



REMORA

Small fishes in a big pond

D1.1

GUIDELINES TO ELABORATE AN “EXCELLENCE FOR ERA” ROADMAP



Madeira Regional Directorate of Environment and Sea



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SUMMARY

REMORA’s first strategic objective is to strengthen the competitiveness and Horizon Europe participation of 3 Outermost Regions’ key regional Ocean research centres – CITEB, OKEANOS, and OOM. To that end, WP1 supported these organizations in the design of a dedicated “excellence for ERA roadmap”, i.e. a detailed action plan to master the European Research Area standards, increase scientific excellence, and intensify the participation in the Framework Programmes (FP).

The definition of such roadmaps relies on a sound, step-by-step, methodology to identify and overcome the most pressing obstacles defined in scientific publications and institutional report: human resources policies to attract and retain talents, responsible research and innovation practices to maximize knowledge transfer and impacts, pro-Horizon policies to reinforce staff-members’ willingness and capacities to apply successfully, and funding synergies, notably to use strategic, ESIF-funded infrastructures, as assets to take part in FP projects.

Refined with the feedback of CITEB, OKEANOS, and OOM, the methodology can be used by any organization willing to increase its performance and participation in Horizon Europe, independently of its location and level of performance. The following guidelines are thus a dissemination tool, which illustrates the capacity of the Outermost Regions to embrace critical challenges and design operational tools and solutions.

This document details the methodological approach and provides the readers with extensive and detailed materials to assess one organization’s performance, identify core bottlenecks, and define relevant actions with staff members.

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LIST OF ABBREVIATIONS

ERA: European Research Area

ERDF: European Regional Development Fund

ESIF: European Structural & Investments Funds

FP: Framework Programme

HRS4R: Human resources strategy for researchers

OOM: Ocean Observatory of Madeira

OR: Outermost Regions

R&I: Research & Innovation

RRI: Responsible Research & Innovation

WP(s) : Workpackages

INTRODUCTION

1. Presentation of REMORA

The growing innovation divide across the European Union appears particularly detrimental to small and emerging regional research and innovation systems like the Outermost Regions¹ (OR). With limited resources, these regions struggle to reach the critical mass needed to build competitive advantages and become knowledge societies. Though the European Research Area (ERA) and the Framework Programme (FP) could compensate for this marginalization through greater knowledge circulation, resource sharing, and talent mobilities, the Outermost Regions present limited participation in FP7 and Horizon 2020. This underutilization notably stems from the competing relations between European Structural & Investments Funds (ESIF) and the framework programs or “substitution effect”: many organizations and individuals prioritize easily accessible ESIF, decide not to apply to the FP, and end up in “substitution trap” which isolates them from promising collaborations.

To move Outermost Regions’ R&I organizations and systems from substitution to synergies, REMORA ambitions to transform three Ocean and Marine ESIF-funded institutions in La Réunion, Madeira and the Azores into Horizon Europe champions: **CITEB** – the Technical Center for Blue Economy of La Reunion, **OKEANOS** – the Institute of Marine Sciences of the University of the Açores and **OOM** - the Oceanic Observatory of Madeira. To that end, REMORA will enhance their competitiveness (notably human resources, knowledge transfer, and innovation capacities), strategic positioning, and connections with major EU networks through a joint internationalization strategy with the support of **ARDITI** – the Regional Agency for the Development of Research, Technology and Innovation of Madeira, **RUIZIA**, a research SME from La Reunion specializing in peripheries’ regional development policies, the National Institute of Aquatic Resources of **DTU (Denmark Technical University)** and **ERINN**, a Marine Impact & Innovation expert SME.

REMORA will then use the successful transformation of these 3 role models to lead other ESIF-oriented R&I organizations and policy-makers in Outermost and Widening Regions on the path to synergies, by favoring pro-Horizon Europe environment at organizational and regional levels.

2. Why an « Excellence for ERA” roadmap?

Several studies have highlighted the critical influence of four main determinants to a long-lasting, successful involvement, which were synthesized in the H2020 – Forward [methodological guidelines](#) to assess the participation in the Framework Programmes:

- 1) the proximity with networks and organizations that constitute the core of the European Research Area and that have been dominating the Framework Programmes (FP) for decades;
- 2) the performance of the regional innovation system; the participation being concentrated in “leading” and “strong innovators” regions (according to the Regional Innovation Scoreboard), which are notably characterized by a high degree of international openness and policy-mixes fostering the participation of local organizations.

¹ The European Union (EU) counts nine outermost regions, which are integral part of the Union and geographically distant from the continent: Azores, Canaries, Guadeloupe, Guyana, Madeira, Mayotte, Martinique, Réunion and Saint Martin.

- 3) the characteristics of candidate organizations, namely their size, reputation, scientific excellence, orientation, and experience in the framework programmes; as well as their strategies to effectively mobilize competitive funds.
- 4) the individual capacity and decision to (not) apply to calls that may be perceived as too competitive or inadequate.

REMORA will respectively target greater connections with the most successful organizations and networks (the “closed clubs” described by Enger) through WP2 and WP3, and involve local policy-makers to establish a pro-Horizon Europe policy framework, notably with the support of structural funds.

Through WP1, REMORA aims to empower participant organizations and staff members to intensify their submission activity and success rate in the FP, notably through the definition and integration in their strategic development plans of a dedicated “excellence for ERA roadmap”. This document is designed to reinforce the strategic uses of existing resources (notably infrastructures), the research and innovation capacities and performance, as well as the willingness and capacities of staff members to apply successfully in the FP. More specifically, it addresses four essential dimensions:

- 1) *human resources*, to attract and retain talents to reach the needed “critical mass”, and improve working conditions as a means to increase scientific productivity and reputation.
- 2) *responsible research and innovation*, to maximize the impacts of research activities through the incorporation of the most advanced European standards of knowledge management and transfer (notably in terms of ethics, gender, public engagement and open science).
- 3) *pro-Horizon Europe policy*, to establish an institutional environment that incentivizes and supports staff members in submitting successful applications.
- 4) *funding synergies*, to effectively mobilize existing assets (such as infrastructures and equipment) and the support provided by structural funds to intensify international collaborations with Horizon Europe champions and increase submission intensity.

The attention paid to these four dimensions reflects the systemic transformation approach proposed by REMORA to increase the participation in the FP, and the need to incorporate in the organizations’ strategies and daily activities, the standards of the European Research Area. Indeed, the FP remain above all a funding instrument serving the advent of a unified research and innovation system, sharing common goals and practices. They thus act as a normalizing agent, homogenizing research and innovation processes, notably through the integration of ERA priorities in calls’ expected outcomes, scopes, eligibility criteria, horizontal dimensions, and evaluation mechanisms. Mastering these priorities is thus essential to improve the capacity of participant organizations to apply in the long term, as well as to increase their scientific performance, reputation, impacts, and critical size.

3. Guidelines’ users:

Though they were initially designed and experimented to support the effective transformation of REMORA participant organizations – CITEB, OKEANOS and OOM, these guidelines can be used by any organization willing to increase its participation in Horizon Europe, independently of its legal status (higher education establishments, research centres, technical institutes, private companies), geographic situation, and level of experience in the FP.

Through a unified methodological approach and practical tools, these guidelines provide a structured, step-by-step process to

- assess an organization’s current situation vis à vis the critical dimensions influencing successful participation,
- reveal key bottlenecks inhibiting so far, the participation
- involve governance and staff members to define a common vision and priority interventions to address such bottlenecks.

To our knowledge, these guidelines constitute the first practical method available in the European Research Area, confirming the capacity of the Outermost Regions to use their peripheral, “extreme-case situation” as an opportunity to propose relevant contributions for the EU as a whole.

I. METHODOLOGICAL FRAMEWORK

3 main principles guide the present guidelines: knowledge-based interventions, systemic approach, varied instruments.

1. Knowledge-based interventions

To reveal and remove the main bottlenecks to an increased participation in Horizon Europe, REMORA’s methodology capitalizes on the conclusions of a dense corpus of research publications, and institutional reports, as well as on the results of previous projects, such as the H2020 – Forward, which provides a detailed methodology to assess the participation in the Framework Programmes and a thorough investigation of the factors influencing the Outermost Regions’s situation. These factors are subjected to a thorough investigation to identify core issues using/adapting robust tools.

Table 1. List of references used to assess the organizations’ performance

Dimension	Mobilized tool
Human resources	Human resources strategy for researchers (HRS4R) gap analysis
Responsible research and innovation	H2020- RRI TOOLS, self-reflection tool
Pro-Horizon Europe environment	H2020 – Forward methodology & results
Funding synergies	Commission Notice - Synergies between Horizon Europe and ERDF programmes (2022/C 421/03)

2. Systemic approach:

Considering the complex relations between the four dimensions of effective participation, REMORA integrates, into a common roadmap, targeted interventions that simultaneously tackle identified issues. For instance, human resources strategies are notably designed to foster talents’ attraction and thus contribute to a greater integration of participant organizations in major networks.

The systemic approach is also reflected by the involvement of diverse staff-members, reflecting the diversity of positions, perspectives and interests : researchers, support staff, administrative and financial officers, governance members, etc. Such participation is essential to design a shared ambition and ensure the coherence, effective implementation and sustainability of proposed interventions.

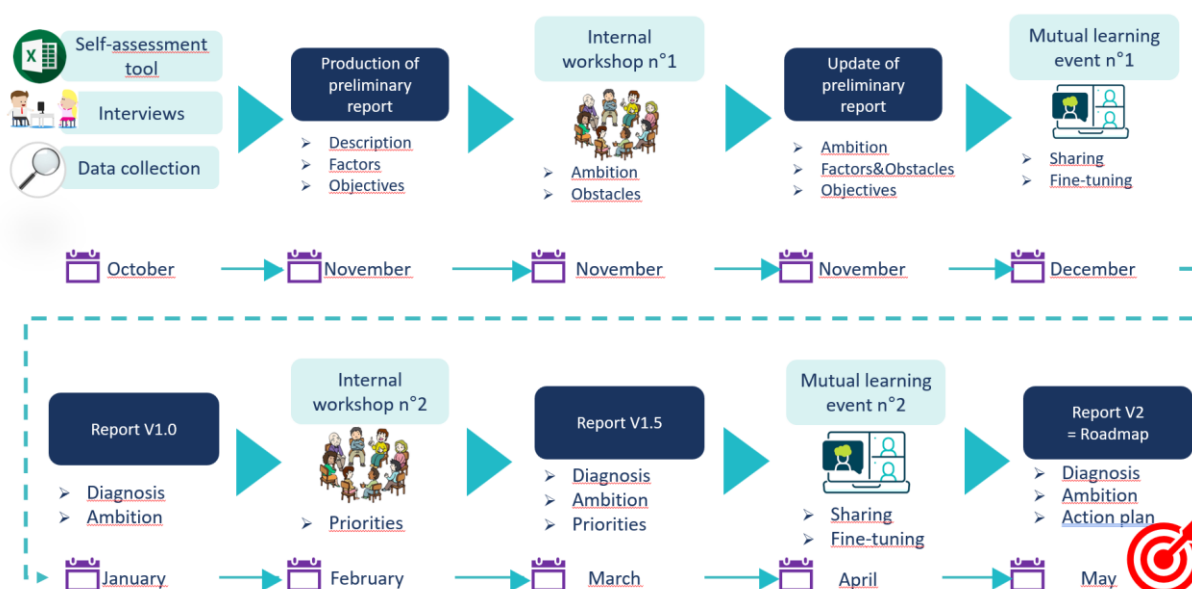
3. Varied instruments:

Following the same logic, the guidelines propose a coherent, progressive methodology:

- Desk analysis: in each organization, a team of experienced staff members completes REMORA “self-assessment tool” to reveal the main strengths and weaknesses vis à vis the four dimensions influencing one’s performance and successful participation in the Framework Programmes.
- Interviews: the identified weaknesses are discussed with researchers, financial officers and governance members to highlight the factors leading to this situation using a protocol interview. The conclusions of the desk analysis and interviews are synthesized as a preliminary diagnosis.

- Workshops: the preliminary diagnosis is shared during the first workshop organized with a large panel of staff and governance members to share and refine the conclusions as well as to define a common ambition in terms of performance and participation in the Framework programmes. The updated diagnosis are mobilized during a second workshop to identify key priority objectives and interventions to address identified issues.
- Roadmap: these orientations are then integrated into a first draft of “excellence for ERA roadmap”, shared with team members to adjust priority actions, and identify pilots and available resources.

