



Deliverable 2.3

Joint Learning Report

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EXECUTIVE SUMMARY

The EU-India Social Science and Humanities Platform (EqUIP) brings together research funding and support organisations in Europe and India in order to develop a stronger strategic partnership. The Platform supports SSH funding agencies across Europe and India in the stepping up of international collaboration: through sharing best practices, networking and the closer coordination of existing collaborative activities as well as the establishment of new relationships.

In order to implement these targets, Research Council Norway (RCN) with the support of the Centre for Social Innovation (ZSI) successfully organised a Joint Learning Workshop for European and Indian funding agencies 15-16 September in Oslo, Norway. The workshop brought together over 30 participants from 22 organisations in 14 countries, which had substantial experience on multilateral SSH collaboration.

The goal of the Joint Learning Workshop was to mobilise the various experience of the Indian and European funding agencies to discuss best practices and develop a vision of how EU-India SSH cooperation might be organised in the future, beyond the lifetime of EqUIP. For this purpose, the workshop employed a methodology combining scenarios and other collaborative learning techniques, such as Disney Method and World Café.

India and the EU have strong international SSH communities and established research networks with many high and middle income countries. Although the Indo-European research collaboration is generally well established, most collaboration is in STI fields. For example from the 190 FP7 projects in which India was a partner, only nine are in the field of SSH.

In this light, the workshop participants agreed that there is an untapped potential for Indo-European SSH collaboration. More concretely, there was strong support from both the European and Indian participants to increase the level of multilateral SSH collaboration between the two regions. This multilateral collaboration could be implemented through different funding models, in many of which the participants have previous experiences. The possible funding models can be categorised in funding models utilising common EU research and innovation funding (direct funding, coordinated calls, match funding, opening ERA-Nets, ERA Co-funds and Joint Programming Initiatives) and funding models without EU contribution (opening bilateral programmes, real common pot, interest group).

The participants were in favour of developing a multilateral funding scheme, which would be inspired by the implementation structure of current ERA-Nets, and support excellent and collaborative research. Selection of thematic area for collaboration, best practice funding models and engaging funders was seen as crucial for proceeding with more detailed planning of the scheme.

Although participation in the Joint Learning Workshop does not entitle any funding agency to take part in any follow up activities, it became clear that Indian and European funding agencies are highly motivated to collaborate. Despite this, many challenges, not least leveraging sufficient funding for collaboration, were recognised. To address these issues and to develop structures and processes for Indo-European multilateral collaboration beyond EqUIP, a working group on the future of EqUIP will be established.

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1 INTRODUCTION

The EU-India Social Science and Humanities Platform (EqUIP) brings together research funding and support organisations in Europe and India in order to develop a stronger strategic partnership. The Platform supports SSH funding agencies across Europe and India in the stepping up of international collaboration: through sharing best practices, networking and the closer coordination of existing collaborative activities as well as the establishment of new relationships.

In order to implement these targets, EqUIP¹ successfully organised a Joint Learning Workshop (JLW) for European and Indian funding agencies 15-16 September in Oslo, Norway. The workshop brought together over 30 participants from 22 organisations in 14 countries. Participants shared previous experiences with Indo-European SSH collaboration and identified possible common approaches to effective research cooperation. They also formed a joint vision for ideal Indo-European SSH collaboration beyond the lifetime of the EqUIP project and discussed possible options for effective multilateral funding formats to realise it. It must be noted that the joint vision or *this report shall not be taken as a guiding or binding document* as the main purpose of the workshop was to facilitate mutual learning and discuss various possible funding models for multilateral Indo-European SSH collaboration. *Participation in the Joint Learning Workshop does not entitle any funding agency to take part in any follow up activities; no funding agency has as of yet committed to joint vision, any discussed funding formats or indeed to partake in a joint multilateral call.*

This Joint Learning Report (JLR) aims at reporting the outcomes of the Joint Learning Workshop. Chapter 1 of this report introduces the objectives and target group of the Joint Learning Workshop and Report as well as the methodologies applied in the Joint Learning Workshop. Chapter 2 analyses the different funding models that could be used to realise Indo-European SSH collaboration beyond the EqUIP project and fleshes out the joint vision. Finally, Chapter 3 drafts a roadmap for different actions that could be taken to realise the joint vision and Chapter 4 draws up the conclusions.

1.1 Objectives of the Joint Learning Workshop and Report

The aim of the EqUIP Joint Learning Workshop and Report is to share best practices, to identify barriers and common approaches to effective research cooperation as well as to discuss various possible funding models for multilateral Indo-European SSH collaboration. Identification of best practices and barriers will not only help to support individual funding agencies, wishing to step up their international collaborative activities, but can also provide foundations for future pan-European collaborative activity with India. Indeed, the Joint Learning Workshop and Report result in a joint vision for ideal Indo-European SSH cooperation beyond the lifetime of the EqUIP project and identification of crucial steps in view of making a favourable future reality.

Together with the information gathered in the Scoping report, this Joint Learning Report will feed into the joint development of best practice guidelines and models for Indo-European SSH research collaboration. It also supports the consideration of the challenges that need to be addressed.

¹ Work Package 2 leader Research Council Norway (RCN) with the support of the Centre for Social Innovation (ZSI)

1.2 Target groups

Three main target groups can be identified as relevant for discussing future Indo-European collaborative activity:

- Policy-makers
- Research Programme owners
- Researchers

Of these target groups, the Joint Learning Workshop focused on programme owners.² The rationale for addressing mainly the programme owners was that several of them also engage in policy-making related to EU-India cooperation in their national contexts (especially in the smaller EU Member States and in India). Thus, this stakeholder group is in the position not only to assess but to significantly shape future cooperation.

Programme owners were readily accessible via the EqUIP project consortium. In the Joint Learning Workshop, however, we wanted to gather information on future interests of not only the consortium members but also other programme owners, including those without previous experience in Indo-European SSH collaboration. Therefore, the invitation was opened also to such organisations outside the project consortium.

The EqUIP Joint Learning Workshop gathered together 34 participants, from 22 organisations (annex 1) and 14 countries (figure 1). Together nine of the 34 participants were organisations outside the project consortium. Notable is that three of the organisations outside the consortium were from India. Overall, the active participation of Indians in the event provided an excellent precondition for balanced discussions.

² The DoW defines the target group of the Joint Learning Workshop: “the Joint Learning Workshop should bring together research funding agency staff and selected researchers involved in and supported through existing collaborative activities identified through the mapping activity to discuss these various models”. In planning of the Joint Learning Workshop and Symposia progressed, the consortium decided to divide the target groups between the two events; The Joint Learning Workshop shall target funding agencies and the EqUIP symposia will target researchers

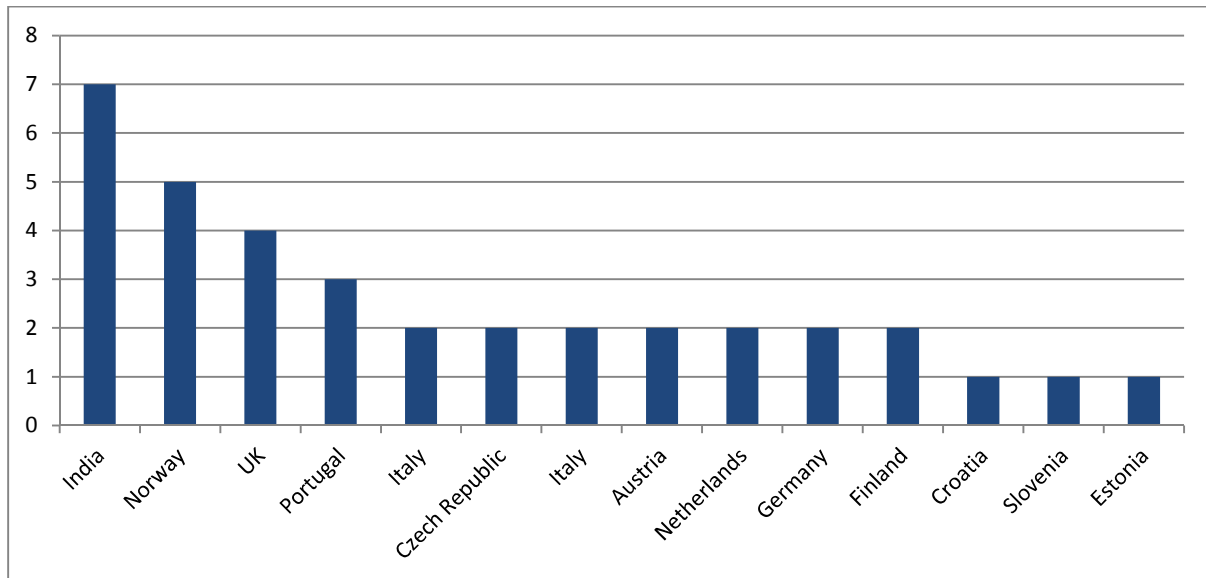


Figure 1: Joint Learning Workshop Participants by country

Participants' experiences with international SSH collaboration

The experience of the participants with international SSH collaboration is substantial. In order to acknowledge and use it throughout the workshop, this experience was collected at the beginning of the workshop.

All participating organisations had ongoing international collaboration in the field of SSH. Most of the countries have different kinds of bilateral collaboration agreements or programmes in place. This bilateral collaboration focused on joint mobility activities as well as on the provision of funding for research projects (including personnel costs). Some countries also have experiences in opening up of national grants and calls for foreign researchers and in jointly funding research infrastructures.

Most workshop participants were also involved in multilateral research cooperation initiatives:

- ERA-Nets:
 - HERA Humanities in the European Research Area (CZ, DE, EE, FI, HR, NL, NO, SL, UK, PT)
 - Norface: New Opportunities for Research Funding Agency Co-operation in Europe (EE, FI, DE, NL, NO, PT, SL, UK)
- Joint Programming Initiatives in the field of SSH:
 - Urban Europe (FI, DE, IT, NL, NO, PT, UK)
 - More Years Better Lives (FI, DE, HR, IT, NL, UK)
- Cultural Heritage and Global Change (CZ, IT, NL, NO, PT, UK) TAP: The Trans-Atlantic Platform is a collaboration between key humanities and social science funders from South America, North America, and Europe (DE, FI, NL, PT, UK)
- Norforsk (Nordic cooperation on research and research infrastructure) (FI, NO, UK, NL)
- DACH (Research Cooperation between Germany, Austria, Switzerland) (DE)
- ORA/Bonn Group (The Open Research Area funds joint research projects in the social sciences in The Netherlands, France, Germany and the United Kingdom) (NL, FR, DE, UK)

- COST: European Cooperation in Science and Technology (CZ, EE, CR, FI, DE, IT, NL, NO, PT, SL, UK)
- ESFRI: European Strategy Forum on Research Infrastructures (various)
- CYTED: The Iberoamerican Program for Science and Technology for Development (PT)
- DARIAH-EU is a social and technical infrastructure which is composed of people, expertise, information, knowledge, content, methods, tools and technologies for investigating, exploring and supporting work across the broad spectrum of the digital arts and humanities.
- CLARIN European Research Infrastructure Consortium

With regards to collaborating with India, the European Joint Learning Workshop participants had:³

1. Experience with Joint bilateral/multilateral SSH Calls with India as well as SSH exchange and workshops: NWO, RCN, DFG, ESRC, AHRC
2. Experience solely with SSH exchange/workshops with India: AHRC, MIZS
3. Experience with Joint bilateral or multilateral (e.g. Inno Indigo) STI Calls with India but no experience in SSH cooperation with India: DLR, AKA, FCT, MISZ, ETAG, CAS, HAZU

With regards to Indo-European SSH collaboration, ICSSR has established bilateral programmes with France, the Netherlands, United Kingdom, Sweden and Germany,⁴ and UGC with Germany, France, Hungary, United Kingdom and Norway⁵. ICSSR has also worked on the multi-lateral Indian-European Research Networking Project with the Bonn Group and is Secretary General of the recently established Association of Asian Social Science Research Councils, and UGC collaborates in the framework of foreign teachers programme, and funds scholarships and higher education exchange programmes.

