
		12b		
		12c		
	Further comments:			
13	<i>Suggestions to ENT to improve next possible funding initiatives.</i>	13a		

### **Evaluation Concept (Program Owners and Managers)**

<i>Questionnaire for ENT Program Owners(PO) or Managers (PM)</i>				
ID	Name of PO/PM			
	Name of your organization			
	Name of your ENT AG			
	Number of countries participants in your ENT AG			
	Further comments:			
0	<i>Did your ENT AG result in any type of cooperation work (call, activity, ...)?</i>	If yes, go on with the rest of the questionnaire	0a	
		If not, what in your opinion were the reasons for not succeeding in developing any cooperation work?	Lack of common interest	0b
			Legislation/policy problems	0c
			Financial problems	0d
			Timing	0e
			Others (please comment below)	0f
		Further comments:		
1	<i>Do you think your ENT projects results have achieved the quality and the objectives you had in mind when you decided to participate in the AG?</i>	Yes	1a	
		No (please comment below)	1b	
		Further comments:		
2	<i>Do you think there was enough time for the following activities?</i>	<i>Finding partners (other interested PO/PM)</i>	Yes	2a
			No (please comment below)	2b
			Not relevant	2c
		<i>Agreeing on a thematical agenda</i>	Yes	2d
			No (please comment below)	2e
			Not relevant	2f
		<i>Working out cooperation framework</i>	Yes	2g
			No (please comment below)	2h
			Not relevant	2i
		<i>Working out the calls and activities</i>	Yes	2j
			No (please comment below)	2k
			Not relevant	2l
		<i>Reception, evaluation and selection of proposals</i>	Yes	2m
No (please comment below)	2n			
Not relevant	2o			

		<i>Negotiation phase (if existing)</i>	Yes	2p			
			No (please comment below)	2q			
			Not relevant	2r			
		<i>The execution of the research after the signature of the contract</i>	Yes	2s			
			No (please comment below)	2t			
			Not relevant	2u			
Further comments:							
3	<i>Did you find difficulties during the different activities you have overtaken in your ENT AG?</i>	<i>Finding partners (other interested PO/PM)</i>	Yes	3a			
			No (please comment below)	3b			
			Not relevant	3c			
		<i>Agreeing on a thematical agenda</i>	Yes	3d			
			No (please comment below)	3e			
			Not relevant	3f			
		<i>Working out cooperation framework</i>	Yes	3g			
			No (please comment below)	3h			
			Not relevant	3i			
		<i>Working out the calls and activities</i>	Yes	3j			
			No (please comment below)	3k			
			Not relevant	3l			
		<i>Reception, evaluation and selection of proposals</i>	Yes	3m			
			No (please comment below)	3n			
			Not relevant	3o			
		<i>Negotiation phase (if existing)</i>	Yes	3p			
			No (please comment below)	3q			
			Not relevant	3r			
		<i>The execution of the research after the signature of the contract</i>	Yes	3s			
			No (please comment below)	3t			
			Not relevant	3u			
		Further comments:					
		4	<i>Do you think the following objectives have been achieved within your ENT AG?</i>	<i>Benefit from complementary skills of the researchers</i>	Yes	4a	
					No (please comment below)	4b	
<i>Assembling of critical mass funding budgets</i>	Yes			4c			
	No (please comment below)			4d			
<i>Broadening of market chances</i>	Yes			4e			
	No (please comment below)			4f			
<i>Development of common approaches with other countries</i>	Yes			4g			
	No (please comment below)			4h			
<i>Others</i>	Yes			4i			
	No (please comment below)			4j			

	Further comments:			
5	<i>Did your ENT funding initiative lead you to consider any follow-up research funding initiative?</i>	Yes	5a	
		No (please comment below)	5b	
	Further comments:			
6	<i>Did your ENT funding initiative lead you to consider the creation of an international PO/PM network?</i>	Yes	6a	
		No (please comment below)	6b	
	Further comments:			
7	<i>What differences did you find between your ENT funding initiative and any other RTD funding initiatives on Trans-National Transport in which you have participated?</i>	ENT funding initiative offers a better opportunity to know about emerging significant areas of transport research.	7a	
		ENT funding initiative offers an easier way to contact researchers from other countries that have the same objectives.	7b	
		ENT funding initiative involves less administrative/legislative work load.	7c	
		ENT funding initiative provides better tools to disseminate information and knowledge.	7d	
		ENT funding scheme is more/less attractive.	7e	
		Other (please comment below).	7f	
		Further comments:		
8	<i>Did your ENT AG promote exchange of knowledge/experience with other countries' PO/PM?</i>	Yes	8a	
		No (please comment below)	8b	
	Further comments:			
9	<i>Did your ENT AG enhance Trans National Research Cooperation?</i>	Yes	9a	
		No (please comment below)	9b	
	Further comments:			
10	<i>Do you expect to get better research results by pooling resources in cooperation with other countries?</i>	Yes	10a	
		No (please comment below)	10b	
	Further comments:			
11	<i>Do you think there was enough funding allocated in your AG activity to answer the related researcher's needs?</i>	Yes	11a	
		No (please comment below)	11b	
	Further comments:			