Figure 1. Roadmap design process



II. STEP-BY-STEP APPROACH

1. Self-assessment tool

REMORA self-assessment is a hands-on tool designed to enable any organization conducting research activities to evaluate its situation vis à vis the main factors that influence the performance in the European Research Area and successful participation in the Framework Programme : human resources policy, responsible research and innovation practices, pro-Horizon Europe environment and funding synergies, notably through the strategic use of infrastructure.

Each of these dimensions is evaluated through a series of questions, inspired by the tools presented in *table 1* (page 8): HRS4R gap analysis for [human resources](#), and the RRI-tools [self-reflection](#) tool for responsible research and innovation. To evaluate the internal environment vis à vis Horizon Europe as well as the existing funding synergies, we designed ad-hoc questions based on an extensive literature review and the results of the H2020 Forward project.

Table 2. Example of items considered in the self-assessment tool

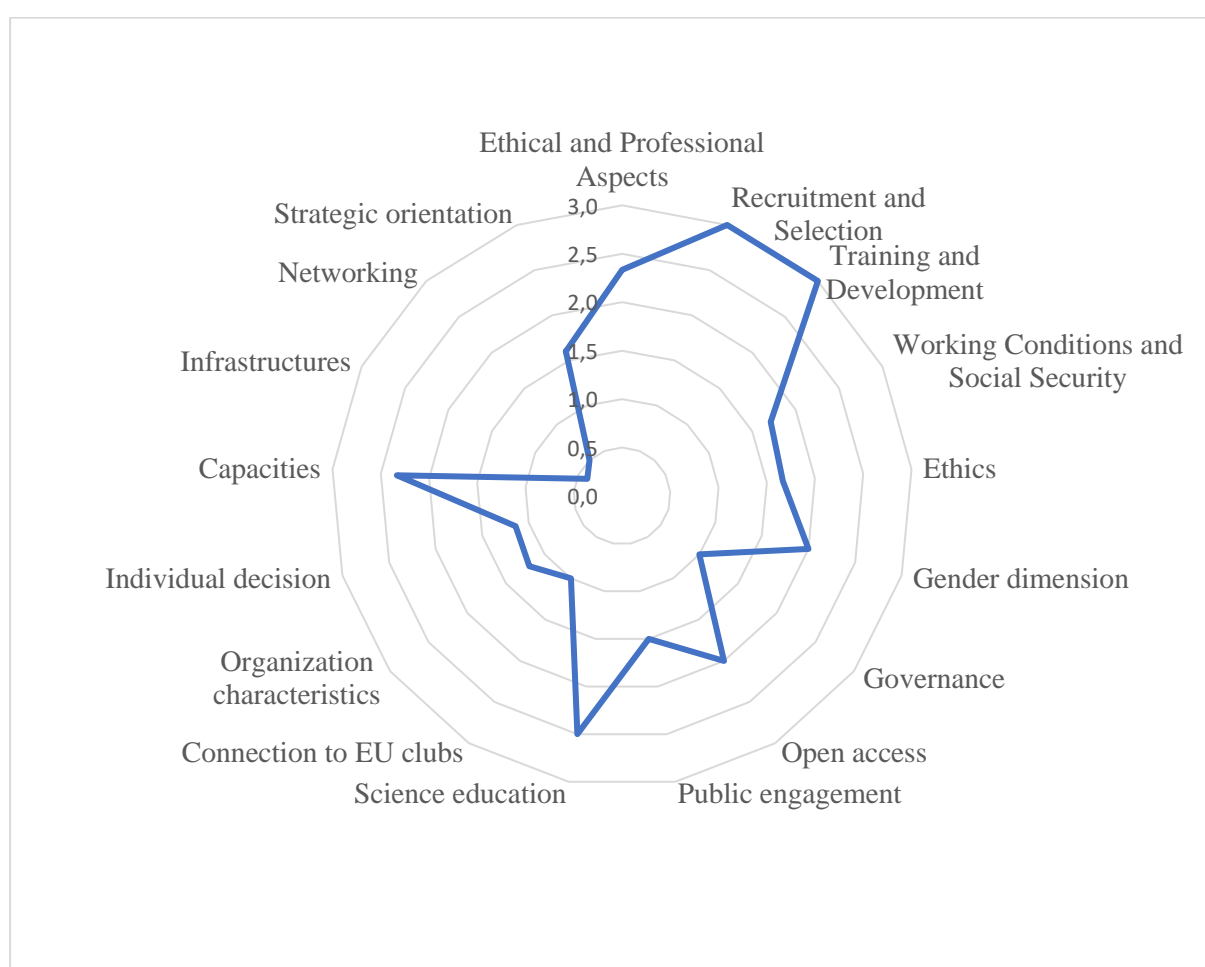
Sub-dimension 1 : Connection to EU clubs		Please indicate the state of implementation of each principle	Automatically calculated value
Factors	Definition	State of implementation (please use the drop-down list)	Please do not modify
Exploiting collaborations with Horizon Europe champions	My organization builds on previous collaborations with organizations and networks active in Horizon Europe to develop new proposals and integrate new networks		Not answered yet
Implementing an effective networking strategy	My organization has mapped out key organizations and networks to connect with and engages in effective networking activities to strengthen our relationships with EU champions and enhance our international reputation		Not answered yet
Defining clear added-value and value proposition	My organization has identified its unique, distinctive assets (i.e. infrastructures, equipments, know-how, expertise, networks) at EU level		Not answered yet

For each question, the respondents are invited to evaluate the level of compliance with the standard, using a simple drop-down menu :

Standard implementation level	Score
Not considered (No action taken or planned)	0
Initial steps taken (some actions in place) but limited progress	1
Mostly implemented with room for improvement	2
Continuous implementation and optimization	3

Upon completion, the self-assessment tool automatically provides an overview of the organization’s overall performance, summarized in a radar diagram with a visual synthesis of the most striking forces and areas of improvement.

Figure 2. Illustration of the self-assessment synthetic results



The self-assessment is available in annex 1.

2. Interviews

To explore in detail the underlying factors that inhibit competitiveness and participation in Horizon Europe, a series of semi-structured interviews are conducted with researchers, governance members,

and financial/administrative directors, with significant experience in the organization. This diversified panel is essential to grasp the complexity of the identified issues by crossing different and complementary perspectives and viewpoints. Each interview protocol is adapted to the peculiar situation of the targeted person. It also encourages participants to reflect on potential objectives and actionable improvement levers.

The interview protocols are available in annex 2.

3. Collective workshops

The gathered insights from both interviews and the self-assessment tool provide an objectivized, evidence-based view of the organization’s current performance and critical factors. Bringing together a large and diversified panel of participants, the workshops are essential to create momentum, adjust the diagnosis and define priority actions.

a) First workshop

The first internal workshop targets three main goals :

- share lessons learned and refine the diagnosis - drafted through steps 1 and 2 - by integrating diverse perspectives;
- reach a consensus on the most pressing issues and performance-impacting factors;
- set a collective vision for the next five years to mobilize and orient all energies to a common goal.

To that end, participants are guided with collective intelligence and group dynamization tools in two main exercises :

- a foresight exercise to define the organization’s ambition in a 5-year timeframe regarding research and innovation excellence and participation in Horizon Europe.
- the revisions of the conclusions of the diagnosis synthesized in “problem trees”, a facilitation method highlighting the causes and sub-causes of the main challenges identified.

Annex 3 compiles all the material needed to organize such workshop:

- detailed guidelines to prepare and manage the workshop
- a PowerPoint presentation
- hands-on synthesis to guide participants during group’s discussion.

b) Second workshop

Capitalizing on the conclusions of the first workshop, the second brings together staff and governance members to overcome the identified obstacles inhibiting the organization’s desired ambition in terms of excellence and participation in Horizon Europe.

To that end, participants engage in group discussions to turn the “problem trees” into “solutions trees”. For each dimension – human resources, responsible research and innovation, Horizon Europe policy, and funding synergies – the groups discuss operational objectives and actions needed to address issues

and reinforce the organization’s performance. The conclusions are activated through their integration in the organization’s “excellence for ERA roadmap”, an action

Annex 4 compiles all the material needed to organize such workshop:

- detailed guidelines to prepare and manage the workshop
- a PowerPoint presentation
- hands-on synthesis to guide participants during groups’ discussion.

4. Excellence for ERA roadmap template:

The conclusions from the self-assessment, the interviews, and the two workshops constitute the core material of the excellence for ERA roadmap. This strategic document is divided into two parts, reflecting the work achieved:

- The first section describes the organization’s characteristics and key challenges regarding human resources, responsible research and innovation, pro-Horizon Europe policies, and funding synergies, mobilizing the diagnosis content.
- The second section encapsulates the 5-year ambition to reinforce the organization’s scientific performance and participation in Horizon Europe. It presents the actions needed to materialize such ambition and remove the identified obstacles. A monitoring system is also included to follow up the implementation and results of the roadmap, and ease future revisions.

A detailed template guides the authors to turn the collected material into an operational and actionable document, that can be integrated into the organization’s strategic roadmap.

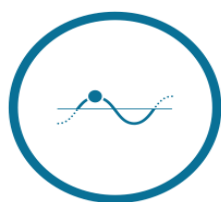
The template is available as annex 5.

ANNEX 1: Self Assessment Tool

The Self-Assessment Tool is presented from pages 16 to 23.

An editable version of the document is available upon request to Dr Philippe Holstein via email philippe.holstein@cellule-europe.re.





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Excellence 4 ERA Self-assessment tool

Objectives :

This self-assessment tool is designed to help you evaluate how your organization is positioned in relation to the main factors that influence organization's competitiveness in the European Research AREA and successful participation in Horizon Europe.

Using scientific publications, institutional reports and existing instruments, this tool focuses on four key dimensions:

- **Human resources** : How to attract and retain international talents to reach a critical mass of researchers and improve scientific productivity and reputation through an adequate human resources strategy and better working conditions?
- **Responsible Research and Innovation**: How to maximise the impacts of your research activities through the incorporation of advanced R&I management standards (such as open science, ethics, public engagement, etc.) ?
- **Pro-Horizon Europe strategy** : How to intensify transnational collaborations and participation in Horizon Europe through the creation of favourable environment and institutional policy that encourages and supports researchers to submit highly competitive applications ?
- **Funding synergies** : How to effectively mobilize existing assets (such as infrastructures and equipment) and the resources provided by structural funds (such as ERDF) to intensify international collaborations notably with Horizon Europe “champions” (the organizations and networks that constitute the core of the European Research Area and monopolize coordination positions), through greater synergies ?

Methodology

Each the four dimensions is evaluated through a series of factors, adapted from existing tools, notably the “HRS4R self-assessment tool” and the “RRI tools self-reflection tool”, or specifically developed by REMORA.

You are invited to assess organization's current status in relation to these factors by using the drop-down menu (column D). Upon completing all four worksheets, your organization's overall performance will be summarized in a radar diagram, highlighting its position in relation to the key factors.

This assessment is not a competition but a learning tool. It will notably help identify both areas of success and challenges that need to be addressed in your Roadmap to ERA.

For those wishing to delve deeper, there is also the option to note the obstacles limiting your organization's compliance with each factor, as well as existing initiatives and potential solutions that could be implemented.

Hotline

For any question or assistance need, please contact Philippe by mail (philippe.holstein@nexa.re) or phone/whatsapp (+262 6 92 08 16 66)

Authors

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Sources

HRS4R : <https://euraxess.ec.europa.eu/jobs/hrs4r>
 RRI TOOLS Self-reflection tool : <https://rri-tools.eu/self-reflection-tool>
 FORWARD results : <https://zenodo.org/records/3931570>



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Dimension 1 : Human resources	How to attract and retain international talents to reach a critical mass of researchers and improve scientific productivity and reputation through an adequate human resources strategy and better working conditions?
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Measurement of the State of implementation	Measurement options	Explanation
	Not considered (No action taken or planned)	
	Initial steps taken (some actions in place) but limited progress	
	Mostly implemented with room for improvement	
	Continuous implementation and optimization	

The assessment of this dimension is adapted from the HR54R (Human Resources Strategy for Researchers) gap analysis tool.