Smaller institutions such as ICPR and ICHR have ongoing collaboration with France and Germany respectively. The Indian Foundation of Arts has undertaken a mapping project with RCUK and collaborates with Adam Mickiewicz Institute in Poland and the Goethe Institute⁶.

As indicated above, the goal of the Joint Learning Workshop was to mobilise the various experience of the Indian and European funding agencies to discuss best practices and develop a vision of how EU-India SSH cooperation might be organised in the future. For this purpose, the workshop team employed a methodology combining scenarios and other collaborative learning techniques.

1.3 Methodology

Over the years, social scientists and policy-makers have used several methodologies to sketch out and identify preferences amongst a series of possible futures and develop action-oriented conclusions aiming towards a desired one. When it comes to international S&T cooperation policy, however, the approach of scenario development has shown to be popular.

³ Information based on the EqUIP Scoping Report and e-mail consultations with non-consortium members

⁴ as well as with TH, CN, VN, SB, SA, RU, JP from non-European countries

⁵ as well as with AU, US, IS NZ and BRICS Higher Education Group from non-European partners

⁶ as well as the Japan Foundation, Korean Art Management Council, Alliance Francaise and Sri Lanka outside of Europe

Scenarios⁷ are built up from collective visions of the future by a group of experts and should help decision-makers and other stakeholder groups to simplify “*the avalanche of data into a limited number of possible states*”.⁸ Scenario building efforts often start with the clarification of the setting, the identification and analysis of driving forces (‘drivers’) that are considered to influence how the present will be transformed in the future in specific areas of interest, and a subsequent forecasting and importance ranking of the identified drivers as well as of uncertainties that become apparent during the process. Then, the scenario logics are defined, scenarios fleshed out and their implications discussed.⁹ Thus, generic scenario building exercises comprise an exploratory elaboration of several futures.

In addition to exploratory scenario building processes resulting in multiple scenarios, another approach is outlined in literature; a success scenario method.¹⁰ Therein, an effort is made to present an image of a desirable condition in form of one single scenario in order to help decision-makers reflect the current situation and identify crucial steps in view of a favourable future. A related scenario building exercise can then be used by decision makers to streamline their approach to the topic in question. As Vincent-Lancrin has put it: “*Future scenarios do not aim to predict the future [...] but merely aim to provide stakeholders with tools for thinking strategically about the uncertain future before them, which will be partly shaped by their actions and partly by factors beyond their control*”.¹¹ This “singular scenario” approach is also useful when it comes to structuring and guiding discussions so that underlying assumptions become clear and can be explicated.¹²

The aim of the Joint Learning Workshop was to build normative (desirable) scenarios for Indo-European SSH collaboration beyond EqUIP project, which then serve to orient joint visions and decision-making. The chosen scenario building method is consequently the so called “success scenario” method. The figure 2 below illustrates the approach taken to scenario development:

⁷ The description of scenario building methodology is an adaptation of the description of scenario based foresight methodology used in New INDIGO International S&T Cooperation Foresight (2012). A study of S&T cooperation future(s) between Europe and India

⁸ Schoemaker, Paul J.H. (1995): Scenario Planning: A Tool for Strategic Thinking, in: Sloan Management Review, 36(2), p. 27.

⁹ IPTS/Joint Research Centre of the European Commission (2007): Online Foresight Guide. Scenario Building, online at:

http://forlearn.jrc.ec.europa.eu/guide/3_scoping/meth_scenario.htm, most recent access date: 30 March 2015

¹⁰ Miles, Ian (2005): Scenario Planning, in: UNIDO Technology Foresight Manual. Volume 1 – Organization and Methods, 168-193.

¹¹ Vincent-Lancrin, Stephan (2009): What is Changing in Academic Research? Trends and Prospects, in: OECD (ed.): Higher Education to 2030. Volume 2. Globalisation, OECD: Paris, p. 173

¹² Miles, Ian / Green, Lawrence / Popper, Rafael (2004): FISTERA WP4 Futures Forum. D4.2 Scenario Methodology for Foresight in the European Research Area, European Communities: Brussels.

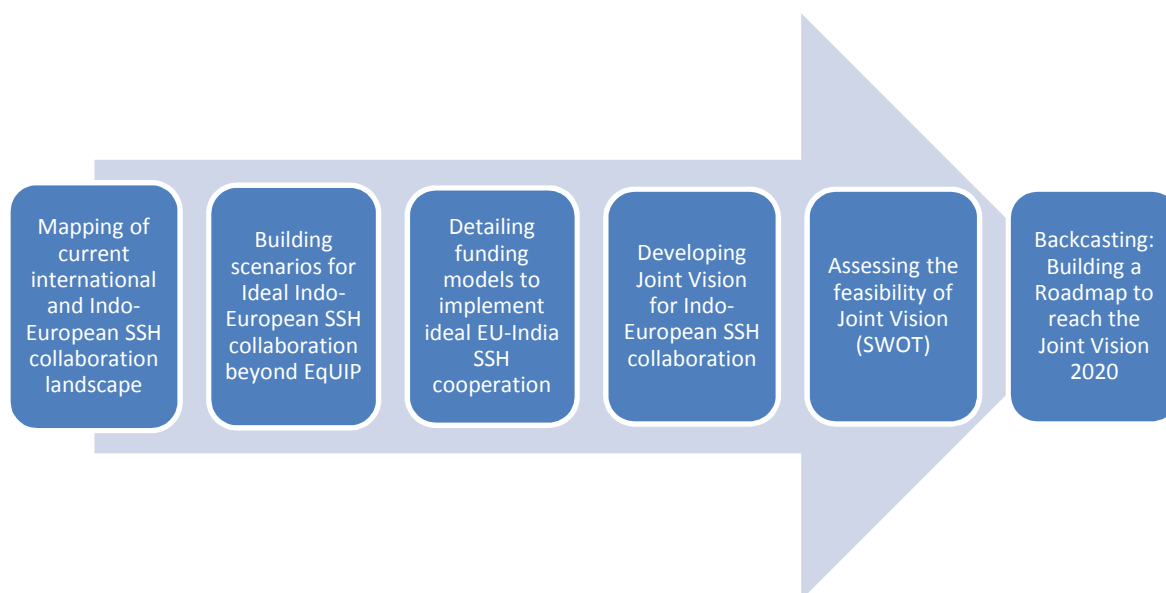


Figure 2: Approach to scenario building

The scenario building was supported through several participatory and interactive group work methods, which aimed at facilitating discussion. It was concluded by a back casting exercise to identify necessary steps towards achieving the desired future (table 1).

Table 1: Description of participatory methodology

Description of Methodology	Objectives
Institutional Experiences with SSH collaboration	
<p>Card Game: Different games can be utilised to energise groups and for team building. A card game, in which the participants were invited to write on their experiences with SSH collaboration, was used to prepare and “warm up” the workshop participants to group work methods applied later during the workshop.</p>	<ul style="list-style-type: none"> • Discuss the existing experiences with SSH collaboration
Scenario Building: Ideal funding models for EU-India SSH cooperation beyond EqUIP	
<p>Disney Method¹³: The Disney Method, developed by Robert Dilts in 1994, is a complex creativity strategy in which a group uses four specific thinking styles in turn. It involves parallel thinking to analyse a problem, generate ideas, evaluate ideas, construct and critique a plan of action. The four thinking styles are - outsiders, dreamers, realists and critics. The method was adapted to the needs and available time resources of the JLW. Three thinking styles were thus applied for the purpose of scenario building.</p> <p><i>Dreamers:</i> the dreamer is not hindered by strait-jacketing, but is creative and imaginative and sees limitless opportunities. <i>Critic:</i> the critic questions the plans of the dreamer or the insight of the realist, but also looks at a plan like an observer and filters out and removes all crucial mistakes</p>	<ul style="list-style-type: none"> • Discuss an imagined future for EU-India SSH collaboration (target year 2020) • Discuss the applicability and feasibility of different forms of SSH collaboration and funding mechanisms

¹³ Van Vliet, V. (2012). *Disney method (Dilts)*. Retrieved 24.09 from ToolsHero: <http://www.toolshero.com/disney-method>. More about Disney method: Capodagli, B., Jackson, L., Hammond, J. S., Keeney, R. L., & Raiffa, H. (1999). *The Disney Way*. Audio-Tech Business Book Summaries; Dilts, R. (1995). *Strategies of genius (Vol. 3)*. Meta Pubns; Imagineers (Group). (1996). *Walt Disney imagineering: a behind the dreams look at making the magic real*. Disney Editions.

<p><i>Realist</i>: the realist looks at the practical possibilities to find out whether an idea is really feasible. The realist looks at aspects such as the available amount of means and time.</p>	
Preparing a concept note for ideal funding modes	
<p>World Café¹⁴: The "World Café" is a structured conversational process intended to facilitate open discussion, and link ideas within a larger group</p> <p><i>Small Group Rounds</i>: The process begins with a first of two rounds of conversation for small groups seated around a table. At the end of the given time, each member of the group moves to a different new table. They may or may not choose to leave one person as the "table host" for the next round, who welcomes the next group and briefly fills them in on what happened in the previous round.</p> <p><i>Questions</i>: each round is prefaced with a question crafted for the specific context and desired purpose of the World Café.</p> <p><i>Harvest</i>: After the small group work, individuals are invited to share insights or other results from their conversations with the rest of the large group. These results are reflected visually in a variety of ways, most often using graphic recording in the front of the room.</p>	<ul style="list-style-type: none"> • To develop a concept note for the imagined funding scheme. • To discuss the rationale for Indo-European SSH collaboration • To discuss practical issues regarding the planning and implementation of a funding framework
Joint vision for EU-India SSH cooperation beyond EqUIP	
<p>SWOT¹⁵: SWOT is a structured planning method used to evaluate the strengths, weaknesses, opportunities and threats involved in a strategy or in a project or business venture. It involves specifying the objective of the project and identifying the internal and external factors that are favourable and unfavourable to achieve that objective.</p> <p><i>Strengths</i>: characteristics of the business or project that give it an advantage over others.</p> <p><i>Weaknesses</i>: characteristics that place the business or project at a disadvantage relative to others.</p> <p><i>Opportunities</i>: elements that the project could exploit to its advantage.</p> <p><i>Threats</i>: elements in the environment that could cause trouble for the business or project.</p> <p>Identification of SWOTs is important because they can inform later steps in planning to achieve the objective.</p>	<ul style="list-style-type: none"> • To find a common vision for future SSH collaboration • To analyse the strengths, weaknesses, opportunities and threats of the common vision
Roadmap to EU-India SSH collaboration in 2020	
<p>Back casting¹⁶</p>	<ul style="list-style-type: none"> • To raise awareness

¹⁴ <http://www.theworldcafe.com/key-concepts-resources/world-cafe-method/> More about the World Café methodology Juanita Brown and David Isaacs (2005). [The World Café: Shaping Our Futures Through Conversations that Matter](#) Berrett-Koehler, 2005.

¹⁵ <http://www.netmba.com/strategy/swot/> More about SWOT Analysis: Marilyn M. Helms, Judy Nixon, (2010) "Exploring SWOT analysis – where are we now?: A review of academic research from the last decade", Journal of Strategy and Management, Vol. 3 Iss: 3, pp.215 - 251

¹⁶ http://forlearn.jrc.ec.europa.eu/guide/4_methodology/meth_backcasting.htm More about Backcasting: J. Robinson, Energy backcasting: a proposed method of policy analysis. Energy Policy 10 4 (1982), pp. 337–344.; J. Robinson, Future subjunctive: backcasting as social learning, Futures, Volume 35, Issue 8, October 2003, Pages 839-856.