12	<i>Did you consider the number of National PO and PM that participated in the process appropriate?</i>	Yes	12a	
		No (please comment below)	12b	
Further comments:				
13	<i>Did you consider the number of researchers that participated in the process appropriate? If not, why?</i>	Yes	13a	
		No, because funding was not enough.	13b	
		No, because of the topic (too complex, not interesting enough, other)	13c	
		No, because of researcher's qualification (too specific, other).	13d	
		No, because of timing.	13e	
		No, because of procedure.	13f	
		No, because of language.	13g	
		No, because of other reasons (please, comment below).	13h	
Further comments:				
14	<i>How do you value (from 1 to 5) the following items within your ENT AG?</i>	Support team	14a	
		Exchange of knowledge	14b	
		Cooperation with other PO/PM	14c	
		Overall opinion	14d	
Further comments:				
15	<i>Would you participate again in another ENT call/activity of your interest?</i>	Yes	15a	
		Yes, under certain conditions (please comment below)	15b	
		No (please comment below)	15c	
Further comments:				
16	<i>Please, provide 3 aspects of ENT that you liked the most.</i>	16a		
		16b		
		16c		
Further comments:				
17	<i>Please, provide 3 aspects of ENT that you liked the least.</i>	17a		
		17b		
		17c		
Further comments:				
18	<i>Suggestions to ENT to improve next possible funding initiatives..</i>	18a		



***Revised and supplemented handbook of ENT  
cooperation processes and procedures  
(„Cooperation Action Handbook“)  
Deliverable 2.1 (Presentation part)***

Please refer to the Del 2.1 “Explanation part” for supplementary information

Note: Suggestions and comments referring to this documents are welcome! please contact [walter.wasner@bmvit.gv.at](mailto:walter.wasner@bmvit.gv.at)



# Table of Contents (1)



## 1. General Information (Getting started)

### 1.1 ERA-NET TRANSPORT in brief

- *What is ENT?*
- *Aim of ENT*
- *Principles of ENT*
- *Motivation factors for transnational cooperation (Why should we go transnational?)*

### 1.2 ENT Action Groups (AGs) and definitions

- *Definition and purpose of AG*
- *The “right” people - Target groups for Action Group Members (AGMs) Actors and roles within AG*
- *Types of cooperative actions in AGs (Levels of cooperation LOCs) AG guiding procedure (general process model)*
- *AG Support - What could ENT do for your group?*
- *ENT preconditions & requirements to provide support for an AG*



## Table of Contents (2)

### 2. Procedural elements for ENT Action Groups

#### 2.1 Building of an AG (forming stage)

- *Aim and result*
- *Proposed steps*
- *Good practices*
- *Toolkit*
- *Duties & Responsibilities (role models)*

#### 2.2 Refining the topic and team building (storming stage 1)

- *Aim and result*
- *Proposed steps*
- *Good practices*
- *Toolkit*
- *Duties & Responsibilities (role models)*

#### 2.3 Setting up a cooperation architecture (storming stage 2)

- *Aim and result*
- *Proposed steps*
- *Good practices*
- *Toolkit*
- *Duties & Responsibilities (role models)*

## Table of Contents (3)

## 2. Procedural elements for ENT Action Groups

### 2.4 Refinements & operative preparations (norming stage)

- *Aim and result*
- *Proposed steps*
- *Good practices*
- *Toolkit*
- *Duties & Responsibilities (role models)*
- *Example for general peer-review criteria*
- *Examples for the proposal submission process*

### 2.5 Carry out the joint funding action (performing stage)

- *Aim and result*
- *Proposed steps*
- *Good practices*
- *Toolkit*
- *Duties & Responsibilities (role models)*

# 1. General Information

## 1.1 ERA-NET TRANSPORT in brief



## What is ERA-NET TRANSPORT (ENT)

- Coordination action in FP7 funded by EC (ENTII: mid 2007 – end of 2010), launched in FP6 (ENT: 2004 – 2007)
- A network of responsible R&D funding organisations in the field of transport comprising 12 countries and 14 partners
- Covering the whole field of transport (all kinds of themes and modalities)

## Aim of ENT

- Complement transport related community and national research with trans-national cooperation where not providing satisfying results, where double work can be avoided and synergies can be found (shaping the European Research Area)
- Serves responsible persons for publicly funded national transport research programmes (or comparable funding instruments) to
  - enrich programmes on mutual learning bases from different funding practices,
  - structure and open programmes for trans-national cooperation in terms of tools & procedures,
  - **support the preparation of joint funding of R&D activities and the coordination of national instruments** (“cooperation actions” in ENT Action Groups).



# 1. General Information

## 1.1 ERA-NET TRANSPORT in brief



## Principles of ERA-NET TRANSPORT

- Voluntary participation
- Variable geometry of cooperation actions
- Acceptance of national and regional sovereignty
- Openness to new partners

## Motivation factors for transnational cooperation

- Solving similar research questions / problems together (join forces)
  - by using complementary competences in different countries
  - by assembling critical masses of funding budgets
- Open new cooperation windows and target fields for the national R&D community
- Learn from funding practices in other countries



# 1. General Information

## 1.2 ENT Action Groups (AGs) and definitions



### Definition and purpose an AG

- **Thematically oriented group**, where two or more partners are cooperating for the preparation and execution cooperative actions
- Working towards **joint transnational funding actions** (and coordination of national funding instruments)
- **Organisational structure from ENT**, in order to provide targeted and effective support

### The “right” people - Target groups for Action Group Members (AGMs)

- Responsible persons for national funding programmes on strategy and budgetary level (**Programme Owners – PO**)
- Responsible persons for national funding programmes on the operational level (**Programme Managers – PM**)
- Other key-stakeholders and researchers **ONLY** as experts for advising the group (on request or on behalf of PO/PM)



# 1. General Information

## 1.2 ENT Action Groups (AGs) and definitions



### Actors and roles within AG

- Action Group Members (AGMs) = actively involved PO/PM (partners)
- Observing partners = PO/PM currently on a hold but interested in the process (possible future active partners)
- Action Group Leader (AGL) = AGM who is taking the lead in the group
- Support Team (ST) = Person out of ENT responsible for the AG support
- Experts & Advisors = involved on demand and temporary to enrich the group