Sub-dimension 1 : Ethical and Professional Aspects		Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Principles	Definition according to the European Charter for Researchers	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
Research freedom	Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere		Not answered yet	
Professional attitude	Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.		Not answered yet	
Dissemination, exploitation of results	All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises		Not answered yet	
Public engagement	Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.		Not answered yet	
Non discrimination	Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.		Not answered yet	
Evaluation/ appraisal systems	Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee. Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.		Not answered yet	

Comments & feedbacks :

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Total for subdimension 1 "Ethical and Professional Aspects"	Not answered yet
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Sub-dimension 2 : Recruitment and Selection		Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Principles	Definition according to the European Charter for Researchers	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
Recruitment (Code)	Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.		Not answered yet	
Selection (Code)	Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.		Not answered yet	
Judging merit (Code)	The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.		Not answered yet	

Comments & feedbacks :

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Total for subdimension 2 "Recruitment and selection"				Not answered yet
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Sub-dimension 3: Training and Development		Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Principles	Definition according to the European Charter for Researchers	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
Access to research training and continuous development	Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, takeup and effectiveness in improving competencies, skills and employability.		Not answered yet	
Comments & feedbacks :				

Total for Sub-dimension 3: Training and Development				Not answered yet
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Sub-dimension 4: Working conditions & social security		Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Principles	Definition according to the European Charter for Researchers	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
Working conditions	Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.		Not answered yet	
Stability and permanence of employment	Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.		Not answered yet	
Funding and salaries	Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.		Not answered yet	
Gender balance	Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.		Not answered yet	
Career development	Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.		Not answered yet	
Value of mobility	Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.		Not answered yet	
Intellectual Property Rights	Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.		Not answered yet	
Comments & feedbacks :				

Total for Sub-dimension 4: Working conditions & social security				Not answered yet
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Dimension 2 : Responsible Research and Innovation		How to maximise the impacts of your research activities through the incorporation of advanced R&I management standards (such as open science, ethics, public engagement, etc.) ?					
Measurement of the State of implementation	Measurement options	Explanation			The assessment of this dimension is adapted from the "RRI self-reflection tool" designed by H2020 RRI Tools project		
	Not considered (No action taken or planned)						
	Initial steps taken (some actions in place) but limited progress						
	Mostly implemented with room for improvement						
	Continuous implementation and optimisation						
Sub-dimension 1 : Ethics				Please indicate the state of implementation of each principle	Automatically calculated value	Optional	
Principles	Definition	State of implementation (please use the drop-down list)		Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation)		
Ensuring the integrity of R&I practices	All research and innovation practices adhere to ethical guidelines and to the Code of Conduct for Research Integrity (for instance by encouraging peer review, consulting ethics experts, promoting internal discussions, etc.)			Not answered yet			
Preventing potentially harmful impacts on the public or the environment	Taking proactive measures to anticipate and minimize risks to society or the environment, while ensuring that the outcomes of research are responsibly used even after the project's conclusion.			Not answered yet			
What are possible ethical considerations for your R&I practices?	Environmental impacts Human and animal health impacts Local economic and development impacts Social justice Education Data management			0			
Comments & feedbacks :							
Total for subdimension 1 Ethics					0		
Sub-dimension 2 : Gender dimension				Please indicate the state of implementation of each principle	Automatically calculated value	Optional	
Principles	Definition	State of implementation (please use the drop-down list)		Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation)		
Gender equality plan	My organization has a formal strategy or framework in place to promote gender equality within its operations and decision-making processes			Not answered yet			
What are your gender equality practices regarding staff and working conditions ?	We aim for gender-balanced teams We aim for gender-balanced management positions We have family-friendly work spaces We have equal salary guarantees We have equal contract conditions We promote awareness and support of diverse working approaches			0			
How is gender equality evaluated within your organisation ?	We have specific actions and criteria for evaluating gender equality We have a team dedicated to evaluating gender equality We evaluate gender awareness through career development activities We monitor gender balance of teams We monitor gender balance of participants to R&I activities			0			
Which gender dimensions are considered within your R&I practices ?	Gender-balanced teams Sex and gender considered in our chosen topics Sex and gender considered in our methodology Sex and gender considered in our data Gender-balanced publication strategies Gender considered in our dissemination activities			0			
Comments & feedbacks :							
Total for subdimension 2 Gender dimension					0		
Sub-dimension 3 : Governance					Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Principles	Examples	State of implementation (please use the drop-down list)		Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation)		
Inclusion of views from other research or societal groups included in your R&I practice	Incorporating perspectives from various researchers, innovators, stakeholders, and potentially affected groups to ensure a wide range of views are considered in the research process.			Not answered yet			
Ensuring R&I practices can adapt to unforeseen results or societal changes	Implementing flexible research practices that can respond to emerging societal needs or unforeseen outcomes, allowing adjustments based on stakeholder feedback or new developments.			Not answered yet			
Comments & feedbacks :							

T1.1 Guidelines to elaborate an “Excellence for ERA” roadmap

Sub-dimension 4: Open access			Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Principles	Examples	State of implementation (please use the drop-down list)			
Open access policy	My organization has formal guidelines to ensure that research outputs -data, publications, methodologies and results- are freely available to the public. The policy aims to promote transparency, collaboration, and knowledge-sharing by removing barriers to accessing research findings.	Please do not modify			
Which parts of your work are open access?	Objectives, aims and goals Methodologies Data Preliminary results Final results Uncertainties and limitations	Not answered yet			
			0		

Comments & feedbacks :

Total for subdimension 4: Open Access	0
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Sub-dimension 5: Public engagement			Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Principles	Examples	State of implementation (please use the drop-down list)			
Involving stakeholders and the public in your work	Actively engaging different stakeholders and the public through outreach, consultations, and regular feedback processes, ensuring collaborative efforts in shaping research outcomes.	Please do not modify			
Which channels do you use to enable stakeholder participation in the R&I process ?	Seeking ongoing input and feedback from stakeholders Seeking collaboration of diverse stakeholders through co-creation methods Leveraging social media to promote reflection and get different voices involved Offering public discussion sessions on trendy R&I topics Fostering encounters between R&I institutions and the general public Using our venue or partnering with other venues to offer R&I experiences to different audiences	Not answered yet			
What are the dimensions usually discussed during your engagement activities?	Values, needs and perceptions important to stakeholders Framing of R&I questions R&I methodologies Possible impacts (ethical, legal, economic, environmental, social) Role responsibilities Potential improvements to the R&I process	0			
Tailoring R&I processes to include stakeholders with different genders, ethnicities, classes, ages, routines, experience, or levels of power	Adjusting research processes and language to meet the needs of diverse groups, incorporating results of consultations and studies into the strategic plan to ensure inclusivity.	Not answered yet			
			0		

Comments & feedbacks :

Total for Sub-dimension 5: Public engagement	Not answered yet
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Sub-dimension 6 : Science education			Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Principles	Examples	State of implementation (please use the drop-down list)			
Making research outputs accessible to the general public, through science education	Increasing stakeholder awareness of the solutions produced by R&I activities Delivering trainings Supporting citizens in making informed decisions	Please do not modify			
Which stakeholders are taking part in your education activities ?	Formal education providers Informal education providers Industry representatives Civil society organisations Research community members Policy and decision makers Families	Not answered yet			
Providing tailored information and education resources specific to stakeholders groups	Utilising a variety of media Adapting content to target groups Modifying styles and formats according to target groups Using different outreach channels Conducting assorted outreach events	0			
Promoting reflection on R&I impacts (ethical, legal, economic, environmental, social) in your science education activities	Reflecting on the expected impacts of R&I activities Reflecting on the unexpected impacts of R&I activities	Not answered yet			
			0		

Comments & feedbacks :

Total for Sub-dimension 6:: Science education	Not answered yet
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T1.1 Guidelines to elaborate an “Excellence for ERA” roadmap

Dimension 3 : Horizon Europe		How to intensify transnational collaborations and participation in Horizon Europe through the creation of favourable environment and institutional policy that encourages and supports researchers to submit highly competitive applications ?		
Measurement of the State of implementation	Measurement options	Explanation		
	Not considered (No action taken or planned)			
	Initial steps taken (some actions in place) but limited progress			
	Mostly implemented with room for improvement			
	Continuous implementation and optimization			
Sub-dimension 1 : Connection to EU clubs		Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Factors	Definition	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
Exploiting collaborations with Horizon Europe champions	My organization builds on previous collaborations with organizations and networks active in Horizon Europe to develop new proposals and integrate new networks		Not answered yet	
Implementing an effective networking strategy	My organization has mapped out key organizations and networks to connect with and engages in effective networking activities to strengthen our relationships with EU champions and enhance our international reputation		Not answered yet	
Defining clear added-value and value proposition	My organization has identified its unique, distinctive assets (i.e. infrastructures, equipments, know-how, expertise, networks) at EU level		Not answered yet	
Comments & feedbacks :				
Total for Sub-dimension 1 : Connection to EU clubs				Not answered yet
Sub-dimension 2 : Organization characteristics		Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Factors	Definition	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
International openness	My organization actively promotes the recruitment of foreign students, PhD candidates and researchers and has developed a strategy to reinforce international research collaborations leading to co-publications and/or projects		Not answered yet	
Scientific productivity and impact	My organization implements a comprehensive action plan to increase its research intensity, scientific productivity (expressed in number of publications per full time equivalent) and publications impacts (average number of citations)		Not answered yet	
Size	My organization follows a strategy and/or takes actions to grow and reach a critical mass, notably in terms of researchers		Not answered yet	
Reputation	My organization allocates resources to increase its international reputation		Not answered yet	
Orientation of R&I activities	My organization's R&I activities are closely aligned with Horizon Europe calls and the targeted calls fully support our vision and mission.		Not answered yet	
Administrative and financial procedures	My organization has established well-defined policies and procedures and provides strong administrative support for research activities		Not answered yet	
Institutional strategy	My organization has designed and implements a SMART strategy with clear objectives and dedicated resources to increase its participation in Horizon Europe		Not answered yet	
Horizon Europe capacity-building	My organization regularly organizes capacity building activities, such as training sessions and individual coaching to encourage and enhance the willingness and capacity of staff members to engage in Horizon Europe		Not answered yet	
Horizon Europe support services	My organization hosts or provides access to expert Horizon Europe support services that offer professional assistance in identifying relevant calls, establishing or joining consortia and contributing to proposal writing		Not answered yet	
Pro-Horizon Europe environment	My organization fosters a supportive environment that promotes, eases and rewards the development of Horizon Europe applications through various incentives (whether financial or symbolic).		Not answered yet	
Comments & feedbacks :				
Total for Sub-dimension 2 : Organization characteristics				Not answered yet
Sub-dimension 3: Individual decision		Please indicate the state of implementation of each principle	Automatically calculated value	Optional
Factors	Definition	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
Horizon Europe intelligence	In my organization, researchers and staff members have a strong understanding of the programme's objectives, structure, requirements and procedures		Not answered yet	
Career development	In my organization, researchers and staff members are well aware of the opportunities that Horizon Europe offers to advance their research activities and career development.		Not answered yet	
Self-selection 1	In my organization, researchers and staff members choose not to apply to Horizon Europe because they consider their scientific capacities as insufficient	Sometimes	1	
Self-selection 2	In my organization, researchers and staff members choose not to apply to Horizon Europe because they consider the development of application time-consuming	Never	4	
Self-selection 3	In my organization, researchers and staff members choose not to apply to Horizon Europe because they consider the program as too competitive	Sometimes	1	
Self-selection 4	In my organization, researchers and staff members choose not to apply to Horizon Europe calls because they have access to alternative sources of funding (such as structural funds / ERDF)	Frequently	0	
Self-selection 4	In my organization, researchers and staff members choose not to apply to Horizon Europe calls because they feel they do not receive adequate support	Exceptionally	3	
Comments & feedbacks :				
Total for Sub-dimension 3: Individual decision				1,8