<p>The term "back casting" was coined by Robinson (1982) as a futures method to develop normative scenarios and explore their feasibility and implications. It became important in the sustainability arena and is often used as a tool to connect desirable long term future scenarios (50 years) to the present situation by means of a participatory process. Back casting is used in complex situations with many stakeholders where a desired future vision is available, but where it is unclear how to reach it. It leads to roadmaps for implementation of the actions needed and participation is an essential feature. It can be characterised as a social learning process and the long term perspective makes it possible to let go of the present way of meeting certain specific social needs.</p>	<p>on the steps that needs to be taken to reach the joint vision</p>
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1.4 Experiences from previous studies

The approach chosen for the JLW builds on existing work carried out in the framework of projects supporting Indo-European scientific collaboration, whilst recognising the specificities of SSH collaboration. Experiences in Indo-European research and innovation collaboration as well as views on the future of cooperation have been previously studied in *"New INDIGO International S&T Cooperation Foresight: A study of S&T cooperation future(s) between Europe and India"*¹⁷ and *"S&I House lessons learned from existing examples"*.¹⁸

The EQUIP scoping report has also identified particularly effective ways of Indo-European SSH collaboration, based on the experiences of the partners.

In the following sections, the report will present the results of the joint work carried out in the JLW and combine it, where necessary, with the findings of the scoping report and previous studies.

¹⁷ <http://www.newindigo.eu/attach/NewINDIGOForesightDeliverable.pdf>

¹⁸ http://www.indiasihouse.eu/documents/3-Lessons_learnt_case_studies.pdf

2 THE FUTURE OF THE INDO-EUROPEAN SSH COOPERATION

2.1 Ideal funding models for SSH collaboration

India and the EU have strong international SSH communities and established research networks with many high and middle income countries. India is a very important international research cooperation partner for the EU. In fact, India became the fourth largest international partner for the EU under the FP7 in terms of participation¹⁹ and third in terms of financial contribution received (figure 3).

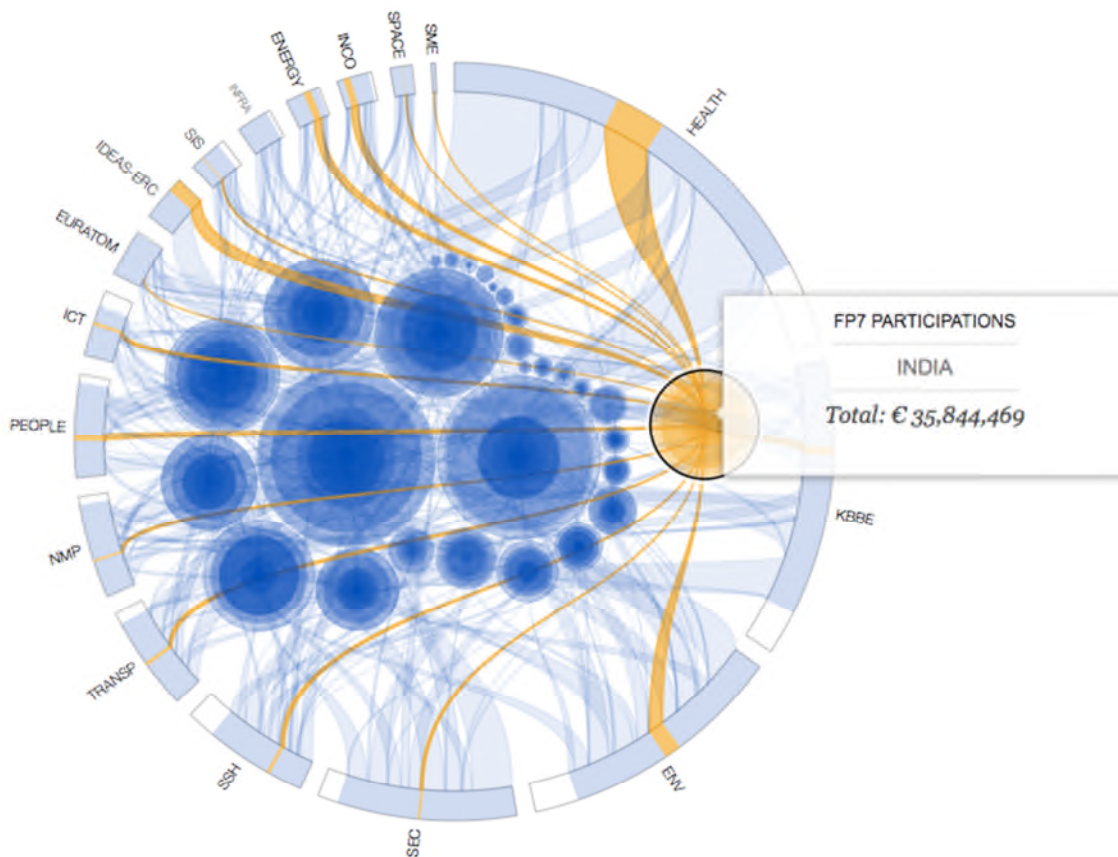


Figure 3: FP7 participation of India (the visualisation and calculations by ZSI based on CORDIS data)

The EU 2013 'Cooperation' work programme included the EU–India SSH Platforms, the 'Capacities' work programme a number of actions under ERA-NET and ERA-NET+, and overall there has been an increased coordination of international cooperation activities of the EU Member States and Associated Countries towards India. The European Commission has issued a number of coordinated calls for proposals, co-funded by India, in areas of computational materials science, food and nutrition research, solar energy research and water-related challenges, with a total budget of EUR 60 million. Indian researchers have participated actively in the FP7 and EU Member States and the European Commission have been working since 2009 on an India pilot initiative on water and bioresources. A Joint Declaration on Research and Innovation was signed at the EU–India Summit of 10 February 2012. There is also an EU–India S&T agreement.²⁰

¹⁹ Ranked only behind Russia, the United States and China

²⁰https://ec.europa.eu/research/iscp/pdf/publications/Final_Intern_Science_Technology_Coop-MainReport.pdf

Likewise for India, Europe remains a key research and innovation zone, boasting 24% of the world’s expenditure on research, 32% of high-impact publications, and 32% of patent applications despite having only 7% of the world’s population.²¹

Although the Indo-European research collaboration is generally well established, most collaboration is in STI fields. As the figure 4 shows, social sciences publications counted for three percent, and arts and humanities publications for only 0.5 percent of Indian total publication output in 2003-2012. The shares are even lower if looking Indian international co-publications and Indian co-publications with the EU. This is reflected by involvement of Indian institutions in FP7 projects in the field of SSH; they were involved only in nine Indo-European SSH projects in the FP7.²²

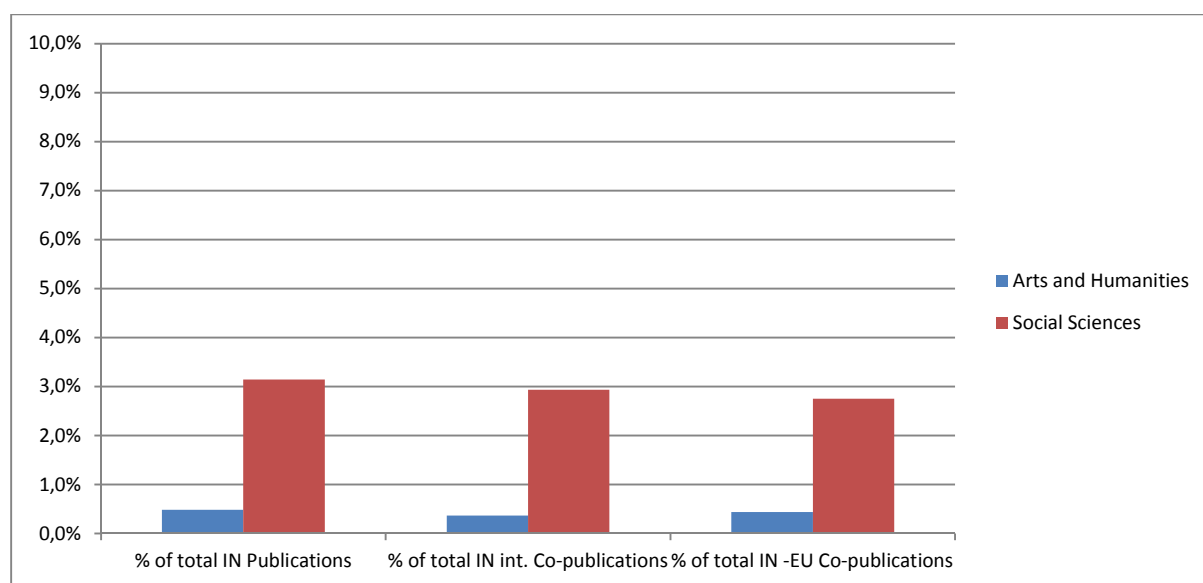


Figure 4: Share of SSH publications on Indian total publication output 2003-2012 (Source: Scopus)

Internationally, relatively strong publication fields for India are chemistry, material sciences, and physics and astronomy. Indian publication output in all these fields was 5 percent over the world average (figure 5). On the other hand, the comparison to world average shows that social sciences, and arts and humanities are relatively weak publication fields for India.

²¹ http://europa.eu/rapid/press-release_IP-12-967_en.htm?locale=en

²² See Scoping Report

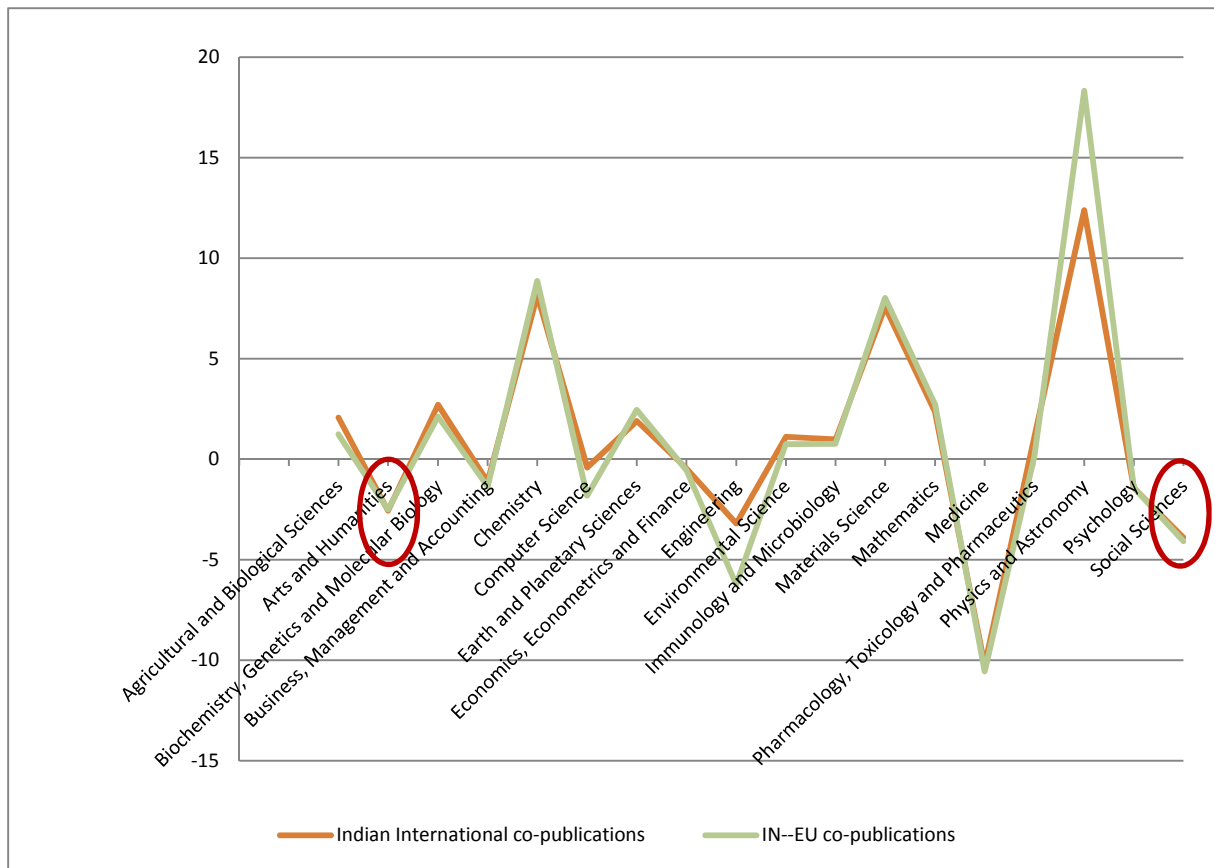


Figure 5: Indian international co-publication output compared to world average, 2003-2012 (Source: Scopus)

India published 1651 international co-publications in SSH between 2003 and 2012. Although Indian total international co-publication output in the field of SSH is low, 44 percent of India’s international co-publications in the field involved an author affiliated to an EU Member State or country associated to H2020. The most frequent collaboration partner for India was the USA, followed by the United Kingdom and Germany (figure 6).

