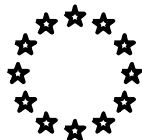


# **2001**

**EXTERNAL MONITORING REPORT  
ON THE  
SPECIFIC PROGRAMME  
FOR  
RESEARCH AND TECHNOLOGICAL  
DEVELOPMENT**



**IN THE FIELD OF**

**CONFIRMING THE INTERNATIONAL  
ROLE OF COMMUNITY RESEARCH**

*This is part of the series of the external annual monitoring reports prepared for the EC Framework Programme and the Euratom Framework Programme, and their constituent Specific Programmes, and as a new initiative also the implementation of the European Research Area(ERA) and related activities,*

*The Commission has over the years been placing increasing emphasis on the evaluation of Community R&D activities. With the overall Reform of the Commission, evaluation activities are more and more placed in the heart of the decision process. In line with this continuous effort for improvement, a revised programme monitoring scheme has been introduced in 2001, based on the system launched in 1995 which involved independent external experts in the monitoring activities. The new mechanism launched this year has been constructed to better involve the experts monitoring the implementation of ERA and specific programmes by representing them in the Framework programme Expert Group. The timely response by the Programme management to the recommendations produced by the experts will be enhanced, providing the basis for a quick response mechanism to programme developments, as the follow up of experts recommendations will be receiving still more attention.*

*This report is the third covering the Fifth Framework Programme; the report also highlights progress in relation to implementation of ERA and results and impact of previous Framework Programmes. The report should help reinforce establishment of best practices and identify the scope for further improvements in programme implementation.*

*The report consists of two parts:*

**Part A:** *External monitoring report prepared by the following independent external experts:*

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Keith HARRAP (Rapporteur)  
Claudio BOGLIOTTI*

**Part B:** *Responses of the Programme management to the external monitoring report.*

**PART A:**

**Report of the external Monitoring Panel**

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# 1. EXECUTIVE SUMMARY

- INCO is a diverse international cooperation research programme pursued through two complementary routes; firstly a dedicated research programme targeting several distinct socio-geographical areas (see Annex 6.2) and secondly an international cooperation dimension integral to the other Thematic Programmes (TP) in the Framework Programme (FP). It is largely this dedicated programme that has been the focus of attention for the 2001 Monitoring assessment undertaken by an Expert Group of three external experts.
- Management issues have been an important area for analysis for the 2001 Monitoring effort as a result of the major re-organisation undertaken in DG Research at the start of the year. The abolition of the Directorate previously responsible for the INCO Programme in FP 5 and the transfer of the scientific management of a significant number of projects to other Directorates represented a considerable upheaval for the staff that remained. The Expert Group remain seriously concerned about the wisdom of this and way in which it was planned, communicated, and implemented at this stage of FP 5. It is a credit to individual members of the staff that on-going work and new initiatives were dealt effectively with no significant negative impact or dramatic delays in the implementation of INCO projects by the two Units representing what remained of the former INCO Directorate and reporting to the Deputy Director-General who retired during the course of the year. This has meant that the line management of INCO in FP 5 has had to be directly to the Director-General. Fortunately the INCO programme had an excellent management information system in place to assist it in this difficult period and the 2001 Monitoring Expert Group has also benefited from the data that could be accessed as a result.
- The Expert Group devoted some effort in the Monitoring process to assessing the implications of the ERA concept on international cooperation and the way in which this can be developed in FP 6 as well as its current implications for FP 5. The Expert Group has benefited greatly from the thinking embodied in the Commission Communication (COM 346 (2001) final) on The International Dimension of ERA and sees this as a significant baseline document at a strategic level. The document is particularly important in view of the perceived lack of international thinking in TPs and the possible perception that EU bilateral S&T agreements alone represent the totality of international cooperation for FP 6. The Expert Group is concerned that the legacy of INCO (and STD before it) is not abandoned and that the philosophy it embodied is carried forward into the TPs if the character of EU international scientific cooperation is not to be damaged.
- The Expert Group is also keen to see yet more emphasis on assessing the outputs of work undertaken in the Programme, the dissemination of the resulting information, the effectiveness of take-up, and the eventual outcomes derived from undertaking the research work in the first place. Benchmark indicators that can be used to relate outputs (and ultimate outcomes) to Programme and project objectives would also be highly beneficial for the Monitoring process particularly in the field of international cooperation where areas of activity and targets can be very diverse. INCO has made a start in this area in the form of a prototype study of the impact of a modest number of completed projects in FP4 which could form a useful starting point for the development of further methodological approaches relevant to ERA and FP 6.
- The Expert Group has made a number of specific recommendations relevant to the INCO Programme as operated in FP 5 in 2001. However it was conscious that significant management change to the INCO Programme already anticipates the organisation that will prevail in FP 6.

The Expert Group is concerned however for the future of international cooperation in FP 6 in the absence of clear and detailed operational planning for its modes of delivery. There is an urgent need to build on the strategic concepts set out in COM 346(2001) final and communicate these to the wide range of stakeholders involved in many countries if EU international cooperation is to have global credibility. Some of the Expert Group's main recommendations (with relevant paragraph numbers in parenthesis) which reflect such concerns are set out below:

- ❑ *COM 346 (2001) final is an important baseline document at a strategic level. To build on this the Commission needs to consider the operational ways in which it will deliver international cooperation in the context of FP 6 and more widely and what actions are needed to make this work in particular areas and circumstances “on the ground” (5.2.2)*
- ❑ *The Commission should embrace the role of nurturing scientific expertise in particular countries or particular circumstances not least to enhance its own influence and standing. (5.2.3)*
- ❑ *The philosophy of INCO has to be transferred to the TPs if the FP is to be a realistic instrument for fostering international cooperation. (5.2.3)*
- ❑ *There is a need to find a politically and legally acceptable solution that will enhance NAS participation under appropriate contractual arrangements. (5.2.5)*
- ❑ *There would be merit in exploring an INTAS-like managerial solution for the future operation of COST in which its secretariat function is established as a separate legal entity. (5.2.7)*
- ❑ *The Expert Group recommends establishing an international cooperation strategic steering team (ICST) or unit and small steering committee under the responsibility of the Deputy Director-General. (5.2.4)*
- ❑ *A strategic analysis of the various components of international cooperation needs to be developed for FP 6 that builds on the Commission Communication COM 346 (2001) final and gives it operational coherence in the context of the FP 6 Thematic Priorities and other instruments. (5.2.11)*
- ❑ *Dedicated International Cooperation Research (INCOR) targeting special issues not easily addressed in other ways should be an identified responsibility of a unit or resource group in the management of FP 6. (5.2.9)*
- ❑ *Project Logical Frameworks should be used to manage the project cycle and reinforce the need to deliver outputs that have an impact on the issues that necessitated the research effort in the first place. (5.2.10)*
- ❑ *Action should be taken to collate data on project activities in place as a result of, or embraced under, S&T agreements with third countries so that monitoring progress and performance in this Area can be more readily achieved. (5.2.12)*
- ❑ *There is a need for a continuing approach to developing tools for assessment of effectiveness and usefulness of the eventual outcomes resulting from the research efforts of the FP 5 INCO programme and in the future of the international dimension of FP 6. (5.2.14)*

More detailed recommendations specifically at Programme level can be found itemised in paragraphs 5.2.5 and 5.2.6 of the report.

## 2. EXPERT GROUP METHODOLOGY

### 2.1 MEETINGS AND SOURCES OF INFORMATION

- The INCO SP Monitoring Expert Group comprised three experts. The original intention was that it should have four members but one had to resign before work commenced due to illness. The Expert Group met 8 times in Brussels and had two joint meetings involving the FP Panel (Annex 6.4). It has interviewed over twenty officials (Annex 6.5), some more than once. The Expert Group appreciated in particular two occasions to exchange its views with the Director General who demonstrated an unprecedented direct interest and leadership in the conduct of international policy, including the management of INCO. The agenda for meetings was provided by the Commission services after consultation with the Expert Group Chair. A record of meetings was kept and minutes prepared by the rapporteur for onward transmission to the FP Panel. A record was also maintained of all Expert Group papers that were generated (Annex 6.6).
- A considerable amount of printed and web-based information was made available to the Expert Group both spontaneously and as a result of requests. The Expert Group greatly appreciates the amount of work by Commission Services involved in making this material available. A complete list was maintained as work progressed and is provided at Annex 6.3.

#### 2.1 Workplan and tasking

- The Expert Group prepared a workplan at an early stage to guide its own work. Responsibilities for different Areas of the INCO programme were assigned to Expert Group members and tasks, their timing, and appropriate sources of information input were designated based on the requirements of the Broad Guidelines. The major tasks were:
  1. Progress in implementation
  2. Programme and project management
  3. Participation by Candidate Countries
  4. Contribution to the implementation of ERA
  5. Impact of earlier research framework programmes
  6. Other issues
  7. Follow-up of previous recommendations
  8. Recommendations for 2002
- Guidelines were developed as a structure for interviewing different categories of people. These were provided to interviewees as *aide memoires* and in some cases written responses were also received after interviews. Some telephone discussions and e-mail exchanges also took place.
- A questionnaire was drafted and used in a survey of views from Programme Committee members (Annex 6.7) though the response rate was disappointing.
- A visit was made to INTAS.
- Two members of the Expert Group also acted as observers of proposal evaluations in INCO Calls.

#### 2.3 Expert Group output

- Individual Expert Group members provided inputs to the required “pre-issues paper” and the draft report for Programme Areas that were their responsibility. In each case these were used by the rapporteur to produce a composite document.
- Members also provided individual analyses of particular issues and topics of interest to guide the Expert Group’s analysis and formulation of conclusions and recommendations.
- A composite draft report was prepared by the rapporteur and edited taking into account further comments from Expert Group members and Commission Services for submission as a final draft report.

### 3. INTRODUCTION

- 3.1 INCO is a diverse Programme pursuing two complementary routes (i) a dedicated international cooperation programme with several distinctive Areas designated in its Work Programme and (ii) an international cooperation dimension integral to each of the other Thematic Programmes (TP). The distinctive Areas of (i) are referred to by letter as set out in Annex 6.2 of this report. The international cooperation dimension ((ii) above) integral to each of the other TPs is not in the INCO Work Programme as such - though the A5 Work Programme text might be seen as creating some ambiguity here. Under the re-organisation of DG Research and the dismantling of the former Directorate E in 2001 Unit 06 has responsibilities for the dedicated programme ((i) above) and Unit 05 for the international cooperation dimension integral to the TPs ((ii) above). In the absence now of an INCO Programme Director both Units formally reported to the Deputy Director-General (Deputy DG) but as the post-holder retired in 2001 and the new appointee has only recently been announced the line management of the Units has been to the Director-General (DG) for much of the year. Led by the Director General and intended as a way to give more importance to the international dimension throughout FP 6 and more broadly throughout all activities of DG Research INCO's reorganisation should be seen in the broader context of DG Research's overall reorganisation.
- 3.2 Inevitably the major event of the year for Unit 06 in delivering the dedicated programme has been to accommodate the ramifications of the reorganisation put in place for INCO and ensure a successful transfer of the scientific management of 443 projects to officials in other appropriate Directorates (see 4.2.1.1). This was a significant undertaking and not without risks. Its implementation achieved without major disruption to the contractors involved in the diverse range of scientific projects is a credit to the staff concerned. Despite these internal upheavals the objectives of the dedicated work programme were maintained and Calls were implemented successfully despite significant reductions in staffing. The generic Programme objectives remain ambitious in terms of EU external policy and influence, scientific mobility, addressing socio-economic issues, fostering trans-boundary approaches, consolidating scientific and technological expertise, enhancing sustainable development, achieving collaboration and networking and fostering training. The work for Unit 05 in furthering the international cooperation dimension in each of the TPs has been no less challenging as ERA has taken shape and the need for a coherent dimension to this, initially apparently lacking, became increasingly obvious. Further development of EU bilateral S&T agreements and anticipated renewals of others has been a further active area of effort.
- 3.3 A number of INCO Calls have been launched successfully including a new Call for the Balkans. No particular implementation problems have been noted except problems in take-up of mobility bursary opportunities. All the ongoing bursaries have now been transferred to Directorate D. From the point of view of participation, and by comparison with 1999, Calls for proposals relating to developing countries have been really successful and to Mediterranean countries partially so. The Balkan Call in Area A2 also attracted significant interest. The visibility of the Programme appears to be high in third countries. The new Calls, permanently open Calls and resulting proposal evaluations have been managed by Unit 06 staff without particular problems. However, given the workload in services across the DGs it has not always been easy to associate thematic specialists from other DGs in these evaluation processes, even though this is highly desirable as a practical way of seeking synergies. In the training area open Calls have been active throughout 2001 though the participation in 2001 was relatively low.

3.4 The committed budget for the dedicated programme in 2001 was around 132.593Mio€ with Area A4 (Research for Development) being the largest component at 87.037 Mio€ followed by Area A2 (NIS and CEEC not in pre-accession phase) at 27.143 Mio€, Area C at 12.716 Mio€, Area A3 (Mediterranean Partner Countries) at 2.357 Mio€, Areas B1 (Bursaries for developing country researchers) and B2 (Japan fellowships) at 1.562Mio€, Area A5 (Emerging Economies and Industrialised Countries) at 1.358 Mio€ and Area A1 (NAS) at 0.293 Mio€. More detailed information can be found in Annex 6.1.

## **4. ANALYSIS AND FINDINGS**

### **4.1 STRATEGY - OBJECTIVES**

#### **4.1.1 Progress in ERA and programme implementation**

4.1.1.1 This has been a year of transition for the INCO programme resulting in some fundamental managerial changes. Within the context of ERA there has been a significant paradigm shift for INCO from the earlier modes of integration to achieve a programme with an international cooperation rationale to one of dispersion where the essence of the programme is distributed across the Framework Programme as a whole. This fundamental change was implemented after the departure of the Programme Director and in anticipation of new approaches to international cooperation in FP 6 as embodied in the Commission Communication - The International dimension of the ERA (COM (2001)346 final) adopted in June 2001. The impact on the personnel involved in INCO has been substantial. The interpretation put on the changes envisaged for international cooperation by the world outside the European Commission has not always been positive

#### 4.1.1.2 INCO contribution to the evolution of ERA

- The Year 2001 was a very interesting year for the overall strategic programme development for international scientific cooperation at Community level since the transition from FP 5 to FP 6 will lead to a further evolution in this area and a new definition of the role of the international dimension in European RTD activities. Over the years, the developments have been very impressive ultimately culminating in bringing together in 1995 all international R&D activities under one single INCO Programme with differentiation to allow for specific features of different regions.
- In the Expert Group's view the INCO programme has greatly contributed to the evolution of ERA. INCO was instrumental in the dialogue with the Newly Associated States (NAS – the preceding terminology of 'Candidate Countries' includes all NAS and Turkey), and it is especially widely respected and welcomed for its achievements and contributions to EU-enlargement and the integration of the Candidate Countries. It also paved the way for integrating research with development aid on a European basis. At the same time, as of 1994, cooperation was established with certain emerging economies and industrialised countries under the umbrella of Science and Technology cooperation agreements. To date 18 such agreements have been signed (including Euratom agreements) and negotiations are underway with more countries. There are also 17 association agreements in place. Nor should one forget joint Community and Member state operations resulting in the establishment of INTAS for cooperation with scientists from the New Independent States (NIS) of the former Soviet Union.