T1.1 Guidelines to elaborate an “Excellence for ERA” roadmap

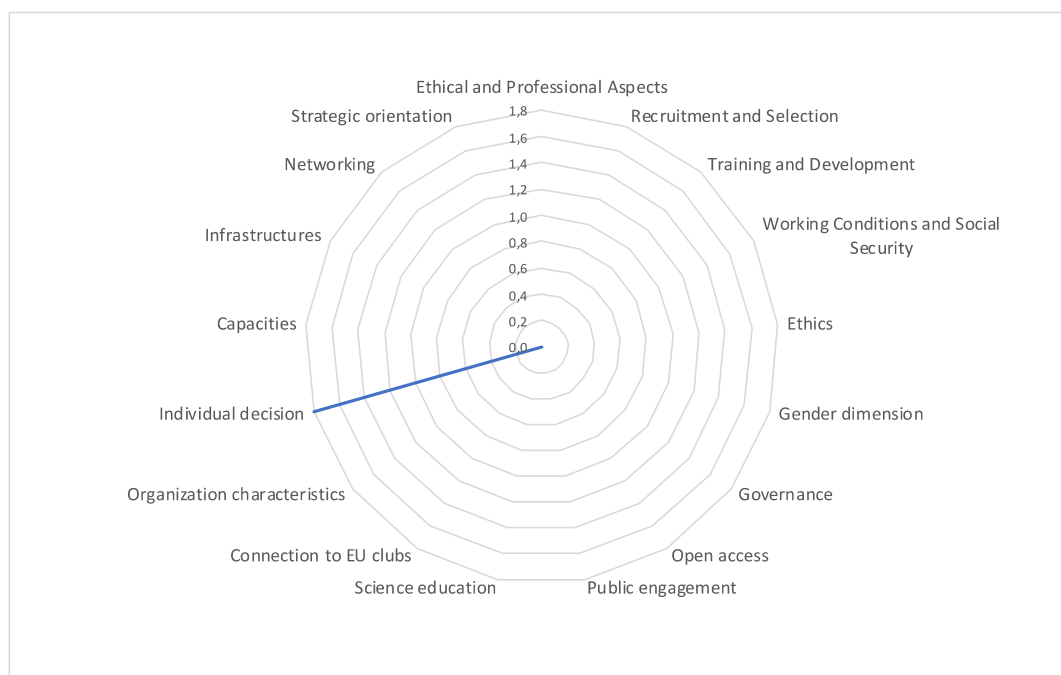
Dimension 4 : Funding synergies		How to effectively mobilize existing assets (such as infrastructures and equipment) and the resources provided by structural funds (such as ERDF) to intensify international collaborations notably with Horizon Europe “champions” (the organizations and networks that constitute the core of the European Research Area and monopolize coordination positions), through greater synergies ?			
Measurement of the State of implementation	Measurement options	Explanation			
	Not considered (No action taken or planned)				
	Initial steps taken (some actions in place) but limited progress				
	Mostly implemented with room for improvement				
	Continuous implementation and optimization				
Sub-dimension 1 : Capacities		Please indicate the state of implementation of each principle	Automatically calculated value	Optional	
	Factors	Definition	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
	Supportive administrative and financial team	Staff members responsible for administrative and financial aspects are trained on synergies and have developed internal guidelines to support their implementation.		Not answered yet	
	Knowledge of the policy context	Staff members are well-informed about the policy frameworks of both Horizon Europe and structural funds, as well as the synergy opportunities available within these regulations.		Not answered yet	
	Horizon Europe capacities	Structural funds are used to conduct capacity building interventions related to Horizon Europe (such as training sessions on proposal writing)		Not answered yet	
Comments & feedbacks :					
Total for Sub-dimension 1 : Capacities					Not answered yet
Sub-dimension 2 : Infrastructures		Please indicate the state of implementation of each principle	Automatically calculated value	Optional	
	Factors	Definition	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
	Infrastructures	Strategic development plan	ESIF-funded infrastructures and equipments are equipped with a multi-year development plan that integrates Horizon Europe objectives and resources.	Not answered yet	
	Infrastructures	Pro-Horizon Europe policy	ESIF-funded infrastructures and equipments have a dedicated Horizon Europe engagement roadmap featuring SMART objectives, adequate resources and a monitoring system	Not answered yet	
	Infrastructures	Openness to European stakeholders	ESIF-funded infrastructures are utilized to host European colleagues	Not answered yet	
	Infrastructures	Asset	ESIF-funded infrastructures are promoted as assets to partner with strategic European organizations and to integrate promising Horizon Europe consortia and applications	Not answered yet	
	Infrastructures	Participation in infrastructure networks	ESIF-funded infrastructures are part of established European Infrastructure Networks	Not answered yet	
Comments & feedbacks :					
Total for Sub-dimension 2 : Infrastructures					Not answered yet
Sub-dimension 3 : Networking		Please indicate the state of implementation of each principle	Automatically calculated value	Optional	
	Factors	Definition	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
	Networking	International promotion	Structural funds are allocated to finance networking action related to Horizon Europe, including participation to strategic conferences and info days, short term mobility, recruitment of foreign post-doctoral researchers	Not answered yet	
	Networking	Critical mass	We mobilize structural funds to attract and retain international talents	Not answered yet	
	Networking	Hop-on (mobilizing structural funds to take part in Horizon Europe projects)	Structural funds are used to develop R&I activities that indirectly contribute to existing Horizon Europe projects (for instance, through the recruitment of a post doc)	Not answered yet	
	Networking	Mobility	Mobility instruments (such as MSCA staff-exchange; ERA talents, etc.; COST) are mobilized to increase the capacities of ERDF-funded staff members	Not answered yet	
Comments & feedbacks :					
Total for Sub-dimension 3 : Networking					Not answered yet
Sub-dimension 4: Strategic orientation		Please indicate the state of implementation of each principle	Automatically calculated value	Optional	
	Factors	Definition	State of implementation (please use the drop-down list)	Please do not modify	Comments (for instance : What is the actual gap between the principle and the current practice in your organisation? What are the obstacles currently impeding the principle's implementation ? Initiatives undertaken/new proposals to improve the situation
	Strategic orientation	Effective development strategy	My organization is committed to a multi-year development strategy / roadmap that supports a distinctive value proposition at European level leveraging both structural funds and Horizon Europe resources	Not answered yet	
	Strategic orientation	Synergy development plan	My organization has developed a strategic and practical approach to increase its participation in Horizon Europe, particularly through more effective utilization of available structural funds (such as ERDF)	Not answered yet	
	Strategic orientation	Strategic alignment of R&I activities	The research and innovation agenda, along with activities supported by structural funds, are aligned with the priorities and calls for projects of Horizon Europe	Not answered yet	
	Strategic orientation	European added-value	Structural funds are mobilized to support the development of R&I activities and expertise with a distinctive European added-value, that can be leveraged as an asset for participation in Horizon Europe	Not answered yet	
	Strategic orientation	Pro-Horizon Europe environment	My organization provides a stimulating environment that promotes, supports and rewards the development of Horizon Europe applications, using incentives, financial or symbolic recognition, etc.	Not answered yet	
Comments & feedbacks :					
Total for Sub-dimension 4: Strategic orientation					Not answered yet



Excellence 4 ERA Self-assessment tool

Name of the organization		0
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Dimensions	Subdimensions	Score	
1. Human resources	Ethical and Professional Aspects	Not answered yet	Not answered yet
	Recruitment and Selection	Not answered yet	
	Training and Development	Not answered yet	
	Working Conditions and Social Security	Not answered yet	
2. Responsible R&I	Ethics	0,00	Not answered yet
	Gender dimension	0,00	
	Governance	Not answered yet	
	Open access	0,00	
	Public engagement	Not answered yet	
	Science education	Not answered yet	
3. Horizon Europe	Connection to EU clubs	Not answered yet	1,80
	Organization characteristics	Not answered yet	
	Individual decision	1,80	
4. Synergies	Capacities	Not answered yet	Not answered yet
	Infrastructures	Not answered yet	
	Networking	Not answered yet	
	Strategic orientation	Not answered yet	



ANNEX 2: Interview protocols

See next page





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the European Union



REMORA
Small fishes in a big pond

T 1.2 – Interview protocols

Evelyne Tarnus & Philippe Holstein

October 2024



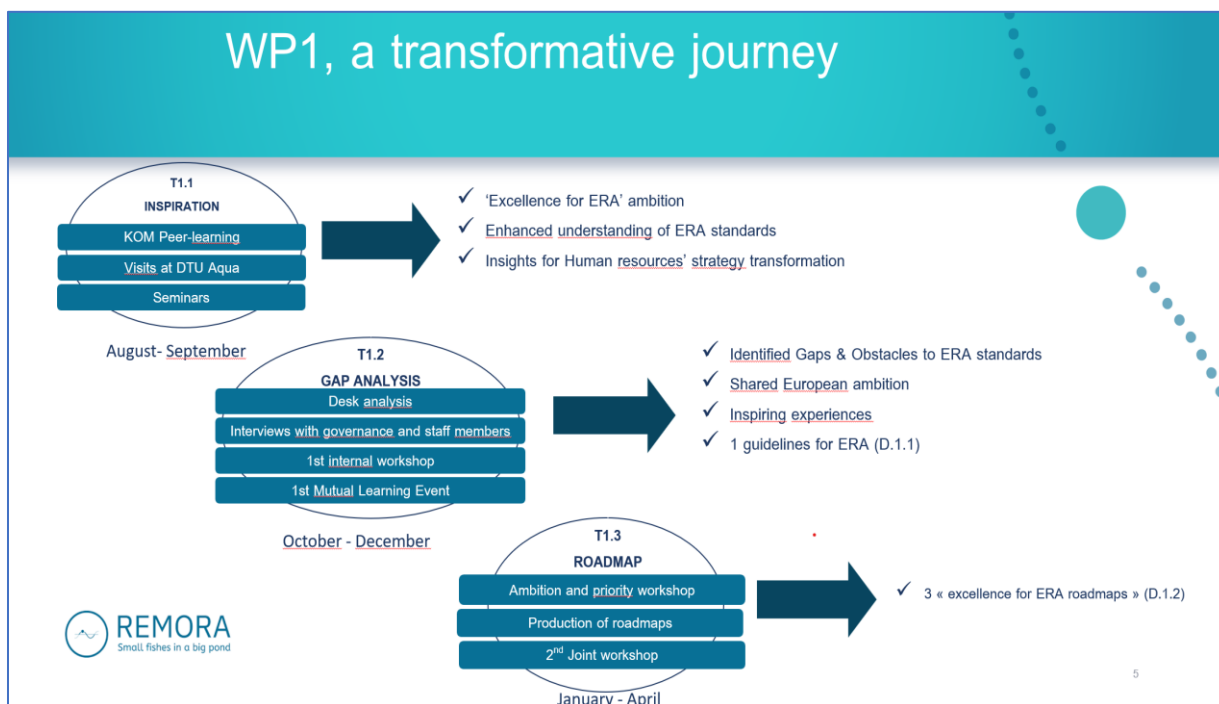
Madeira Regional Directorate of Environment and Sea

OBJECTIVES

Through work package 1 (WP1), REMORA aims to reinforce CITEB, OKEANOS and OOM’s competitive position in the European Research Area and remove the organizational and individual obstacles that inhibit their participation in Horizon Europe. Following an inspiration phase (T.1.1) that enabled participants to gain insights on the ERA standards and the advanced Research and Innovation management practices and pro-Horizon Europe policies implemented by DTU Aqua and ERINN, Task 1.2. provides the opportunity to assess how partner organizations stand on four key dimensions : human resources, responsible research and innovation, Horizon Europe policies and synergies across funding sources.

To that end, each organization will engage in a participatory and fact-based “gap analysis” which combines desk research, semi-directive interviews and collaborative workshops. Organized with 3 key governance and staff members, these interviews will explore the underlying reasons behind current situation as well as the potential objectives and levers of improvement to increase competitiveness and participation in Horizon Europe.

The main conclusions of this diagnosis will allow for the development of a dedicated roadmap to address the issues identified and reinforce the participation in Horizon Europe (T.1.3)



GUIDELINES FOR INTERVIEWERS

a. Defining your panel

Each partner is expected to organize three bilateral interviews with :

- one senior researcher
- one financial director or officer
- one governance member (director, president, board member, etc.)

Respecting this diversity is essential to grasp the complexity of the situation by crossing different and complementary perspectives and viewpoints :

- Researchers focus on daily experiences and operational challenges support, barriers and support. Questions thus aim to reveal how well current organizational policies and support structures meet the needs of researchers and the obstacles they encounter. The interview encourages researchers to discuss how governance goals and financial strategies influence their ability to meet targets like RRI and Horizon Europe participation.
- Financial directors focus on resource allocation and administrative constraints. Questions address budgetary and organizational issues and the role of operational support to help researchers reinforce the impact of R&I activities and the access to Horizon Europe. Financial directors can also provide insights into how financial strategies and internal funding mechanisms could be refined to enhance Horizon Europe participation and synergies across funding sources.
- Governance members provide strategic oversight, policy challenges, and long-term objectives. Questions are designed to reveal how governance integrates RRI, Horizon Europe, and human resources goals into the overall organizational strategy. They explore the policy framework, structural limitations, and the strategic decisions that impact both researchers and financial directors.

Embracing varied perspectives plays also a central role in ensuring the effectiveness and acceptability of proposed interventions to improve the organization’s performance. According to their needs and available resources, partners can increase the number of interviewees as long as they maintain a balanced panel.