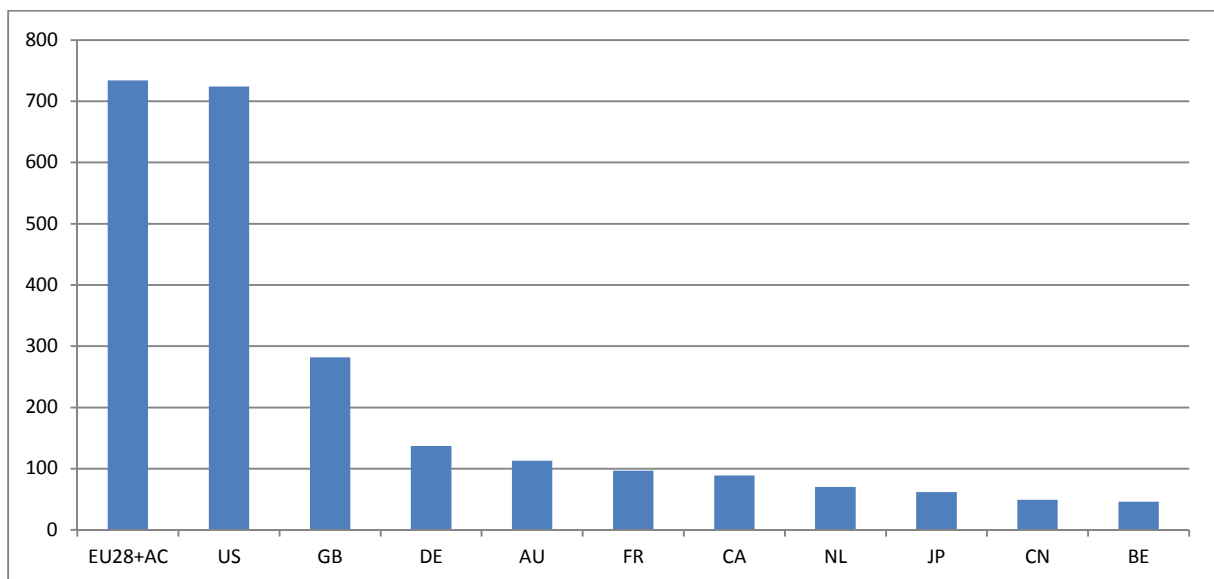


Figure 6: Indian international co-publications in the field of SSH, by collaboration partner countries, 2003-2012 (Source: Scopus, WoS)

From the EU Member States and countries associated to H2020, India collaborated most frequently with the United Kingdom, Germany and France (figure 7). This can be partly explained by the historical and cultural ties, and the size of research community in these countries, which are the largest EU countries by the size of population.

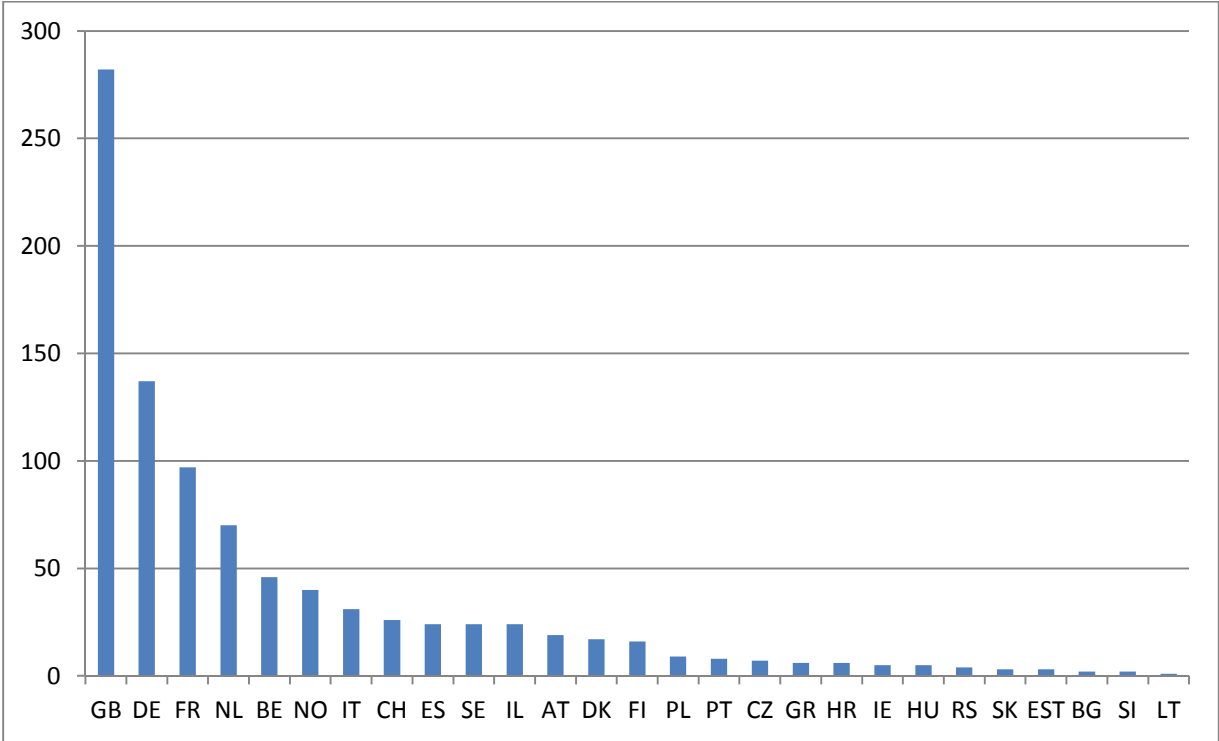


Figure 7: Indian international co-publications involving authors from EU28+H2020AC, 2003-2012 (Source: Scopus, WoS)

Indian annual international SSH co-publication output in 2012 was fivefold to Indian international SSH co-publication output in 2003. The international co-publication output involving authors affiliated to EU28 and H2020 associated countries grew at the same pace as the total international co-publication output.

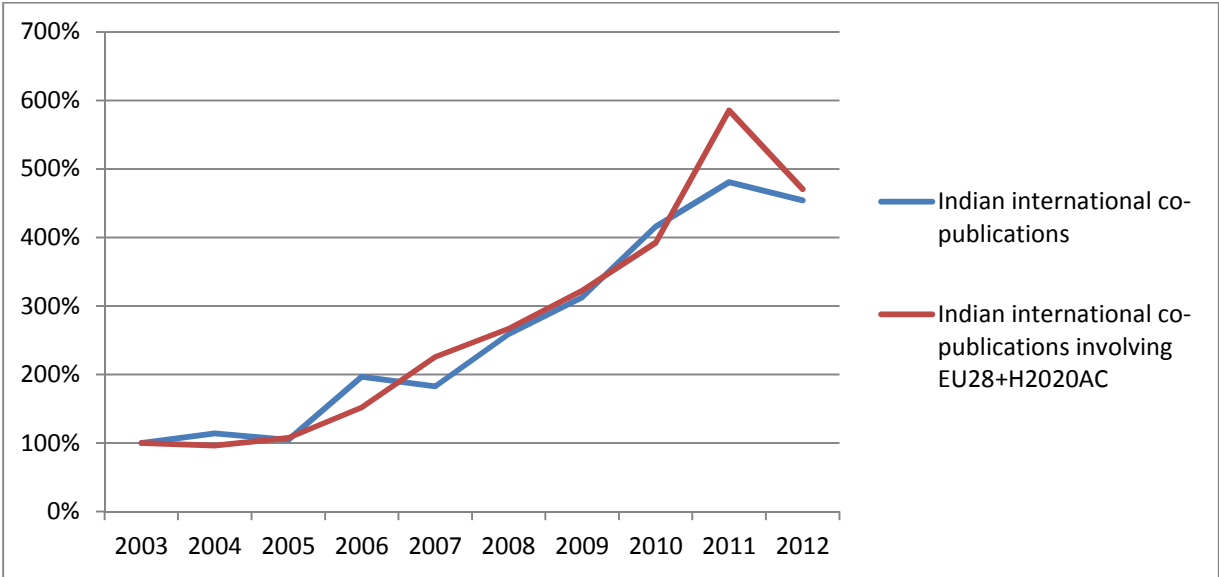


Figure 8: Annual increase of Indian international co-publication output, 2003-2012 (Source: Scopus, WoS)

As the co-publication analysis shows, there is potential and demand for strengthening Indo-European SSH collaboration on the level of programme owners, and especially from researchers. This is not least because tackling joint and global challenges requires global innovation and research cooperation. Particularly comparative and interdisciplinary research involving SSH could support evidence-based policy making to address these challenges. Furthermore, because of these challenges, India and the EU share some policy goals, which international research collaboration in SSH could help inform.

In this light, the workshop participants agreed that there is an untapped potential for Indo-European SSH collaboration. More concretely, there was strong support from both the European and Indian participants to increase the level of multilateral SSH collaboration between the two regions. This multilateral collaboration could be implemented through different funding models, in many of which the participants have previous experiences.

There are two basic types of multilateral funding models for realising Indo-European collaboration; the models utilising the EU's framework programme for research and innovation "Horizon2020" for the years 2014-2020; and the models implemented without EU funding contribution.

Funding models in the framework of Horizon 2020

The EU currently implements its research and innovation policy mainly through "Horizon 2020", the biggest EU Research and Innovation programme ever with nearly €80 billion of funding available over 7 years (2014 to 2020).

Countries such as China, Brazil, Russia, India and other economies, which have grown strongly over the past years, will continue to be important research collaboration partners for the EU. This is reflected in the fact that all of these countries are able to participate in most parts of Horizon 2020, allowing their researchers to cooperate with their counterparts in the EU on topics of their choice.²³

Some of these countries, including India, however, will no longer enjoy automatic access to EU funding²⁴, even if the country in question is classified as middle-income country by the World Bank. This reflects the fact that over the past years, these countries have already made considerable efforts to invest in their research and innovation system and to strengthen its quality. These countries are therefore now capable to cooperate with the EU on the basis of a partnership among equals. The new strategy foresees to complement this change in the approach to automatic funding by increased efforts to facilitate the complementary funding of participants from these countries through their national channels.

In practice this means that Indian researchers are welcome to participate in the H2020 funded projects with their own financing. While there may be considerable national funding for S&T research in India, SSH funding is still relatively small compared to other disciplines, and there are multiple smaller potential research funding organisations in the Indian SSH field. This presents some challenges for Indo-European collaboration which will need to be addressed.

²³ http://ec.europa.eu/research/iscp/index.cfm?lg=en&pg=faq_6

²⁴ EU funding remains available for Indian participants to apply for Marie Skłodowska-Curie Actions (MSCAs) fellowships, European Research Council Grants, H2020 evaluation experts, Erasmus+ scholarships, and mobility fellowships

As of November 2015, seven Indian participants have managed to join six Horizon 2020 collaborative projects. Within the framework of H2020, as can be foreseen based on the current initiatives and past experiences, the following options for involving India-based researchers are available:

Direct funding²⁵

As is the case with the high income countries, EU funding for BRICS and other countries whose economy has grown strongly will only be possible under exceptional circumstances, for example where there is a reciprocal agreement in place (a bilateral scientific and technological agreement or any other arrangement between the Union and the international organisation or where it is clear that the contribution of third country partners would be essential for the project to go ahead successfully.

