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1. Introduction

On 17th July 2012 EARTO and the European Commission signed a Memorandum of Understanding (MoU) concerning certain activities of EARTO and of EARTO members relating to the development and completion of the European Research Area. Analogous MoUs were signed at the same time by EUA, LERU and NordForsk, while Science Europe issued a declaration of similar content.

The present document is the concise progress report provided for in the MoU. The report:
- Relates the purpose of the MoU;
- Recalls the distinctive mission of RTOs in relation to the ERA topics addressed by the MoU;
- Concisely describes the principal activities undertaken by EARTO for and with its members in the implementation of the MoU, and
- Provides summary and illustrative evidence relating to each of the ERA topics addressed by the MoU.

2. Purpose of the MoU

In signing the MoU, EARTO undertook to recommend to its members that they carry out, by the end of 2013, certain actions relating to European Union policy on the development and completion of the European Research Area. In this regard, the MoU specifically recognised that EARTO members act in accordance with applicable [national] legislation and with the specific characteristics of each member organisation. The MoU further explicitly recognised that EARTO is a voluntary membership-based organisation and that its members operate within legislative and administrative frameworks that may limit their autonomy and freedom of action.

3. The Distinctive Mission of RTOs

RTOs fully support the general objectives of the EU’s European Research Area policy. In the pursuit of such a policy, in order for it to be successful, it is essential to recognise the specificities of different categories of actors.

The present SHO ERA Platform embraces universities and research-funding organisations in addition to RTOs. It is important to recognise that RTOs have a mission that tends to distinguish them in important respects from universities and research funders. Discussions are on-going, in the framework of the ERA Doers’ Network meetings on ERA Monitoring, on how the next ERA survey could be tuned in order to take into account RTOs specificities in the next ERA report.

The core mission of a university is the education of students and the conduct of research, which latter in the main is curiosity-driven (“advancing the frontiers of knowledge”). The research-funding organisations participating in the SHO ERA Platform are a principal source of support for that research. Indeed, in many countries - e.g. Austria, Finland, and Sweden to name just three – there are separate research-funding organisations for curiosity-driven research and for applied research. The ERA SHO platform includes predominantly funders of curiosity-driven research.
The core mission of an RTO by contrast, is research targeted at solving societal problems and supporting economic competitiveness through R&D and related innovation-support services to help industry exploit economic opportunities.

Given their core mission of supporting the economy and society, RTOs tend to have a strong link to government (national and/or regional). Some are government-owned (in whole or in part), practically all are government-mandated. Their mission typically involves multi-year business plans negotiated with the respective government(s). The transition from one business plan to the next can entail radical shifts in the fields of science and technology that an RTO covers, implying consequent changes in human resource requirements (recruitment, retraining, and redundancies), capital investments, etc. Thus the governance of RTOs necessarily has a marked top-down element. Universities, by contrast, tend to be organised along more bottom-up lines as “communities of scholars”, and they tend to enjoy greater freedom from government direction.

RTOs’ distinctive mission is further reflected in the manner of their funding. There is, it is true, no single RTO funding model but a useful benchmark is 1/3 - 1/3 - 1/3, as illustrated in the attached diagram.
third comprises revenues from pushing technologies out into practical application through remunerated activities such as contract research, licensing, spin-off companies, etc.

These characteristics of RTOs’ mission, organisation and business model impact significantly on how they respond to several of the priority topics within the EU’s ERA policy.

4. General Overview of Activities Undertaken

Beginning in September 2012, EARTO distributed to its members the text of the MoU and prepared and distributed to them written advice on the MoU’s contents with explanations of the different items and directions to corresponding European Commission web pages, documents and related sources.

Some ERA topics, notably Open Access to publications and data, were discussed at the regular bi-annual meeting of the CEOs of the major European RTOs in Leuven on 5th and 6th May 2013.

The completion of ERA and the subjects addressed in the MoU were discussed at the EARTO Annual Conference in Dubrovnik on 24th and 25th May 2013, in the presence of the European Commission services.

The EARTO Special Interest Group of Human Resource Managers of the larger European RTOs met in Trondheim on 30th May 2013, in the presence of the Commission services, to discuss the topics contained in EARTO’s MoU.