- The Communication from the Commission (COM (2001)346 final on the International dimension of the ERA was a major achievement in 2001. The Expert Group supports the Commission's view expressed in this document that "the wealth of experience amassed over the years forms an invaluable foundation on which the international dimension of ERA can be built". This represents an appropriate platform for the future. The concepts set out here recognise the time-proven principles of partnership accompanied by dialogue as essential underpinning for future S&T co-operation by the EU with partners in other parts of the world. It also recognises the need for specificity and ability to differentiate in order to make such co-operation attractive to all parties and emphasises the need for greater efforts toward cross-policy (and instrument) synergy and coherence as required under the Maastricht Treaty.

#### 4.1.1.3 Appropriateness of objectives of the dedicated international cooperation programme

##### (i)Area A1 - States in the Phase of pre-Accession to the European Union (now NAS)

The objectives and approach here were meant as a contribution to maintaining and reinforcing the scientific excellence of the Candidate Countries and allowing Member States to benefit from the scientific expertise from these countries by supporting the mobility of high level researchers and promoting the creation of networks through conference participation support. These limited objectives may have been insufficient in view of the relative lack of success of these countries in obtaining support in the Thematic Programmes.

##### (ii)Area A2 - New Independent States (NIS) and Mongolia of the former Soviet Union and Central and Eastern European Countries (CEECs) not in the pre-Accession Phase: Copernicus 2

The objectives in this Area aimed to support efforts to develop a pluralistic S&T system and develop their research excellence so as to solve some of their major economic and societal problems. Activities were sensibly aimed at regional problems related to health, environment, use of natural resources and socio-economic development and a consolidation of the S&T potential in those fields where excellence was recognised. Creation of networks through supporting conference participation was on-going. The new dedicated Balkan Call was a valuable initiative concentrating on regional problems in environmental and industrial fields and health problems and effective post-conflict trauma rehabilitation.

##### (iii)Area A3-Mediterranean partner Countries

Thematic objectives of this Area addressed enhancing an adequate Euro-Mediterranean Partnership, and reaching conditions of long-range sustainable development in the Mediterranean. These are appropriate and consistent with the outputs of the Barcelona Conference, addressing transboundary economic, environmental and socio-political problems. However, the objectives could have placed more emphasis on some existing and "traditional" regional conflicts destabilising the transboundary socio-political setting (e.g. transboundary water conflicts). In 2001 priorities were given to socio-economic modernisation, managing scarce regional water resources, preserving and using cultural heritage, promoting healthy societies and regional environmental sustainability. Action priorities were wide but maybe as 2002 is the last year Calls for proposals should have given more emphasis to Thematic Networks to enable a rational INCO-MED research review, effective dissemination, impact on the territory and more shared experience among Mediterranean countries and further increasing their participation particularly at decision-making and end-user level. Remaining financial resources have been used to launch a third

main Call for proposals in December 2001 dedicated to research projects and thematic networks. Priorities are in line with the urgent needs of these countries, particularly in managing scarce water resources. Although financial resourcing might be viewed as too low when compared with the other programmes nevertheless in 2001 it seems to have been sufficient in relation to the number of proposals that merited funding.

(iv) Area A4- Research for Development

Thematic objectives for this Area were those of undertaking research to tackle the challenges posed to developing countries, creating synergies in Europe as well as in developing countries and mobilising the strengths, expertise and resources of the European scientific community jointly with developing country research teams. Priorities have been given to policy research on the conditions for sustainable development, systems research on natural capital, and the human environment including health and tools for sustainable development. These priorities are highly relevant and some of the features specified such as “considering demand from users as well as supply factors”, “sustainable settlement patterns”, “rural-urban interface”, and “market-oriented products and services in agro-food...meeting consumer demand” are particularly appropriate for the sector. Action priorities for Area A4 in 2001 were mainly concerted actions and thematic networks which are appropriate when approaching the end of the programme. In general, financial resources seem high when comparing with Area A3 but maybe not over-generous when considering the number of target countries involved.

(v) Area A5- Emerging Economy and Industrialised Countries

The objectives in this Area are to ensure access for European researchers and engineers to the expertise and knowledge existing in third countries while simultaneously providing access to Community expertise and knowledge to those in third countries. The work in the Area also aims to contribute to Community external policy. The approach involves use of S&T agreements as instruments for implementation of the Framework Programme and the use of additional agreements with certain industrialised countries or emerging economies or with specific regions where there is Community interest. Such objectives are certainly worthwhile but they are difficult to monitor particularly as resulting actions might find expression in other TPs or have outcomes even more widely.

(vi) Area B1- Bursaries for young researchers from Developing Countries

The general objective of this Area is to enable young doctoral-level researchers from third countries to work in Europe on FP 5 projects. Calls for proposals are part of RTD Calls and are in line with the general objective of allowing researchers from all the developing countries (including Mediterranean Partners and Emerging Economies) to receive grants for a period of up to 6 months for training or for work. Regretfully, the proposal for grant is valid only if it is included in a contract for a RTD project. This means that the grant must already have been requested at the time when the project contract is concluded but when the need of a bursary might not yet be clear. The bursary would only be granted if the whole project were selected for funding in addition to the bursary application itself being highly rated. It is therefore difficult to see how this initiative could in itself “sow the seeds of future collaboration” when shackled by such a constraint. The consequent shift of money to other areas due to lack of take-up in B1 through an alteration to the Work Programme was a positive feature for the Balkans and NAS but not for bursaries for developing countries.

(vii) Area B2- Fellowships to Japan for Community Researchers

The objective here is to enable young researchers and engineers from the European countries to participate in high-level industrial research in public and private laboratories in Japan in order to build and strengthen links between Japan and the Community. There needs to be recognition however that there are other initiatives of this type – for example the Human Frontier Science Programme based in Strasbourg.

(viii) Area C1- Coordination with Member States

The objective here is to ensure synergy and coordination between research cooperation policy and activities in the INCO programme and those of other RTD programmes and the Member States as well as other Community initiatives. Though such an objective is difficult to monitor in terms of effectiveness it will be crucial to the future of ERA.

(ix) Area C2- Coordination- support to COST and EUREKA

The programme supports the COST and EUREKA secretariats and their management and relevant coordination activities.

4.1.1.4 Programme implementation

(i) Area A1 - States in the Phase of pre-Accession to the European Union

For INCO Area A1 the implementation of ERA will to a large extent depend on the successful integration of the Candidate Countries now largely known as Newly Associated States (NAS). The Expert Group welcomes the fact that the preparation of the association of Candidate Countries to FP 6 was one of the key ongoing activities in 2001 in addition to the additional measures to improve Candidate Countries participation in FP 5. However, to ensure adequate participation of the NAS in FP 6 is in the Expert Group's view a very critical issue. The current dilemma is, that with their full association to FP 5 the Candidate Countries lost the privileges which they had previously received (concerning eg. salaries for permanent staff and reimbursement of durable equipment) and at the same time did not succeed in developing the resources (financial, technical, human) needed for appropriate participation in the short time available. The major negative elements here are the low salaries of NAS researchers (of which only 50 % would be reimbursed by the EU in the full cost model) and the requirement to pay in advance the full costs of durable equipment for which only a modest percentage based on depreciation would eventually be reimbursed. In the interest of ERA it is therefore probably necessary to re-consider the scope of contractual flexibility available, and the legal implications involved in using it, within the participation rules to FP 6 (which state that NAS would benefit from exactly the same conditions as Member States).

The major tasks in this Area in 2001 were:

- the implementation of the Centres of Excellence;
- to increase the participation of NAS in each of the Thematic Programmes (TP);
- conference participation support.

In October 1999, 185 proposals for Centres of Excellence were submitted by all twelve Candidate Countries. After the evaluations and contract negotiations 34 Centres of Excellence were given three years contracts which started in the period between 1 September 2000 and 1 March 2001. The Centres are located in 11 Candidate Countries (Poland 9, Hungary 6, Romania 4, Bulgaria 3, Czech Republic 3, Cyprus 2, Estonia 2, Slovakia 2, Lithuania 1, Latvia 1 and Slovenia 1 (no proposal from Malta could meet the selection criteria) and cover eight scientific disciplines (biology 11, ICT 6, physics 5, mathematics 3, engineering 3, socio-economics 3, medicine 2 and environment 2). There is

no information available on the implementation process and whether there were any problems.

In response to the respective Calls a total of 61 proposals for conference support have been received of which 27 were ranked for contract negotiation. The thematic areas are very wide ranging from sustainable energy to medical and technological subjects.

(ii) Area A2 - New Independent States (NIS) and Mongolia of the former Soviet Union and Central and Eastern European Countries (CEECs) not in the pre-Accession Phase: Copernicus 2

A new dedicated Call was launched for Balkan reintegration (Albania, Bosnia-Herzegovina, Croatia, Federal Republic of Yugoslavia, Former Yugoslav Republic of Macedonia) for research undertaken mainly by means of shared cost actions though concerted actions/thematic networks were also possible. There were two components in the Call (i) Environment and industry: specific regional problems and (ii) Health: specific regional problems. The Call generated 58 proposals of which only 8 were ranked and 5 held in reserve. An Accompanying Measure (ACM) conference participation support Call was continuously open resulting in 22 proposals of which 8 were ranked.

INTAS maintained a high level of activity in operating its Calls separately within its own organisation

(iii) Area A3-Mediterranean partner Countries

Four Calls for proposals were launched and managed in 2001 (16/3/01 accompanying measures; 16/7/2001 accompanying measures; 17/9/01 RTD projects; 16/11/01 accompanying measures). Proposals received were respectively 7, 4, 51, 14 and 0, 1, 11, 1 respectively were ranked. Calls for proposals dedicated to research projects succeeded in part - 51 proposals received and 11 ranked (compared to 66 proposals received and 12 ranked in 1999 - in 2000 there was no RTD Call.). Very few proposals in health, transport and linguistic interoperability areas were of sufficient quality. As a result, the new Call of 21 December 2001 will focus on managing scarce water resources, cultural heritage, and promoting healthy societies. It has been estimated that the thematic areas of transport systems and linguistics would benefit most from bigger accompanying measures (deadlines foreseen in March 2002) rather than from another attempt to immediately invite research cooperation. The regional coverage of proposals in 2001 is of interest (last Call of 17 Sept. 2001 included):

- Algeria: 12 participants (total); 7 participants (ranked)
- Egypt: 31 participants (total); 8 participants (ranked)
- Jordan: 21 participants (total); 7 participants (ranked)
- Lebanon: 23 participants (total); 6 participants (ranked)
- Morocco: 29 participants (total); 12 participants (ranked)
- Tunisia: 57 participants (total); 19 participants (ranked)
- Palestine Authority: 8 participants (total); 3 participants (ranked)
- Syria: 12 participants (total); 4 participants (ranked)
- Turkey: 25 participants (total); 6 participants (ranked)

The regional coverage within Area A4 in areas eligible to Mediterranean countries was :

- Algeria: 1 participant (total); 0 participant (ranked)
- Turkey: 2 participants (total); 0 participant (ranked)
- Egypt: 6 participants (total); 5 participants (ranked)
- Lebanon: 1 participant (total); 0 participants (ranked)
- Morocco: 9 participants (total); 1 participant (ranked)
- Tunisia: 6 participants (total); 0 participant (ranked)

The above analysis shows significant participation from central and west Mediterranean countries and a lower participation from middle-east countries.

(iv) Area A4- Research for Development

Four Calls for proposals were launched and managed in 2001 (16/3/01 accompanying measures; 16/7/2001 accompanying measures; 17/9/01 RTD projects, 16/11/01 accompanying measures). Proposals received were respectively 13, 9, 326, and 32 and 3, 4, 64, 13 respectively were ranked. The Call for proposals dedicated to research projects really succeeded from the point of view of participation. The regional coverage of proposals in RTD projects and accompanying measures Calls in 2001 is of interest (last Call of 17 Sept. 2001 included):

- ASIA: 377 participants (total); 77 participants (ranked)
- ACP: 447 participants (total); 111 participants (ranked)
- LAM: 413 participants (total); 91 participants (ranked)
- Mediterranean countries: 26 participants (total); 6 participants (ranked)
- EU: 1099 participants; 233 ranked
- Other European countries: 24 participants (total); 5 participants (ranked)
- Copernicus countries: 25 participants (total); 4 participants (ranked)
- Pre-accession countries: 28 participants (total); 3 participants (ranked)
- Industrialised countries: 10 participants (total); 1 participant (ranked)
- Associated countries: 32 participants (total); 3 participants (ranked)

The above analysis shows relevant participation from all the regions with quite a large number from Africa.

(v) Area A5- Emerging Economy and Industrialised Countries

Three Calls were launched for Accompanying Measures in relation to S&T co-operation activities of European interest, implementation of S&T agreements and concertation and coordination with Member States. Eleven proposals were received with 13 participants. One Call was launched for Accompanying Measures in the area of poverty related diseases such as malaria, tuberculosis and HIV/AIDS and three proposals with three participants were received. Features of activities under particular S&T agreements were:

*a) EU-USA*

- Under the umbrella of the S&T agreement of 1998, a new Implementation agreement between the EC and the Department of Energy from the USA was signed in May 2001, and an explanatory workshop has been organised on Fuel -Cells in the framework of this agreement.
- A further Implementation Arrangement for Co-operative activities in the area of environment research, in particular climate change, marine science and technology, seismic risk and hazards reduction, Arctic research and environmental biology research was signed in October between the Commission and the National Science Foundation. The opportunities provided by this arrangement will be promoted through NSF Programme Announcements and EU Calls for proposals.
- The EC-US Task Force on Biotechnology Research, in existence since 1990, organised several workshops in various fields and held its second Theoretical and Practical Course in Environmental Biology in Summer 2001 in Madrid.
- A first EU-US food safety research workshop took place in July with a view to strengthening transatlantic co-operation. The focus was on emerging pathogens, probiotics, BSE and risk analysis.