Coordinated calls in Horizon 2020:

A coordinated call consists of two thematically and organisationally aligned calls between the EU and a partner country, launched in parallel by the EU and the partner country. The projects to be funded are evaluated and selected jointly or in parallel. Another option is to launch a joint call. A joint call is launched jointly by the Union and the partner country and the projects to be funded are evaluated and selected jointly.

There is already experience on this multilateral funding model between the EU and India. Seven coordinated calls with India were launched in the FP7 programme between 2007 and 2013, their budget totalling Euro 13 million.

Matching Funding²⁶:

H2020 implements a principle of 'general opening' for the participation of non-EU organisations in H2020. Although, Indian organisations do not enjoy access to automatic access to EU funding, they can participate in H2020 funded projects with their own financing. For this purpose, it would be possible for an Indian funding agency (or agencies) to decide offering an automatic funding for Indian researchers applying as part of a project consortia in H2020 in case the application is evaluated successfully.

This model is used, for instance, in cooperation with China, Korea, Mexico and Taiwan. For example Korea has a jointly agreed co-funding mechanism covering all thematic areas. The Korean government, specifically the Ministry of Science, ICT and Future Planning (MSIP) and Ministry of Trade, Industry and Energy (MOTIE) regularly hold public calls for proposals to co-fund Korean participants in Horizon 2020 projects selected for European Union funding. According to the rules, funding is provided to projects for which a consortium has been formed with European partners and official approval thereof has already been obtained.

Unlike China, Korea, Mexico and Taiwan, which have jointly agreed co-funding mechanisms covering all thematic areas, Australia has multiple co-funding mechanisms with the European Commission that cover selected thematic areas. The National Health and Medical Research Council (NHMRC)–European Union (EU) Collaborative Research Grants scheme aims to provide assistance to Australian researchers to participate in collaborative projects that have been selected for funding in calls under this Horizon 2020 thematic area. With funding from the Australian Government Department of Industry, the Australian Academy of Science launched an Australia-European Union Collaboration Program in 2014. This program made available two grants of \$200,000 (AUD) as seed funding to encourage Australian consortia to participate in the first tranche of Horizon 2020 calls. It required a two-stage application process, the second coming after notification of a successful decision from the European Commission.

²⁵ COM(2011) 810 Art 9

²⁶ Based on Indogenius (forthcoming) Policy Paper on Horizon 2020 opportunities for India

Similar to what Australia's NHMRC has done for the Health, Demographic Change and Wellbeing call, the Japanese Science and Technology Agency (JST) selected two particular calls from the Horizon 2020 Work Programme and pledged funding for successful Japanese participants in order to encourage Japanese participation in those particular fields. These calls were "NMBP-02-2016: Advanced Materials for Power Electronics based on wide bandgap semiconductor devices technology" and "NMBP-03-2016: Innovative and sustainable materials solutions for the substitution of critical raw materials in the electronic power system."

Opening ERA-Nets²⁷, ERA Co-funds²⁸ and Joint Programming Initiatives²⁹

Any third country can in principle participate in the co-funded calls of ERA-Nets and JPIs as well as in other related activities.

The standard H2020 rules apply for the participation of third country funding agencies in ERA-Net consortia. Depending on the interest, the third countries can participate in the calls or have a more strategic role in the instruments and participate in setting the agenda for the instrument. In the FP7 programme, there was experience in opening [Infect ERA](#) for Indian Participants, funded by the Department of Biotechnology. Among the thematic ERA-Nets, HERA and Norface operate in the field of SSH.

Among the JPIs, this applies to the Urban Europe, More Years Better lives and Cultural Heritage initiatives. There are already experiences in Indian participation in JPIs. India is currently participating in International call for proposals in the context of the Belmont Forum and JPI-Climate: Climate predictability and Inter-Regional Linkage.

Funding models outside the framework of Horizon 2020

Multilateral Indo-European SSH collaboration can also be realised without using any common EU financing for research and innovation. To date only multi-lateral European collaboration with India has been through the Bonn Group Indian-European Networking Project which was purely social science.

²⁷ The ERA-NET scheme is one of the tools of the Seventh Framework Programme (FP7) to support the coordination of non-Community research programmes. The objective of the ERA-NET scheme is to develop and strengthen the coordination of public research programmes conducted at national or regional level. It provides a framework to network and mutually open national or regional research programmes, leading to concrete cooperations such as the development and implementation of joint programmes or activities. The European Commission pays costs related to coordination incurred by the member organisations while the ERA-NET ERA-NETs are networks of programme owners and networks (usually ministries and research councils), supported by an ECgrant (Coordination and Support Action). The main actions of an ERA-NET are the development of joint calls. The research itself will normally be funded from national or regional resources (Source: ftp://ftp.cordis.europa.eu/pub/coordination/docs/eranet_fp7_background_document_v21dec06_final.pdf).

²⁸ ERA-Net Co-fund is one of the tools of Horizon 2020 to support the coordination of non-Community research programmes (and a successor of ERA-NET scheme implemented in FP7). ERA-Net Co-funds implement co-funded joint calls for proposals, of which EU provides a proportional contribution. The proposal evaluation and selection are implemented according to H2020 standards.

²⁹ The overall aim of the Joint Programming process is to pool national research efforts in order to make better use of Europe's precious public R&D resources and to tackle common European challenges more effectively in a few key areas. It is a structured and strategic process whereby Member States agree, on a voluntary basis and in a partnership approach, on common visions and Strategic Research Agendas (SRA) to address major societal challenges. On a variable geometry basis, Member States commit to Joint Programming Initiatives (JPIs) where they implement together joint Strategic Research Agendas.

The examples of funding models outside of Horizon 2020 include the opening of bilateral and unilateral programmes between India and different EU Member States or the forming of an interest group of European and Indian funding agencies to launch multilateral calls:

Opening or twinning Bilateral and Unilateral Programmes

India has bilateral collaboration agreements and programmes in place with many European countries. Furthermore, countries can also have unilateral funding programmes, in which funding is provided for national researchers for mobility or research in India/Europe. Opening Bilateral and unilateral Programmes to other interested countries refers to inviting another EU country to join an existing bilateral programme between India and an EU Member State. Another possibility is to align two bilateral programmes between European countries and India for mutual benefit or to create synergies. The opening of unilateral programmes (e.g. allowing Indian participation in an EU Member State's national programme) is first and foremost a bilateral cooperation mode. It can, however, theoretically also be expanded to include other EU Member States.

The Rising Powers Research Programme (ESRC, UK) is a successful example of a national call opened to external participation. The Rising Powers Research Programme was a £4M programme to research the emergence and re-emergence of new economic and political powers on the global stage - including but not limited to China, India, Brazil and Russia. Awards were made to UK applicants with costs included for international researchers, funded through the standard ESRC Co- Investigator policy. Funding agencies in partner countries were involved in disseminating the call to their community and supporting with in kind contributions. Although not a multi-lateral funding mechanisms, it helped develop early relationships with funders. The first phase explored data resources in a number of countries (Collaborative Analysis of Micro Data Resources: Brazil – India Pathfinder Research Projects - later joined by China and South Africa). The second and third phases were Networks and Visiting Fellowships in 2009 and Projects and Post-Doctoral Fellowships 2010.

Real common pot

In real common pot funds are earmarked and committed to participation in transnational calls through a jointly agreed common budget, irrespective of the national/ regional affiliation of applicants. National/regional funding organisations will, through contribution to the real common pot, fund the best quality proposals irrespective of nationality. The decision on which proposals should be retained for funding will be based on the evaluation by the international experts committee and the designated decision-making body (e.g. Steering Committee). This funding mode is suitable for participating funding organisations which wish to engage in a transnational joint call with an agreed research theme, with evaluation undertaken by an international expert committee, and where funding decisions are based on a joint ranking list.

Research cooperation between the Nordic countries in the framework of Nordforsk programmes³⁰ is a successful example of real common pot funding mode.

Matched Effort

The Newton- Bhabha UK-India bilateral calls work on the basis of trying to achieve equivalent research effort (sometimes referred to as matched effort). This aims to ensure that an approximately equal volume of research is funded (or at least is available to be funded) on both sides. Sometimes this is achieved by working out the approximate cost of different elements of the projects (RA's, PI's, Co-I's etc.) but it may also use a broad estimation of what a project of a given size (small, normal, large, networking etc...) would cost in each country. At time of writing this assumed a cash ratio of around 6:1, with a moderately sized project costing around £300-350K on the UK side and about 50 lakh rupees in Indian.

³⁰ <http://www.nordforsk.org/en/programmes>

India Interest group

With the term 'interest group', we refer to the opportunity to coordinate and synchronize EU Member State and India's efforts aiming at the development of sustainable, multilateral research collaboration without EC funding. The interest group can launch collaborative funding initiatives. This option would enable also EU-Countries without an own STI agreement to get a systematic dialogue option, to learn from other country's experiences and to enable collaboration. This model has been implemented for example in the case of European interest groups on Korea and Japan following up on prior ERA-Net experiences.

During the joint learning workshop and in the previous scoping study, the EQUIP partners and workshop participants identified also other multilateral (SSH) instruments as best practice examples, from which the future Indo-European SSH collaboration could learn:

Digging into Data Challenge: Is a grant programme sponsored by 10 international research funders from 4 countries (Canada, the Netherlands, the UK, and the US) which aims to address how 'big data' changes the research landscape for the humanities and social sciences. As the world, and thus research, becomes increasingly digital, new techniques are needed to search, analyse and understand the everyday. Digging into Data challenges the research community to help create new research infrastructure for 21st Century scholarship. There have been three calls to date. Teams of researchers from two to four participating countries send in grant applications. These applications are reviewed by an international peer review panel. Funding is distributed according to the place of work of the researchers, and according to the funding rules of each agency. A fourth call with a specific focus on Trans-Atlantic collaboration is in development through the Trans-Atlantic Platform with European and North and South American participating organisations.

Open Research Area (ORA): In order to build a European research area in social sciences, the French national research agency (ANR), the [German research foundation](#) (DFG), the [Netherlands scientific research organisation](#) (NWO) and the [United Kingdom Economic and Social Research Council](#) (ESRC) joined forces a few years ago within the "Open Research Area for the social sciences" scheme, a joint responsive mode call which has been working since 2010 to fund collaborative projects that push back the frontiers of our knowledge of individual and social behaviour and thus have the potential to influence public policies. Over the last two years, the ORA group, informally known as the "Bonn group" has sought to extend its reach beyond Europe by opening calls for project proposals to non-European countries. As a result of this, a call was launched with India in 2011, with the USA in late 2012 and [with China in 2013](#). The calls are based in virtual common pot and fund networking projects. [Most recently ORA included a call with Japan \(2014\) which was](#) conducted under slightly different terms where JSPS provided top ups for Japanese researchers to join successful ORA grants.

Bonn Group Europe-Indian Research Networking Project The Bonn group has worked with ICSSR (India) to fund a set of projects for networking and social science research cooperation between researchers in India and these four European countries. The objective of this scheme was to promote the strengthening of the social sciences within and between the five countries, by providing additional funding to allow joint research activities for internationally excellent research in relevant areas. This funding did not cover basic salaries, but provided top-up resources to allow established research groups in cognate areas in the different countries to work more closely together in order to develop and complete internationally advanced collaborative research and publications. The scheme was open to proposals in any area of the social sciences but encouraged applications around economic growth and development, population, ageing and migration, health

and well-being, education and cognitive development, political and legal governance, food production, rural development and resources, energy and climate change, developing skills and human resources for the 21st century. All proposals were subject to international peer review and final decisions on successful proposals were made by a joint panel established between the five Partners

This is the first multilateral social science research collaboration that India has entered into. The first joint call announced under this India-Europe initiative in May 2011 resulted in six projects agreed for funding over a period of three years. Proposals must involve at least TWO (and no more than FOUR) established research groups on the Indian side, and similarly TWO (and no more than FOUR) on the European side (which must be from two different European countries), but may involve up to SIX or exceptionally up to EIGHT research groups in all. All projects funded have an Indian partner and five have a UK partner and other European partners.