EARTO representatives participated actively in the ERA SHO Platform and its “Doers Networks” as follows:
- Doer’s network on Open Access
- Doer’s network on Research Infrastructures
- Doer’s network on Communication
- Doer’s network on Gender Issues
- Doer’s network on Monitoring

Further specific activities are noted in the following subject-related sections of this report. Each section begins by recapitulating the relevant text of the MoU and then provides a concise summary of the state of play and actions undertaken.
4.1. Open Recruitment

- Start or continue to fill vacancies for recognized, established, and leading researchers - as defined by the EU Framework for Research Careers - according to open, transparent and merit-based recruitment procedures, in line with the basic principles of the EU Charter for Researchers and the EU Code of Conduct for the Recruitment of Researchers.
- Start or continue to advertise vacancies for first-stage, recognized, established and leading researchers - as defined by the EU Framework for Research Careers - on the EURAXESS Jobs portal.

The EARTO Special Interest Group of Human Resource Managers of the larger European RTOs met in Trondheim on 30th May 2013, in the presence of the European Commission services, to discuss the topics contained in EARTO’s MoU, in particular those relating to Open Recruitment, Careers and Gender.

The key resource of any and every RTO is the people it employs. RTOs need the best scientists, technologists and engineers in order to be able to accomplish their core missions of supporting governments in tackling societal challenges and business in building and maintaining economic competitiveness.

All of the major RTOs have recruitment policies that correspond to the principles contained in the EU Framework for Research Careers, the EU Charter for Researchers, and the EU Code of Conduct for the Recruitment of Researchers.

Some RTOs make use of the EURAXESS jobs portal as tool of their HR policy. RTOs recruitment needs for scientists, technologists, engineers, technicians, etc. are generally highly specialised and are generally found via other channels than the EURAXESS job portal. The RTOs generally have high visibility in the categories in which they recruit (see following section), so that a broad-based employment portal such as EURAXESS is not always the best tool at hand for their recruitment.

RTOs are in many cases using similar tools of recruitment & HR policies as the industry with for example the use of head hunters, commercial HR campaigns, competitive salary and various performance awards policies, wide publication of their job openings (own website see SP example on the side, media, etc.) which are fundamentally different from HR policies in Universities based partly on giving R&D grants.
4.2. Careers and Gender

Career Paths
Career paths are possible in all RTOs where staff can start their career at a basic research or commercial level and progress to senior level by acquiring documented experience, either through formal or informal education (i.e. coursed or in-house training) to reach senior levels. This way of working is generally very common to most our members. Attached to career paths, RTOs have generally competitive salary and various performance awards policies in place.

International Hiring
In addition, the major RTOs recruit widely, without regard to gender or geographical origin. For example, one out of every five employees of SINTEF (Norway) was born in another country. VTT employs no less than 49 nationalities from which 81% have a university degree of whom 26% held a doctorate. TECNALIA and IMEC, to give other examples, have respectively also staff of 27 and 60 nationalities. TUDOR hosts 450 collaborators from 37 different nationalities of which only 12% are Luxembourg nationals. The most internationally oriented RTOs have in place specific services for inpats supporting their international HR policies.

Gender & Diversity Policies
Moreover, most RTOs have put in place diversity polices, including a wider range of issues other than simply gender related issues. Equal opportunity, work-life balance, and gender-blind policies are implemented in all of the major RTOs. For example, SINTEF was awarded the 2012 Norwegian Diversity Award in recognition of its success in building an international environment of highly competent staff from many different cultures, who are represented at most levels of the organisation.

Topics in EARTO MoU

- Develop and start, or continue to implement, human resource strategies in line with the basic principles of the EU Charter for Researchers and the EU Code of Conduct for the Recruitment of Researchers.
- Seek to obtain and use, or continue to use, the EU Human Resources Excellence in Research logo.
- Develop and start, or continue to implement, a gender strategy, addressing for example the commitment of the organisation’s management to gender equality and its development, an appropriate mix of gender-specific career development measures, and gender-blind, work-life balance measures.
Human Resources Director Ingeborg Lund accepts the 2012 Diversity Award from State Secretary Ahmad Ghazinadeh.