### Types of cooperative actions in AGs (Levels of cooperation LOCs)

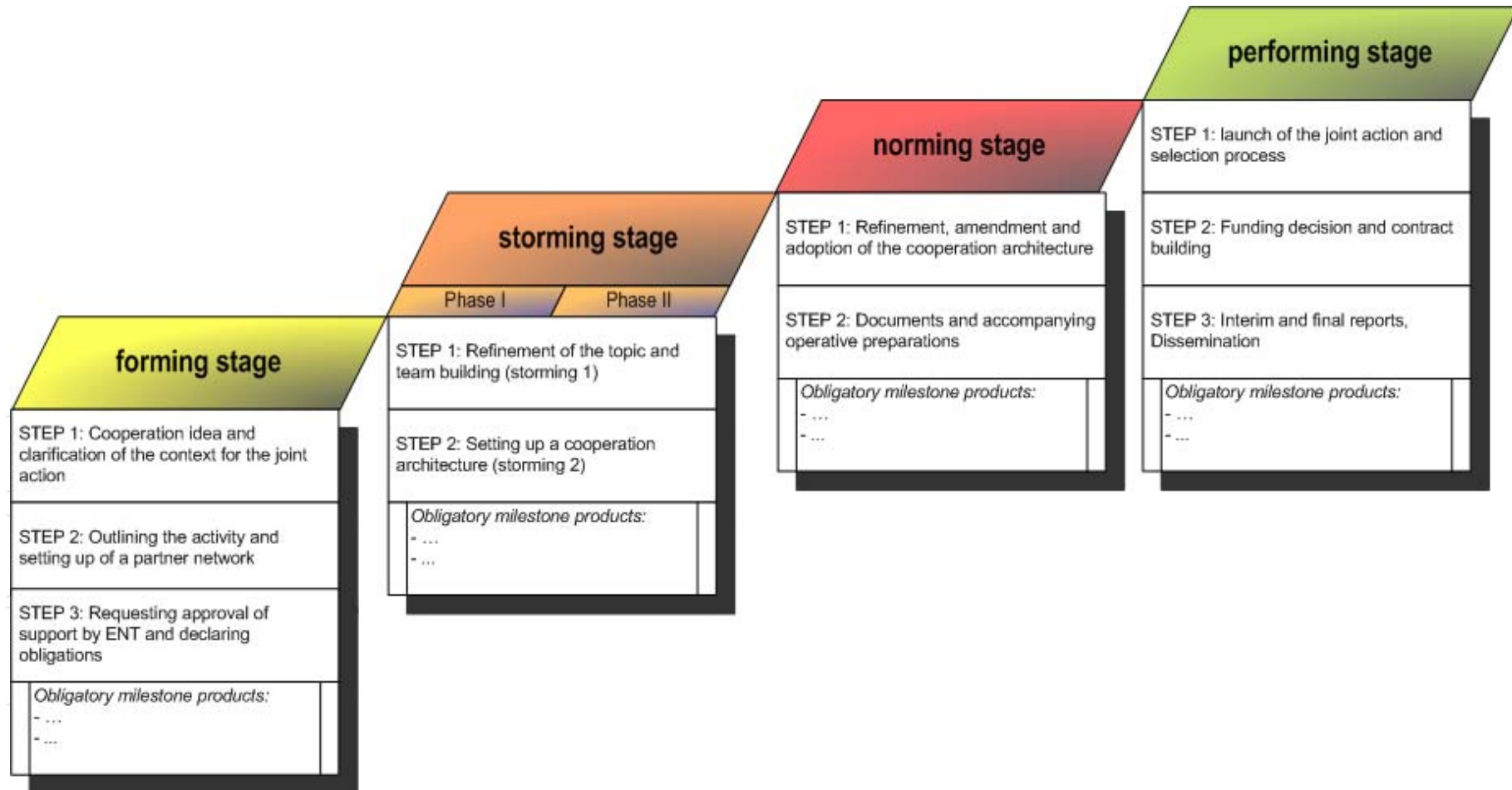
- **Activities to directly prepare joint funding actions** in a competitive framework or joint direct funding activities. Such as
  - **Joint/coordinated calls** for tenders or proposals
  - **Joint project** funding
  - Funding activities for **clustering of projects**
- **Preparatory activities** for launching joint funding actions in a later stage (e.g. exploratory studies or other activities for the coordination/alignment/integration of funding programmes, their national procedures or other program related activities)
- **NOT:** Info exchange without envisaged cooperation levels mentioned above



# 1. General Information

## 1.2 ENT Action Groups (AGs) and definitions

### AG guiding procedure (general process model)



# 1. General Information

## 1.2 ENT Action Groups (AGs) and definitions

### AG Support - What could ENT do for your group?

- **Provide cooperation tools and procedures out of the ENT knowledge pool**
  - Procedural support based on best-practice examples (Handbook, ST)
  - Example documents and templates for working out milestone-products
  - Programme information and community data-base (ENT-rada)
- **Provide operational support** for the AG along the process model (done by the ST)
  - Support in gathering information for preparation of new AGs
  - Establishing contacts with relevant PO/PM and other stakeholders through the ENT network
  - Organisational support (organizing meetings, keeping minutes, ...)
  - Support in drafting milestone products to establish a cooperation architecture
  - Access to a protected area for example documents, forms and document exchange on the ENT web-page
- **Provide reimbursement for participants of AG meetings** (travel cost, accommodation costs, catering costs, etc) primarily for building a cooperation architecture (storming 2)
  - refer to the AG document centre at the ENT web-page (*Rules for Reimbursement of Expenses.doc*)
  - Use the form “reimbursement\_form\_experts.doc”
- **Publication/Dissemination** of activities and results (ENT web-page, ENT events)
- ENT **does not provide** any money for research funding activities!