To gather relevant insights in a time-effective mode, we suggest to interview senior profiles whose experience and position in the organization guarantees a sound knowledge of the internal challenges, a capacity to decenter and to freely express themselves without fear of retribution.

To mobilize effectively your colleagues, please pay attention to :

- prepare a pitch depicting the objectives of the interview, the main themes explored as well as the importance of this personal contribution.
- propose this interview in a face-to-face interaction or by phone to maximize engagement.
- reassure your interlocutor on the limited length (1 hour) of the interview and the anonymization of all answers.
- send a brief email (or a calendar invitation) as soon as possible, recalling the interview slot, location, purpose and format, accompanied by the interview protocol and the consent form. Please ask your colleague to reflect on the proposed questions and prepare answers before the interview.

b. Preparing the interviews

Once your panel is composed, please make sure to :

- Book a quiet and comfortable room
- Know REMORA’s objectives and activities
- Master the objectives and key questions of the interview
- Print or bring the interview protocol adapted to the profile of your contact
- Print or bring the consent form (annex 1)
- Prepare material for notetaking and recording.

c. General advice to conduct the interviews

Create engagement : begin the interview with a short briefing recalling the purpose, format and duration and ensure that the person interviewed expresses her/his formal consent to take part in this exercise and be recorded (through the signature of the consent form).

Establish a fruitful discussion :

- engage in active listening to ensure participant feel understood : adopt an open body posture, maintain eye contact, rephrase answers and provide feedbacks to show understanding without interrupting.
- adopt a neutral and non-judgmental attitude and tone to put participant at ease, when expressing positive and negative perceptions.
- rephrase the answers to ensure a common understanding.
- follow the interview protocol while keeping room for flexibility to explore other dimensions and deepen some aspects.

Make the most of available time :

- Take notes on striking elements revealed by the interview by using the interview protocol template.
- Make sure to limit the interview to 1 hour through the use of a timer.

d. Follow-up

After each interview, transcribe through bullet points the key points and insights provided by the participant for each question, using a blank interview protocol template.

Send to a short message to thank the participant and maintain her/his mobilization in REMORA, and share the synthesis of the interview to offer your contact the possibility to read and adapt her/his answers in the coming 48 hours.

e. List of the interviews

	Name	Date of the interview	Follow-up (Y/N)
Senior researcher			
Financial manager / director			
Governance member			

ANNEX 1 - PARTICIPANT CONSENT

Personal information

Name :

Position :

Email :

Introduction

REMORA is a Horizon Europe project, which ambitions to transform 3 marine sciences institutions from La Réunion, Madeira and the Azores into Horizon Europe champions : CITEB, OKEANOS and OOM. To that end, REMORA will enhance their competitiveness (notably human resources, knowledge transfer and innovation capacities), strategic positioning and connections with major EU networks through a joint internationalization strategy. REMORA will then use the successful transformation of these 3 role models to lead other organizations and policy-makers from the Outermost and Widening Regions to establish more synergies between structural funds (such as ERDF/FEDER) and Horizon Europe.

Purpose of the interview

The main objective of REMORA work package 1 (WP1) is to overcome two major blocking points which contribute to CITEB, OKEANOS and OOM dependence on structural funds and inhibit their participation in Horizon Europe: the absence of organizational strategy and the lack of individual motivation and capacities. To that end, WP1 will analyze internal obstacles, design “Excellence for ERA” roadmaps and implement human resources capacity-building activities to boost partner organizations competitiveness in Horizon Europe.

“Excellence for ERA” roadmaps are institutional transformation programmes aimed to increase research and innovation capacities and their effective mobilization through the adoption of advanced standards (such as responsible research and innovation) as well as to reinforce the willingness and competitiveness to apply successfully in Horizon Europe, notably as coordinators.

This interview aims to investigate, at institutional and individual levels, the current practices and faced obstacles in terms of

- Human resources strategy
- Responsible Research & Innovation principles
- Horizon Europe participation
- Synergies between structural funds and Horizon Europe.

Data uses

The collected data will be used by the REMORA research organizations with the help of the other consortium partners to produce a diagnosis of their situation and develop a roadmap to remove the obstacles.



Social scientists involved in REMORA will also use anonymized data extracted from the interviews to produce scientific publications and institutional reports.

Data privacy and confidentiality

In compliance with the General Data Protection Regulation (GDPR), the consortium takes all steps necessary to protect your personal information :

- Confidentiality : the information collected will be anonymized. No personal information (such as name and job title) will be included in the project’s reports or potential scientific publications, unless explicit permission is given. All materials will be anonymized.
- Data storage : Data collected from the interviews will be stored securely on a dedicated secured folder, hosted by ARDITI for a period of 5 years, after which it will be deleted or archived in compliance with Horizon Europe guidelines.
- Access to data : only staff member from your organization in charge of establishing your “Excellence for ERA roadmap” and work package leaders within REMORA will have access to the data.

Participants’ rights

- You have the right to access, modify, or request deletion of your data at any time.
- You have the right to withdraw your consent and discontinue your participation without any negative consequences.
- You may request a copy of the research findings once the study is completed.

Consent statement

By signing this form, you confirm that:

- You have read and understood the information provided above.
- You voluntarily agree to participate in the interview.
- You agree to have your interview audio-recorded
- You consent to the use of your data as described above.

Signatures

Participant’s signature

Interviewer’s signature



PROTOCOL 1 : SENIOR RESEARCHER

Introduction

REMORA is a Horizon Europe project, which ambitions to transform 3 marine sciences institutions from La Réunion, Madeira and the Azores into Horizon Europe champions : CITEB, OKEANOS and OOM. To that end, REMORA will enhance their competitiveness (notably human resources, knowledge transfer and innovation capacities), strategic positioning and connections with major EU networks through a joint internationalization strategy. REMORA will then use the successful transformation of these 3 role models to lead other organizations and policy-makers in Outermost and Widening Regions to establish more synergies between structural funds (such as ERDF/FEDER) and Horizon Europe.

Purpose of the interview :

The main objective of REMORA work package 1 (WP1) is to overcome two major blocking points which contribute to CITEB, OKEANOS and OOM dependence on structural funds and inhibit their participation in Horizon Europe: the absence of organizational strategy and the lack of individual motivation and capacities. To that end, WP1 will analyze internal obstacles, design “Excellence for ERA” roadmaps and implement human resources capacity-building activities to boost partner organizations competitiveness in Horizon Europe.

“Excellence for ERA” roadmaps are institutional transformation programmes aimed to increase research and innovation capacities and their effective mobilization through the adoption of advanced standards (such as responsible research and innovation) as well as to reinforce the willingness and competitiveness to apply successfully in Horizon Europe, notably as coordinators.

This interview aims to investigate, at institutional and individual levels, the current practices and faced obstacles in terms of

- Human resources strategy
- Responsible Research & Innovation principles
- Horizon Europe participation
- Synergies between structural funds and Horizon Europe.

Each partner is expected to organize three bilateral interviews (of one hour each) with :

- one senior researcher
- one financial director or officer
- one governance member (director, president, board member, etc.)

a. Human resources

In 2023, the European Union published the [European Charter for Researchers](#), a list of 20 principles that organizations should respect to attract and retain researchers, organized in 4 dimensions : open and merit-based recruitment, adapted and respectful work conditions, continuous education and professional development, respect of ethics and professional principles.

<p><i>How would you describe the current working conditions for researchers within your organization? Are there specific factors that particularly support or hinder your work?</i></p>	
<p><i>From your perspective, what are the most pressing challenges in attracting and retaining talented researchers?</i></p>	
<p><i>What are the primary objectives you believe an effective human resources strategy should address in the next five years to support researchers?</i></p>	

b. Responsible Research and Innovation

Responsible Research and Innovation (RRI) is a European standard designed to increase the impacts of research activities through the integration of 6 dimensions in their conception and implementation : public engagement, ethics, science education, gender equality, open access and governance.

<p><i>To what extent do you integrate these dimensions in your daily research and innovation (R&I) activities?</i></p>	
<p><i>What are the main challenges you face in applying responsible research and innovation in your daily R&I activities ?</i></p>	
<p><i>What objectives could you and other researchers set to better integrate Responsible Research and Innovation (RRI) principles over the next five years?</i></p>	

c. Horizon Europe

<p><i>Do you feel that your organization provides a supportive environment for participation in Horizon Europe? What are the main internal obstacles (administrative, technical, financial) you and your colleagues encounter when applying for Horizon Europe funding?</i></p>	
<p><i>Some researchers may decide not to apply to Horizon Europe calls because they feel they lack the proper capacities, support, or consider the program as too competitive and costly to access. To what extent does this “self-selection” phenomenon apply to you and your colleagues ?</i></p>	
<p><i>What level of ambition and objectives for Horizon Europe projects seem achievable for you and your fellow researchers in the coming five years?</i></p>	

d. Synergies between structural funds (ERDF, EMFF, ESF, etc.) and Horizon Europe

<i>Have you previously used structural funds as a means to participate in Horizon Europe projects? If so, how?</i>	
<i>How well does internal or external support help you navigate or combine funding sources for your research?</i>	
<i>How might existing infrastructure be better leveraged to foster Horizon Europe projects?</i>	



PROTOCOL 2 : FINANCIAL MANAGER / DIRECTOR

Introduction

REMORA is a Horizon Europe project, which ambitions to transform 3 marine sciences institutions from La Réunion, Madeira and the Azores into Horizon Europe champions : CITEB, OKEANOS and OOM. To that end, REMORA will enhance their competitiveness (notably human resources, knowledge transfer and innovation capacities), strategic positioning and connections with major EU networks through a joint internationalization strategy. REMORA will then use the successful transformation of these 3 role models to lead other organizations and policy-makers in Outermost and Widening Regions to establish more synergies between structural funds (such as ERDF/FEDER) and Horizon Europe.

Purpose of the interview :

The main objective of REMORA work package 1 (WP1) is to overcome two major blocking points which contribute to CITEB, OKEANOS and OOM dependence on structural funds and inhibit their participation in Horizon Europe: the absence of organizational strategy and the lack of individual motivation and capacities. To that end, WP1 will analyze internal obstacles, design “Excellence for ERA” roadmaps and implement human resources capacity-building activities to boost partner organizations competitiveness in Horizon Europe.

“Excellence for ERA” roadmaps are institutional transformation programmes aimed to increase research and innovation capacities and their effective mobilization through the adoption of advanced standards (such as responsible research and innovation) as well as to reinforce the willingness and competitiveness to apply successfully in Horizon Europe, notably as coordinators.

This interview aims to investigate, at institutional and individual levels, the current practices and faced obstacles in terms of

- Human resources strategy
- Responsible Research & Innovation principles
- Horizon Europe participation
- Synergies between structural funds and Horizon Europe.

Each partner is expected to organize three bilateral interviews (of one hour each) with :

- one senior researcher
- one financial director or officer
- one governance member (director, president, board member, etc.)



a. Human resources

In 2023, the European Union published the [European Charter for Researchers](#), a list of 20 principles that organizations should respect to attract and retain researchers, organized in 4 dimensions : open and merit-based recruitment, adapted and respectful work conditions, continuous education and professional development, respect of ethics and professional principles.

<p><i>How does the administrative and financial team currently support the development of staff members' capacities?</i></p>	
<p><i>What financial or administrative limitations restrict your organization's ability to fully implement HRS4R standards?</i></p>	
<p><i>What key objectives would you suggest to enhance recruitment practices and improve working conditions over the next five years?</i></p>	

b. Responsible Research and Innovation

Responsible Research and Innovation (RRI) is a European standard designed to increase the impacts of research activities through the integration of 6 dimensions in their conception and implementation : public engagement, ethics, science education, gender equality, open access and governance.