For RTOs, in general, the overall percentage of female employees is estimated at approximately one-third. Some of the larger RTOs have set quantitative targets to steadily raise this percentage in the coming years. TECNALIA has recruited large numbers of younger employees. The average age of its employees today is 36, of which 42% are female. In the Scandinavian countries, the CEOs of the largest RTOs in Sweden and Norway are women, among themselves, EARTO Vice-President Ms. Maria Khorsand (CEO, SP) and EUROTECH Chairwoman, Ms. Unni Steinsmo (President, SINTEF).

RTOs actively look at finding best talents in research, and this passes by having targeted activities aiming at increasing the participation of women in research & science, and as such in their pool of potential employees. Most of RTOs have activities around this issue. For example, JOANNEUM RESEARCH organises every year JOANNEUM RESEARCH Girls’ Day while the CRP Henri Tudor the national Girl’s Day aimed at creating consciousness about jobs considered traditionally as men activities.

Furthermore, SP in Sweden sees its work on equality and diversity as an important part of the process of expertise sourcing. This is why a plan is compiled every three years for equality and diversity work. This plan provides a summary of SP’s work on active measures to promote equal rights and opportunities in the workplace. SP works purposefully and systematically to counteract discrimination against anyone on account of their age, sex, ethnic background, religion or other beliefs. Better balance of sexes is aimed for in all personnel groups. A survey of SP’s jobs structure took place in 2012. This jobs structure is used in connection with special pay reviews and other initiatives. The purpose of these special pay reviews is to review and deal with any unjustified pay differences that might exist, and also to deal with any other measures that might be needed. The jobs structure produced is used as a basis for these special pay reviews.

RTOs as Best Employers
A simple and particularly striking indicator of the quality of the workplaces and career opportunities afforded by RTOs is the ranking they achieve in the annual Universum surveys of students to select the employers they would consider working for and to choose the employers they would most like to work for, i.e. the organisations that they perceive as being “ideal”. In countries in which an RTO is a relatively large employer (and thus sufficiently visible to potential employees), RTOs frequently score among the top 10 preferred employers for students in science/engineering/IT (the categories that Universum employs vary a little from country to country).

This is true, for example, of:
- VTT: top-ranked in Finland in the most recent survey,
- SINTEF: 8th in Norway,
- TNO: 9th in the Netherlands,
• Imec: received the Top Employers award in 2013 and one of the ten best employers within ICT,
• Fraunhofer: 3rd in Germany amongst natural science students,
• SP: best of all the Swedish research institutes in the 2012 survey.

Transfer of HR
To give one example with figures, TUDOR is tracking the career of its researchers once they leave. The Luxembourg ministry of research explicitly requests to monitor the transfer rate from public research centers into public and private organizations. In 2012, 63 collaborators have left TUDOR. 11% of these collaborators went to the public sector, 16% to universities and 29% went to the private sector.

Transnational mobility
Furthermore, RTOs often have a role to play in transnational mobility and have taken action with support of the European Commission to look at this issue. In France, the CEA has launched in 2009 with support of the European Commission, a Marie Sklodowska-Curie programme called CEA-Eurotalents aiming at supporting transnational mobility. In January 2014, a new Eurotalent program will start for 5 years.

Similarly, TECNALIA has set-up the TIFER programme, also with the support of the Marie Sklodowska-Curie programme. TIFER supports the temporary incorporation (2 years) of experienced researchers to TECNALIA to develop their proposed research projects with TECNALIA’s research teams and facilities.

EU Human Resources Excellence in Research logo
Few RTOs have sought to obtain the EU Human Resources Excellence in Research logo since they do not perceive it as adding value to their recruitment and career development practices. Indeed, many consider that their practices are in advance of the minimum requirements for obtaining the logo. However, some of our members are using the EURAXESS website, such as CRP Henri Tudor which publishes career opportunities in its corporate website, in the Euraxess website, and also in other specialized media according to the research profile we are looking for. In Euraxess, candidates can see the jobs offered by TUDOR when selecting “Jobs in Luxembourg”.