Overall, participation and contribution of US entities has become visible in all the thematic programmes of FP 5: 18 in QoL, 65 in IST, 5 in Growth and 22 in EESD. There was also a higher success rate among proposals with US participation.

*b)EU-China*

- There was not much progress in the European Biotechnology Node for Interaction with China (EBNIC) which covers the four Thematic Programmes of FP 5. There are, however, promising common efforts to better organise the activities which are co-financed by the Chinese government.

*c)EU-Russia*

- Energy research: Two meetings with Russian authorities were organised at ministerial level in parallel with the EC/Russia energy dialogue.

*d)EU-Canada*

- An EU-Canada summit was held in Ottawa in December 2001. It was stated that the EU and Canada share similar challenges and approaches to protecting and promoting the health of citizens. A joint summit statement declared that the EU and Canada will deepen their co-operation in the pursuit of shared public health goals. Both countries committed themselves to working together in the fight against communicable diseases, particularly AIDS, tuberculosis and malaria.

*e) EU-Israel*

- Israel has been fully associated with FP 5 since March 1999. The agreement allows Israel to participate in any of the non-nuclear programmes. Israel's financial contribution to FP 5 has amounted to around 140Mio€ representing 1.18 % of FP 5 funds. Israel participated in 240 FP 5 projects, mostly in the IST programme. The participation of Israel in INCO-MED is worthy of two comments - (i) the country has a strong S&T base and the Thematic Programmes are more attractive (ii) its participation in INCO-MED is very small probably due to the difficulties of cooperation with the other countries in the region.

*(vi)Area B1- Bursaries for young researchers from Developing Countries*

45 proposals were received in 2001 submitted together with a RTD project proposal. None have been ranked so far but will be in 2002 after negotiation of the relevant RTD contracts is complete.

*(vii)Area B2- Fellowships to Japan for Community Researchers*

14 proposals were received in 2001 of which 6 were ranked.

*(viii) Area C1- Coordination with Member States*

- One Call was launched in the area of poverty-related diseases. Practical coordination with Member States in the context of bi-regional dialogue with certain regions progressed at different rates.
- Asia-Europe Meetings (ASEM) (in particular the strengthening of ties with China) continue. The active promotion of S&T co-operation under the agreement which judiciously provides Chinese teams with matching funds may, in some ways be considered as a model for greater pro-activeness in the context of other agreements.
- Euro-Mediterranean Partnership (MOCO) - the geopolitical conditions here complicated the process of political co-operation but there is still room for "on-the-ground" co-operation.
- EU-Western Balkans co-operation was progressing in small but appreciable steps on the S&T front. The first contracts are being negotiated and additional proposals on the reserve list may also be funded next year.
- Latin America and Caribbean-Europe Meetings (REALC) - four thematic workshops (in November in Brazil and Mexico with RELEX funding and managed through AidCo) have mobilised scientists from Latin America /Caribbean and the EU around health, cultural heritage, biosafety and sustainable development/urbanisation issues. A fifth workshop on cross-cutting issues is scheduled for January 2002. The outputs of

these agenda-setting exercises are fed via bi-regional meetings of senior government officials to a ministerial in March 2002 to lead up to a summit of Heads of State/Government in Madrid in May 2002, thus giving S&T co-operation the high profile it deserves in international relations between the EU and LAC. Furthermore, the academic training programme ALFA II is a good example of possible linkage of research and learning. It could be further oriented to use its mechanisms more explicitly to strengthen the connection between research and innovation.

- It should be noted that the follow-up to the Cairo Summit and the Cairo Action Plan is being prepared through an informal task force between DGs Research and Development with the ACP General Secretariat in order to explore the thrust of capacity building that would be of particular importance in relation to this region.

(ix) Area C2- Coordination- support to COST and EUREKA

COST has now existed for 30 years and is highly regarded by participants from the scientific community. Although little money comes from the Commission (the total allocation from INCO under FP 5 is 48.1 million €) activities were far reaching. The recent assessment of COST (see document No.59) estimated that the current annual financial investment of 15 million € in COST coordination mobilised more than 1 billion € worth of research per year and actively involved networking of some 20 000 to 25 000 researchers annually. The geographical coverage has increased from 19 COST countries in the early nineties to 34 today. It is not surprising that this has resulted in an exponential growth in the number of COST actions during the past decade: while the average stock of actions between 1990 and 1996 was up to 80, the present stock (as of October 2001) of ongoing actions is 170. However, the general increase in the numbers of countries signing up to actions has reduced the availability of funds to individual actions.

Since COST which is currently administered by the Commission has to follow the Commission rules and regulations applicable to the FP this exponential growth in COST activities results in an inappropriate administrative load as the activities involve the management of a high number of administrative tasks of relatively low financial values. The Commission has therefore clearly expressed its wish to withdraw from the administrative involvement in COST (see document 35).

EUREKA: The Expert Group welcomes EUREKA's active involvement in discussions on the ERA since it is important to ensure that EUREKA (which is a bottom-up approach) is complementary to FP 6 (which is very much based on a top-down approach to funding). As far as potential mechanisms for collaboration (suggested by EUREKA) and ideas for financial collaboration and organisation are concerned the Commission must develop clear and transparent implementation strategies and concepts in particular for:

- the pooling (in integrated projects) of Framework Programme financial support with national funding granted in the EUREKA frameworks, and of global financing plans with which the EIB may also be associated;
- the establishment of an operational interface for the exchange of information on research and project funding, and support for innovation. Here, the Expert Group supports in particular the idea of establishing joint technical groups in certain areas in order to identify possible themes for combined actions.

Since the mid 80s EU participation in EUREKA was always concentrated on a fairly small number of projects and with the exception of JESSI (1989-1997) the EU's financial contribution was rather limited. Participation of the EU in on-going EUREKA projects was limited to only 4 projects in 2000-2001 (EUREKA Annual Report). However, it should be noted, that in certain cases, projects presented to the FP for funding do not mention their participation with the same project in EUREKA. It is therefore very difficult to have an

accurate estimation of EUREKA projects co-funded by the FP. The agreement reached at the end of 2001 under the Greek EUREKA chairmanship on co-operation between EUREKA and the Commission's Innovation Relay Centres network for the dissemination of information and support to SMEs is a major concrete achievement.

#### 4.1.1.5 Major events and achievements

- Strategic development of the international dimension of ERA
- Active development of linkages with other EU policy areas
- Coordination with member states (bi-regional dialogue; ASEM; REALC )
- Implementing reorganisation needed after the abolition of Directorate E
- Maintaining existing activities and Programme visibility as well as launching new Calls and initiatives in spite of internal reorganisation
- Development of the "Single Entry Point" for coordinators of open contracts
- Further refinements of the INCO management information system
- Further revision of the Work Programme (integrating the Call for A4 projects in 2000 and the Call for A3 projects in 2001 and additional measures for NAS)
- Launching the Balkan reintegration Call as a result of modification of the work programme
- Provision of additional measures to further improve participation of NAS in FP 5

#### **4.1.2 Significant results in the European, ERA, and international context**

4.1.2.1 As well as the already existing agreements with Australia, Canada, China, South Africa, and USA, new S & T agreements entered into force with Argentina and Russia in May 2001. A new agreement was signed with India at the second EU-India summit on 23 November but is not yet operational. Climate change and bio-diversity conservation represent particular important areas. Other high priority topics are poverty eradication, food security and safety and knowledge-based society. The agreement with Chile was initialled in October, and negotiations were underway with Brazil and the Ukraine.

4.1.2.2 INCO has furthered the implementation of ERA by (i) contributing to its internationalisation through pioneering equitable partnerships with groups abroad, (ii) developing and implementing the concept of inter-disciplinarity for sustainable development and (iii) integration of the technological, systemic and policy research dimensions by mobilising ERA around specific thematic areas with a policy interface (except agriculture) and having dialogue with NAS. Significant efforts were made to increase the participation of NAS in each of the other Thematic Programmes. In addition the opening up of a Call to the Balkans was a major step forward.

4.1.2.3 More specific contributions have included producing a change in the attitude to the International Dimension of ERA, giving Europe recognition to act as interface with the world, engagement in bilateral dialogues with third partners launching a new front with ACP countries through the Forum in South Africa, to strengthen synergies and commitment to joint involvement of third countries with the Union, promoting Bilateral Regional Action (Mediterranean; Balkan; Black Sea). Inter-regional approaches were further promoted and enhanced, in particular with Asia (ASEM) and with Latin America and the Caribbean (MERCOSUR). Here it is worth noting that Mexico identified S&T collaboration as one of four priorities in its bilateral discussions concerning co-operation

with the EU. S&T co-operation was also further developed with countries with which no full-scale S&T co-operation agreements exist (e.g. Japan).

4.1.2.4 Area A4 (INCO-DEV) and Area A3 (INCO-MED) have certainly paved the way to the international dimension of ERA, through:

- pursuing equitable partnerships;
- enhancing integration for sustainable science;
- achieving more substantial dialogue with third countries in Asia, ACP, Africa, South America and the Euro- Mediterranean Partnership.

Other important achievements include:

- contribution to community policy and enlargement;
- contribution to the definition of new strategy of international cooperation and ERA providing emphasis that ERA is an open space and not only for a European dimension;
- contribution to a policy statement of International Research Area;
- ALFA II actions.

4.1.2.5 Coordination with Member States for global scholarship programmes might be a problem if it is to ensure that the programme does not support brain drain East-West and further West (USA). Area B1 – bursaries for young researchers from developing countries - has a certain impact in enhancing future collaboration between Europe and the developing countries. There is also the question of achieving a generally friendly environment for top level scientists (working environment, social conditions, residence permit and favourable immigration laws).

### **4.1.3 Participation of Candidate Countries**

4.1.3.1 Since the NAS countries have been fully associated with the FP they have been able to fully participate in FP 5 research projects under the same conditions as EU Member States. Until 2000 co-operation activities in INCO-2 for the twelve States in the phase of pre-accession to the EU were limited to certain types of Accompanying Measures (Centres of Excellence, Conference support and Awareness and Training). However, participation of some NAS (for example Poland) has not been satisfactory in the Thematic Programmes throughout FP 5. The major constraints to this FP participation (as described in a conference on 26 November 2001 in Brussels) are

- Lack of motivation among candidate country researchers believed to be caused by a low success-rate in proposal acceptance;
- Lack of necessary equipment in candidate country laboratories, poor relations with foreign researchers and lack of foreign language skills;
- Many research institutes working without industry and industrial centres and without a local R&D infrastructure.

4.1.3.2 There is reason to doubt whether Work Programmes and Calls predominately in TPs reflect the problems of NAS sufficiently well and there was therefore a need to take their problems on board more actively. In order to increase the participation of Candidate Countries dedicated additional measures to further improve participation of NAS in FP 5 were introduced by modifying the TP and INCO work-programmes 2001 and making additional funds available (by transfer from Area B1 to A1) for the following measures:

- - Specific Calls of thematic programmes aimed at the coordinators of on-going FP 5 contracts for adding extra partners from pre-accession countries (now NAS 1) to existing projects;
- - Joint Call Quality of Life/Growth/Energy/Environment/IST: Integration of NAS into the ERA (NAS 2) - single applications from outstanding research centres from NAS for conferences, twinning, visiting scientists, training measures;
- - New INCO Call (Strategic action on training and excellence) - single applicants to support the mobility of high level researchers from NAS by grants for study visits to Member States and by return grants;
- - Modified INCO Call for conference participation support (the scope of the existing Call was widened) to support information days in NAS and the attendance of researchers from NAS at information meetings abroad.

These measures were accompanied by a number of actions to facilitate take-up, such as conferences and information activities of the National Contact Points in the NAS.

4.1.3.3 Participation of Candidate Countries in COST is excellent. Using COST as a framework for international co-operation is clearly very important for them. The flexibility, “bottom-up” and “à la carte” approach of COST allowed a quick entry of the S&T communities in CEECs into networks where they felt most likely to benefit and make an impact. Furthermore, joining COST helped to pave the way to associate status with the FP. Special efforts should be made to integrate NAS in EUREKA activities of strategic importance. After Estonia and Slovakia joined the network in 2001 all Candidate Countries are now members.

4.1.3.4 It should be noted that the RTD association agreement with Malta entered into force on 1 March 2001. Cyprus, and Malta are part of the Mediterranean geographical region and they are in the pre-accession phase and have full access to FP 5.

#### **4.1.4 Women and science**

4.1.4.1 As in nearly all areas of FP 5 women are also under-represented in the INCO programme. The situation has been analysed in detail both in a recent report (Women and Science: the gender dimension as a leverage for reforming science (European Technology Assessment Network on Women and Science (ETAN), Commission Staff Working Paper SEC(2001)771) and through a series of six impact studies carried out on women’s participation in FP 5 which also covered INCO (Gender in Research - Gender Impact Assessment of the specific programmes of the Fifth Framework Programme. Confirming the International Role of Community Research. 2001 EUR 20020).

4.1.4.2 These findings make clear that despite considerable efforts to meet the target of 40 % female representation, the participation of women remains on the whole low at all levels of programme implementation. This is particularly noticeable in Area A3 (INCO-MED) and Area A4 (INCO-DEV) where the two-stage proposal evaluation uses both scientific and regional Expert Groups. Scientific Expert Groups can draw on the entire database, while for regional Expert Groups evaluators are only drawn from the region concerned. However, the overall situation in INCO proposal evaluation has improved remarkably over the last two years despite the general lack of women in the pool of experts. At a recently observed regional evaluation some sub-Expert Groups in fact were all female.

- 4.1.4.3 The ETAN report found that the INCO Programme was a good example for the promotion of women's participation since it encourages Calls for female involvement in proposals explicitly where appropriate. However, the gender issue is more and more neglected in the course of programme implementation (e.g. it is not a criterion in the proposals evaluation process neither in INCO nor in the FP). However according to the ETAN Report the total participation of women in INCO contracts in 1999 was 12 % (compared to an FP 5 total of 10 %) while the number of female coordinators was 25 % remarkably above the FP 5 total of 18 %. The Expert Group recognises with particular satisfaction, that 39 % of the contracts 1999 in Area A1 (Pre-accession States) had female coordinators. The Expert Group supports the ETAN group's view that one of the keys to integration of a gender dimension into scientific research is through a socio-economic dimension. Also, NIS and CEECs are societies in transition and would clearly benefit from the integration of a gender dimension in research.
- 4.1.4.4 The level of female participation was most impressive in mobility actions (actions applied horizontally through the thematic programmes aimed at enhancing the mobility of researchers by providing bursaries). For the two types of fellowships granted by INCO, women comprised 40 % of the grants for young researchers from developing countries from the sample examined by ETAN. However, in relation to fellowships for Japan, the ratio of men to women was very much higher.