<p><i>In what ways does the administrative and financial team support the implementation of Responsible Research and Innovation (RRI) standards within your organization?</i></p>	
<p><i>Are there budgetary constraints that affect the practical implementation of RRI (e.g., funding for public engagement or gender equality)?</i></p>	
<p><i>Which objectives can you propose to reinforce the capacities and willingness of your staff members to adopt RRI standards?</i></p>	

c. Horizon Europe

<i>How does your organization support researchers in accessing and managing Horizon Europe projects ?</i>	
<i>Which administrative or financial barriers are limiting your organization's ability to participate effectively in Horizon Europe?</i>	
<i>What objectives could you set over the next five years to better promote and support Horizon Europe project development?</i>	

d. Synergies between structural funds (ERDF, EMFF, ESF, etc.) and Horizon Europe

<p><i>How does your organization utilize EU structural funds in coordination with Horizon Europe funding?</i></p>	
<p><i>What strategies have been effective in creating synergy between funding sources, and can you share a successful example??</i></p>	
<p><i>Have you encountered challenges in aligning these funding sources to support the organization’s research and innovation goals?</i></p>	
<p><i>What objectives could you propose over the next five years to enhance the synergy between structural and competitive funding sources?</i></p>	

PROTOCOL 3 : BOARD MEMBER

Introduction

REMORA is a Horizon Europe project, which ambitions to transform 3 marine sciences institutions from La Réunion, Madeira and the Azores into Horizon Europe champions : CITEB, OKEANOS and OOM. To that end, REMORA will enhance their competitiveness (notably human resources, knowledge transfer and innovation capacities), strategic positioning and connections with major EU networks through a joint internationalization strategy. REMORA will then use the successful transformation of these 3 role models to lead other organizations and policy-makers in Outermost and Widening Regions to establish more synergies between structural funds (such as ERDF/FEDER) and Horizon Europe.

Purpose of the interview :

The main objective of REMORA work package 1 (WP1) is to overcome two major blocking points which contribute to CITEB, OKEANOS and OOM dependence on structural funds and inhibit their participation in Horizon Europe: the absence of organizational strategy and the lack of individual motivation and capacities. To that end, WP1 will analyze internal obstacles, design “Excellence for ERA” roadmaps and implement human resources capacity-building activities to boost partner organizations competitiveness in Horizon Europe.

“Excellence for ERA” roadmaps are institutional transformation programmes aimed to increase research and innovation capacities and their effective mobilization through the adoption of advanced standards (such as responsible research and innovation) as well as to reinforce the willingness and competitiveness to apply successfully in Horizon Europe, notably as coordinators.

This interview aims to investigate, at institutional and individual levels, the current practices and faced obstacles in terms of

- Human resources strategy
- Responsible Research & Innovation principles
- Horizon Europe participation
- Synergies between structural funds and Horizon Europe.

Each partner is expected to organize three bilateral interviews (of one hour each) with :

- one senior researcher
- one financial director or officer



- one governance member (director, president, board member, etc.)

a. Human resources

In 2023, the European Union published the [European Charter for Researchers](#), a list of 20 principles that organizations should respect to attract and retain researchers, organized in 4 dimensions : open and merit-based recruitment, adapted and respectful work conditions, continuous education and professional development, respect of ethics and professional principles.

<i>How central is human resources within your organization's overall strategy?</i>	
<i>What are the most critical challenges in attracting and retaining talent?</i>	
<i>What ambitious yet realistic goals could help improve your human resources strategy over the next five years?</i>	

b. Responsible Research and Innovation

Responsible Research and Innovation (RRI) is a European standard designed to increase the impacts of research activities through the integration of 6 dimensions in their conception and implementation : public engagement, ethics, science education, gender equality, open access and governance.

<p><i>How does the organization embed responsible research and innovation (RRI) within its overarching research strategy?</i></p>	
<p><i>What governance-level obstacles hinder the broader implementation of RRI practices?</i></p>	
<p><i>What objectives could the governance set to enhance the implementation of RRI standards over the next five years?</i></p>	

c. Horizon Europe

<i>In your view, what are the main benefits of Horizon Europe for your organization?</i>	
<i>Does the organization have a dedicated Horizon Europe strategy? If not, what are the primary reasons?</i>	
<i>What are the most pressing internal obstacles that hinder your organization's participation in Horizon Europe?</i>	
<i>What objectives could the governance set over the next five years to strengthen Horizon Europe participation?</i>	



d. Synergies between structural funds (ERDF, EMFF, ESF, etc.) and Horizon Europe

<i>How would you characterize the current relationship between structural funds and Horizon Europe within your organization?</i>	
<i>Does your funding authority require any pro-Horizon Europe policies or set participation objectives as a condition for accessing structural funds?</i>	
<i>What objectives could governance set to use structural funds as a strategic asset to increase Horizon Europe participation?</i>	

ANNEX 3: Workshop 1 material

See next page



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REMORA
Small fishes in a big pond

T 1.2 – Workshop guidelines

Evelyne Tarnus & Philippe Holstein

November 2024



Madeira Regional Directorate of Environment and Sea

I. Objectives and expected outcomes

The first internal workshop is crucial for creating a thorough diagnosis of the bottlenecks that impede the competitiveness and the participation in Horizon Europe of CITEB, OKEANOS and OOM. During the past weeks, a select group of staff members completed a multidimensional analysis (focused on human resources, responsible research and innovation, Horizon Europe participation and funding synergies). This analysis relied on the completion of a self-assessment tool (based on desk research) and semi-structured interviews with experienced researchers, financial directors and governance members. The gathered insights provide an objectivized, fact-based view of the current performance and critical factors, presented in a draft diagnosis report.

With broader staff participation, the workshop has three main goals:

- share lessons learned and refine the diagnosis by integrating diverse perspectives;
- reach a consensus on the most pressing issues and performance-impacting factors;
- set a collective vision for the next five years to mobilize and orient all energies to a common goal.

For many organizations, this event will also serve as an initial opportunity to broadly communicate about REMORA, aiming to foster a long-term commitment to the project through a clear understanding of its objectives and benefits for each team member.

II. Preparation

Achieving clear objectives and outcomes requires careful preparation. As a rule of thumb, each hour of workshop time demands three hours of preparation to ensure a valuable, engaging, and productive experience for participants. The following guidelines offer a practical, time-saving and empowering resource to maximize the workshop's effectiveness. For any difficulty and/or question, please feel free to contact the authors via whatsapp or through an email.

1) Select participants

Defining the right panel is essential for a successful collective intelligence exercise. As a general principle, please pay attention to set-up a diversified and balanced group in terms of :

- *Gender*
- *Positions* : include researchers, support-staff, governance members.
- *Experience* : combine senior members (with in-depth knowledge of the organization) with newer staff and temporary members like PhD students and post-docs, who can bring fresh, semi-external perspectives. Individuals with experiences in other organizations with a substantial track record in terms of Horizon 2020 / Europe participations are also a primary target.
- *Attitudes* : Blend “black hats” profiles who identify risks with more optimistic, solution-focused people; intuitive participants who see the big picture with analytical, detail-oriented people; change-promoters with more cautious profiles.

For larger organizations like Okeanos and OOM/ARDITI, we suggest a maximum of 30 participants, excluding the team in charge of preparing and facilitating the workshop. For smaller organizations like

CITEB, consider including all staff, as well as colleagues and governance members from “Institut Bleu,” which will soon host the technical center.

After selecting the participants, please try to send the invitations at least two weeks before the meeting. Ask your colleagues to confirm their participation via an email or a registration form (which eases the production of the mandatory list of participants). The invitation shall be concise and explicit, indicating the time and location chosen, as well as emphasizing the importance of individual participation. We recommend to attach to this message the agenda, adapting the model provided in annex 2. To maximize engagement, send a direct calendar invitation and a recall mail the day before the workshop.

2) Set up the team

A successful workshop requires:

- 1) A presenter to lead the event, introduce the workshop and outline sessions.
- 2) A time-keeper to ensure each session respects the foreseen duration, observe how the workshop is going and take photos.
- 3) One facilitator per each group of 5 participants, responsible for presenting exercises, stimulating discussion, and keeping everyone engaged. We highly encourage you to pre-identify in each group a potential facilitator.

Hold a planning meeting with the team to outline the workshop’s itinerary using the model in annex 1, to ensure smooth execution and an even workload distribution. Get acquainted with the two facilitation tools used during the event (the “problem tree” and the “speedboat”, cf. [annex 4](#)) by reading the notices presented in annex 5.

3) Prepare the room and facilitation material:

Material conditions are known to influence participants’ mood and creativity and thus the quality of the outputs produced during a workshop.

- Room : reserve a large, flat room where everyone sits on equal footing. Avoid amphitheaters.
- Space setup : divide the room into zones – a presentation area (with projector), separate workplaces for subgroup discussions (each with 1-2 tables and 5 chairs) and a common area to post on the wall and discuss the posters filled by the groups.
- Noise : Space workplaces far enough apart to minimize noise disruptions.
- Group composition : arrange groups of up to 5 participants. Each participant will be part of two groups. During the 1st working session (using the speedboat), please try to compose groups mixing professional positions and profiles (cf. 1) so that the collective ambition emerges from and encompasses diversified perspectives. During the second working session, create more homogenous groups to provide a deeper understanding of the factors that limit the performance of your organization.

- Materials : provide each workplace with two printed posters (ideally in A3 or more) of the pre-completed speedboat (2) and problem tree (2) and a printed exemplar of the notice for each session. Also provide scrap papers, pens or markers, post-its, as well as tape or blu-tack to place the filled posters on the wall.
- Refreshments : Bring coffee, tea, juices and ideally delicatessen to welcome participants and give their energy level high during the breaks.
- Registration list : Print the registration list with a visible REMORA logo and mention of Horizon Europe support, using communication material developed by ARDITI. Include groups' compositions to ease the repartition of participants and save time.
- Paperboard : in the presentation zone install a paperboard on which you will note participants' expectations and questions.
- Check your projection system and bring a computer.

4) Prepare support documents

Participant outputs depend on the inputs provided. Ensure that the prior desk research and interviews' conclusions are readily available; as they form the foundation of the discussion. To that end, synthesize the main insights of your preliminary diagnosis report to complete 4 “problem tree” posters which explore the different dimensions of your analysis :

- Human resources : *how to attract and retain international talents to reach a critical mass of researchers and improve your scientific productivity and reputation through an adequate human resources strategy, attractive and respectful working conditions, training and development opportunities?*
- Responsible research and innovation : *how to effectively manage your R&I efforts and maximize your impacts using advanced European standards regarding ethics, gender, open access, public engagement and science education, etc.)*
- Horizon Europe framework : *how to intensify transnational collaborations and participation in Horizon Europe through the creation of favorable environment and institutional policy that encourages and supports researchers to submit highly competitive applications ?*
- Funding synergies : *How to effectively mobilize existing assets (such as infrastructures and equipment) and the resources provided by structural funds (such as ERDF) to intensify international collaborations notably with Horizon Europe “champions” (the organizations and networks that constitute the core of the European Research Area and monopolize coordination positions), through greater synergies ?*

For each problem tree, fill-in :

- The trunk : the description of the main problem
- The root causes : what are the key reasons that explain such problem ?
- The sub-causes : what are the underlying, deep, factors creating the root causes ?

III. Conducting your workshop:

The workshop is designed for a 3-hour timeframe, including breaks.

1) Introducing REMORA (20 min)

Start with a brief top-down presentation, using / adapting the provided workshop presentation ([annex 3](#))

- REMORA overview : outline key objectives and activities to ensure that all participants are familiar with the project. To foster engagement, please complete the slide “what REMORA will bring” with the benefits and positive changes you expect from the project.
- WP1 context : explain the purpose of WP1 to enable participants to master the context in which the workshop is organized and why their input is crucial for a robust and impactful “excellence for ERA roadmap”.

Then introduce the workshop objectives and agenda, dedicate 5 minutes for questions, and note expectations on a visible paper board.

2) Defining a common ambition (50 min)

The first working session aims at defining what could be your organization’s ambition in the 5 next year in terms of :

- research and innovation excellence
- participations in Horizon Europe.

Such foresight exercise allows participants to project themselves in a near and desirable future, they can contribute to forge. To that end, we propose the “speedboat” facilitation tool ([annex 5](#)), a support that uses the metaphor of a boat sailing towards an island to symbolize and describe the progress of a project towards a goal.

Thanks to its visual format, it allows a team to collectively reflect on 4 items :

- The boat: represents the team / organization
- The island : represents the ambition, the objectives to be achieved
- The sails : represent the strengths and internal resources we can count on to reach this ambition.
- The anchors: represent what slow down the boat, the internal obstacles to overcome to reach this ambition.

Start this session by presenting its objectives and guiding each group to select the ambition they will focus on : either *R&I excellence* or *Horizon Europe participation*. Ensure that least on group is working on one of this ambition. Then, direct participants to their designated working space and ask them to go through the notice. (5 min)

Within each group, ask participants to assign roles : a *facilitator* (if not pre-assigned), a *timekeeper* and a *reporter* responsible for taking notes, summarizing and presenting the group’s findings. The facilitator will introduce the tool and outlines the rules for effective collaboration. (5min)

Individual brainstorming : each participant writes down ideas on post-its regarding the ambition (the island), internal strengths (the sails) and internal obstacles (the anchors) (10 min).

