

Water JPI Third Alignment Workshop

How to do it?

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ERALearn

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Alignment approaches in Joint Programming Initiatives

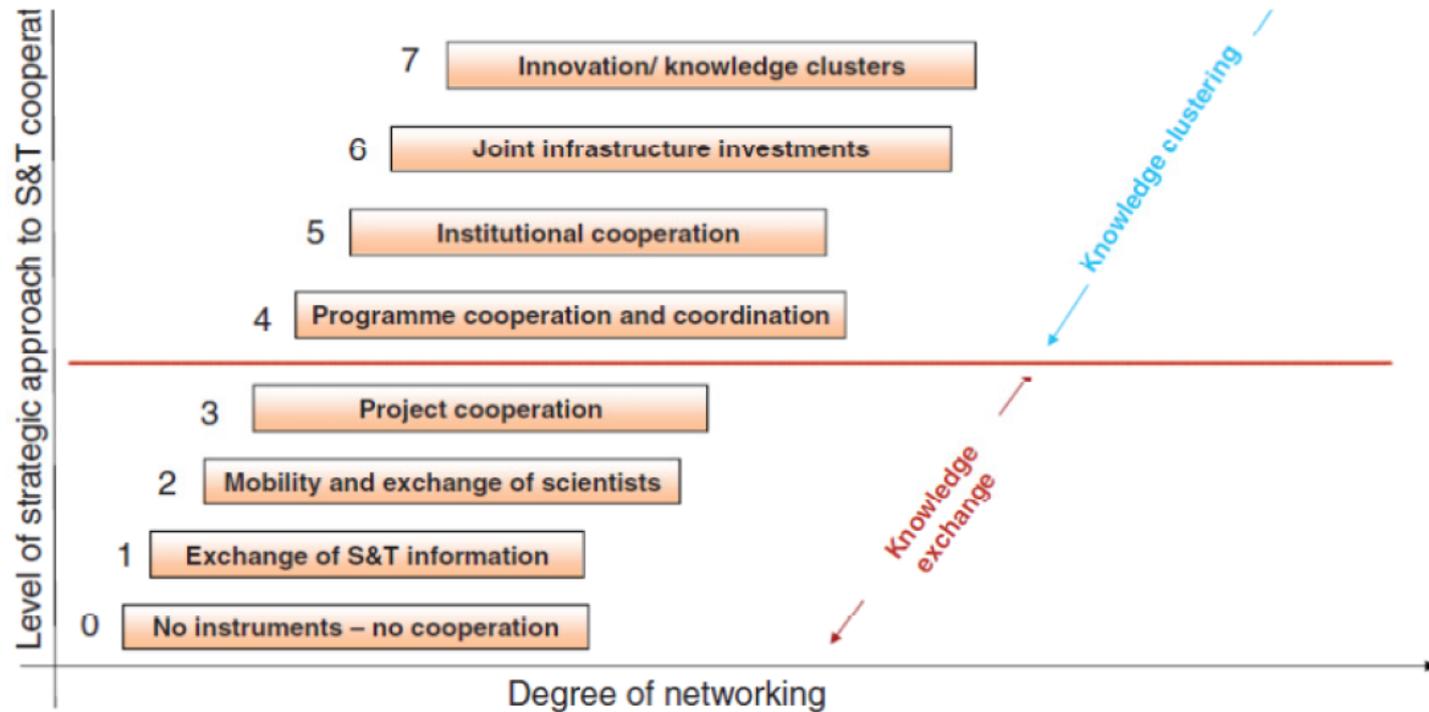
**2017 Water JPI Alignment Workshop
4th April 2017, Stockholm, Sweden**

Michael Dinges, Susanne Meyer

Alignment objectives

- (1) increase synergies among (existing) national R&I programmes and activities
- (2) trigger cost-efficiencies in research financing (e.g., via avoiding duplication of efforts)
- (3) help identifying research gaps at national/trans-national level
- (4) enhance the level of R&I performance
- (5) maximize impact on policymaking and innovation

Strategic approaches towards international co-operation in R&I



Alignment actions & actors across the R&I programming cycle: ministries and funding agencies

Planning	Strategy	Funding	Evaluation
Conduct of joint foresight	Adoption of common strategic research priorities	Networks of national and EU research funding organisations	Common frameworks for monitoring, evaluation and impact assessment for the whole P2P
Conduct of joint mapping of existing research	Adoption of a common strategic Implementation / Action Plan	Coordination or synchronisation of national calls for research proposals	Joint project monitoring
	Conduct of joint stakeholder consultations	Joint transnational calls for research proposals	Joint performance indicators
	Cooperation between P2Ps	Integrated joint research programmes	
	Cooperation between a P2P and a PPP (NEW)	Strategic, long-term integrated joint research programme: EU Article 185 Initiative	
	Cooperation with non-EU/non-Associate countries (NEW)		

Alignment actions & actors across the R&I programming cycle: research and innovation actors and communities

Capacity Building	R&I activities	Infrastructures & Data	Dissemination & uptake
Joint training	Networks/Alliances of research performing (and funding) organisations	Transnational access to specific national research infrastructure	Joint dissemination of scientific results towards policymakers
Cross-border mobility of researchers, policy makers and practitioners	Joint Research Centres	Clusters of research infrastructures for research implementation	Joint dissemination of scientific results towards stakeholders/end-users
	Networks of community of practices	New joint research infrastructure facilities	
		Open access to national scientific research outputs	
		Coordination, harmonisation and standardisation of scientific techniques and methodologies	