#### **4.1.5 Towards a new FP: state of play**

- 4.1.5.1 The international dimension in the new FP 6 in its different variations is not so easy to detect for the customers as it was in FP5. Substantial efforts of information and training will be necessary to advertise the diverse opportunities for international cooperation in FP6. There is no specific single programme on international cooperation such as INCO any more. Instead within Specific Programme 1 - Focusing and Integrating Community Research - there is 600 million € indicated as included for international cooperation activities. Of this amount, 300 million € is directly identifiable under 'Specific activities covering a wider field of research' as a funding line 'Specific measures in support of international cooperation'. These activities will involve three groups of countries, namely developing countries; Mediterranean countries and Western Balkans; and Russia and the Newly Independent States (NIS). The remaining 300 million € is spread across the other identified priority thematic areas of research. Specific Programme 2 – Strengthening the Foundations of the European Research Area - contains global mobility schemes as part of the Human Resources and Mobility activity.
- 4.1.5.2 The opening up of the thematic priorities for proposals from all over the world seems to be positive but is merely a passive and reactive approach. There is an obvious danger that certain countries will dominate simply because by chance they are better informed or because they are better equipped. In the Expert Group's view the evolution of ERA could much better benefit from using international cooperation more actively to enhance its own influence and standing. However the identification of priority themes within TPs for Developing Countries and Newly Independent States still seems problematic. What kind of strategy for identification of relevant themes has been used or is envisaged in future? Is there for example a dialogue with other Commission services and Directorate-Generals such as Relex, Development, Environment, and Energy?

- 4.1.5.3 Looking at the structure of INCO now and the likely impact of new FP 6 instruments there was real doubt initially as to whether the instruments envisaged for FP 6 were appropriate for third countries including NAS. This is changing and now looking more positive as new information becomes available. However there are still no clear indications in FP 6 regarding the future operational framework of international cooperation in relevant regions. The international cooperation dimension will still be pursued in these regions in FP 6, nevertheless it is not known yet how this will be done or by what particular rules. Despite this, during 2001 promotional actions concerning international research involving the third countries including Mediterranean countries has been reinforced by INCO, through workshops, meetings and through funded projects (particularly Thematic Networks, which represent a powerful tool for promoting international cooperation).
- 4.1.5.4 Looking towards FP 6 implementing the reorganisation of INCO has already started with the transfer to and coherent implementation and management of international research projects in other directorates. Transfer is being implemented in a way that, in the long term, will bring about full integration of the international cooperation dimension into the thematic priorities of FP 6. The aim is the inclusion of effective international co-operation activities in the mission of the thematic directorates rather than maintaining this as a separate function.

## **4.2 *MANAGEMENT AND PROCESSES***

### **4.2.1 Main management issues**

- 4.2.1.1 The reorganisation of DG Research at the start of 2001 led to the abolition of Directorate E previously responsible for the international cooperation and the implementation of the dedicated INCO Programme and transfer of its staff, particularly scientific officers, to Thematic Programmes or other directorates. The current management structure seems to reflect what might be the future position in FP 6 rather than FP 5. INCO now appears as a very fragmented Programme as several Units/Directorates are dealing with its former constituent parts and no senior person (due to the absence of a Deputy DG) in practical terms has been in charge for a large part of 2001.

#### Implementation of the re-organisation and transfer of projects

- 4.2.1.2. Following the decision to reorganise the entire Directorate-General (the change became effective at the beginning of 2001), the scientific management of a substantial number of INCO research projects was de-centralised and transferred to other thematic directorates with a remit appropriate to the nature and objectives of the INCO projects in Areas A2, A3 and A4. In INCO the main management task in 2001 was therefore the implementation of the reorganisation (decided in October 2000) and the transfer of 443 projects to thematic directorates and other units. The principles of transfer were that projects transferred to the thematic directorates should have in general a non location-specific technological dimension or an approach compatible with the intra-European concerns of thematic programmes, while horizontal projects which are in general location-specific with regard to their social, economic, cultural or environmental context remained centralised in the INCO Programme. There were 548 projects that remained centralised in the INCO Programme on this basis. It is also important to note, that in the case of the 443 transferred projects only the scientific management was decentralised and that the administrative and financial management remained at a central INCO level (with Unit 06 – see below) due to

difficulties in splitting the INCO budget lines. In total therefore the administrative and financial management of 991 projects remained centralised as did all Programme level tasks, accompanying measures and new evaluations of proposals (except “Poverty related diseases”). COST and fellowships however were entirely delegated to Directorates B and D. Implementation and scientific management of the Centres of Excellence contracts were also transferred to Directorate D.

- 4.2.1.3 As a result of interviewing certain scientific officers from other thematic directorates which have been assigned responsibility for projects from INCO it seems that the transfers have been carried out in a way that aims to ensure that the same INCO philosophy and management methodology is applied in order to minimise any possible impact on the project and the project participants. Officers from the other thematic directorates have collaborated closely with the INCO staff during the transfer and in the course of project management. The change of scientific management of projects seems to have had minimal impact on implementation – though might have caused some hiatus in inter-personal relationships. No significant negative impacts or dramatic delays have been found in project implementation during 2001.
- 4.2.1.4 During the reorganisation, the INCO staff was reduced from 110 persons to 70 persons assigned to two Units reporting to the Deputy DG, one in charge of policy questions (Unit 05) and one in charge of the implementation of the dedicated programme (Unit 06). Unit 06 also provides coordination for the NAS Calls launched by Thematic Programmes and this seems to work well. The major burden of responsibility for the implementation of the reorganisation was therefore with Units 05 and 06 - made worse in the absence of dedicated line management for a good deal of this difficult period. This responsibility included the definition of decentralisable and non-decentralisable tasks and the organisation of the workflow between the different Units involved, the discussion of individual projects with the thematic directorates (where these projects were not always welcome because of their international complexity), monitoring of the transfer of files, development of informatics tools for project monitoring and recording of output data, as well as training for new scientific officers and regular information. Despite these real difficulties and additional workloads the Units involved were able to ensure a coherent and timely implementation of INCO-projects and minimise negative impacts on either external stakeholders or service quality in relation to management and implementation tasks. The individual staff members, often working on their own initiative, and who fortunately were deeply committed to their tasks, deserve particular recognition in this respect. However the reduction of personnel has increased strain significantly and staff can hardly keep all functions up to a satisfactory level despite the transfer of the scientific management of a large number of projects to TPs. They have been under pressure for over a year now and are unlikely to tolerate the same pressure for another year without influence on the programme objectives and tasks.
- 4.2.1.5 However, the Expert Group has the impression, that the overall visibility of INCO by the scientific community has suffered a good deal, since as seen from outside, INCO is moribund or at least appears as a very fragmented and disowned programme – although, in reality, international activities in FP 6 may be more than ever a priority. More specifically, the dual function of INCO – which was so highly valued in the 5-year-assessment (INCO as a driving force for implementing specific measures for R&D collaboration with certain countries or regions on the one hand and INCO’s coordination and policy support role in the context of the international dimension integral to each of the Thematic Programmes, on

the other hand) seemed to be threatened because the implementation of the reorganisation absorbed most of the staff capacities.

- 4.2.1.6 Overall, the current structure for the management of the international dimension appears to anticipate what will be the position in FP 6, but it does not reflect the concept of INCO in FP 5 any more, and it did not necessarily support INCO in 2001. Accordingly, the Expert Group doubts whether the timing of the reorganisation two years before the end of FP 5 was sensible. This is supported by the fact, that a large number of INCO FP 5 projects are still to be implemented, and that the majority of projects are to be completed now in a highly complex management environment. However the Expert Group is satisfied that the Director General is now aware of the problems, and trusts that with a new Deputy DG in office, realistic action will be taken to avoid any further negative impact on the Programme's visibility within the Commission and, more importantly, outside it.

*Managing the International Dimension in ERA and FP 6*

- 4.2.1.7 Full integration of an international cooperation dimension into the Thematic Programmes and priorities of FP 6 could be seen as a logical development of INCO as a horizontal activity. With the developments from FP 3 to FP 5 INCO succeeded in integrating all non nuclear international RTD activities of the Community into one single programme. A strong vertical management structure was essential to achieve these important developments. It was also a pre-requisite to support INCO's role as a catalytic activity which helped to facilitate the enlargement process of the Community as a whole on a firm and widely recognised foundation. Now, with the enlargement process to be finalised (at least formally) in the foreseeable future one could well argue, that a "matrix-type management structure" combining a vertical type of responsibility with a "motivational" type of responsibility at horizontal thematic priorities level could be better suited to supporting and implementing ERA by developing further a well structured and continuously nurtured dialogue between INCO, the Thematic Programmes/priorities and other DG's relevant to international co-operation in the long term. In this respect, the new management structure with international co-operation as a major part of the Deputy DG's responsibilities is meant to strengthen international co-operation. The Expert Group basically agrees with this view, but with the qualification that the new structure has the potential to support the intended developments only with a Deputy DG who has an overall responsibility for it and beyond. The Deputy DG must in particular take the lead in the regional dialogue with third countries as well as for the central overall concepts being developed.

- 4.2.1.8 The mainstreaming of international cooperation into the thematic priorities of FP 6 will create a complex management and coordination environment. As shown this year with FP 5 there are particular political and programme tasks as well as probable administrative tasks at project level, which cannot be decentralised, despite the decentralisation of the scientific management at project level. The structure as it currently stands with clearly distinguished tasks at central and decentralised levels could probably work more efficiently than it has with the Deputy DG in place. The Expert Group is, however concerned about interfacing in a coherent manner with third countries – every thematic priority cannot have its own policies and its own specialists related to different categories of third countries. But it is not clear yet who will set the agenda, how comprehensive strategies and approaches will be developed, and what the mechanisms are to ensure that comprehensive approaches are properly reflected in all thematic priorities. To have a coherent international activity, the uptake of the "regional dialogue" by thematic priorities has to be ensured.

4.2.1.9 The future evolution of the international dimension in ERA and FP 6 will, in addition, not only depend on an appropriate management structure (which is an essential pre- condition) but also on a proper reflection and integration of intercultural aspects which can greatly vary from region to region. In this context, guiding specialist expertise in particular is needed in cooperation with developing countries. They also have special needs for nurturing research capabilities at all levels and for information. The Expert Group is concerned about the restructuring in this context and about the continuance of existing expertise and how it will be fed into FP 6 activities in general.

4.2.1.10 Further issues which need to be reflected on in TPs are work programme structure and the rules for participation. The participation of certain third countries will probably depend on extra and more complex rules and it is most likely that the Deputy DG through his Units 05 and 06 as currently involved in the administration of decentralised INCO-projects will also be involved in the invitation and coordination of relevant projects in the thematic priorities. Here appropriate mechanisms for interaction between the different parties will have to be put in place. The involvement of Unit 06 in the new measures implemented for NAS in 2001 might be seen as a model here. Finally as an over-arching and important requirement to facilitate interaction with the scientific community outside the Commission in all stages of the ERA implementation (and in all stages of an international project's life) the Expert Group supports the creation of a single focus and coordination point (reporting to the Deputy DG) for all international cooperation activities in FP 6 including coordination with the global mobility schemes of the Human Resources and Mobility activity. There is already some implementation of this concept in the specific activities of INCO.

*Project evaluation, implementation and monitoring*

4.2.1.11 Evaluation of proposals submitted for the Area A3 and A4 Calls in September 2001 was carried out by the scientific Expert Groups in October and regional Expert Groups in November. The Expert Groups were monitored by external observers who have produced separate reports on the two-step evaluations. There is a general consensus among the external observers that the evaluation process is transparent and objective. Experts on scientific and regional Expert Groups are high quality professionals or scientists. The mechanism of evaluation is transparent.

4.2.1.12 There are no specific timeframe to contract rules for INCO projects. A typical chronology can be summarised as :

- about 2 months between the submission of proposals and the ranking list;
- about 1 month from the ranking list to the sending of letters to ranked proposers;
- about 1.5 months from sending letters to the start of preparation of contract negotiation;
- another 4 months on average should be calculated for contract negotiation;
- about two months from the end of contract negotiation to the signature of contract for proposals inserted in the first batch;
- proposals in further batches could be signed with a delay of more than one year.

In conclusion, the time frame is still long and could be reduced. New procedures have recently been devised to address this though their implementation is dependent on those elsewhere in the Commission with legal and financial responsibilities. However, following the recommendation of the 2000 Monitoring Expert Group, more attention has been paid to explaining the process to coordinators with a view to managing expectations, avoiding frustration and making the entire proposal processing clearer and more transparent to proposers. From the practical point of view, in order to answer the criticism

made by the Monitoring Expert Group 2000 about contract delay, INCO has achieved the following beneficial results:

- all but one of the ranked proposals in relation to Calls closed in 2000 have been negotiated and are under contract;
- consortia have been systematically invited to provide a mandate for signature of the contracts to the coordinator to shorten contract signature time.

4.2.1.13 Monitoring of projects by INCO staff or SP experts is mainly based on assessment of progress/annual reports and final reports; type of participants; number and quality of project outputs according to initial work plan (deliverables, milestones); number and quality of publications/articles during and after the project; number and type of events (conferences, workshops, seminars) generated by projects; degree of participation and quality of participatory approach. This is largely monitoring the process of project administration rather than project management and assessment of project effectiveness and quality of content. No specific indicators have been elaborated to facilitate project monitoring and assess exactly and objectively whether results/activities satisfy targets. It is recommended that INCO staff be provided with an appropriate set of monitoring indicators, for both technical and coordination aspects.

4.2.1.14 An information management platform has been set up to facilitate the tracing of deliverables and outputs of projects. However a satisfactory Management Information System (MIS) is not in place for all programmes and no control structure has been implemented to check the effective use of this system, apart from contact persons in each Directorate. So for example it is very difficult to get data on participation of third countries in the Thematic Programmes. However the MIS for INCO is a very good and well structured system. The system appears to be a good tool for archiving data and has been adjusted recently to facilitate coherent programme management and the collation of overview information for a variety of purposes. Many queries are now pre-structured, thus alleviating the pressure on informatics staff to rebuild queries on demand. The Expert Group recognises with great satisfaction the efforts made by CORDIS to provide specific information on and for NAS both online ([www.cordis.lu/fp5/enlargement.htm](http://www.cordis.lu/fp5/enlargement.htm)) and through a special CORDIS focus published in December 2001 (Issue number 17).