TUDOR, as a partner in Euraxess, has also a direct link to the corporate site www.tudor.lu.
4.3. Pensions and Doctoral Training

Topics in EARTO MoU

- Explore the possibility to join an EU-wide Supplementary Pension Fund, once proposed, and support the on-going discussions on the portability of social security rights.
- Develop and start, or continue to provide, in accordance with the remit and objectives of each individual member organisation, structured programmes for doctoral training in line with the basic EU Principles for Innovative Doctoral Training.

Portable pensions for researchers is one of the objectives of EU European Research Area policy. This is a subject of interest to RTOs, given their international recruitment practices. They will be pleased to participate in policy discussions on the design and implementation of such a scheme once the EU or governments have made concrete proposals.

The extent to which RTOs provide possibilities for doctoral training – and in line with the EU Principles for Innovative Doctoral Training – is variable from one RTO to another. This reflects a conscious strategic choice by each RTO as to whether doctoral education should be an integral part of its corporate strategy.

Some RTOs have fully integrated doctoral education into their corporate strategy and offer doctoral training facilities which are widely considered to be innovative and of the highest quality.

Germany’s Fraunhofer is a particularly striking case. Indeed, possibly one of the most important impacts of Fraunhofer on the German economy is the steady stream of qualified doctoral students who leave the organisation each year to join companies, government or other employers. Fraunhofer refers to this activity as "technology transfer through heads" (Technologietransfer durch Köpfe). For the past three years, an average of 400 newly qualified PhD’s left the organisation, where they will have had the opportunity during generally three to five years to work on demanding industry-relevant projects while completing their PhD thesis.

To mention another example, in the case of IMEC in Belgium, 280 PhD students are currently employed by the organisation. In France, the CEA is currently hosting more than 1500 PHD students and 300 post-docs.

Most RTOs have formal links with universities which have special competence and/or facilities in the RTO’s areas of expertise. These links are generally aimed at fostering knowledge flows between the RTO and each university, which in their turn frequently include doctoral training.

It is general practice in most RTOs to encourage younger employees to pursue a doctoral degree and to allow a certain portion of remunerated working time to be employed for this purpose. Some RTOs offer stipends for doctoral students.
4.4. Research – Business Cooperation, Mobility, Twinning/Teaming

Topics in EARTO MoU

- Continue, or further develop, engagement with large and small firms in order to support their innovation and competitiveness strategies.
- Explore, develop and start, or continue to implement, in accordance with the remit and objectives of each individual member organisation, research-business mobility programmes for the training of excellent researchers for research and business, aiming at increasing their mobility between business and research.
- Explore the possibility to develop, in a cost-efficient way, co-operation with research organisations (“twinning”) and/or regions (“teaming”) in other EU Member States, building on existing experience.

Research-business cooperation is RTO core business and has been central to the RTO mission since the beginning (generally the period just before or shortly after the 1939-45 war). In the beginning, most RTOs were 100% publicly funded. Over the years since, most have shifted to a mixed funding model, as described earlier. In general, today, about +/- 50% of the typical RTO’s income stems from private sources. Most of this is commercial revenue from contract research work for companies or public authorities or from technology transfer activities (licensing, spin-offs); the remainder is mostly income from cooperative research projects with companies.

The great number of the companies for which RTOs work are SMEs. We estimate that the RTOs in EARTO membership service the needs of around 100,000 SMEs annually. An analysis of FP6 data indicates that RTOs significantly raise SME participation in FP-funded projects (May 2012, www.earto.eu).

Given that RTOs engage widely as service providers to business, mobility programmes per se between RTOs and business for training researchers are not common. There is, however and of course, intense cooperation between RTOs and business in the form of cooperative research projects and programmes. This cooperation extends to institutional arrangements of a long-term nature. Examples of the latter are RTOs such as imec, which operate large-scale programmes with seconded interns from industry, or the Holst Centre jointly created by imec and TNO, which similarly is founded on institutional programmes with industry. Other, similar examples of RTO long-term and/or institutional cooperation with business are RTOs extensive participation in European initiatives such as European Technology Platforms, Joint Technology Initiatives, the SET Plan, or the EIT Knowledge and Innovation Communities. RTOs have played, and continue to play, a major role in promoting the KETs’ agenda at European level.

The Responsible Partnering Guidelines¹, which aim to promote greater cooperation between research and industry, were a joint venture between EARTO and the European University Association (EUA), the European Industrial Research Management Association (EIRMA) and Proton Europe.