# 1. General Information

## 1.2 ENT Action Groups (AGs) and definitions



## ENT preconditions & requirements to provide support for an AG

- **Follow the general process model** of ENT (guiding procedure)
- Fill the general process steps with concrete tasks and pick out procedural elements of the ENT knowledge pool according to the specific needs of the AG
- **Work out obligatory milestone products** (position paper, work plan, cooperation agreement) and **provide these documents** together with complementing materials (e.g. minutes of meetings) **on the ENT webpage**
- **Establish a cooperation architecture** (storming 2) by meeting following **limitations**:
  - Period of 12 months
  - Four AG meetings (additional meetings will not be reimbursed by ENT)
- Take into account **recommendations from ST** and provide **insights on the AG status** on request of ENT
- Allow ENT to **observe and evaluate the process** (knowledge transfer for other AGs)
- **Refer to “initiated by ERA-NET TRANSPORT II”** in all kinds of resulting publicly available information within related AG activities



## 2. Procedural elements for AG

### 2.1 Building of an AG (forming stage)



#### Aim and result

- Drafting a cooperation idea, identify cooperation partners and formally establishing an AG

#### Proposed steps

- ▶ **Generating a cooperation idea**
  - ▶ based on the initiative of a PO/PM asking for response (“responsive approach”)
  - ▶ or initiated by ENT based on analysis and discussions (“pro-active approach”)
- ▶ **Outlining the envisaged activity and setting up a partner network**
  - ▶ Drafting of a position paper
  - ▶ Submit to potential partners and request cooperation interest (minimum 2 partners)
  - ▶ Define an Action Group Leader (AGL)
- ▶ **Request support by ENT (formal approval of AG)**
  - ▶ Submit a written draft position paper to ENT (done by AGL)
    - ▶ Receive ENT decision about support and designated Support Team Persons (ST)
    - ▶ Acknowledgement of the “ENT preconditions & requirements to provide support for an AG”



## 2. Procedural elements for AG

### 2.1 Building of an AG (forming stage)



### Good practices

- Development of the cooperation idea
  - Evaluate the need for cooperation and/or added value
  - Identify similarities/complementarities of different countries
  - Who else is working this field (overlapping activities, Related R&D on FP level,...)?
- Outlining and Contact Making
  - Rough written description and early contact with potential partners (PO/PM)
  - Opinion of other related stakeholders (experts, technology platforms)
  - Refinement of the idea based on the partner feed-back

### Toolkit

- Use **ENT-rada database**
  - ▶ Overview on national priorities and activities
  - ▶ Identify responsible contact persons (PO/PM)
- Use the **template for drafting a position paper** (*template 3*) to describe AG aims
- Establish **email/phone contact** to possible partners (and other related stakeholders) with the help of the ENT network and other networks (ERA-NETs, Technology platforms)
- Get in touch with an **ENT partner or the ENT secretariat**



## 2. Procedural elements for AG

### 2.1 Building of an AG (forming stage)

### Duties & Responsibilities (role models)

Task	PM/PO	Expert	ENT
Launching the research idea	X		X
Formulation of the research idea <b>Draft Position Paper</b>	X		
Getting other PM/PO interested in the cooperation idea	X		
Approval of the AG			X

## 2. Procedural elements for AG

### 2.2 Refining the topic and team building (storming stage 1)



#### Aim and result

- Achieve a common understanding on different viewpoints and establish a cooperative team of Action Group Members (trust & understanding)

#### Proposed steps

- ▶ Establish contact between AGL and ST (if not done before)
- ▶ Levy additional theme related national information
- ▶ Establish a personal contact between Action Group Members
- ▶ Extend the partner network – ask for additional participating
- ▶ Clarify available budgets for the joint action
- ▶ Establish a common viewpoint on the content and the cooperation outline (“What” question)
  - ▶ Prepare a final position paper
  - ▶ Approval of position paper by all partners = foundation for follow-up activities
- ▶ Submit minutes and final position paper to ENT the webpage



## 2. Procedural elements for AG

### 2.2 Refining the topic and team building (storming stage 1)



#### Good practices

- Gain insights in national positions and ensure that responsible stakeholders on the national level will be involved
- Try to understand and accept different national viewpoints / procedures and try to intermediate in between (“common language”)
- Motivate people to try out new approaches / to expand national frameworks by establishing a “we can do it together” feeling
- Develop a “marketing strategy” for the group to convince other stakeholders
- Use meeting-time for merging contents and for discussions, not for document drafting
- Write down and agree on the **thematically cornerstones** of the action to avoid misunderstandings
  - What is the joint action aiming at (targets/objectives)? What research questions are concerned?
  - What is the background of the action and what are the related national/international framework conditions?
  - What is the motivation for or the expected added value and impact of the envisaged joint action? Which level(s) of cooperation shall be addressed?