Possible Indo-European SSH collaboration funding models

With the above introduced examples of potential models for realising the Indo-European collaboration in mind, the participants were split in 5 equal groups, which were tasked to envision an ideal state of Indo-European SSH collaboration beyond the lifetime of the EqUIP -project and discuss funding models to it. Participants were guided to use the Disney and World Café method in their discussions (see chapter 1.3).

As a result, 5 different concepts for funding models were developed, titled:

- Indo-European SSH interest group to launch multilateral calls for proposals;
- EqUIP multidisciplinary research in SSH;
- virtual pot for emerging urbanity and social transformation for sustainability,
- IN-ERA-Net; and
- collaborative research grants.

While some groups focused mainly on discussing the organisational structure of a funding scheme, others focused on the sources and size of the budget for the funding scheme. In the end of the group brainstorming, the groups were asked to rotate to collect second views on the plans. During the discussion many critical factors potentially relevant in the design and implementation stage became visible.

The first group designed a model for an Indo-European SSH interest group, which launches multilateral calls for proposals for interdisciplinary research projects based on common interest.

Name of the Scheme: *Vijaya – an Indo-European SSH interest group, which launches multilateral calls of proposals*

Scope and Objectives: A multilateral cooperation scheme to enhance Indo-European SSH cooperation. Funding for projects of common interest, which show real added value and research excellence. The funding scheme aims at giving SSH visibility as a leading field of multidisciplinary projects.

Structure: A funders' platform will be established to gather funding organisations interested in Indo-European SSH collaboration. An annual meeting of the platform will be organised to define broad

priority areas, which will be then open for bottom-up submission of project proposals. The calls of proposals will be multilateral.

A call secretariat will be established, hosted by one of the participating funding agencies. Although there need to be dedicated core group, the platform will be open for new funding agencies to join in.

Target Group: Multilateral and multidisciplinary public-private partnerships, with SSH at its core. Nationals of the countries funding the scheme are eligible. The scheme follows a 2+1 rule (minimum of 2 European and 1 Indian partner).

Funding: Virtual Common Pot (and co-fund). The virtual common pot is open for third parties.

Process overview: The funding platform will launch annual calls. The topic of the call and the funds will be committed annually. The project selection is based on peer-review and two step selection process (3 month evaluation for 1st step, 3 months for 2nd step and 5 months for writing a full proposal). The scheme aims every year for the same deadline dates.

Monitoring: If the final monitoring of the first steps fails, the project will not be eligible for second step funding. The projects that will pass on to the second stage are required to submit technical and financial reports annually and a final report at the end of the project.

Expected Impacts:

- Increased visibility for SSH
- SSH research contributing solving global challenges
- Establishing sustainable Indo-European SSH cooperation
- Supporting research excellence

The second group envisioned a core group of programme owners from India and Europe to implement calls for proposals for multidisciplinary projects. The funding of the scheme would be based on resource matching:

Name of the Scheme: EqUIP multidisciplinary research in SSH

Scope and Objectives: The scheme aims at jointly addressing global challenges and increasing interaction and cooperation between Indian and European researchers, including areas and actors with previously weaker links. The scheme supports a multidisciplinary approach, with SSH at its centre.

Structure: A “core group” will be formed, comprised of funders from EU and India. In addition, an advisory group will be formed, comprised of researchers, nominated and approved by funding agencies. A technical and operational group will be responsible for the implementation of calls.

Target Group: The projects should bring together senior researchers (principal investigator) as well as early career stage researchers. The eligibility criteria follows 2+1 rule, with at least one partner from India and two from Europe.

Funding: The funding is based on resource matching on the Indian and European side. The total size

of the funding envelope should be substantial given 12 countries.

Process overview: A multistage process for themed calls: 1st stage application (principal investigator and some team members) → 1st evaluation → 2nd stage application (proposal development, partner matchmaking, consortia building) → 2nd evaluation

Monitoring: The monitoring will consist of a mid-term review and final reporting. The monitoring not only focuses on following the progress of the projects, but also serves to disseminate the results of the whole programme.

The vision of the third group was a programme called “Emerging Urbanity and Social Transformation for Sustainability”, which was based on joint programming and a virtual common pot financing:

Name of the Scheme: Emerging urbanity and Social Transformation for Sustainability

Scope and Objectives: Promotion and increasing of multilateral partnerships for social change and increasing capacities in research and innovation.

Target Group: Researchers, social enterprises, industry, policy makers and government

Funding: The funding is based on a virtual common pot. The resources need to be matched and equal the same amount of research in different countries.

Structure: Coordination and call secretariat will be established as well as a funding organization committee to decide topics.

Process overview: The coordination will be implemented jointly; including the programming, funding, administration and project review. First, the call documentation shall be prepared and published. The evaluation rules and panel will be set jointly. The project evaluation process will contain two stages; 3 month project preparation and 1st pre-evaluation → 1 month proposal development and 2nd evaluation. The panel and funding agencies aim at finding consensus and taking a funding decision within a month. The evaluation process will take in total 4 months.

Monitoring: Mid-term reporting with engaged discussions

The fourth group conceptualised a funding programme lending the model from the current ERA-Nets. The programme would roll out in two stages and aims at launching strategic multilateral calls:

Name of the Scheme: IN-ERA-Net

Scope and Objectives: Strategic multilateral call (thematic or focused) to increase EU-India collaboration and address societal challenges. Optimisation of funding

Structure: One coordinating body following ERA-Net model; a possible ERA-Net co-fund under H2020

Target Group: Existing EU-India collaborations and early career stage researchers

Funding: Virtual common pot (including a potential ERA-co-fund for EU partners). The total sum of funding is Euro 20 million (EC contribution Euro 5 million) and will be allocated to around ten 3-year

projects.

Process overview: The programme will roll out in two stages; a pilot joint call and full phase. In a pre-call stage seed financing will be offered to developing partnerships. Before the full roll out of the scheme, partners will take stock of the experiences with the pilot call

Monitoring: One reporting during the implementation of the projects

The aim of the funding model of the fifth group is to offer collaborative research grants. The group focused on discussing and finding a feasible and sustainable source of funding:

Name of the Scheme: Collaborative research grants

Scope and Objectives: The grants will be allocated to a very specific topic in SSH.

Target Group: The target group is dependent on the theme, but generally the funding is directed to researchers holding already a PhD. The scheme will follow a 2+1 principle, with at least two participating organisations from Europe and one from India.

Funding: Funding will be provided in the form of collaborative research grants, for 2-3 year research projects. Funder contributions shall be phased i.e. not all funding should be provided to the projects upfront.

ICSSR has 5 million rupees (70 000 Euro) and could fund 4-5 projects per call. ICPR has a smaller budget than ICSSR.

Process overview: The programming and project selection will be based on one joint process. The project selection will take place in two stages. In the first round, only a project outline will be requested. The consortia successful in the first round are asked to prepare full proposals with dissemination plans

Monitoring: Annual reporting and at least mid-term reporting in the case of three year projects. Also workshops could be organised linking international peer-review aspect.

2.2 Towards a joint vision

While there were clear differences on the imagined funding models developed by the groups, many common elements could also be recognised. Based on the results of the interactive group discussions and a joint discussion of the core elements of Indo-European SSH collaboration, the group fleshed out the following joint vision:

Scheme Type

The SSH collaboration should be multilateral and provide funding for the support of excellent and collaborative research. The funding scheme is inspired by the current ERA-Net structures, in which national funding agencies jointly launch multilateral calls. The funding is committed in a virtual common pot, with a possible contribution from the European Commission.

Critical Points:

- How could the resource matching in the multilateral model be implemented? What would be the form of collecting and organising funding on the European side?

Target Group

Funding should be channelled to multidisciplinary social science and humanities projects. The funding should address the limited SSH collaboration to date, although being open to cross disciplinary.

The funding should be targeted mainly to researchers already holding a PhD. The projects should, however, involve early career researchers and provide them a possibility to gain experience with international collaboration as well as working with more experienced researchers (PIs). Regarding the eligibility of countries, the scheme should be open for researchers affiliated to the countries committing funds to cooperation. The scheme should follow a 2+1 principle, with at least two participating organisations from Europe and one from India.

Critical Points:

- Should the scheme rather concentrate on supporting new or existing partnerships?
- Despite allowing for multidisciplinary approach, it should be ensured that the projects are built around SSH research

Scope and Objectives

The SSH collaboration should be based on a common agenda or challenges. The main objectives of the support scheme should be to enhance Indo-European cooperation, to support tackling societal challenges and advance social change. Capacity building and networking needs should be recognised although the main goal should be supporting research excellence.

The aim of the collaboration at programme owner level should not only be to provide funding and launch a call, but to contribute to, and built on existing programmes to, building sustainable cooperation and researcher networks between the countries.

The thematic areas for the calls need to be broad enough to attract high quality proposals but at the same time narrow enough to ensure a sufficiently high success rate and a number of applications that does not compromise timely implementation of the call. Programme owners should guide the identification of broad themes of common interest but the research community should be engaged in shaping them scientifically/ conceptually.

- How will the thematic areas for collaboration be picked? What role would the symposia play in defining the thematic scope?
- How will the theme be defined so that it is narrow/broad enough?
- One call cannot deliver all subjects and serve all countries. How to ensure the engagement of partners for long-term cooperation?
- How will the involvement of different (thematic) Indian funding agencies be organised?

Structure

The multilateral cooperation should build on an active and committed core group, which could be organised, for example, as a platform of funders or an SSH interest group. The core group should meet annually to exchange experiences and information on national policy developments, to discuss on possible joint multilateral activities, and to ensure the sustainability of the collaboration. The programming and implementation should be based on joint decision making and agenda setting. The collaboration between funding should build on previous experiences.

For managing possible calls, a secretariat should be established. The participating countries could take turns as a secretariat or the secretariat could be established with the financial support from the European Commission.

A pilot call, possibly with a more limited scope, should be organised to facilitate learning and testing the structures and processes set up. In case the experiences with the pilot call are positive, a more comprehensive scheme could be rolled out.

- Trust building and networking on the level of programme owners takes time
- Depending on the number of calls launched and the total investments, the scheme is potentially heavy in administration and the administrative costs are comparably high
- ICSSR cannot transfer money outside of India, which has effects on call and project management
- Although commitment of a core group is important, could the structure be opened for non-EU actors? If the group of interested organisations is to be made more inclusive, when would be a feasible time for this?
- The approach to programming remains somewhat unclear

Funding

The funding should be based on a virtual common pot model, in which each funding agency will fund its own successful participants. There is no cross border funding involved. Joint common pot is not a feasible solution due to regulations for Indian funding agencies.

The funding for the collaborations should be committed on annual basis. Estimates of realistic funding envelopes per call ranged from € 350,000 to € 2m. The size will depend on budgetary possibilities as well as on the funding; in case of a pilot call, the budget involved will be comparatively small.

Whatever the overall size of the call, it should be ensured that resources committed by different countries correspond to the different price levels of these countries. Contributions should allow for an equal amount of research work (in person months) or exchange visits to encourage mobility in each participating country.

Funders should be able to fund different elements of a project according to their organisational remit. Organisations interested in early career research development and mobility might then be more interested in contributing to a seed fund stage, while those funding only projects would engage in a research project call.