Process towards a Common Position on Alignment in Austria

**Alignment area:
Strategy
development**

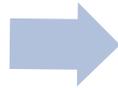
Key objectives

- **Raise awareness** among Austrian RTI stakeholders and ministries
- **Reach consensus** among stakeholders on a common alignment position
- Develop a '**Austrian position paper on alignment**' serving as a mean to reach agreement between the participating stakeholders via multiple rounds of feedback.
- **Disseminate the Austrian experience** on the development of a common position on alignment at European level

Overview of the Process towards a Common Position on Alignment in Austria

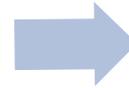
Preliminary Phase: Idea generation

- Idea generation in the MULLAT working group
- Key initiator of the process to develop a common position on alignment of all key Austrian RTDI stakeholders was the Austrian Ministry of Transport, Innovation and Technology in cooperation with the Austrian Ministry for Science, Research and Economy



First Phase: Develop common position on alignment

- Work on common understanding of alignment terminology
- Design a stakeholder involvement process to develop a common position on alignment
- Develop an Austrian Position Paper on alignment (coordinated by the Austrian Ministry of Transport, Innovation and Technology)



Next Phase planned: Implementation and Dissemination

- National: Roadmap for nat. coordination to support alignment measures and implementation (WG 'Alignment')
- European dissemination: e.g. via the Mutual Learning Exercise on Alignment
- National dissemination: e.g. via FP9-Thinktank and Austrian FP9 Stakeholder Conference



**Alignment area:
Strategy
development**

Results

- **Usefulness**
 - Key prerequisite for the successful participation in EU FPs and P2Ps
 - Consensus reaching among stakeholders through a discursive process
 - Benefits from alignment by receiving financial returns, new know-how, and better integration of national actors in European networks.
 - Better ground for finding solutions for societal challenges.
- **Preconditions**
 - Thematic priorities at national level
 - Strong cooperation and communication between key ministries
 - National programmes and funding instruments
- **Key needs**
 - Achieving better compatibility between applied national and transnational funding mechanisms and minimise transaction costs
 - Common engagement and continuity of activities
 - Evaluation and analysis of potential trade-offs of alignment should be investigated for specific programmes.



Alignment area: Strategy development

Key success factors

“The multi-phased design was highly appropriate in order a) to agree on a common understanding of alignment, b) to collect the perspectives of key RTI stakeholders and c) to decide after each phase on the next step – treating the process’ objective as a ‘moving target’.”

- **Soft policy coordination** and multi-phase approach
- **Expert support** for workshops and drafting the position paper for providing a professional set-up and legitimacy of the process
- **Interactive and collaborative methods** applied in workshops facilitated interaction among diverse actors and helped to reach consensus despite different agendas.
- **Ownership by key RTI policy makers:** The two ministries driving the process are responsible for national RTI funding
- A proper **definition and typology of alignment** enables efficient communication among diverse actors

Alignment of national funding: The case of Ambient Assisted Living (AAL)

Alignment area: R&I Funding

Key objectives

- **Background**
 - Austria is founding member of the transnational AAL Programme established in 2008
 - As a necessary pre-condition Austria has established a national programme BENEFIT dedicated to AAL in 2007
 - Austria commits about 5.0 Mio EUR annually for research and development activities to both AAL programmes (Approx. 50:50)
- **Alignment objectives**
 - Taking joint actions with other countries in Europe by following jointly agreed research priorities and funding procedures.
 - ‘Building complementarities and synergies through specific national and transnational activities

Coordination of national and transnational AAL programme

- Design of national BENEFIT programme and transnational AAL programme
 - Take up of positive experiences from Nordic countries by BENEFIT and AAL
 - Stimulate market oriented R&I for technology products and ICT services for AAL
 - Support of interdisciplinary research with integration of end-users as partners in the project: vital role of care services organisations, insurance companies etc. but national differences in eligibility of these organisations as regards funding
- Coordination of national and transnational AAL strategies
 - Strategic re-orientation from topic oriented calls to challenge oriented calls
 - Trade off between progressive development of transnational programmes and ensuring support by as many countries as possible
 - Strong linkages between transnational AAL strategy and national strategy
 - Continuity of national personnel responsible for national and international programme development

Coordination of call management and projects

- **Selection of call topics**
 - Transnational level: annual discussion of national delegates based upon pre-defined framework of research priorities
 - National level: In early years thematically open, now with specific focus on smart homes and smart services
 - Years with higher complementarities are
- **Call Management**
 - Two national calls and one European call per year
 - Call manuals for transnational AAL calls and national BENEFIT calls
 - Different peer review, monitoring and reporting requirements
- **National budget coordination**
 - National indicative planned budget can shift between the transnational call and the national call
 - For national budgets spent in the AAL programme, a 40% EC cofund was received
- **Co-ordinated testing of new instruments**
 - Test regions: local environments to test innovative solutions

- **National community building**
 - From technology driven approach to demand driven approach
 - Creation of national AAL Platform in 2012
- **Gateway to Europe and testing at home**
 - Expansion of Austrian R&I networks & increased knowledge sharing
 - Austrian care services and other end-users as testing environments for innovative solutions
- **Programme events**
 - International AAL Forum
 - National AAL summits to showcases research results
- **Joint support services**
 - Coaching for business plan development
 - Classification model of ICT solutions for elderly people)



Key success factors

- Consensus making on national level
- Existence of national programmes and willingness to shape them in an iterative process with transnational level
- Consensus on realistic and concrete aims at transnational level supported by national programmes
- Flexibility of national budgets
- Open minds towards experimentation with new instruments
- Engaged individuals with responsibility: ensuring long term strategic intelligence



Further reading

www.era-learn.eu/alignment



THANK YOU!

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