## 2. Procedural elements for AG

### 2.2 Refining the topic and team building (storming stage 1)



#### Good practices

- “Chance for more partners to come” is not a reason for decelerating the process
- Consider monetary implications and earmark money at an early stage
- Make sure that the responsible persons for the national budgets are involved in the AG
- Submit position paper to additional potential partners (extend the network)

#### Toolkit

##### ▶ Levy national positions

- ▶ Circulate the “national contribution template” (*template 4*)
  - ▶ Use results for preparing the first meeting

##### ▶ Use ENT-rada database

- ▶ to get insights in national programme architecture
- ▶ to present national programme architectures along a common reference system in the first meeting

##### ▶ Prepare and carry out first meeting

- ▶ Use draft agenda template (*template 5*)
  - ▶ Settle follow-ups and use minutes template (*template 6*)

##### ▶ Finalizing the position paper by revising and amending the draft position paper

##### ▶ Use the webspace of the ENT webpage for document exchange

- ▶ Ask ST to establish access for AGM

##### ▶ Experts reimbursement for AG meetings

- ▶ Use the form “*reimbursement\_form\_experts.doc*”



## 2. Procedural elements for AG

### 2.3 Setting up a cooperation architecture (storming stage 2)



#### Aim and result

- Clarify the cooperation framework and develop and implementation strategy
- Achieve an official commitment of the responsible persons

#### Proposed steps

- ▶ Clarify most **critical aspects** for the envisaged action and **introduce a set of rules**
- ▶ Prepare a **plan for further preparation and implementation** of the action (“how” question) and **allocate necessary resources** (“who” is doing “what”)
- ▶ **Schedule milestone** and discuss alternative planes
- ▶ **Prepare documents** for achieving an official agreement by the responsible persons
- ▶ Provide refined documents to additional potential partners
- ▶ Ensure **approval of the documents** by all (active) partners
  - ▶ **Programme Owners as responsible persons** for strategically and budgetary affairs of the involved national programmes



## 2. Procedural elements for AG

### 2.3 Setting up a cooperation architecture (storming stage 2)



#### Good practices

- **Analysis and comparison of national funding contribution practices** and identification of contradictions/conflicts
- Clarify following **procedural cornerstones** of joint funding activities
  - Timeframes for funding budgets and possible interrelations with budgetary constraints
  - Foreseen policy alignment of the funding activity (transport policy or innovation and technology policy orientated)
  - Available funds and funding pot model (common pot, virtual pot, mixed-mode)
  - Target group(s) (open for public, limited to specific groups) and dedication of funds (exclusive funding pots for trans-national projects only or non-exclusive pots);
  - Nature of projects (new projects, clustering of existing or recently finished projects)
  - Eligible funded project type(s) (basic research, applied research) and reference to existing reference systems (“Community framework for state aid for research and development and innovation” )
  - Applicable funding shares in interrelation with national regulations Project funding mechanisms
  - Discuss Intellectual Property rights (IPR) issues
  - Call structure and peer-review scenarios (e.g. one-step, two-step, national evaluation, trans-national team of evaluators)



## 2. Procedural elements for AG

### 2.3 Setting up a cooperation architecture (storming stage 2)



#### Good practices

- Prepare a common programme document to describe a framework for multiple funding activities (if applicable)
- Prepare a **written cooperation agreement** (Memorandum of Understanding MoU or Letter of Intent Lol) with **binding provisions** for partners and a **workplan**
- Concentrate on procedural definitions for the joint action and avoid bounce backs on the content level
- Accept new partners if they acknowledge previous group decisions; make sure to provide previous minutes and documents
- Inform and involve Programme Managers as responsible persons for a smooth handover procedure in the upcoming operational/administrational preparation phase (if applicable)



## 2. Procedural elements for AG

### 2.3 Setting up a cooperation architecture (storming stage 2)



#### Toolkit

- ▶ Use ENT-rada database
  - ▶ to get insights in national programming procedure
  - ▶ to update and complete the available information of the involved programmes in the database for further use
- ▶ Use the definitions of the “Community framework for state aid for research and development and innovation” ([http://ec.europa.eu/invest-in-research/policy/state\\_aid\\_en.htm](http://ec.europa.eu/invest-in-research/policy/state_aid_en.htm)) as a reference system
- ▶ Find good practices and standards for IPR definitions ([www.ipr-helpdesk.org](http://www.ipr-helpdesk.org))
- ▶ Examine the example document for a common programme (ENT 14 – Keep Moving, refer to *Programme\_finaldraftversion\_07-01-25.doc*)
- ▶ Use the workplan template (*Template 7*) together with the final position paper (storming 1) as technical annex to the cooperation agreement
- ▶ Use the MoU template (*Template 8*) to prepare a cooperation agreement
- ▶ Hold a 2nd meeting for discussion and acclamation
- ▶ Experts reimbursement for AG meetings
  - ▶ Use the form “reimbursement\_form\_experts.doc”



## 2. Procedural elements for AG

### 2.3 Setting up a cooperation architecture (storming stage 2)

### Duties & Responsibilities (role models) for storming 1+2

Task	ST	AGL	AGM	Expert	ENT
Explain the idea of ENT, the general process of setting up an AG, milestones and obligations of the AG	X				
AG' meeting organisation Pre-processing (timing, place, agenda...) Hosting the meeting Post-processing (minutes, responsibilities,...) Provide reimbursement of travel/hotel costs	X   X	X X X	(X)		X
Set-up a working space on the ENT website for the AG, and use it	X	X	X		
Motivate and push the process	X	X			
Prepare the documents <b>Position Paper</b> <b>Work plan</b> <b>MoU/Lol</b>	X X X	X X X	(X) (X) (X)		
National priorities and view points		X	X	(X)	
Get national funding backing			X		
Approve Position Paper and Cooperation Agreement (MoU/Lol)			X		
Knowledge transfer to ENT	X	X			

## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)



#### Aim and result

- Updates and refinement of the cooperation architecture (procedures, timeframes)
- Documents and other necessary operational and administrative preparations for carrying out the joint action