#### COST and EUREKA

4.2.1.15 In the Commission's view the current procedures in COST constitute an obstacle to the success of COST activities and they clearly expressed their wish to be relieved of most if not all elements of COST administration (see document 35). Change is therefore inevitable. The recent COST assessment has analysed different options for the future COST administration and recommended a number of changes that would strengthen COST and enable it to move forward (see document 59). The COST Panel believe that just the following two options stand out: (i) the establishment of an international non-profit association under Belgian law, resembling that of INTAS or (ii) the establishment of a COST Unit within the General secretariat of the Council. While the COST Panel prefers the Council Secretariat solution, the Services of the Council stated that this model is however not a realistic option.

4.2.1.16 For EUREKA some progress has been made but the new dialogue between the Commission and EUREKA is not yet sufficiently reflected in the management of the future collaboration between the two entities. A more formal structure is needed to ensure a sustainable and permanent dialogue/collaboration both at political and institutional level. At project level the Commission should in addition actively support all efforts to link up

the different players e.g. through joint conferences, interaction in proposal evaluations and so forth. Currently, the dialogue is on-going at different levels.

#### Relations with other SPs and DGs

4.2.1.17 There appear to have been some valuable features and initiatives developed in this area but from a monitoring standpoint it is difficult to determine what actually is done in practice or what practical actions will ensure a continuous and well structured dialogue. The following features have been noted for 2001:

- Coordination between member States and the EC on policy and investment in agricultural research (EIARD), the Secretariat of which is based in DG Research
- Several workshops supported through INCO accompanying measures in fields like water management, fisheries and agriculture
- Preparation of communications, provision of inputs and other forms of information with other DGs :
  - EU strategy for agricultural research for development (DG DEV)
  - Water management in developing countries (DG DEV)
  - 'Life sciences and biotechnology – a strategy for Europe' containing an action plan covering international cooperation (with DG DEV)
- INTAS activities
- Strengthening of relations with MEDA. This is very important, also in view of increasing importance and visibility on international research.

There would be merit in taking such initiatives further and giving them more structure – for example to the extent of joint or collaborative research programmes or other initiatives such as research training as has been done with other DGs in the past.

## **4.2.2 Communication and information dissemination**

4.2.2.1 Communication and dissemination has perhaps suffered somewhat this year as a result of the fundamental re-organisation of DG Research that has particularly affected INCO and the pre-eminent need in these circumstances to maintain management of on-going projects and new Calls. Nevertheless certain initiatives have been taken including:

- information meetings held in Member States;
- two meetings held for National Contact Points in Brussels;
- over 1500 information packs dispatched for targeted dissemination to partner countries, Member States and associated states through EC Delegation and offices;
- INCO-Infodesk improvements by increasing staff dealing with messages in Unit 06 in responding to third countries;
- provision of a new more user-friendly template for the INCO web site;
- leaflets made available presenting the activities of the INCO programme by region.
- wide distribution of thematic reports and bulletins.

As a result Areas A3 and A4 in particular are well known in the developing and Mediterranean countries and Area A2 also in its CEEC and NIS target areas. It could be advantageous to put more effort into informing a wider number of categories of stakeholders in particular decision-makers and end-users.

4.2.2.2. Clear communication will be essential particularly as operational arrangements under FP 6 are still not clear. The current contractual arrangements for participation are under review and certain proposals are currently under consideration (see also 4.1.1.4(i)). It is envisaged that there will be a need to expand and adapt to the new challenges in FP 6. This is also in line with suggestions of the 2000 Monitoring Expert Group. In particular more

informational effort is needed on support for training in third countries, particularly developing countries.

CORDIS continues to be an excellent source of information particularly for researchers and FP 6-related INCO information available on it is shortly to be increased.

#### **4.2.3 Evaluation and monitoring methodology, including indicators**

4.2.3.1 The overall arrangements for Monitoring were an improvement on previous years because of the direct representation through the Chair of the SP Monitoring work to the FP Panel and useful feedback to the SP Expert Group that was also possible. The Monitoring task for INCO however was initially a real challenge since a comprehensive self-assessment was not available - a factor which is certainly due to the absence of line management during recent months. There was almost no information provided on Area A5 (in particular no comprehensive information on what has been done in TPs under the umbrella of existing S&T agreements), and no information at all on Area C2. However subsequently some information was obtained through interviews and individual contacts with staff members. A major problem was that because of an obvious lack of international cooperation thinking in the FP and ERA context in the Thematic Programmes there was no systematic and comprehensive information available on third country participation in them. Only Candidate Countries participation is addressed in all Thematic Programme's self-assessments - a very "Eurocentric" international perspective. Fortunately there is a very good information and an excellent Information Management System as far as implementation of INCO specific Calls and project implementation are concerned.

4.2.3.2 The monitoring process would benefit from the availability of consistent and comprehensive lists of indicators formulated to assist staff particularly during project management including on-going assessment of potential outcomes. The monitoring exercise at a working level is mainly based on reviewing effectiveness of processes in use to stimulate proposals, their evaluation, implementation of contracts and noting completion. These are in place and transparent. At a generic level budget and spending decisions, staff resources and policy issues addressed through Programme objectives are the major features for monitoring effort. The monitoring is therefore mainly assessing process rather than content. A Logical Framework approach for the programme is not really apparent and so is generally missing in ranked projects. Although there are quality indicators devised for use at a Framework Programme level there is no list of indicators worked out to assist an objective and consistent monitoring based on the effectiveness of achieving the objectives set at Programme, Area and project levels. Monitoring would benefit from a more simplistic rationale for these at the outset: (i) What are we trying to achieve? (ii) How are we going about it? (iii) What is happening as a result? (iv) What outcome have we achieved at the end? (v) How effective has it all been?

#### **4.2.4 Follow up on impact of previous research FPs and SPs**

4.2.4.1 Project titles in INCO Areas A2, A3 and A4 are often striking for the relevance and potential applicability of the anticipated work and themselves mirror the well-defined objectives, approach, priorities and deliverables specified in individual Calls. However few resources or information were available to the Expert Group to undertake follow-up work on the impact of previous INCO research. There is an urgent need to develop tools for such activities that will assist in an assessment of how effective programme initiatives have been in fulfilling their objectives, the nature of the resulting outputs, how these, or the

information they contain, have been disseminated and to what audiences, what take-up has occurred and the constraints experienced, and what the eventual outcomes have been. The time frame for such an analysis is also important as outcomes may only become apparent after some years though the assessment of impact potential is a worthwhile management activity at an earlier stage. It also should be recognised that outcomes may be seen in a number of modes – for example, scientific, socio-economic, and policy/regulation.

4.2.4.2 In evaluating proposals in INCO Calls due recognition is given to the potential for impact and the form it takes. This is particularly so in the regional evaluation step. This assessment could usefully provide criteria on which subsequent impact monitoring could be built given the development of appropriate methodological tools and more widespread use of Logical Frameworks. In the absence of these more systematic approaches follow-up of the impact of previous research could at best only be one of subjective impressions. For example in-country impact might be regarded as modest whether regionally or nationally due the small participation of end-users and SMEs (however the trend is positive – there is increasing participation of these stakeholders in third countries compared to previous years and FPs); a high number of RTD actions and small number of Thematic Networks will not optimise impact in a given territory where a fully participatory approach is needed; there is still the tendency by the EU partners to dominate projects with consequent low impact on the territory; NGOs are often absent and their number should increase as they can often best support the “bottom-up” dimension in the territory.

#### **4.2.5 Other relevant aspects – questionnaire input from INCO Programme Committee**

4.2.5.1 A questionnaire was sent to each member of the INCO Programme Committee seeking views on a number of issues (see Annex 6.7). The response was disappointing as only six were received duly completed from around sixty forms distributed. This is perhaps because there is a realisation that the future of the Programme is in some doubt. Analysis of the responses received showed that INCO was highly regarded as a mechanism for fostering contacts and involvements between third countries and the EU but some indicated that it was less successful in relation to NAS. The work programme generally received favourable comments though some felt there were disparities in funding for different areas (e.g. Area A3 was commented on as being too high as compared to Area A1). The programme was viewed positively in terms of its flexibility of response to changing circumstances and the new Balkan Call was particularly commented on favourably in this respect. Project evaluation was felt to take too long and be bureaucratic and there was some criticism of the calibre of evaluators. The National Contact Points (NCP) were generally regarded very favourably and thought to be very effective as a source of information.

### **4.3 *IMPACT OF PREVIOUS RESEARCH FPS AND SPS***

4.3.1 INCO initiated an impact assessment of projects completed or near completion under FP4 at the start of 2001 by an expert Panel in response to recommendations in the 1999 Monitoring report. No such exercise had been mounted previously and so benchmarking criteria for assessing impact based on the Programme objectives specified in FP4 had to be developed. The broad objectives for the assessment were:

- to assess the scientific results obtained from a first batch of completed projects (or projects close to completion) under FP4 in the fields of INCO-1;

- to analyse their impact on scientific grounds and on the basis of collaborative activities in a more general context, in particular their contribution to forging links with Europe's major partners;
- to draw strategic conclusions with regard to further needs in the field;
- to formulate recommendations relevant to effective implementation of similar future impact assessments.

4.3.2 Around 100 projects, primarily in the FP4 equivalent of Areas A2 and A4, were scored for outcomes against these criteria. Some good examples of beneficial outcomes were found as well as some failings. The findings were constrained by the fact that (i) it is not easy to assess the impact of a diverse research programme such as INCO from a relatively small project sample (ii) the programme involves many players from a wide range of countries in many different scientific areas and the individual projects themselves often have a cross-disciplinary character (iii) the Panel was set ambitious targets and had to adopt a pioneering approach to undertaking an *ex post* impact assessment of this type and (iv) in the future provision of relevant impact information needs to be more iterative throughout a project's timescale so that the required information is assembled progressively thereby avoiding too much reliance on the use of a questionnaire.

4.3.3 Nevertheless despite these constraints good examples of impact were found in various areas of the programme relating inter alia to enhanced international cooperation, professional exchange, short-term employment, regional environmental improvement, overall socio-economic benefits, undertaking science of good quality and achieving some particular technological outcomes. The image of INCO in third countries was undoubtedly high and this is itself a beneficial outcome for the EU and there are a number of specific project success stories as careful examination of the project summaries as a deliverable from this study reveals.

4.3.4 In developing countries scientific achievements were found in Africa and in Asia in the fields of agriculture and human health and technological achievements were found in food processing and post harvest conservation. In Asian and African countries the impact of INCO-DC was substantial in areas such as direct financial support to scientists and students, training and professional improvement, protection against erosion, and conservation of natural resources. The overall socio-economic impact of INCO-DC was substantial as it was for the three STDs. The first positive impact concerns the scientists themselves who were supported by the projects. Without this support, in the poorest countries, they would have been completely abandoned. In most of the Asian and African projects concerning agriculture, food, and health socio-economic impact is evident on parameters like improvement of farmer income, gender equality, health, education, and employment.

4.3.5 In CEEC and NIS countries exchange of scientists and the meetings, conferences and similar events that took place resulted in the transfer of experience, technology and data in both directions. Indirect socio-economic impact could be observed concerning job creation potential, substitution of imported goods, and improved food quality. The environmental projects made a significant input to information and further research. In all cases the projects of INCO-Copernicus were helpful in terms of providing job stability for the duration of the projects. After this, the jobs became vulnerable and many scientists went abroad or became unemployed (especially in NIS countries). In general industrial partnerships (especially involving SMEs) were relatively low but international co-operation

increased and showed some stability. The majority of project partners had co-operated previously.

- 4.3.6 In conclusion it was found that there has been identifiable impact of research from INCO in a very diverse programme of activities in many geographical areas and many important scientific fields. As components of this impact the programme projects (i) often demonstrate valuable multi-disciplinary features (ii) are widely appreciated in third countries as well as by institutions in the EU (iii) provide good awareness of the EU and its research activities (iv) provide professional contacts and networks that would otherwise be difficult to achieve (v) train scientists in other countries who in future may well come to work for a time in the EU and contribute to its R&D efforts (vi) through their European dimension encourage the furtherance of the European Research Area (ERA) and foster a valuable international dimension for it and (vii) European components often demonstrate European Added Value (EAV) for the collaboration established with third countries. Overall the programme in FP4 was found to have made a significant contribution to policy-related knowledge and understanding of third countries for EU purposes, the scientific capabilities of these third countries and their socio-economic needs. This study demonstrated that information needs to be archived and accessible in particular ways for impact analysis and continuing work is required on the benchmarking indicators needed for assessing impact in the different areas of the Programme. A report of the study is currently being finalised for publication.

#### **4.4 FOLLOW UP OF PREVIOUS MONITORING AND FIVE YEAR ASSESSMENT RECOMMENDATIONS**

- 4.4.1 The Commission has reflected well on most of the recommendations of the 5-year assessment. Some of these recommendations were implemented quickly e.g. a specific Call for the Balkan region was launched in 2001, and an impact study on the S&T agreements is being launched just recently. The more general recommendations concerning the strategy and further development of international cooperation within the FP were incorporated in mainstreaming efforts of the international dimension of ERA. The Communication "The International Dimension of the ERA" (COM (2001) 346 final) refers in particular to the recommendations that are crucial to considering the research potential of conceivable partner countries and the relative importance for the EU of international cooperation in various areas of RTD. Other points well taken were, for example, that the EU should focus on priority areas in order to create critical mass and optimise results and that links with other EU policies, in particular foreign policy, should be strengthened. In addition, DG Research's internal reorganisation, as far as INCO activities are concerned, was certainly meant to better present the dual function of INCO and to sensitise the Thematic Programmes towards the need to becoming more international. However the timing of the reorganisation was not good and the manner of its implementation did not comply with the recommendation of the 5-year assessment but caused significant demotivation among the staff of certain units and led to a substantial loss of INCO's visibility as seen from outside. Other recommendations are still under consideration - for example the role and future administrative organisation of COST for which an independent assessment has only very recently been completed.
- 4.4.2 As far as the conclusions and recommendations of the INCO 2000 monitoring report are concerned the proposal for a well-reasoned document on INCO European Added Value (EAV) importance to ERA and the separately stated need for more integration of separate actions at programme level have largely been addressed by the provision of COM(2001)

346 final already referred to. Reporting on the process status of projects accepted for funding has not been put in place though new procedural methods designed to speed up the procedures are being implemented. The need for increased tenure in staff assignments to INCO has not been fulfilled as the entire Directorate E has been abolished and reduced numbers of staff allocated to Units – in complete contrast to the essence of the recommendation. A management information system is now in place through which the project management cycle can be accessed but revision of the Programme Committee's contribution to INCO has not proceeded probably as a result of pressures caused by reorganisation. The 2000 Panel's view that the reorganisation just commencing at the end of 2000 was badly timed, weakly executed, and poorly communicated is largely endorsed by this 2001 Monitoring Expert Group.