- The planning of the scheme shall be based on a realistic and achievable budget, taking into account the limited resources for SSH research funding in many of the countries involved. Without utilising EU co-funding, gathering sufficient funds might pose a challenge.
- Commitment to the funding programme or a single call is a timing issue for many funding agencies. Yet, establishing sustainable collaboration would require long-term commitment and funding guarantees
- How to ensure and implement the resource matching? The average personnel costs per country would have to be estimated in order to ensure the support of equal amounts of personnel resources per project and participating country. Payment and reporting mechanisms have to be designed, etc.

Process

The projects should be selected using a two-step peer review. In the first stage, the project applicants should submit only an outline of the project together with the description of the partnership. Sufficient time for partnership building should be reserved between the launch of the call and submission of proposals. The proposals passing the first evaluation stage should develop a full proposal, which contains a more detailed project work plan.

It needs to be noted, however, that the two stage process can be time consuming and may not be cost effective if it involves small amount of funding. Therefore, the two stage process may be preferable when the cooperation is more established and a pilot call with smaller contributions could be organised without a two stage selection process.

The project proposals will be funded by the individual's national organisation according to their standard eligibility criteria, rules and procedures and decisions will be on the basis of clear ranking of proposals by an anonymous international independent peer review panel. Because of currently weak linkages between some parts of Europe and India, and between funding organisations, in SSH research, capacity building and networking needs should be recognised. In a pre-call stage (or between the first and second evaluation stage), seed financing should be offered for developing partnerships and capacity building. The successful project applications shall not be provided all funding upfront but the funder contributions shall be phased. The project funding should be provided for 2-3 years.

Depending on the length of the evaluation process (and committed funding), calls should be organised annually or at least in regular intervals.

- The project consortia need enough time for building a research network. For example, two months from launching the call to evaluation is not enough
- The two-step evaluation makes the evaluation process lengthy, which can affect the interval for launching calls, among other things.
- The evaluation process should be done in parallel, which might be a challenge for Indian partner agencies (typically using evaluation models different from the European counterparts)

Monitoring and evaluation

The successful project applications shall be subject to a mid-term assessment and an ex-post assessment. The mid-term (or annual assessment) should not consist only of reporting but engage project partners in discussion on the progress of the projects. This would help to recognise possible deviations to works plans and reacting to them. The monitoring should also focus on knowledge transfer and dissemination of project results, allowing for increased visibility for SSH.

- How to promote the results of the research projects and ensure the visibility for SSH?
- Intellectual property rights to researchers and/or open access to research results?

2.3 SWOT of the Joint Vision

The discussion groups were invited to assess the strengths, weaknesses, opportunities and threats (SWOT) to the joint vision outlined above. While the strengths and the opportunities were mainly related to benefits of multilateral cooperation and the chosen structure for collaboration, the weaknesses and threads were largely related to financial resources and commitment to cooperation:

	Helpful to achieving the objective	Harmful to achieving the objective
Internal origin	<p>Strengths</p> <ul style="list-style-type: none"> • Programme owners from Europe and India are highly motivated to cooperate • Multilateral cooperation is a strength – it simplifies, broadens and adds value to existing cooperation models. Multilateral cooperation can also be more efficient than bilateral one with only one review process • The joint vision for SSH collaboration builds on previous experiences and can learn from existing initiatives (e.g. INNO INDIGO Platform for Funders) • The structure of the funding scheme allows flexible participation of programme owners (and participation in meetings without committing funding to calls) • The structure of the model enables joint learning and building collective memory • The structure of the model enables cultural exchange at the level of programme owners, the funded projects enable exchange at the level of researchers • Multidisciplinary social sciences and humanities research adds value by attracting people from different backgrounds • Linking capacity-building funding with research funding responds to the needs of the research community • A two-stage process would help to manage demand and build trust • The piloting phase enables learning and it is easier for programme owners to commit to (compared to straight away aiming at a multi-year programme) • Opportunities for young scientists to work in an international collaboration project and with established scientists 	<p>Weaknesses</p> <ul style="list-style-type: none"> • Coordination structure is heavy and costly compared to amount of committed funds or calls launched • With the limited funding, it might be difficult to prioritise themes or may mean a need for narrower themes • Because of limited financial resources the collaboration might focus more on social sciences than humanities (crowding out of humanities) • Because of the flexibility of the structure it might be hard to encourage long-term commitment; resources might be used upfront to launch only one pilot call in the end • With staff movement the momentum might be lost; the same goes for important information • Sources and availability of funding (different available funding volumes in the participating countries might unbalance the landscape) • The two-stage evaluation process is lengthy • Complex monitoring system (with monitoring being partly performed nationally; pulling together results might not be easy if responsibilities are not clear) • Involvement of a larger number of partners increases bureaucracy • Multidisciplinary might go beyond SSH • Different funding systems and processes in different countries, which the scheme needs to adapt to and which might make the multilateral funding more complicated from the researchers' perspective • Too many partners in the scheme might complicate coordination and priority setting

External origin	<p>Opportunities</p> <ul style="list-style-type: none"> • Successful SSH research and innovation cooperation can lead to recognisable social and policy impacts • Successful cooperation can provide visibility for SSH and build momentum for increased cooperation and funding • Linking with other platforms including H2020, Norface and HERA could create synergies • EU funding could attract more funders (globally) to join and leverage more financial resources for Indo-European SSH collaboration • Annual calls could build momentum (and bring more visibility) for Indo-European SSH cooperation starting a positive cycle and broadening • Established cooperation could create a sustainable platform for the scientific community • Successful multidisciplinary SSH cooperation is able to involve a larger research community • A visible SSH cooperation arena makes it easier to involve multiple funders, going beyond public funding agencies • Tapping into institutional strengths of the SSH community in the various countries involved 	<p>Threats</p> <ul style="list-style-type: none"> • Changing political situation: diplomatic relations between countries, economic situation and overall funding for research, and the weight for SSH among other topics • Lack of funding for SSH specifically • (Political) conflict of interest • Lack of commitment of programme owners • The multilateral collaboration might have effects on bilateral discussions and some interests might become dominant • Legal issues/obstacles on national and EU level • Without balanced agenda setting and cultural sensitiveness the collaboration might effect on the relations between the nations
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3 ROADMAP

As a last task, the participants were invited to take the joint vision of launching a multilateral call as a starting point and work backwards to identify policies and actions that will connect the future to the present. The fundamental question of this back casting exercise was: "if we want to attain a certain goal, what actions must be taken to get there?" Each participant was invited to identify the three most important steps to be taken in order to launch a joint multilateral call post EQUIP. Participants then arranged the identified steps along a timeline and the team engaged in consolidating them.

As figure 9 shows, the group identified seven main actions points:

1. Define the funding model to be used (National schemes and their compatibility, timeline)
2. Define funding sources (Total realistic amount of funding available, clarify whether any EC contribution can be utilised, create awareness and funding interest in national programme owners, national funding commitments, funding per project)
3. Define partners (raising awareness, broad invitation, open discussion on involvement, flexibility, building trust between involved partners)
4. Form a core group/funders platform (define the structure of the core group, align objectives to EU/India research priorities)
5. Decide core group and call governance structure and administrative responsibilities (defining administrative responsibilities and call secretariat, evaluation process)
6. Define call rules, procedures and documents
7. Define topic or theme (definition of a topic is an ongoing task and interlinked to symposia, utilising/balancing bottom up and top-down approach, prescriptive/generic topic, justification)

Many of the above mentioned steps are interlinked and as the figure 9 illustrates, need to be implemented in parallel.

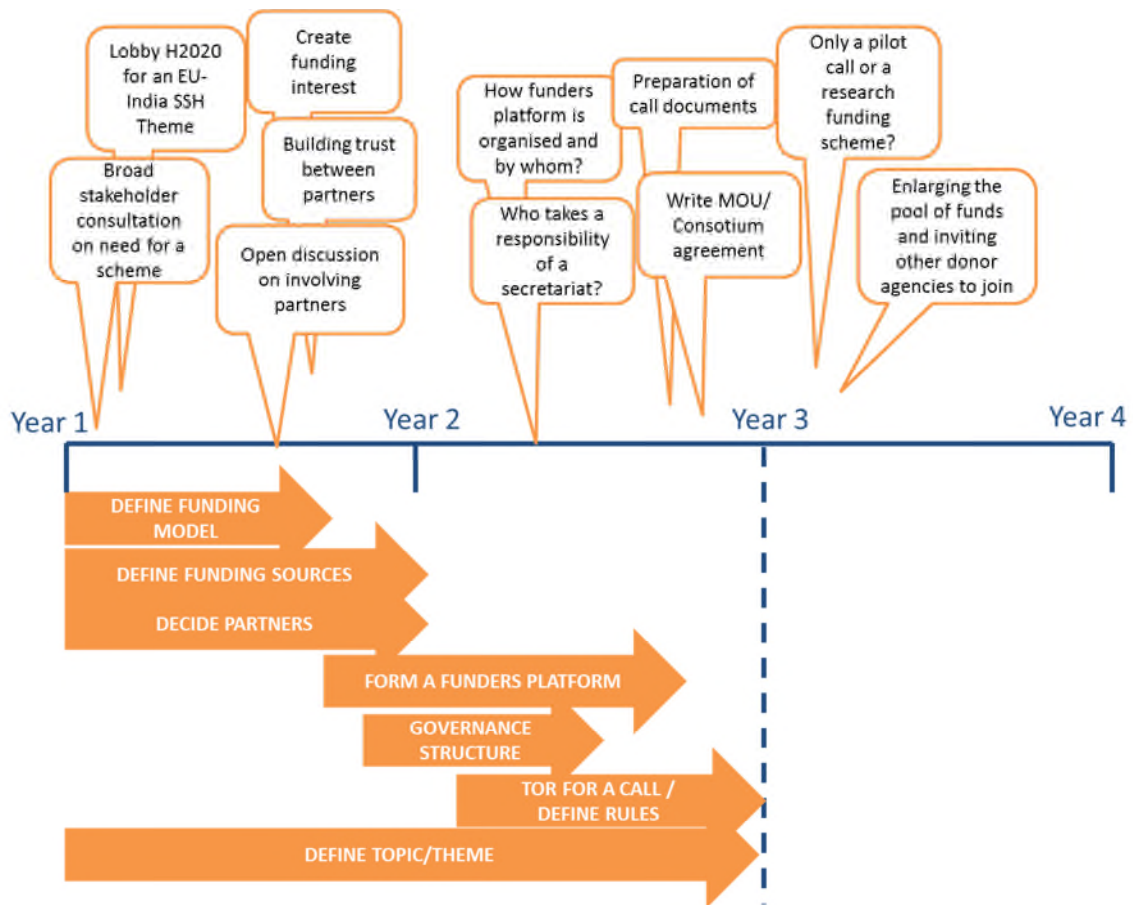


Figure 9: Timeline of actions to be taken

Defining a theme around which collaboration can be built around was seen as the most pressing task (figure 10). The participants also saw that in order to proceed with more detailed planning of the collaboration, a decision on funding model, governance structure and involved funders should be taken.