Group discussion : for each item, participants place their post-its on the poster and explain their thoughts. The facilitator then groups similar ideas and encourages a discussion to consolidate the ambition and prioritize three main strengths and three key obstacles. The reporter synthetises the outputs on the second blank poster, using post-its of a different color (20 minutes).

Global synthesis : the reporter of each group presents in 2 minutes its findings to the full assembly for a summary discussion. The completed posters are then displayed on the wall for reference (10 minutes).

3) Break (10 min)

During the break, participants can freely review each group's "speedboat" posters and add comments using available post-its and pens.

4) Exploring challenges – 1st round (50 min)

The second working session aims to share and refine the primary conclusions of the preliminary diagnosis report. Each key dimension of the analysis (human resources, responsible research and innovation, Horizon Europe participation, funding synergies) are synthetized before the workshop on a visual support : the problem tree.

Begin this session by outlining the objectives and methodology. Each group will work on two pre-filled problem trees, taking on two distinct roles :

- for the first problem tree, participants will delve deeply into adjusting the diagnosis.
- in the second round, they will review and provide feedback on another group's tree.

Due to the interrelated nature of the dimensions, we suggest the following distribution:

Group number	1. Problem tree production	2. Problem tree revision
1	Human resources	Responsible research and innovation
2	Responsible research and innovation	Human resources
3	Horizon Europe	Synergies across funding sources
4	Synergies across funding sources and strategic use of infrastructures / equipments	Horizon Europe

Conclude your intervention by orienting participants to their working space (5 min).

In each group, ask participants to designate a facilitator, a time-keeper and a reporter. Facilitators should quickly explain the tool and the rules for effective collaboration (5 minutes).

Individual brainstorming : each participant writes down her/his propositions for adjusting the problems, causes, sub-causes and consequences on post-its (15 min).

Group sharing and discussion: for each item, participants place their post-its on the poster and elaborate on their ideas. The facilitator groups similar ideas and leads a discussion to reach a consensus on the core problem, main causes, sub-causes, and consequences. The reporter documents this output on a second poster using post-its of a different color (25 minutes)

5) Exploring challenges - 2nd round (30 min.)

In this follow-up round, each group is expected to review and enrich the problem tree refined by another group during the first round. This session is shorter, as participants are expected to refine existing propositions through a methodology they already understand.

Orient participants to their working spaces; paying attention that each group is working on the corresponding challenge (5 min).

Individual analysis : each participant reads and reflects on the completed posters, and notes key comments on a blank page (5 min).

Group discussion and refinement : Participants post their feedback and discuss adjustments with the group. The facilitator organizes similar ideas and guides the group in refining the statements regarding the problem, main causes, sub-causes, and consequences. (20 minutes).

6) Conclusion (20 min)

After the second discussion round, allocate 15 minutes for group spokespersons to present their conclusions.

In the remaining 5 minutes, wrap up the workshop effectively :

- Thank participants warmly for their contributions and provide personal reflections on the group's engagement or key insights.
- Inform participants that the workshop results will be incorporated into a refined version of the preliminary diagnosis report, which will be shared with them.
- Announce the upcoming second workshop in February, which will focus on identifying levers and solutions to address the identified issues and challenges.
-

IV. Follow-up

Take photos of both draft and final posters to avoid information loss.

Send a follow-up email thanking participants, requesting feedbacks through an online satisfaction survey and announcing the timeframe and objectives for the next workshop.

Review all inputs critically to decide whether they should be:

- discarded since they indicate a clear bias or appear at odds with the preliminary diagnosis
- refined
- integrated since they appear fact-based and consistent with the preliminary diagnosis.

Complete the workshop presentation support with the key results, using the provided template.

Enrich your preliminary report in a second version by

- completing for each dimension, the “factors” section with the updated problem tree.
- enhancing the ambition section

V. Annexes to the Workshop 1 guidelines

All annexes are available on a REMORA shared [google drive folder](#) :

1) Example of workshop itinerary

https://docs.google.com/document/d/1u1JS0V_uNdS1_yjoJ6HndtKV-VicgL3q/edit?usp=drive_link&oid=102569048159631501903&rtpof=true&sd=true

2) Workshop agenda :

https://docs.google.com/presentation/d/1uQSLR1q_r6Ty17qtQsPI76uujdWf5EbL/edit?usp=drive_link&oid=102569048159631501903&rtpof=true&sd=true

3) Workshop presentation

https://docs.google.com/presentation/d/1olvd2divCZyTyb0jKY1HbuORzUnNuF7f/edit?usp=drive_link&oid=102569048159631501903&rtpof=true&sd=true

4) “Speedboat” and “Problem tree” posters

https://docs.google.com/presentation/d/1k8eJh1irFf9xke_Hd9GA6oypCzx0ffGd/edit?usp=drive_link&oid=102569048159631501903&rtpof=true&sd=true

5) “Speedboat” and “Problem tree” notices

Speedboat :

https://docs.google.com/document/d/1iKJUgtWL5o8Wim3YP3vhZud5SMuSOjvM/edit?usp=drive_link&oid=102569048159631501903&rtpof=true&sd=true

Problem tree:

https://docs.google.com/document/d/1Sxdvc4il6UfWv5MMbTbm4FtXzKQ4z_K/edit?usp=drive_link&oid=102569048159631501903&rtpof=true&sd=true

ANNEX 4: Workshop 2 material

See next page.





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T 1.3 – Workshop guidelines

Evelyne Tarnus & Philippe Holstein

January 2025



I. Objectives and expected outcomes

During the first internal workshop, participants defined a common ambition for the coming five years to increase the organization's performance and participation in Horizon Europe. They also reflected on the most pressing internal factors and obstacles impeding this ambition, using the lessons learned from the desk analysis conducted during T1.1. As a direct follow-up, the second workshop is primarily designed to collectively define operational objectives and practical interventions to overcome the identified obstacles and achieve the desired ambition. The conclusions will be translated into an action plan, integrated into each organization's "excellence 4 ERA roadmap".

Besides this operational objective, the second workshop targets two main outcomes :

- Maintain the engagement of all team members; a necessary condition to achieve the successful transformation targeted by REMORA.
- Reinforce team cohesion by defining bottom-up actions that will improve working conditions as well as personal and collective achievements.

II. Preparation

Achieving clear objectives and outcomes requires careful preparation. As a rule of thumb, each hour of workshop time demands three hours of preparation to ensure a valuable, engaging, and productive experience for participants. The following guidelines offer a practical, time-saving, and empowering resource to maximize the workshop's effectiveness. For any difficulty and/or questions, please contact us.

1) Select participants

Defining the right panel is essential for a successful collective intelligence exercise. As a general principle, please pay attention to compose a diversified and balanced group in terms of :

- *Gender*
- *Positions*: include researchers, support staff, governance members.
- *Experience*: combine senior members (with in-depth knowledge of the organization) with newer staff and temporary members like PhD students and post-docs, who can bring fresh, semi-external perspectives. Individuals who have worked in organizations with a substantial track record of Horizon 2020 / Europe projects are also a primary target.
- *Attitudes*: Blend "black hats" profiles who identify risks with more optimistic, solution-focused people; intuitive participants who see the big picture with analytical, detail-oriented people; change-promoters with more cautious profiles.

For larger organizations like Okeanos and OOM/ARDITI, we suggest a maximum of 30 participants, excluding the team in charge of preparing and facilitating the workshop. For smaller organizations like CITEB, consider including all staff, as well as colleagues and governance members from "Institut Bleu.

After selecting the participants, please try to send the invitations at least two weeks before the meeting. Ask your colleagues to confirm their participation via an email or a registration form (which eases the production of the mandatory list of participants). The invitation shall be concise and explicit, indicating the time and location chosen, as well as emphasizing the importance of individual participation.

We recommend attaching to this message the agenda, adapting the model provided in Annex 2. To maximize engagement, share a direct calendar invitation and a recall mail the day before the workshop.

Please attach to your message the conclusions from the first workshop (the completed “speedboat” and “problem trees” posters) and ask each participant to read this material.

2) Set up the team

A successful workshop requires:

- 4) A presenter, leading the event, introducing the workshop, and outlining sessions.
- 5) A timekeeper ensuring each session respects the foreseen duration, observing the workshop’s dynamic and taking photos.
- 6) One facilitator per group of 5 participants, responsible for presenting exercises, stimulating discussion, and keeping everyone engaged. We highly encourage you to pre-identify in each group a potential facilitator.

Hold a planning meeting with the team to outline the workshop’s itinerary using the model in Annex 1 and ensure smooth execution and even workload distribution. Get acquainted with the facilitation tool used during the event: the “solution tree”, by reading the notice presented in annex 4.

3) Prepare the groups

Prior to the meeting, arrange groups of up to 5 participants, with various professional positions and profiles (cf. 1) to ensure that the proposed operational objectives and interventions are grounded on the practical experience of each team member and can be operationalized.

Each group will mostly be working on 2 “solution trees”, so we invite you to define the groups taking into consideration the fields of interests of the participants. We notably recommend maintaining as much as possible the same group composition as during workshop 1, to capitalize on the knowledge developed.

Group number	3. Solution tree production	4. Solution tree revision
1	Human resources	Responsible research and innovation
2	Responsible research and innovation	Human resources
3	Horizon Europe	Synergies across funding sources
4	Synergies across funding sources and strategic use of infrastructures / equipment	Horizon Europe

Make sure to have the groups’ composition under your eyes to orient participants to their workplace as they register.

4) Prepare the room and facilitation material:

Material conditions are known to influence participants' mood and creativity and thus the quality of the outputs produced during a workshop.

- Room: reserve a large, flat room where everyone sits on equal footing. Avoid amphitheaters.
- Space setup: divide the room into zones – a presentation area (with projector), separate workplaces for subgroup discussions (each with 1-2 tables and 5 chairs), and a common area to post on the wall and discuss the posters filled by the groups. To save time, please guide directly participants to their workplace before the meeting begins.
- Noise: Space workplaces far enough apart to minimize noise disruptions.
- Materials: provide each workplace with :
 - an A4 notice, describing the methodology to complete the solution trees.
 - an A4 poster of the completed problem tree (from the first workshop)
 - two A3 posters of the solution tree template
 - scrap papers, pens/markers, post-its
 - tape or blu-tack to place the filled posters on the wall.
- Refreshments: Bring coffee, tea, juices, and ideally delicatessen to welcome participants and give their energy level high during the breaks.
- Registration list: Print the registration list with a visible REMORA logo and mention of Horizon Europe support, using communication material developed by ARDITI.
- Paperboard: in the presentation zone install a paperboard on which you will note participants' expectations and questions.
- Check your projection system and bring a computer.

III. Conducting your workshop:

The workshop is designed for a 3-hour timeframe, including a break.

1) Introduction (10 min)

Start with a brief top-down presentation using/adapting the provided workshop presentation

- Introduce briefly WP1 and the associated chronology to position the workshop in a logical framework: What have we done so far? What will we do after?
- Recall the objectives of this workshop: defining operational objectives and tangible actions to reinforce the organization's performance (scientific excellence and regional impacts) and participation in Horizon Europe.

- Present why the workshop is important: the conclusions will lay the foundations of a roadmap that will be integrated into the organization's next strategic document (e.g. development plan). REMORA provides the opportunity to foster bottom-up propositions.
- Describe the workshop schedule.

2) Sharing the ambition(s) (15 min)

As a direct follow-up to the introduction, rapidly present the completed “speedboat” describing the organization's ambition in terms of research and innovation performance. And ask participants if they would like to comment or propose adjustments.

Repeat the same process with the second speedboat, focusing on Horizon Europe.

3) Introducing the “solution tree” tool (10 min).

Start this session by recalling participants that REMORA considers 4 dimensions that influence the performance and participation in Horizon Europe : human resources strategy, responsible research and innovation (or more simply knowledge transfer), pro-Horizon Europe environment and synergies across funding.

For each dimension, the first workshop identified a core problem, explained by primary causes, themselves influenced by secondary / sub-causes. Illustrate with the poster of your choice.

Introduce the objective : transform each “problem tree” in a “solution tree”, by reversing negative statements into positive objectives and changes:

- The core problem becomes the core objective
- The primary causes become operational objectives to reach this core objective.
- The secondary causes become interventions, actions needed to fulfil the operational objectives.