#### Proposed steps

- ▶ **Evaluate actuality and comprehensiveness** of the cooperation architecture by taking into account changed framework conditions since last update
- ▶ Handover to or involve the **administrative responsible PM** (if applicable)
- ▶ Prepare the **peer-review procedure** (joint calls for proposals/tenders)
- ▶ Prepare **internal documents** (e.g. sheets for collecting/exchanging project proposal data, joint peer-review documents)
- ▶ Prepare **external documents** (e.g. call announcement, guide for applicants, proposal form)
- ▶ Update and refine the **timetable** until the launch of the joint action
- ▶ Set-up **communication procedures**
  - ▶ Internal/external communication through peer-review, contract making and the project period
- ▶ Set-up a project **monitoring and dissemination strategy**
- ▶ Submit final document to the ENT webpage



## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)



#### Good practices

- Adapt the **time-window** for the call to the complexity of the research question and the readiness/capacities of the national communities to build transnational projects
- Define **eligibility criteria** for the projects
  - Nature of eligible organisations (industry, scientific)
  - Composition of consortia (e.g. number of required partners)
  - Install a minimum/maximum cost share of the total project costs per project and country (e.g. 10%) to ensure substantial transnational components
  - Check compliance with the definitions and requirements of the related national programmes
- Clarify the **method for the peer-review** and the **funding decision**
- Refine the **proposal submission/collection procedure** (who is collecting what and when)
  - Install a two-step process (pre-proposal, full-proposal) to reduce efforts for proposers
  - Collect one transnational core proposal per consortia outlining the context of the project (in English language!)
  - Supplementing national proposal documents to fulfil national administrative requirements (if applicable) consistent and referring to the transnational core proposal
  - Install a web-based proposal submission platform or nominate an organisation to collect all proposals



## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)



#### Good practices

- Apply **separated national peer-review procedures** followed by transnational evaluation and project selection
  - Check compatibility of national procedures and agree on common general peer-review criteria (at least on a superior level)
  - Preserve different national practices (sub-criteria, weights)
  - Agree on a minimum standardized information to be exchanged between PO/PM
  - Clarify the transnational project selection procedure
- Or apply a **common peer-review**
  - Design a common procedure and approve compatibility with national regulations
  - Nominate peer-reviewers and define review panels
- Discuss the **contracting procedure**
  - Contracts between respective national research organisations (proposers) and national funding agencies or
  - one contract with the whole consortia if organisation is in charge for contracting (common pot)
- Set up project **stimulation measures** (e.g. transnational workshops for researchers)
- Set up a **dissemination strategy**
  - Request the description of joint dissemination activities in the project proposals
  - Publish project descriptions and results



## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)



#### Toolkit

- ▶ Refer to examples for the general peer-review criteria (further below)
- ▶ Refer to examples for the proposal submission process (further below)
- ▶ Use and re-use existing national forms and templates for the peer-review
- ▶ Internal documents:
  - ▶ Overview on submitted proposal to be exchanged between partners (refer to *template\_proposal\_collection\_sheet.xls*)
  - ▶ Example for an evaluation procedure (refer to *example\_proposal\_evaluation\_procedure.doc*)
  - ▶ Form for project assessment during the peer-review (refer to *template\_project\_assesment\_sheet.doc*)
- ▶ External documents:
  - ▶ Call announcement text on a national and transnational level, refer to the document centre for AGs on the ENT web-page
  - ▶ Tender/Call specification texts with all explanations and contact addresses (guidelines for applicants), refer to the document centre for AGs on the ENT web-page
  - ▶ Template/form for one joint trans-national core-proposal (proposal form) which can be used for the pre-proposal and full proposal, refer to the document centre for AGs on the ENT web-page
  - ▶ Additional forms for applicants (e.g. Letter of intent to declare the willingness to carry out a specific research project), refer to the document centre for AGs on the ENT web-page



## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)



## Toolkit

- ▶ Request a letter of indent from the project consortia (refer to *IntermodalFreight\_LOI\_AT.doc*)
- ▶ Request a **consortium agreement** for contracting from the consortia with following contents:
  - ▶ Responsibilities of the partners
  - ▶ Decision processes inside the project
  - ▶ Management of any change of partners
  - ▶ Intellectual Property Right (IPR) issues, refer to the helpdesk ([www.ipr-helpdesk.org](http://www.ipr-helpdesk.org))
- ▶ Refer to the examples (peer-review criteria, proposal submission processes) below



## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)

### Duties & Responsibilities (role models)

Task	ST	AGL	AGM	Expert	ENT
Bring in experience from other AG (examples, templates, procedures)	X				
AG' meeting organisation Pre-processing (timing, place, agenda...) Hosting the meeting Post-processing (minutes, responsibilities,...)	(X)	X X X	X X X		
Provide reimbursement of travel/hotel costs (only exceptionally)					(X)
Motivate and push the process forward	(X)	X	X		
Refinement of the Cooperation architecture / Workplan		X	X		
Prepare documents		X	X		
Observe and moderate the process					
Knowledge transfer to ENT	X	X	(X)		

## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)

### Example for general peer-review criteria

#### ▶ Quality of proposed activity

- ▶ Technical-scientific quality (esp.: degree of innovation, comparison to state-of-the-art, supplement potential and development risk (financial and technical), quality of applied methods and approach)
- ▶ Quality of planning (esp.: project aims and work-plan, integration of partners (competencies and capacities), adequacy of costs and financial plan)

#### ▶ Relevance of proposed activity

- ▶ Contribution to the programme aims (programme-specific, trans-national added value)
- ▶ Contribution to further aspects, esp. ecological, social, ethical, gender etc.