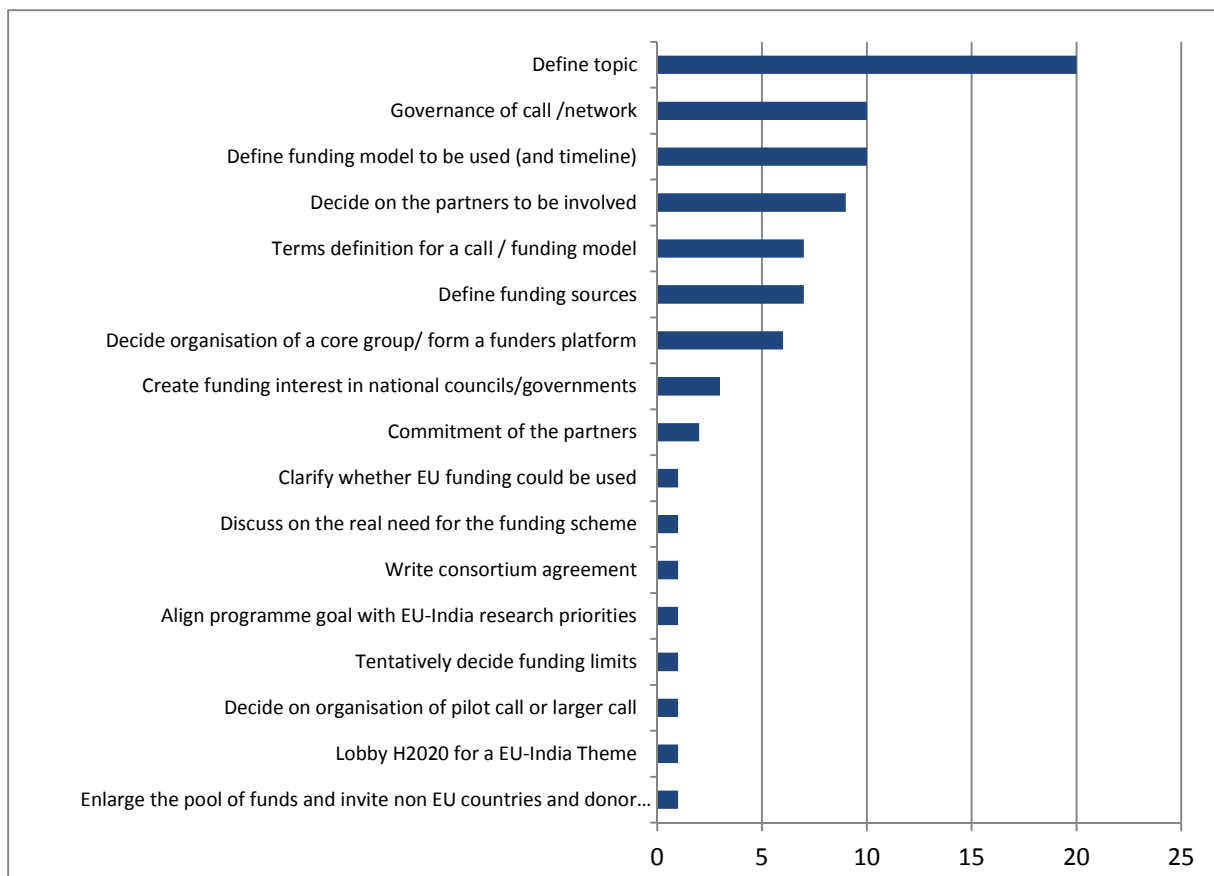


Figure 10: The frequency of occurrence of identified actions

Experiences of previous Indo-European collaboration projects³¹ could support EqUIP partners to develop the envisioned collaboration scheme further. The previous experiences have shown that the following issues should be considered when planning a multilateral collaboration scheme:

- **Mode for selecting thematic priorities for cooperation**
 - Mixed scientist-policy maker working groups combining both top-down and bottom-up approaches in identifying topics in each region followed by a dialogue with the other side (same procedure) in an India-Europe group
 - Once this group is in place: map clusters and centres of excellence and categorise long- and short-term priorities
 - Open platforms for sharing what is happening in the different countries; these platforms should also be problem solvers for the different disciplines (virtual platforms)
- **Call publishing and funding modes**
 - Negotiations for each call are necessary and can be time consuming
 - Consider a combination of real and virtual common pot funding (with real common funding for launching, administering and implementing the call)
 - Differences in the funding and implementation of the projects of the national funding agencies lead to different conditions for partners within the same project. It might, however, be easier to apply national rules rather than to try to establish

³¹ New Indigo foresight study, the EU-India SI House mapping as well as the implementation of the INNO INDIGO project's multilateral collaboration scheme

common procedures as the researchers are familiar with the rules of their national agencies

- Furthermore, different timelines for each national funding agency make it challenging to establish a common timeline for a call, which can delay the start of projects. Time lag between proposal submission and start of projects should be kept short (up to 7-9 months).
- As there is no binding legal framework between national funding agencies, consortium agreements are advised.
- Keep up bi-regional monitoring and reporting; including mid-term and ex-post evaluations
- Ensure regular multilateral calls within Commission-supported projects (e.g. once a year) with a variable geometry and different thematic priorities
- Optimise evaluation procedures (without compromising on quality)
- Offer a joint single-entry point for bi-regional research funds, starting with a comprehensive website (offering call information) moving towards a joint programme managing agency
- Take stock of the learning effects of the existing partnerships such as ERA-NETs
- **Reporting and monitoring**
 - Easy application procedures and financial reporting with minimum administrative burden.
- **Network Setup**
 - Assist in early stages of consortium creation: increase awareness about opportunities or finance
 - Address brain circulation directly in programme design, allowing for flexible mobility of both junior and senior scientists
 - Programmes should be of a longer duration (>2 years) for building sustainable cooperation
 - Give support to an increased use of virtual conferences and e-learning infrastructure
 - Encourage institutions participating in joint programmes to provide adequate guest houses or agreements with nearby hotels
 - Allow for room/time, both at project and programme level, to build on examples and implement changes in case cooperation does not work as expected

Several of these experiences have already been shared within the JLW group. Others can become relevant when deciding to implement a multilateral scheme in EU-India SSH cooperation. The findings from New INDIGO, SI House and INNO INDIGO were however oriented towards S&T areas of research. During the Joint Learning Workshop it became evident that SSH area of research sets the collaboration a specific framework:

- SSH projects are often multidisciplinary
- The supported research fields are largely decided bottom up and many national governments do not have clear thematic funding priorities when it comes to SSH themes. This creates a different dynamic for choosing thematic priorities for SSH collaboration in multilateral funding schemes.
- In some SSH thematic areas, the existing research links between India and Europe are weak and there is no tradition of Indo-European collaboration. This has implications to project

preparation and implementation, for example researchers might need support in building project consortia, which needs to be taken into account in the call schedule and funding structure.

In the scoping report, the partners identified the following best practices based on their experiences in international SSH collaboration, which take into account the specificities of the SSH area of research:

- **Establishing roles, responsibilities and priorities:** It is acknowledged by EqUIP partners that, despite the need of a certain amount of flexibility in international collaboration, it is necessary to agree a common purpose, to establish clear roles and responsibilities, and to develop transparent and inclusive methods for all those involved, including any applicants. All participants should follow a clear and understandable set of rules, which can be materialised in a template covering all the steps of the process to avoid misunderstandings that may lead to bad experiences. Partners agree that the time spent on relationship building and identifying common interests and a common purpose is part of the good experiences and should not be underestimated. Regarding priorities, it is advised by our partners to mutually decide priorities, as top-down and bottom up approaches may collide in a bilateral endeavour.
- **Review process:** Four agencies report that European and Indian funders might have different ways of delivering their peer review process and therefore matching European and Indian individual peer reviews can be challenging. A particular problem reported is the difficulty in assessing value-for-money of projects by reviewers. On decision making, partners agree that joint decision making procedures are useful and most of EqUIP partners are accustomed to peer review process. Peer review is typically structured in the following steps after the submission of a grant application: 1) Eligibility checks are applied in all agencies 2) Applications are divided among panels depending on the knowledge area(AKA, FCT, ICSSR, RCN) or Applications are sent to individual reviewers and then to a panel (AHRC, DFG, ESRC, MIZS, NWO, ICHR) 3) Applications are ranked for funding (AHRC, AKA, DLR, DFG, ESRC, FCT, ICSSR, MIZS, NWO, RCN). Although partners indicated a great level of flexibility concerning review process, the fact that the evaluation is performed through a peer review process with the objective of funding research excellence and that reviews are independent and free of conflicts of interest, would be the base line for such international collaboration. However, national funding rules, eligibility limitations and legal requirements may apply.
- **Communication and clarity:** It is agreed by all partners that communication and clarity is the critical aspect of a successful collaboration. Tacit knowledge is difficult to share, and therefore knowledge exchange, communication and sharing best practice are vital. Regarding the cultural differences between Europe and India, several partners recognize the need for flexibility when establishing common initiatives, as well as keeping an open mind, being tolerant and aware of intercultural diversity and understanding the political situation of the other side.
- **Finances:** Although most partner could share administrative costs and participate in a common pot financing model, this is not possible for all partners.

CONCLUSIONS

The EU-India Social Science and Humanities Platform (EqUIP) brings together research funding and support organisations in Europe and India in order to develop a stronger strategic partnership. The Platform supports SSH funding agencies across Europe and India in the stepping up of international collaboration: through sharing best practices, networking and the closer coordination of existing collaborative activities as well as the establishment of new relationships.

In order to implement these targets, EqUIP³² successfully organised a Joint Learning Workshop for European and Indian funding agencies 15-16 September in Oslo, Norway. The workshop brought together over 30 participants from 22 organisations in 14 countries, which had substantial experience on multilateral SSH collaboration.

The goal of the Joint Learning Workshop was to mobilise the various experience of the Indian and European funding agencies to discuss best practices and develop a vision of how EU-India SSH cooperation might be organised in the future, beyond the lifetime of EqUIP. For this purpose, the workshop employed a methodology combining scenarios and other collaborative learning techniques.

Although the Indo-European research collaboration is generally well established, most collaboration is in S&T fields. In this light, the workshop participants agreed that there is an untapped potential for Indo-European SSH collaboration. More concretely, there was strong support from both the European and Indian participants to increase the level of multilateral SSH collaboration between the two regions. This multilateral collaboration could be implemented through different funding models, in many of which the participants have previous experiences.

The participants were in a favour of developing a multilateral funding scheme, which would be inspired by the implementation structure of current ERA-Nets, and support excellent and collaborative research.

Although the joint vision developed in the workshop is neither a binding nor a guiding document, it became clear during the workshop that programme owners from Europe and India are highly motivated to cooperate together. Discussing future Indo-European SSH collaboration will continue in the framework of the six EqUIP symposia and a working group on the future of EqUIP . The working group was established as a result of the workshop and will continue to develop structures and processes for Indo-European collaboration beyond the EqUIP.

³² Work Package 2 leader Research Council Norway (RCN) with the support of the Centre for Social Innovation (ZSI)

Annex I – Title of Annex

First name	Last name	Institution	Country
Margot	Bezzi	APRE	Italy
Sumana	Chandrashekar	India Foundation for the Arts	India
Tereza	Cizkova	Ministry of Education, Youth and Sports of the Czech Republic	Czech Republic
Martina	De Sole	APRE	Italy
Alexander	Degelegger	ZSI	Austria
Helen	Dewberry	ESRC	UK
Olga	Dias	Foundation for Science and Technology	Portugal
Alice	Dijkstra	NWO	Netherlands
Jelena	Dukic	Croatian Academy of Sciences and Arts	Croatia
Jan-Arne	Eilertsen	RCN/ERA-LEARN	Norway
Corinne	Flacke	DFG	Germany
Saun	Govind Singh	ICSSR	India
Kaisa	Granqvist	ZSI	Austria
Mercy	Helen	ICPR	India
Jon	Holm	RCN	Norway
Marianne	Jensen	RCN	Norway
Marianne	Jensen	RCN	Norway
Jacqui	Karn	ESRC	UK
Davor	Kozmus	Directorate for Science	Slovenia
Mahesh Prasad	Madhukar	ICSSR	India
Reena	Marwah	ICSSR	India
Merethe Sandberg	Moe	RCN	Norway
nuno	moreira	FCT	Portugal
Siru	Oksa	Academy of Finland	Finland
Lucy	Parnall	AHRC	UK
Liisa	Savunen	Academy of Finland	Finland
Geeny George	Shaju	Research Councils UK (RCUK) India	UK
Manju	Singh	UGC	India
Kateřina	řolcová	Czech Academy of Science	Czech Republic
Jennifer	Striebeck	DLR-PT / SSH department	Germany
Margit	Suuroja	Estonian Research Council	Estonia
Surendre Mohan	Verma	ICSSR	India
Anne	Westendorp	NWO	Netherlands
Gonçalo	Zagalo Pereira	FCT	Portugal