4.4.3 The broader observations set out by the 2000 Monitoring Expert Group included the need to study the possibility of taking all or some of INCO activities out of the FP regime and into a form of operation by separate INTAS-like structures is supported by the present Expert Group in relation to COST - but the way forward here is still under consideration. Concerns expressed in 2000 for the future of INCO being addressed by the Deputy DG in discussion with the programme Committee did not happen but the need for new visions for FP 6 to meet the growing challenges of international cooperation have been taken into account in part through the reorganisation to embrace the concept of ERA and the preparation of COM (2001) 346 final - though the operational aspects of what is envisaged are still far from clear.

4.4.4 A number of actions have been intensified or improved in Area A4 to respond to some previous recommendations:

- intensification of events like presentations at conferences and information meetings to promote coordination by scientists from developing countries and putting more responsibility on developing countries for involvement in projects;
- the good experience of pre-proposal eligibility checking has been continuously pursued by INCO staff for 2001 Calls to maximise quality of proposals;
- the 2000 monitoring Expert Group also suggested strengthening relations with DG Development and the policy sector to contribute to the refocusing of EU development policy and activities have been intensified here in 2001

4.4.5 A general concern, which also applies specifically to the Mediterranean and Balkan country projects, is the small participation of stakeholders and decision-makers from developing countries and the low participatory approach achieved in ranked proposals. Low participation of these categories of participant does not help in achieving the level of desirable impact on the territory in question. Promotion of INCO has been intensified in the developing countries to systematically enlarge participation of the categories mentioned above.

## **5. CONCLUSIONS AND RECOMMENDATIONS**

### **5.1 GENERAL CONCLUSIONS**

5.1.1. The Expert Group believes that the ERA concept has great potential to further strengthen the international dimension of the Framework Programme. It has also become convinced that this international dimension is strongly supported by the Director General. However,

while there has been formal recognition since June last year (in COM (2001)346 final) of the significantly higher importance to be given to international cooperation - the international dimension is now part of the mission statement of the thematic directorates in DG Research - the structures needed for its implementation and management are not yet clear. Some “flesh needs to be put on the bones” here so that the tactical aspects relevant to implementing the concept and how these are to be made operational and “action-based” become clear. This is now crucial as there is evidence of insufficient FP and ERA-based international thinking in the TPs which is only likely to be corrected by operational stimulus from the senior level.

5.1.2 According to the concept set out in the Communication from the Commission “The International Dimension of the European Research Area“ ((COM (2001) 346 final of 25.6.2001), the new role of international cooperation is twofold, with the leading paradigm that ERA must be more attractive for the best scientists and that it has to become a world class reference centre. The two elements are:

- an “Inward” orientation where special efforts are foreseen to build and contribute to the completion of ERA (which is defined as EU + EEA + the Candidate Countries) with measures directed “inward”(e.g. special efforts to further integrate Candidate Countries and new efforts to better link up with Member States activities such as EUREKA).
- an “Outward orientation opening up ERA to the rest of the world as the Commission has also stressed in the communication “Making a reality of the European Research ‘Area: Guidelines for EU Research activities (2002-2006) – COM(2000) 612 final - with a global mobility programme, cooperation activities with specific regions, and opening up of the thematic priorities for cooperation with certain third countries.

While the Expert Group shares the overall analysis and fully supports the suggestions and conclusions of COM(2001) 346 final, it recommends further development of this comprehensive strategic approach particularly concerning ERA’s overall positioning and alignment in the global R&D environment. When compared to the USA’s contribution of over 3.5 billion €annually, or 4-5 % of the federal research budget to international cooperation, the total amount allocated within the European Union (Member States plus Community) is still somewhat limited at considerably less than 1 billion €(see COM(2001) 346 final, page 20). These figures support the view that more efforts are needed at all levels and powerful and committed leadership is required to make ERA a global player in international scientific cooperation.

5.1.3 However, activities directed to strategically align and position EU RTD in a global context should not just mimic existing foreign approaches, but recognise that scientific cooperation is a good way, on the one hand, to influence societal developments, and on the other hand to learn from and better understand different cultural and societal concepts. Here, as compared for example to the USA, Europe provides a different model with specific societal and political concepts. European attitudes and approaches to global research issues or significant world problems, such as food safety, environment (climate, bio-diversity and natural resources amongst others) or health and major diseases connected with poverty must reflect European concepts and policies. The same applies to ethical issues in the Life Sciences. In addition, the Expert Group recommends that in response to the events of 11 September 2001 socio-economic research related to poverty and terror and the socio-economic backgrounds of terrorism should not be excluded from the ERA and the FP 6 agenda, because dealing with terrorism has become a significant world problem. Linkage with EU foreign and security policy is especially important in this

context. Here it should be noted, that international cooperation in science and technology often paves the way to closer political and economic relations.

- 5.1.4 It is the Expert Group's view that the dual function of INCO is now being altered. In opening up the FP through ERA one pillar is strengthened but the perception of the INCO dedicated work programme has been negative in the outside world and external opinions on INCO's future have not been good. This is a pity as in fact the Expert Group has come to recognise that the aim was to broaden the international dimension though this message has not been communicated properly. The fundamental re-organisation experienced in DG Research in the past year and the disappearance of Directorate E underlined these external concerns. In spite of the valiant and successful efforts of the two successor Units in replacing the former Directorate roles the reality was that the scientific management of many INCO projects being implemented by outside organisations was transferred to other Directorates and this operational change in responsibilities did not go unnoticed. Such external perceptions are important. Despite these upheavals, that in effect seem to anticipate what might occur in future in implementing FP 6, the processes involved in the administration of on-going projects, the management of new and on-going Calls and other practical measure necessary to maintain the functionality of INCO as required in FP 5 have been provided for the dedicated Programme by Unit 06. The development of the international cooperation dimension in the context of ERA for all TPs and the need for negotiation of further S&T agreements and the renewal of others has been maintained by Unit 05. The fulfilment of these essential activities, often in the absence of a specifically dedicated senior line management, is a credit to the staff involved.
- 5.1.5 The Expert Group suggests reviewing the need for various activities in 2002 (or later in FP 6) as they currently exist. Measures should be taken to broaden participation in RTD projects; bursaries could be used as a separate means of creating mobility and not necessarily linked to ranked RTD projects; further efforts should be made to ensure that researchers are involved in research priorities stated in the programme and in a way that leads to results that are exploitable in third countries and useful for institutions and/or countries of origin of the scientists involved; participation of scientists from SMEs should be particularly promoted and encouraged.

## **5.2 RECOMMENDATIONS - KEY ASPECTS**

- 5.2.1 There are several markedly different components to international cooperation that are not necessarily amenable to uniform approaches or initiatives. For example fostering collaboration with an industrialised country has to be seen in an entirely different context from having collaborative work with a CEEC or developing country. In addition to differences in geography or socio-economic development the nature of particular actions can also be very distinct. For example mobility actions related to young researchers are of a different character to those designed to promote mobility of professional scientists or engineers with an international reputation. There are also wide differences in the scientific or technological content needed to influence the nature of international cooperation ranging for example from what might be needed in biotechnology or ICT to that which is appropriate for global climate change or preservation of cultural heritage. Implementing and operating an international dimension in ERA is more easily said than done.
- 5.2.2 *The Commission therefore needs to consider the ways in which it will deliver international cooperation in the context of FP 6 and more widely and what actions are*

*needed to make this work in particular areas and circumstances “on the ground”*. It is not sufficient simply to open up FP 6 to the outside world as it is likely to become dominated by particular factions in particular areas of science. There would then be no coherent strategic position for an ERA-based international dimension (other than promoting a free market for scientific funding) but rather a disparate collection of individual examples of activity in different TPs and other operational areas such as COST or INTAS.

5.2.3 There are obvious dangers in relying entirely on a “free market” approach to opening up the FP to proposals from outside countries. Some of these countries are better equipped to survive the rigours of scientific peer review as the principal criterion for evaluating proposals than others. Certainly scientific excellence should be paramount but other factors need to be taken into account in delivering policy objectives for the EU through international cooperation in S&T in a global context. ***The Commission should embrace the role of nurturing scientific expertise in particular countries or particular circumstances not least to enhance its own influence and standing.*** This should not be seen as a patronising activity in which for example a developing country might only provide natural resources or scope for trials or simply be a recipient of largesse, but rather one seeking a genuine stakeholder involvement in which the aim is to foster collaborative scientific endeavour for the benefit of a global society. Countries in the South have a significant contribution to make to ERA not least in relation to research effort on sustainable development and natural resources. ***This means that the philosophy of INCO has to be transferred to the TPs if the FP is to be a realistic instrument for fostering international cooperation.***

5.2.4 In order to make progress and define actions on the ideas outlined above it is of utmost importance for the implementation of the international dimension of ERA that the original dual function of INCO be maintained and further developed in FP 6 in some way. In order to create a maximum of synergy, partnership and coherence between the two columns of international activities (the specifically dedicated international programme on the one hand and the international dimension integral to each of the thematic priorities on the other) ***the Expert Group recommends establishing an international cooperation strategic steering team (ICST) or unit and small steering committee under the responsibility of the Deputy DG.*** The steering team/unit and committee should also provide an interface for integration between the top-down approach of mainstreaming international cooperation on the one hand and the bottom-up development of the international activities by the thematic priorities. The major task of the steering unit and committee should be the planning and the development of annual work programmes and implementation plans for the different target regions - and in particular in bi-regional dialogues under the framework of S&T agreements which are now becoming more proactive. A second important task would be to ensure the visibility of the international dimension as seen from outside, through an integrated reporting and output of data which covers all international R&D activities of the FP. For the composition of the steering committee it would be important to have all thematic priorities and specific international activities represented while for the steering team/unit it would be necessary to have staff involved who have specific practical experience and knowledge in the different target regions. The focus of such activity might logically be seen in Unit 05 but with appropriate contributions from Unit 06.

***Recommendations specific to the SP programme / ERA related activities***

5.2.5 Looking at Areas A1 to A5 of the INCO dedicated work programme the relatively low participation from NAS, in particular in Central Europe emphasizes ***the need for focused action at different levels***. For example:

- *The Commission should encourage NAS to harmonise their national research programmes, improve their research infrastructures and increase spending on R&D, and provide more foreign language training for their researchers.*
- *Commission Services in charge of research should offer more “stagiaires” and detached national expert positions to NAS.*
- *The Commission should encourage more researchers from NAS to become evaluators for proposal selection.*
- *The more “user-oriented” information made available through CORDIS must be complemented by specific activities, public events and conferences in the NAS.*
- *Training activities (such as TRAIN-NET Train the Trainers, an accompanying measure within the Quality of Life Programme) targeted at the exchange of experience and expertise of National Contact Points and the improvement of the services for researchers by training of NCPs in the NAS should be extended.*
- *Joint and partnering activities of IRCs (Innovation Relay Centres) in EU member states and NAS should be supported.*

In addition and more importantly it is probably ***necessary to find a politically and legally acceptable solution that would enhance NAS participation under appropriate contractual arrangements*** (concerning in particular the payment of salaries and reimbursements for durable equipment without depreciation) - at least for a limited period of time.

5.2.6 For developing countries such ***focused action could involve*** for example:

- *Proper monitoring of ongoing activities with adequate staff and structures.*
- *Dissemination and promotion to foster the participation of categories like decision makers and end-users which is still too small.*
- *As in all the Programme Areas the work load in 2001 was not proportional to the number of staff in place and this situation cannot continue in 2002 without affecting programme implementation.*
- *There is a real risk of losing visibility for developing countries in FP 6 so the strengthening of relations and cooperation with DG Development seems necessary to reach the necessary critical mass.*
- *If there is to be consolidation of international cooperation with developing countries in FP 6 there should be fewer but highly effective objectives/tasks:*
  - *promotion and consolidation through networking (possibly supported by external institutions or organisations widely operating in the region)*
  - *research funds used for clear priorities emerging in the third countries in the course of FP 6.*
- *Principles of most value to developing countries in the future international dimension of ERA ought to be based on regional integration (socio-political-environmental-market/technological integration) and interdisciplinary and regional actions inserted within medium- to long-term dynamic scenarios, based on consistent socio-economic and environmental (climatic) indicators.*

5.2.7 As concluded by the recent COST assessment study (see doc No 59) COST has for a long time delivered one of the priorities of current ERA-policy - that of international coordination of national research activities. A decline or even closure of COST would make achieving ERA much more difficult. However it is clear that the form of

management of COST remains a key concern and its appropriateness for inclusion in FP 6 in the absence of a specific programme Area in which it might be logically located is problematical. The Expert Group did not feel qualified to make specific recommendations on how the future management of COST should be constructed but it fully supports the judgements of the COST Panel that any change in the management should be made in a way and at a speed that preserves the continuity of COST. ***There would be merit in exploring an INTAS-like managerial solution for the future operation of COST in which its secretariat function is established as a separate legal entity*** funded by some form of block Commission grant.