#### ▶ Suitability of applicants/partners

- ▶ Scientific-technical qualification and capacity
- ▶ Readiness for exploitation of market opportunities, esp. market knowledge,
- ▶ resources for production and distribution
- ▶ Quality of Management and management capacities

#### ▶ Economic potential and exploitation

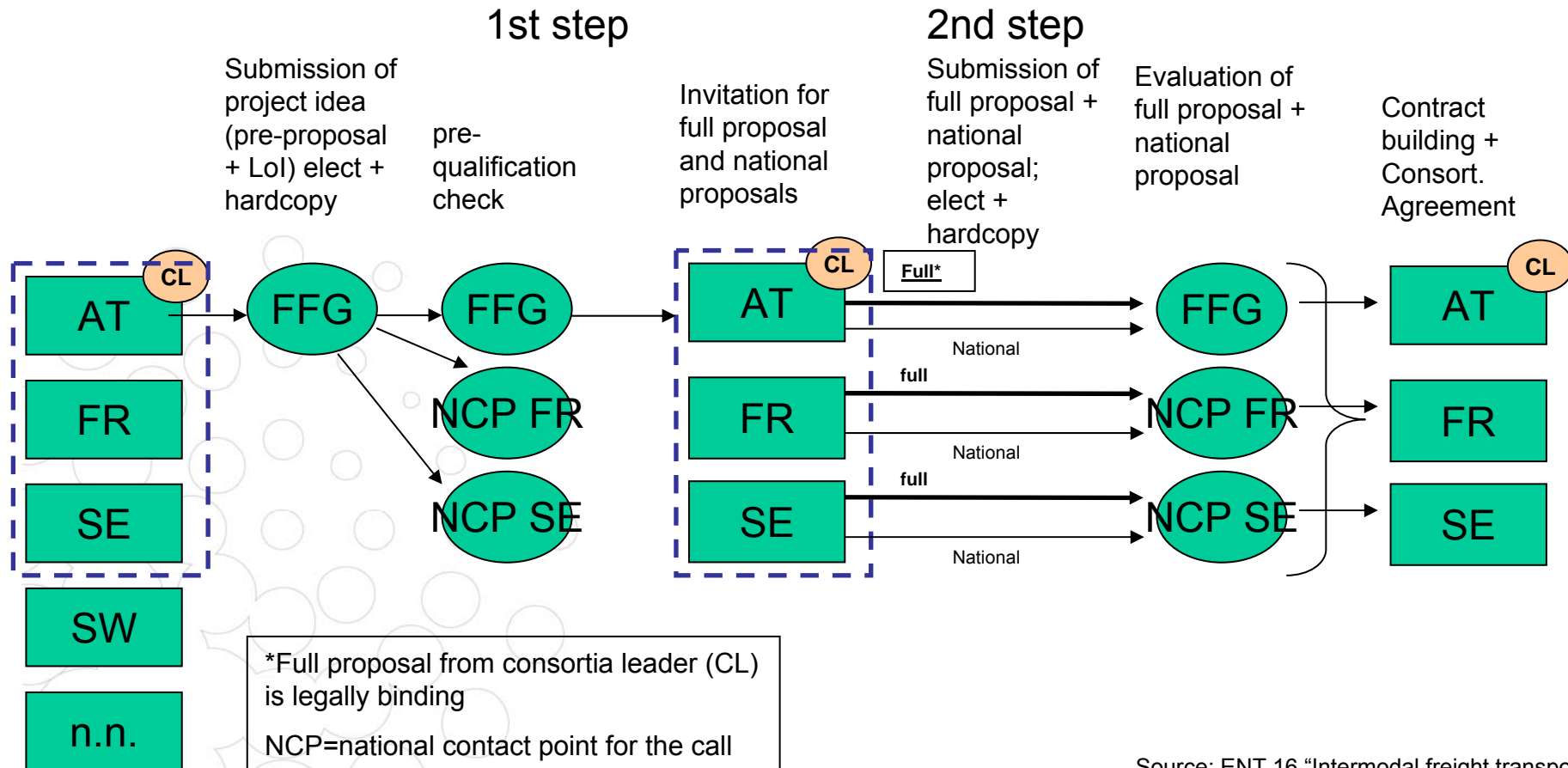
- ▶ Customer value and USP (unique selling proposition)
- ▶ Target markets and market potential
- ▶ Protection of intellectual property rights and exploitation strategy

Source: ENT 16 "Intermodal freight transport"

## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)