4) First round of ideation – building a solution tree (50 min)

Within each group, ask participants to assign roles: a *facilitator* (if not pre-assigned), a *timekeeper* and a *reporter* responsible for taking notes, summarizing and presenting the group's findings. The facilitator will introduce the tool and outline the rules for effective collaboration. (5min)

Definition of the core objective :

- A volunteer proposes to reframe the core problem in a positive statement. Group members propose adjustments. The reporter writes this objective on the second poster. (5 min)

Definition of the operational objectives :

- A volunteer proposes to reframe a primary cause in an operational objective. Group members propose adjustments. The reporter writes this objective on the second poster. (5 min)
- Repeat the exercise for the remaining primary causes.

Individual brainstorming: each participant takes time to reflect on the sub-causes identified during the first workshop and imagine relevant actions (in a 5-year timeframe) to address them and contribute to the operational objective. These actions are written down on Post-its. (15 min)

Group sharing and discussion: for each operational objective, participants place their post-its on the poster and elaborate on their ideas. The facilitator groups similar ideas and leads a discussion to select the most realistic, actionable, and impactful solutions/actions (no more than 3 per operational objective). The reporter synthesizes the outputs on the second poster, using post-its of a different color (20 minutes).

Make sure to leave this poster at the workplace for the next group.

5) 2nd round of ideation – revising solution tree (30 min).

During this second session, each group will be asked to review and enrich the solution tree completed by another group during the first round.

Individual brainstorming: each participant writes down her/his propositions for adjusting the operational objectives and potentially complementary priority actions on post-its. (10 min)

Group sharing and discussion: The facilitator leads the discussion to define a common proposition of adjustments to the operational objectives, to prioritize the actions proposed by the previous group, and to propose complementary actions. The reporter documents this output on the poster using post-its of a different color (20 min).

The completed posters are displayed on the walls.

6) Break (15 min)

During the break, participants are invited to read the completed solution trees.

7) Planning key actions – collective discussion (40 min)

As an introduction, each reporter presents for 2 minutes the priority actions to remove the identified obstacle. (8 min).

The presenter then engages in a discussion to prioritize 5 to 8 actionable actions across all solutions trees that have the potential to substantially improve the performance and participation in Horizon Europe by addressing several dimensions (Human Resources, Responsible Research and Innovation, Pro-Horizon Europe environment, Funding synergies).

If enough time remains, participants can be invited to precise for each of these priority actions, the resources needed and to express their interest to be involved in an informal working group to refine these actions and make them operational.

8) Conclusion (10 min)

The presenter begins the conclusion with a quick recall of the priority actions.

(S)he then informs participants that the conclusions from the workshop will be integrated into a preliminary version of the organization's "excellence for ERA roadmap" to be delivered by May 2025, and encourages volunteers to contribute to the definition of this roadmap as well as priority actions.

(S)he thanks participants warmly for their contributions and provides personal reflections on the group's engagement or key insights.

IV. Follow-up

Take photos of both draft and final posters to avoid information loss.

Send a follow-up email thanking participants and requesting feedback through an online satisfaction survey.

Review all inputs critically to decide whether they should be:

- discarded since they indicate a clear bias or appear disconnected from the operational objectives defined.
- integrated since they appear both actionable (during the coming five years) and impactful.

Complete the workshop presentation with the key results, using the provided template.

Enrich your “excellence for ERA” roadmap by completing the II.B section “Action plan”.

V. Annexes to the Workshop 2 guidelines :

All annexes are available on a REMORA shared [google drive folder](#) :

1) Workshop agenda :

https://docs.google.com/presentation/d/1_0Kz7XMMUm300R65oDEBZKkZiwDWMCNw/edit?usp=drive_link&ouid=102569048159631501903&rtpof=true&sd=true

2) Workshop presentation

https://docs.google.com/presentation/d/1_0Kz7XMMUm300R65oDEBZKkZiwDWMCNw/edit?usp=drive_link&ouid=102569048159631501903&rtpof=true&sd=true

3) “Solution tree” poster

https://docs.google.com/presentation/d/1z5nBhH7psl9ePFDnWjCEd1YPqzg26Ax2/edit?usp=drive_link&ouid=102569048159631501903&rtpof=true&sd=true

4) “Solution tree” notice

https://docs.google.com/document/d/13s5q69TgBCdiK6gyutkGtszZKalOxg-g/edit?usp=drive_link&ouid=102569048159631501903&rtpof=true&sd=true

ANNEX 5: Excellence for ERA roadmap template

See next page





Funded by
the European Union



REMORA
Small fishes in a big pond

« Excellence for ERA » roadmap

Organisation's name

LOGO

January 2025



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Information

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0.2		
...		
...		
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1.0		

EXECUTIVE SUMMARY

Please provide a 1/2 page summary



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I. ORGANIZATIONAL DIAGNOSIS AND KEY CHALLENGES

A. PRESENTATION OF [NAME OF THE ORGANIZATION]

1. Vision, Mission, and Strategic Objectives

Please introduce the organization's foundational purpose and long-term vision. You could outline the organization's mission, core values, and strategic objectives, Describe how the organization envisions its role in advancing research and innovation at local, national, and international levels, highlighting ambitions for societal impact, knowledge creation, and scientific leadership.

2. Research Fields, Facilities, and Resources

Please provide a focused description of the organization's research expertise and resources. You could list the primary research fields and specializations, noting their relevance to Horizon Europe's thematic areas. Describe key facilities, laboratories, and any unique equipment or infrastructure that supports cutting-edge research. Include information on any digital resources, data repositories, or specific tools that enhance the research environment and contribute to high-quality outputs.

3. Teams

This section aims to showcase the organization's intellectual capital. You could introduce the human resources structure, teams, individuals, and their areas of expertise, highlighting any interdisciplinary approaches.

4. Participation in Horizon projects

Please introduce the list of Horizon projects (H2020 / HEU) in which your organization is involved.

Acronym	Title	Programme (H2020 or Horizon Europe)	Pillar/Cluster	Organization Budget	Role

5. Key international collaborations

Briefly describe major current or recent international collaborations, notably with EU partners and networks.

B. SELF-ASSESSMENT GLOBAL RESULTS

1. Self-assessment on 4 dimensions

A self-assessment tool was designed to help evaluate how the organization is positioned concerning the main factors that influence its competitiveness in the European Research AREA and successful participation in Horizon Europe.

Using scientific publications, institutional reports and existing instruments, this tool focuses on four key dimensions:

- Human resources: *How to attract and retain international talents to reach a critical mass of researchers and improve scientific productivity and reputation through an adequate human resources strategy and better working conditions?*
- Responsible Research and Innovation: *How to maximize the impacts of your research activities through the incorporation of advanced R&I management standards (such as open science, ethics, public engagement, etc.) ?*
- Pro-Horizon Europe strategy: *How to intensify transnational collaborations and participation in Horizon Europe through the creation of favorable environment and institutional policy that encourages and supports researchers to submit highly competitive applications ?*
- Funding synergies: *How to effectively mobilize existing assets (such as infrastructures and equipment) and the resources provided by structural funds (such as ERDF) to intensify international collaborations notably with Horizon Europe “champions” (the organizations and networks that constitute the core of the European Research Area and monopolize coordination positions), through greater synergies ?*

2. Results

Please copy-paste the Radar diagram from the self-assessment tool and add your comments on such results, highlighting key strengths and challenges.

C. HUMAN RESOURCES ANALYSIS

1. Self-assessment results

Please copy-paste the results from the self-assessment tool as well as comments for this dimension.

2. Factors identified during interviews

Please describe the underlying factors that explain the challenges identified through the self-assessment.

3. Factors identified during internal workshop

Please copy-paste here the problem tree enriched during the first internal workshop. Feel free to add comments to present this dimension.

D. RESPONSIBLE RESEARCH AND INNOVATION ANALYSIS

1. Self-assessment results

Please copy-paste the results from the self-assessment tool as well as comments for this dimension.

2. Factors identified during interviews

Please describe the underlying factors that explain the challenges identified through the self-assessment.

3. Factors identified during internal workshop

Please copy-paste here the problem tree enriched during the first internal workshop. Feel free to add comments to present this dimension.

E. PRO-HORIZON EUROPE STRATEGY ANALYSIS

1. Self-assessment results

Please copy-paste the results from the self-assessment tool as well as comments for this dimension.

2. Factors identified during interviews

Please describe the underlying factors that explain the challenges identified through the self-assessment.

3. Factors identified during internal workshop

Please copy-paste here the problem tree enriched during the first internal workshop. Feel free to add comments to present this dimension.

F. FUNDING SYNERGIES ANALYSIS

1. Self-assessment results

Please copy-paste the results from the self-assessment tool as well as comments for this dimension.

2. Factors identified during interviews

Please describe the underlying factors that explain the challenges identified through the self-assessment.

3. Factors identified during internal workshop

Please copy-paste here the problem tree enriched during the first internal workshop. Feel free to add comments to present this dimension.

G. [NAME OF THE ORGANIZATION] KEY ASSETS & CHALLENGES

Please complete this table to highlight the key challenges for each dimension, use results from workshop 1 and the inputs from the Mutual Learning event.

HUMAN RESOURCES	Key assets
	Key challenges
RESPONSIBLE RESEARCH AND INNOVATION	Key assets
	Key challenges

PRO-HORIZON EUROPE STRATEGY ANALYSIS	Key assets
	Notably regarding coordination role in Horizon Europe projects
	Key challenges
	Notably regarding coordination role in Horizon Europe projects
FUNDING SYNERGIES	Key assets
	Notably regarding Research infrastructures:
	Key challenges
	Notably regarding Research infrastructures:

II. AMBITION AND ACTION PLAN

A. BECOMING EU CHAMPIONS

1. AMBITION IN RESEARCH & INNOVATION

Please introduce and present the ambition developed during the internal workshop n°1, for the coming five-year.

2. HORIZON EUROPE PARTICIPATION AMBITION

Please introduce and present the ambition developed during the internal workshop n°1, for the coming five-year.

B. ACTION PLAN

The action plan is based on the results of the second internal workshop, dedicated to the definition of operational objectives and practical interventions to overcome the identified obstacles and achieve the desired ambition. Please exploit the revised solutions trees produced during this workshop as well as the planned actions to lay the foundations of your action plan. Make sure to dedicate at least one strategic objective to establishing more synergies with ESIF-funded infrastructures.

1. Strategic objective n°1 :

From the first solution tree, please extract the core objective, reformulate it in a SMART way, and describe:

- *The expected changes/results in the coming five years*
- *How they will benefit your organization?*
- *The main outcome indicators*
- *The dedicated resources.*

Integrate the revised solution tree to illustrate your action plan and the connections between the strategic and operational objectives, as well as the contributions of foreseen actions.

a) Operational objective a

The operational objectives are found below the core objective in the solution tree. Please express this objective in a SMART way and briefly describe :

- *How it practically contributes to the strategic objective*
- *The content: what will be achieved*
- *Resources needed*
- *Responsible team*
- *People involved*

b) Operational objective b

Please reiterate the same exercise as for operational objective a.

c) Operational objective c

Please reiterate the same exercise as for operational objective a.

2. Strategic objective n°2

Please reiterate the same exercise as for strategic objective 1.

a) Operational objective d

Please reiterate the same exercise as for operational objective a.

b) Operational objective e

Please reiterate the same exercise as for operational objective a.

Duplicate the same approach for the two other strategic objectives and the associated operational objectives.

C. ACTION PLAN MONITORING

For each strategic objective, fill in the following table :

Strategic objective 1	
Responsible people/team :	Expected results : <i>Please describe the expected beneficial changes in a 5 year period</i>
Op objective a - ➤ <i>Responsible :</i> ➤ <i>Target groups :</i> ➤ <i>Implementation indicator(s)</i> ○	Outcome indicator(s) : <i>Choose one or several indicators directly related to the expected results. Ideally, define a target value</i>
Op objective b - ➤ <i>Responsible :</i> ➤ <i>Target groups :</i> ➤ <i>Implementation indicator(s)</i> ○	
Op objective c - ➤ <i>Responsible :</i> ➤ <i>Target groups :</i> ➤ <i>Implementation indicator(s)</i> ○	Dedicated resources : <ul style="list-style-type: none"> • Human resources • Financial resources

ANNEXES TO THE EXCELLENCE FOR ERA ROADMAP

1. Completed self-assessments
2. Interview results
3. List of attendees to workshop n°1
4. Workshop n°1 Satisfaction survey results
5. List of attendees to workshop n°2
6. Workshop n°2 Satisfaction survey results