- 5.2.8 For EUREKA although ***the Expert Group strongly recommends more interaction with the FP at project-level*** it supports the Commission's view that synergy between the FP and EUREKA has to go beyond a mere financial logic since both are instruments for the creation of the ERA, but with distinct rules and mechanisms. In this context the Expert Group highly welcomes the activities at political level in year 2001, which were characterised by the rejuvenation of EUREKA under the Spanish and Greek EUREKA chairmanships. The proposed "Framework of co-operation for an operational agreement between EUREKA and DG Enterprise – Innovation" (Draft version of 31/10/01) should be implemented as soon as possible. There is promising potential for future collaboration between EUREKA and the FP in the two priority areas for action (integrated projects within strategic technological fields and reinforcement of the innovative performance of SMEs), identified by a joint working group which included high level representatives from the European Commission.
- 5.2.9 It can be envisaged that certain international cooperative research actions considered to be important in a EU policy context or to be an essential requirement for particular strategic reasons might be inappropriate to implementation either in TPs or through other mechanisms such as INTAS, COST or EUREKA available in ERA. Such activities might be specific research activities that require targeted implementation to satisfy a defined need – in that sense they are demand or event-pulled rather than supplier-pushed. Examples might be to nurture research expertise in a developing country, to address unforeseen emergencies, to address particular environmental or health concerns in a region, to influence policy thinking in identified countries by facilitating mobility of key experts. There needs to be a management focus for such specific, even catalytic, activities that is not just a matter of administrative convenience; and financial resourcing for them within the thematic priorities. This ***dedicated International Cooperation Research (INCOR) targeting special needs or issues not easily addressed in other ways should be an identified responsibility of a unit or resource group in the management of FP 6.*** Such a resource group might logically be based in Unit 06. Critical mass here might be provided through joint research initiatives with other Directorate-Generals or appropriate agencies so that an instrument of the FP is providing research thinking in an even wider context.
- 5.2.10 Projects in the proposed INCOR areas will have been implemented for specific reasons that do not reflect an obvious relevance to TPs or other mechanisms . Because of this "dirigiste" rather than responsive character of the effort it is particularly important that the research projects implemented are closely managed to fulfil the required objectives so a feature of proposals for funding at least in such areas should be ***the provision of Logical Frameworks for the projects and their use to manage the project cycle and reinforce the need to deliver outputs that have an impact on the issues that necessitated the research effort in the first place.***

### Recommendations of general significance for the whole FP/ERA

- 5.2.11 *A strategic analysis of the various components of international cooperation needs to be developed for FP 6 that derives from the Commission Communication COM 346 (2001) final and gives it operational coherence in the context of the FP 6 TPs and other instruments.* This can be achieved by making use of some of the recommendations made above (see 5.2.4 and 5.2.10). It is vital that the operational context of international cooperation in FP 6 is effectively communicated to all interested audiences in the appropriate form.
- 5.2.12 The negotiation and oversight of EU bilateral S&T agreements with third countries has been an INCO responsibility but the activity for which such agreements act as an umbrella is largely to be found in other TPs. There is no readily accessible database (excepting CORDIS) from which management information on this activity can be gleaned other than at TP level or in some instances from the EU Delegation office in-country. This makes monitoring of this activity extremely difficult. It would also be a pre-requisite to forming any view of the performance and effectiveness of the agreements both to the EU and the third country involved. *It is recommended that action be taken to collate data on project activities in place as a result of, or embraced under, S&T agreements with third countries so that monitoring progress and performance in this Area can be more readily achieved.*
- 5.2.13 Attempts to mainstream gender in INCO are relatively recent, and while the relevance of gender is mentioned in some policy documents it is not yet systematically reflected in the work programmes of the different INCO areas. *The Expert Group therefore broadly supports the conclusions of the INCO Gender impact assessment study and its recommendations for better integration of the gender dimension.* Since the new FP 6 aims to go further in the development of scientific and technical excellence, innovation and integration of research in EU and non EU countries, as well as capacity building especially in the Candidate Countries for enlargement and NIS and developing countries it is essential to make gender explicit as a cross-cutting issue within the programme. More specifically, the Expert Group recommends the provision of more opportunities at work programme level for incorporating gender within certain priorities, such as the preservation and use of cultural heritage, promoting healthy societies, the environment and health priorities in support of NIS and CEECs, or the issue of energy supply in developing countries. In order to support the Commission's target to have a better participation of female researchers, specific information and training activities on how to become involved in EU research and on how to prepare proposals for FP 6 should be implemented in particular for female researchers in Candidate Countries as well as NIS and CEEC.

### Recommendations addressing the evaluation and monitoring methodology

- 5.2.14 *There is a need for a continuing approach to developing tools for assessment of effectiveness and usefulness of the eventual outcomes resulting from the research efforts of the FP 5 INCO programme and in the future of the international dimension of FP 6.* Some consistency is needed in the use of criteria to benchmark Programme outputs, their dissemination, uptake and the eventual societal outcomes. Development of appropriate methodological tools would greatly assist the monitoring task and provide better year by year comparability. For INCO a start has been made in a prototype impact study of a sample of FP4 projects which provided indications of what is required. More needs to be

done here if ERA is ultimately to be shown as a demonstrably credible instrument for furthering the influence and calibre of EU science and technology in a global context. .

5.2.15 Impact studies are not monitoring exercises but they require a benchmarking approach that can be used to assess outcomes in relation to stated objectives at project and programme levels. The indicators and related thresholds devised for this benchmarking purpose should be provided also to the SP experts to monitor the programme. Otherwise, the monitoring exercise (of both Programme and projects) will only result in qualitative or subjective partial assessments and not be quantitative. The material provided for the present monitoring exercise was sufficient, maybe even too much, but less and more organised material would facilitate the work of the SP. However, the most critical point is the total absence of any indicators and associated thresholds for the use of the monitoring Expert Group. A monitoring exercise should not be based only on a qualitative assessment. ***It is recommended that a specialist study be undertaken that would result in a list of indicators*** (financial, economic, technical/implementation, environmental, social) either common to the whole INCO programme or specific to each of its Areas ***to be used during programme/project monitoring*** and to support future impact studies together with thresholds identified for each selected indicator.

## 6. ANNEXES

### 6.1 BUDGET 2001

Ares	libellé	Total
A1	Coop. Pays en phase de pré-adhésion	293,229
A2	Coop. NEI et autres PECO (y compris INTAS)	27,143,091
A3	Coop. Partenaires méditerranéens	2,356,902
A4	Coop. Pays en voie de développement	87,037,844
A5	Coop. Economies émergentes et pays industrialisés	1,357,943
B1 + B2	Formation des chercheurs	1,562,208
C1	Coordination INCO	0
C2	COST DG INFO	1,318,983
C2	COST DG RECH	11,234,978
C2	COST DG TRANS	162,016
<b>Total</b>		<b>132,593,194</b>

### 6.2 STRUCTURE OF INCO WORK PROGRAMME 2001

#### A Cooperation with Third Countries

- A1 States in the Phase of pre-Accession to the European Union
- A2 New Independent States (NIS)\*, and Mongolia, of the former Soviet Union and Central and Eastern European Countries (CEECs) not in the pre-Accession Phase: Copernicus - 2

(\* mainly achieved through INTAS)

- A3 Mediterranean Partner Countries
- A4 Research for Development
- A5 Emerging Economy and Industrialised Countries

#### B Training of Researchers

- B1 Bursaries for young researchers from Developing Countries
- B2 Fellowships to Japan for Community Researchers

#### C Coordination

- C1 Coordination with Member States
- C2 Coordination – support to COST and EUREKA

### **6.3 INFORMATION PROVIDED TO THE EXPERTS BY THE PROGRAMME MANAGEMENT**

#### CUMULATIVE LIST OF DOCUMENTS PROVIDED TO THE EXPERT GROUP

- 1 International Cooperation – all Calls 2001. Information package
- 2 Liste de participants (of the SP Monitoring Expert Group 2001)
- 3 Gender in Research - gender impact assessment of the specific programmes of FP 6 – Confirming the International Role of Community Research EUR20020
- 4 Gender in Research - gender impact assessment of the specific programmes of FP 6 – an overview EUR20022
- 5 Proposal for a Council Decision – adopting a specific programme 2002-2006 for research, technological development and demonstration aimed at integrating and strengthening the European Research Area 2001/0122 (CNS)
- 6 Proposal for a Council Decision adopting a specific programme 2002-2006 for research, technological development and demonstration aimed at structuring the European Research Area 2001/0123 (CNS)
- 7 Note de dossier: Objet:FP 6 – Actions internationales/Pays en développement 08/11/01
- 8 External Monitoring Report 2000 on the Specific Programme for Research and Technological Development in the field of Confirming the International Role of Community Research May 2001
- 9 Modified proposal for a Decision of the European Parliament and of the Council concerning the 6<sup>th</sup> multiannual framework programme 2002-2006 of the European Community for Research , Technological Development and Demonstration activities aimed at contributing towards the European Research Area (+ similar for Euratom) COM (2001) 709 - (COD)/(CNS)
- 10 Work Programme 2001 – adopted by Commission Decision 10.09.2001 after modification proposal 16.07.2001 – Confirming the International Role of Community Research
- 11 2001 Monitoring of the implementation of European Research Area (ERA) Framework Programmes and Specific Programmes. Broad Guidelines 8 November 2001
- 12 Meeting of INCO-2 programme Committee 31 January 2002 – List of Participants
- 13 Programme management comments to the five year assessment report related to the Specific Programme INCO
- 14 Self assessment information for INCO included in papers for First meeting of the INCO SP Expert Group on 8 November 2001 (pm) – yellow folder
- 15 Monitoring 2001 Joint meeting FP Expert Group/Expert groups ERA/SPs on 8 November 2001 (am). – green folder
- 16 Five year assessment of the European Community RTD Framework Programmes – Report of the independent expert Expert Group chaired by Viscount E.Davignon and the Commission’s comments on the Expert Group’s recommendations 1997 EUR17644
- 17 FP Update – DG RTD/A-1 newsflash on Framework Programme developments 15.11.01
- 18 FP Budget \_ compromise amendment
- 19 RTD-05 – repartition des taches (en date du 6 novembre 2001) (staff responsibilities)
- 20 DG RTD – 06: international scientific cooperation projects (staff responsibilities)
- 21 Example print-out of Calls from Intranet – from overall statistics on INCO FP 5
- 22 Note on pre draft issues paper from Specific Programmes 28 Nov 01 –36.Paper from FP
- 23 Framework Programme Monitoring Expert Group 2000. Minutes of 2<sup>nd</sup> Expert Group meeting Brussels 27 Nov 2001
- 24 INCO Breakdown of funding 4/12/2001
- 25 Table 2 Indicative breakdown of funding and timetable – “Roadmap” work programme 2001
- 26 Annexe 1 – Indicative breakdown of the amount deemed necessary
- 27 International Role of Community Research (INCO2) – Evolution of appropriations for commitment
- 28 INCO FP 5 Annual reporting 2001 – provided as diskette 4/12/01
- 29 1999 Five year assessment related to the specific programme INCO – Final report (M. Horvat – chairman) by e-mail 13 November 2001
- 30 Council Decision of 25 January 1999 adopting a specific programme on confirming the international role of Community research (1998 to2002) (1999/171/EC) by e-mail 13 November 2001
- 31 Communication from the Commission. The International Dimension of the European Research Area. COM (2001)346 final. 25 June 2001 by e-mail 18 September 2001
- 32 FP Update DG RTD/A-1 news flash on Framework Programme developments 11.12.2001 – political agreement in Council: a FP of 17.5 billion, new instruments “as a priority means” (sent e-mail 12.12.01)
- 33 INCO proposals 2001 – courier 21/12/01

- 34 INCO2 Monitoring overview of programme implementation 2001 – preliminary version (21.12.01) (2 copies)
- 35 Synergies between the Framework Programme and COST, Eureka, the ESF and other European cooperation organisations (non-paper 19.9.2001)
- 36 Communication from the Commission: Research and technological development activities of the European Union – 2000 and 2001 Annual Reports (COM 2000 842 final) and (COM 2001 756 final) – statistical tables provided at FP Expert Group meeting 17.12.01
- 37 Organogram of DG Research - provided at FP Expert Group meeting 17.12.01
- 38 Working groups for the implementation of the 6<sup>th</sup> Framework Programme – provided at FP Expert Group meeting 17.12.01
- 39 INCO hand-outs INCO FP presentation – provided at FP Expert Group meeting 17.12.01.
- 40 Movement of scientific officers from Directorate E to other Directorates and Units 05 and 06
- 41 Note a l'attention de monsieur patermann setting out project transfer arrangements from Tent
- 42 Follow up to the Conclusions and Recommendations of the 5-year assessment of the INCO programme under FP4/5 (Situation end 2001)
- 43 EC FP 6: Participation of legal entities from third countries and international organisations
- 44 INTAS – Consolidation through innovation – activity report 2000 – provided 16/01/02
- 45 Monitoring 2001 Joint meeting FP Expert Group/Expert groups ERA/SPs on 15 January 2002 (pm) with presentations (ERA) (INCO)(Innovation/SMEs) (Mobility) – green folder
- 46 Third country participation in FP 5 – spreadsheet from Metzger. E-mailed 15 January 2002
- 47 Composition of 2001 Monitoring Expert Group and Expert Groups. E-mailed 14 January 2002
- 48 Fourth Expert Group meeting agenda (revised from original e-mailed by MF 15/01/02) in red folder with supporting papers..
- 49 Follow-up to the conclusions and recommendations of the 5-year assessment of the INCO programme under FP4/5 – provided as hand-out 15 January 2002
- 50 Hand out for presentation to FP Monitoring Expert Group on INCO RTD activities. 15 January 2002
- 51 Note to the members of the INCO-2 Programme Committee for attachment to questionnaire sent to Committee members by e-mail. Received by e-mail 18/01/02.
- 52 Key points in reply to Guide for interviewing Commission staff – amplified response to questions raised at interview with INCO staff. Received by e-mail 25/01/02
- 53 Third country and associated Candidate Countries in thematic priorities of FP 6 – provided on 7 February 2002 (blue presentation style sheet)
- 54 International scientific cooperation in FP4 (1995-1998) Implementation of appropriations. Provided on 7 February 2002 (one sheet coloured pie chart and table)
- 55 Agricultural research for development (ARD) – European Commission Strategy Document – DG Development. E-mailed on 18 February
- 56 Introduction to the instruments available for implementing the FP 6 priority thematic areas - Speaking Notes Unit B2 DG Research. Website E-mailed 22 February – other information is available on the same web address
- 57 Provisions for implementing integrated projects – Working document Unit B2 DG Research. Website E-mailed on 22 February – other information is available on the same web address (e.g. on Networks of Excellence)
- 58 Key points in reply to Guide for interviewing Commission staff – amplified response to questions raised at interview with INCO staff. Updated version. Received by e-mail 28/02/02
- 59 An assessment of COST – presented to the COST Committee of Senior Officials on 7 and 8 March 2002
- 60 EC Fisheries Cooperation Bulletin Volume 14 No 1-4 December 2001

#### **6.4 EXPERT GROUP MEETINGS**

- 8 November 2001 (with FP on 7 November 2001)
- 4 December 2001
- 17 December 2001 (with FP also on December 2001)
- 16-17 January 2002 (with FP also on 15 January 2001)
- 7 February 2002
- 27 February 2002
- 14 March 2002
- 20 March 2002

## 6.5 PERSONS INTERVIEWED

A. Mitsos (Director General – DG RTD), M. Warras (Head of COST Secretariat), F. Cozzani (Scientific officer – Directorate B), J. Sinnaeve (Head of INTAS), N. Newman (Head of Unit D.5), M. Merla (Principal assistant – Unit D.5), E. Perez-Carbonell (Scientific officer – Unit D.5), J. Vennekens-Capkova (Scientific officer – Unit D.4); M. Bauer (Adviser – Unit 05), F. Tilak-Viegas (Scientific officer – Unit 05), N. Sabatier (Administrator - Unit A3), M. Kayamanidou (Scientific officer– Unit 05), G. Borsalino (Scientific officer – Unit I.3), D. Peter (Scientific officer – Unit I.02), T. Arnold (Head of Unit 06), A. Darthenucq (Scientific officer – Unit 06), M. Flageollet (Assistant – Unit 06), M. Genovese (Scientific officer – Unit 06), A. Karaoglou (Scientific officer – Unit 06), Y. Motteu (Head of the financial and administrative group – Unit 06), C. Nauen (Scientific officer – Unit 06), N. Riveill-Bounaga (Scientific officer – Unit 06).