### Example for the proposal submission process (2-step procedure for new projects)

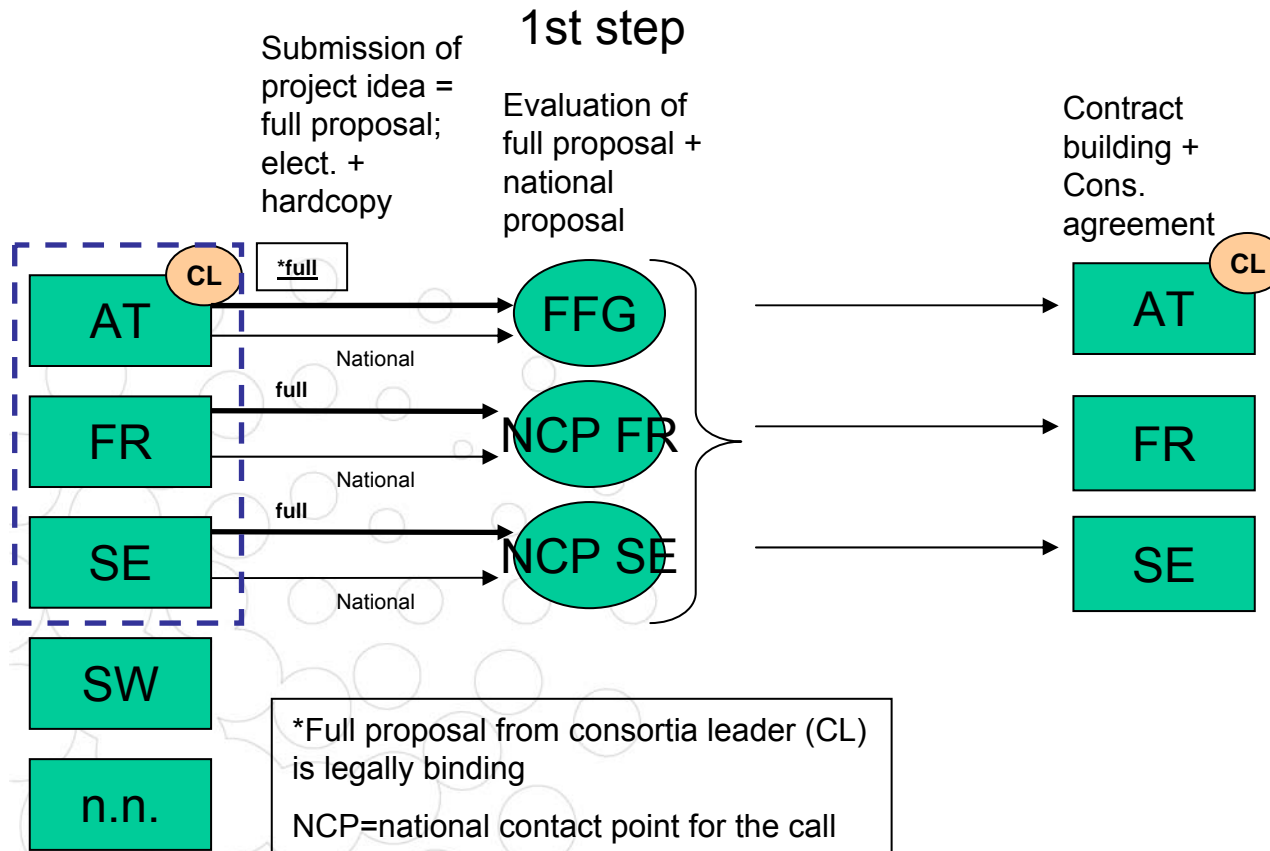


Source: ENT 16 "Intermodal freight transport"

## 2. Procedural elements for AG

### 2.4 Refinements & operative preparations (norming stage)

### Example for the proposal submission process (1-step procedure for clustering projects)



Source: ENT 16 "Intermodal freight transport"

## 2. Procedural elements for AG

### 2.5 Carry out the joint funding action (performing stage)



#### Aim and result

- Set the joint action into operation and accompany the process

#### Proposed steps

- ▶ Announce the call or invite potential contractors
- ▶ Select and contract projects
- ▶ Carry out project observation, monitoring, steering activities and exchange with partners
- ▶ Carry out or observe dissemination measures
- ▶ Provide Feed-Back and procedural learning for ERA-NET TRANSPORT



## 2. Procedural elements for AG

### 2.5 Carry out the joint funding action (performing stage)



#### Good practices

- Announce the call at the ENT web page and through the usual national channels (calls) or investigate possible contractors for the joint funding action (direct contracting)
- Actively support the project generation by linking people (via contact platforms or by direct exchange of contact data) or providing options for exchanging ideas (e.g. workshops)
- Refine and apply a contracting procedure
  - Screen differences and possible conflicts of different national contract building processes
  - Align timelines and clarify responsibilities
  - Clarify and coordinate the information process of project consortia about the peer-review results
  - Use standardized information letters
  - Set-up additional obligations to achieve proper communication ways (e.g. mention ENT and the AG in connection with the project as “initiated by ERA-NET TRANSPORT”)



## 2. Procedural elements for AG

### 2.5 Carry out the joint funding action (performing stage)



#### Good practices

- Ensure the exchange between projects (e.g. seminars for presenting preliminary results)
- Set up a reference group of (potential) users to accompany projects and to ensure relevant results
- Regularly exchange project status (and reports) between PO/PM
- Use national and transnational platforms to disseminate projects



## 2. Procedural elements for AG

### 2.5 Carry out the joint funding action (performing stage)



#### Toolkit

- ▶ Refer to the cordis website ([http://cordis.europa.eu/fp7/partners\\_en.html](http://cordis.europa.eu/fp7/partners_en.html)) or to national platforms (e.g. <http://network.iv2splus.at>) to facilitate partner search
- ▶ Set up new or use existing proposal submission systems for proposal collection
- ▶ Contracting:
  - ▶ Use a standardized information letter to inform applicants about the peer-review results (refer to *example\_standardized\_letter\_to\_proposers.doc*)
  - ▶ Use an example for a contracting procedure (refer to *example\_contracting\_procedure.doc*)
  - ▶ Link contracting to additional obligations (*example\_Leaflet\_for\_proposers.doc*)
- ▶ Use questionnaires for evaluation the process (refer to the annex of Del. 2.1 “Explanation Part”)
  - ▶ Evaluation Concept (Researchers)
  - ▶ Evaluation Concept (Program Owners and Managers)



## 2. Procedural elements for AG

### 2.5 Carry out the joint funding action (performing stage)

### Duties & Responsibilities (role models)

Task	ST	AGL	AGM	Expert	ENT
Bring in experience from other AG	X				(X)
Provide resources (man-power and financing) for the coordination work			X		
Observe and moderate the process	(X)	X			(X)
Announce the call		X	X		X
Submit proposals				X	
Prepare and carry out the peer-review	(X)	X	X	X	
Contracting		X	X		
Carry out research				X	
Monitor projects and exchange results			X		
Dissemination of research results			X	X	
Knowledge transfer to ENT	X	X	X	X	