In addition, RTOs are actively teaming & twining: cooperation between EARTO members with such aims are quite frequent. For example, to stimulate new collaborations which could result in joint R&D projects and joint applications to European programmes, the CEA joined forces with Slovenia and Romania (and recently discussed with Poland) to implement bilateral calls and run joint research projects. This process was successful because the selection was based on excellence and some of the projects resulted in co-publications and/or patents.
4.4. Open Access to Publications and Data

The policy discussion on open access to publications and research data is part of a broader discussion on “open science”, which RTOs actively support. The general RTO position on open access to publications is positive. Open access to research data by contrast requires a more nuanced view.

An EARTO representative (Ernst Kristiansen, SINTEF) is participating actively in the ERA Platform Doers’ Group on Open Access.

An EARTO representative (Erwin Folmer, TNO) participated in the Nordforsk seminar on Open Access in Brussels in February 2013. His PPT presentation provides a good summary of the general RTO position on Open Access.

Most of the RTOs provide access to their publicly available research reports on their own websites (see example of search engine of VITO allowing to search their latest research reports on the side). Some of our members have also opened library at their facility allowing free access to their own library, see EURAC example on the side.

Whenever research generates data in which one or more of the organizations participating in the research has a proprietary interest for the purposes of exploitation, open access may not be acceptable to the affected party/parties. Thus, an insistence on open access is likely to prevent research projects being performed with the participation of critical interested parties. In general, the question of access to data has to be decided on a case by case basis.
5. Conclusion

RTOs fully support the general objectives of the EU’s European Research Area policy. Accordingly, EARTO members have their own views and are active in all areas covered by their MoU.

In the pursuit of a successful ERA completion, it is essential to recognise the specificities of different categories of actors. The present SHO ERA Platform embraces universities and research-funding organisations in addition to RTOs. Accordingly, as the European network of RTOs, EARTO will keep being active and supporting the activities of this platform in 2014 as well as the European Commission in bringing RTOs specific inputs to ERA policy.

As such, EARTO will be signing on 13 December 2013, a Joint Declaration with the European Commission as well as the other SHO ERA Platform members supporting the continuation of the SHO ERA Platform as a good instrument to exchange views on the various issues linked to the ERA policy.
Annex 1 – EARTO Memorandum of Understanding

MEMORANDUM OF UNDERSTANDING

BETWEEN

THE EUROPEAN COMMISSION

AND

THE EUROPEAN ASSOCIATION OF RESEARCH AND TECHNOLOGY ORGANISATIONS

The European Commission, hereinafter referred to as ‘the Commission’, and the European Association of Research and Technology Organisations, the registered offices of which are in Brussels, Belgium, hereinafter referred to as ‘EARTO’ (jointly hereinafter referred to as ‘the Partners’),

TAKING INTO ACCOUNT THAT

— The March 2000 Lisbon European Council agreed that to strengthen employment, economic reform and social cohesion an overall strategy should be applied, aimed at, inter alia, preparing the transition to a knowledge-based economy and society by better policies for research and development.

— The Council adopted on 15 June 2000 a Resolution establishing a European Research Area (ERA)¹ that sought to implement the conclusions of the Lisbon European Council.

— The May 2008 “Ljubljana Process - Towards realisation of ERA” Council Conclusions called for enhanced ERA governance, based on a long-term ERA vision developed in partnership by Member States and the Commission with support from all stakeholders and citizens. It underlined the importance of ERA as a primary pillar for the Lisbon objectives and as an engine for driving the competitiveness of Europe.

— According to the Lisbon Treaty on the Functioning of the European Union (TFEU), the European Union has the objective of promoting scientific and technological advance, and calls in particular for the achievement of the European Research Area to strengthen the scientific and technological bases of the Union and of its industry, and to make them more competitive. The Treaty refers to the ERA as an area of free circulation of researchers and scientific knowledge.

— The completion of the ERA is an explicit part of the Europe 2020 strategy for smart, sustainable and inclusive growth² endorsed by the June 2010 European Council.

¹ OJ C 205, 17.7.2000, p. 1
Moreover, the February 2011 European Council stated that Europe needs a unified research area to attract talent and investment and called for the completion of the ERA by 2014 and addressing any remaining gaps to create a genuine single market for knowledge, research and innovation.

- At the January 2012 ERA Conference, the Commission announced its intention to both deepen and broaden the ERA partnership with research stakeholders, so as to make rapid and far-reaching progress on the key ‘big-ticket’ measures to be announced in the ERA Framework Communication adopted by the Commission on 17 July 2012.

- Pursuant to Article 15 of the EARTO Articles of Association, this Memorandum of Understanding is signed on behalf of the Association by Jan Mengelers, President and Maria Khorsand, Vice-President of EARTO.

- EARTO is a voluntary-membership-based organisation for which this Memorandum of Understanding constitutes a voluntary, non-binding informal agreement, without legal status under Belgian law. The Commission acknowledges that EARTO’s members operate within legislative and administrative frameworks that may limit their autonomy and freedom of action.

HAVE DECIDED THE FOLLOWING:

EARTO WILL recommend to its members that they carry out, by the end of 2013, the actions that are set out below, in accordance with applicable legislation and with the specific characteristics of each member organization:

Open recruitment

- Start or continue to fill vacancies for first-stage, recognised, established, and leading researchers - as defined by the EU Framework for Research Careers - according to open, transparent and merit-based recruitment procedures, in line with the basic principles of the EU Charter for Researchers and the EU Code of Conduct for the Recruitment of Researchers.

- Start or continue to advertise vacancies for first-stage, recognized, established and leading researchers - as defined by the EU Framework for Research Careers - on the EURAXESS Jobs portal.

Careers and Gender

- Develop and start, or continue to implement, human resource strategies in line with the basic principles of the EU Charter for Researchers and the EU Code of Conduct for the Recruitment of Researchers.
- Seek to obtain and use, or continue to use, the EU Human Resources Excellence in Research logo.
- Develop and start, or continue to implement, a gender strategy, addressing for example the commitment of the organisation’s management to gender equality and its development, an appropriate mix of gender-specific career development measures, and gender-blind, work-life balance measures.

Pensions and Doctoral Training

- Explore the possibility of joining an EU-wide Supplementary Pension Fund, once proposed, and support the on-going discussions on the portability of social-security rights.
- Develop and start, or continue to provide, in accordance with the remit and objectives of each individual member organisation, structured programmes for doctoral training in line with the basic EU Principles for Innovative Doctoral Training.

Research – Business Cooperation, Mobility, Twinning/Teaming

- Continue, or further develop, involvement with large and small firms in order to support their innovation and competitiveness strategies.
- Explore, develop and start, or continue to implement, in accordance with the remit and objectives of each individual member organisation, research-business mobility programmes for the training of excellent researchers for research and business, aiming at increasing their mobility between business and research.
- Explore the possibility of developing, in a cost-efficient way, co-operation with research organisations (“twinning”) and/or regions (“teaming”) in other EU Member States, building on existing experience and taking advantage of research and innovation strategies for smart specialisation.

Open Access to Publications and Data

- Explore, develop and start, or continue to implement, efficient policies, accepted by the research community, for open access to publications resulting from publicly-funded research and already in the public domain.
Explore, develop and start, or continue to implement, comprehensive principles, standards and procedures for open access to research data emanating from publicly-funded research and already in the public domain.

**Reporting**

- EARTO will produce a concise progress report on the implementation of the actions listed above by December 2013

**THE EUROPEAN COMMISSION WILL**

**Stakeholder Platform**

- Establish a dedicated ERA Stakeholder Platform, which EARTO agrees to join, for the purpose of consulting with stakeholders on progress towards the completion of the ERA.

**Monitoring**

- Organise in June 2013 a meeting to review progress on the implementation of this Memorandum of Understanding.

**BOTH PARTNERS WILL**

- In a proportionate way, share with each other the already available, relevant, and necessary information to monitor the implementation of this Memorandum of Understanding.

Done in duplicate at Brussels on 17 July 2012

**FOR THE EUROPEAN COMMISSION**

Máire GEOGHEGAN-QUINN
Commissioner for Research, Innovation and Science

**FOR EARTO**

Jan MENGELENS
President of EARTO

Maria KHORSAND
Vice-President of EARTO