## 6.6 EXPERT GROUP PAPERS

### CUMULATIVE RECORD OF EXPERT GROUP PAPERS

EC/INCO2/MP01/00	Cumulative record of Expert Group papers
EC/INCO2/MP01/01a	Report of proposal observation – Science – 9/10 October – provided 6/11/01
EC/INCO2/MP01/01b	Report of proposal observation – Science – 16/17 and 23/24 October – provided 8/11/01
EC/INCO2/MP01/02	Agenda for 1st meeting of Expert Group 8 November pm provided by Commission services – provided 6/11/01
EC/INCO2/MP01/03	Minutes of 1st meeting of Expert Group (circulated by rapporteur) - provided 23/11/01
EC/INCO2/MP01/04	Report of proposal evaluation – Regional – 15/16 November provided 6/12/01
EC/INCO2/MP01/05	Agenda for 2 <sup>nd</sup> meeting of Expert Group – 4 December provided by Commission services – provided 28/11/01
EC/INCO2/MP01/06	(i)Guide for interviewing Commission staff – provided 28/11/01(ii) Possible interview formats (from 99) – provided 28/11/01
EC/INCO2/MP01/07	Draft paper on proposed work plan and tasking of the 2001 Monitoring Expert Group – provided 28/11/01
EC/INCO2/MP01/08	Cumulative list of documents provided to the Expert Group
EC/INCO2/MP01/09	Draft minutes of 2nd meeting of Expert Group (circulated by rapporteur) - provided 11 December 2001
EC/INCO2/MP01/10	Guide for interviewing Commission staff (revision of MP01/06(i) – provided 11/12/01
EC/INCO2/MP01/11	2001 INCO Monitoring Exercise – Interviews with members of Programme Committee (PC). Draft catalogue of questions
EC/INCO2/MP01/12	Agenda for 3rd meeting of Expert Group – 17 December provided by Commission services – provided 13/12/01
EC/INCO2/MP01/13	Agenda for FP Monitoring meeting – 17 December provided by Commission services – provided 13/12/01
EC/INCO2/MP01/14	Agenda for 4th meeting of Expert Group – 16-17/01/02 provided by Commission services – provided 11/01/02
EC/INCO2/MP01/15	Draft minutes of 3rd meeting of Expert Group (circulated by rapporteur) – provided 13 January 2002
EC/INCO2/MP01/16	Draft minutes of 4th meeting of Expert Group (circulated by rapporteur) – provided 31 January 2002
EC/INCO2/MP01/17	Agenda for 5th meeting of Expert Group – 7/02/02 provided by Commission services – 6 February 2002

**QUESTIONNAIRE****Interview questionnaire – members of INCO Programme Committee****A Introduction – Important progress and major achievements 2001 as compared to 2000**

1. How do you assess the role of INCO within the Framework Programme and beyond ?
2. What are important results of the INCO programme ?
3. Have there been major improvements of the INCO programme management in 2001?
4. any other issues

**B Strategy objectives**

1. What are the major outcomes in this last year ? Most significant results in the European and international context ; practical results from Candidate Countries, developing countries, S&T agreements with industrialized countries and emerging economies ?
2. Have you been satisfied with the content of the INCO workprogramme ?

**3 Are the selected projects covering the workprogramme's objectives and content ? If there is some coverage deficit, was that due to a lack of good quality projects or any other reason?**

4. How flexible was the INCO programme reacting to changing conditions in target countries: any good and bad examples?
5. Do you think that the INCO Programme is supporting external and other policies and programmes of the EU: if yes, how?
6. Are strategic interactions between DG Research and other DG's such as DG Relax, DG Enlargement and DG DEV at the proper level?
7. Are you aware of any changes in the INCO Programme in FP 5 to enable to contribute to the ERA concept ?
8. Are your national research programmes and strategies developed against a background of European research ?
9. Are there any newly emerging issues, which should be included in FP 6?

**6.8 C CANDIDATE COUNTRIES**

1. Is the INCO Programme content relevant to accession countries needs ? If not, what was missing ?
2. Do you think that the INCO Programme had an impact on national science policy and / or research organization in accession countries?
3. Are accession countries given enough support by Programme Officers in bid preparation ?

**D Programme management and processes**

1. Pros and Cons of the reorganisation for INCO?
2. **Is the internal coordination and collaboration between Units 5 and 6 and the co-operation between 5 + 6 and the thematic programmes affecting the efficiency and transparency of the programme?**
3. Did you see improvement on the timeliness and quality of informations provided to PC ?
4. How do you assess the involvement of and contributions from PC: any improvement ?
5. What was the role of National Contact Points in 2001?
6. Was the choice of evaluators (transparency of the process, balance of the outcome) satisfying?
7. What is the quality of the process for the evaluation and selection of proposals (evaluation, preparation of short list, opinion of the PC) ?
8. Was the handling of selected proposals (information to proposers, contract negotiations) efficient ?
9. Do you think that information was properly disseminated into third countries?
10. Any other issues you would like to raise ?

**E Follow up or previous evaluation/monitoring recommendations**

1. Have you seen the 2000 Monitoring report and the EC response ? Have you seen the INCO 5-Year Assessment Report and the EC response ?
  2. Do you find the EC response generally satisfactory/unsatisfactory ? (please give specific reasons)
  3. Are recommendations of previous evaluation / monitoring followed up by PC ?
- Any other issues?**

**PART B:**

**Responses of the Programme Management to the  
external Monitoring Report**

## 2001 INCO MONITORING EXPERT GROUP RECOMMENDATIONS COMMISSION SERVICES' RESPONSE

	<b>Expert Group recommendation</b>	<b>Commission Services' Response</b>	<b>Services' Commitment (if any)</b>
<b>5.1</b>	<b>7. GENERAL CONCLUSIONS</b>		
5.1.1	<p>The Expert Group believes that the ERA concept has great potential to further strengthen the international dimension of the Framework Programme. It has also become convinced that this international dimension is strongly supported by the Director General. However, while there has been formal recognition since June last year (in COM (2001)346 final) of the significantly higher importance to be given to international cooperation - the international dimension is now part of the mission statement of the thematic directorates in DG Research - the structures needed for its implementation and management are not yet clear. Some "flesh needs to be put on the bones" here so that the tactical aspects relevant to implementing the concept and how these are to be made operational and "action-based" become clear. This is now crucial as there is evidence of insufficient FP and ERA-based international thinking in the TPs which is only likely to be corrected by operational stimulus from the senior level.</p>	<p>- Thematic Programmes have, under the 5th Framework Programme, undertaken a good number of successful initiatives with organisations in third countries (e.g. Implementing Arrangements, Coordinated Calls, Workshops, Seminars, etc.), though indeed, actual participation of third country teams, particularly from developing countries was confined to some exceptions in Thematic Programmes.</p> <p>- As to the structures needed, as of 1.1.2001 International Cooperation activities are directly linked to the Deputy Director General. "Action Plans" to enhance cooperation with a number of third countries have been set up by RTD-05 and are followed by RTD-05 in close contact with the Thematic Programmes. International co-operation units make sure that International Co-operation is taken into account, as appropriate, in the Work Programmes of the Thematic Programmes.</p>	<p>A matrix of thematic areas for future international scientific co-operation as they emerge from bilateral and bi-regional S&amp;T dialogue has been highlighted which areas are of a general nature such to 'fit' into the seven thematic priorities, and which are highly specific to developing countries.</p>
5.1.2	<p>According to the concept set out in the Communication from the Commission "The International Dimension of the European Research Area" (COM (2001)346 final of</p>	<p><i>It is felt that remarks made under point (a) have already been taken on board by certain activities developed by the thematic programmes (Calls for proposals dedicated to Newly Associated States:</i></p>	<p>The annual monitoring exercises as well as a mid-term review of the Sixth Framework Programme should award particular attention to these questions.</p>

**2001 INCO MONITORING EXPERT GROUP RECOMMENDATIONS  
COMMISSION SERVICES' RESPONSE**

	<p style="text-align: center;"><b>Expert Group recommendation</b></p>	<p style="text-align: center;"><b>Commission Services' Response</b></p>	<p style="text-align: center;"><b>Services' Commitment (if any)</b></p>
	<p>25.6.2001), the new role of international co-operation is twofold, with the leading paradigm that ERA must be more attractive for the best scientists and that it has to become a world class reference centre. The two elements are:</p> <p>(a) an "Inward" orientation where special efforts are foreseen to build and contribute to the completion of ERA (which is defined as EU + EEA + the Candidate Countries) with measures directed "inward" (e.g. special efforts to further integrate Candidate Countries and new efforts to better link up with Member States activities such as EUREKA).</p> <p>(b) an "Outward orientation opening up ERA to the rest of the world as the Commission has also stressed in the communication "Making a reality of the European Research 'Area: Guidelines for EU Research activities (2002-2006) – COM(2000) 612 final - with a global mobility programme, cooperation activities with specific regions, and opening up of the thematic priorities for cooperation with certain third countries.</p>	<p><i>Joint call for proposals to support the integration of NAS in the European Research Area; dedicated additional measures to further improve participation of NAS in the 5th Framework Programme) and by the international co-operation units.</i></p> <p>- Indeed, the outward orientation is articulated through the possibility of third countries' participation in the seven Thematic Programmes as well as their mandatory participation in the specific measures in support of international scientific co-operation under the «8<sup>th</sup> priority» in the Programme 'Integrating and strengthening the European Research Area'. In addition, the internationally directed (both incoming and outgoing) section of 'Human resources and mobility' in the Programme 'Structuring the European Research Area' serves this orientation.</p>	

## 2001 INCO MONITORING EXPERT GROUP RECOMMENDATIONS COMMISSION SERVICES' RESPONSE

	<p style="text-align: center;"><b>Expert Group recommendation</b></p>	<p style="text-align: center;"><b>Commission Services' Response</b></p>	<p style="text-align: center;"><b>Services' Commitment (if any)</b></p>
	<p>While the Expert Group shares the overall analysis and fully supports the suggestions and conclusions of COM(2001) 346 final, it recommends further development of this comprehensive strategic approach particularly concerning ERA's overall positioning and alignment in the global R&amp;D environment. When compared to the USA's contribution of over 3.5 billion € annually, or 4-5 % of the federal research budget to international cooperation, the total amount allocated within the European Union (Member States plus Community) is still somewhat limited at considerably less than 1 billion € (see COM(2001)346 final, page 20). These figures support the view that more efforts are needed at all levels and powerful and committed leadership is required to make ERA a global player in international scientific co-operation.</p>	<ul style="list-style-type: none"> <li>- The Commission's proposals for specific programmes implementing the <u>Sixth Framework Programme</u> of the European Community for research, technological development and demonstration activities (<u>2002-2006</u>) sets aside – for the first time – a <u>substantial amount specifically dedicated to finance participation from third countries in the Thematic Programmes (the 4<sup>th</sup> Framework Programme foresaw their funding as well, but without specifying an overall amount).</u></li> <li>- The Commissioner has already approached business leaders in Europe to increase R&amp;T efforts to meet the Lisbon Summit and European Research Area objectives.</li> <li>- Furthermore, <u>closer synergistic co-operation with other policies and their instruments, notably RELEX, Development Aid and Trade is expected to provide substantially larger contributions to knowledge and learning for sustainable development in partner countries and regions.</u></li> </ul> <p>More specifically, as far as international scientific co-operation, associated capacity building, and investment in knowledge and learning for action is concerned, multi-stakeholder platforms have received political endorsement e.g. in relation to S&amp;T co-operation with Latin America and the Caribbean Johannesburg, September 2002 and are being proposed in the context of ACP countries and the Asia Europe Meeting (ASEM).</p>	<p style="text-align: right;">ASEM IV in Sept. 2002</p>

## 2001 INCO MONITORING EXPERT GROUP RECOMMENDATIONS COMMISSION SERVICES' RESPONSE

	<b>Expert Group recommendation</b>	<b>Commission Services' Response</b>	<b>Services' Commitment (if any)</b>
5.1.3 .	<p>However, activities directed to strategically align and position EU RTD in a global context should not just mimic existing foreign approaches, but recognise that scientific cooperation is a good way, on the one hand, to influence societal developments, and on the other hand to learn from and better understand different cultural and societal concepts. Here, as compared for example to the USA, Europe provides a different model with specific societal and political concepts. European attitudes and approaches to global research issues or significant world problems, such as food safety, environment (climate, bio-diversity and natural resources amongst others) or health and major diseases connected with poverty must reflect European concepts and policies. The same applies to ethical issues in the Life Sciences. In addition, the Expert Group recommends that in response to the events of 11 September 2001 socio-economic research related to poverty and terror and the socio-economic backgrounds of terrorism should not be excluded from the ERA and the FP 6 agenda, because dealing with terrorism has become a significant world problem. Linkage with EU foreign and security policy is especially important in this context. Here it should be noted, that international cooperation in science and technology often paves the way to closer political and economic relations.</p>	<p>The partnership concept implemented in scientific collaboration by the Commission over the past 15 years entails partnership on equal footing as a selection criterion for projects; tasks allocations within projects are screened under such objectives and peer review is done involving scientists from third countries. This policy is likely to be kept.</p> <p>The special initiative on poverty-related diseases is involving African scientists in its technical and policy bodies from the start. This has been acknowledged publicly by the interested parties.</p> <ul style="list-style-type: none"> <li>- The Commission has taken the initiative to set up a group of national experts to compile an inventory of research efforts in the field of Bioterrorism to determine gaps and opportunities.</li> <li>- Under the chapter on specific activities covering a wider field of research ("8<sup>th</sup> priority") the section dealing with health and security has been expanded to include <u>issues related to civil protection, including biosecurity, and crisis management.</u></li> <li>- Directorate-General RTD is managing the non-proliferation programmes ISTC (Moscow) and STCU (Kiev) aiming at the conversion of Former Soviet Union weapons of mass destruction scientists towards civil research activities. These programmes, financed through the assistance programme to the Newly Independent States TACIS, form an integral part of the Partner and Cooperation Agreements signed with Russia and</li> </ul>	

## 2001 INCO MONITORING EXPERT GROUP RECOMMENDATIONS COMMISSION SERVICES' RESPONSE

	<b>Expert Group recommendation</b>	<b>Commission Services' Response</b>	<b>Services' Commitment (if any)</b>
		<p>Ukraine, and the Joint Action on Disarmament.</p> <p><u>The importance of the linkage</u> with EU foreign and security policy is underlined in the Communication from the Commission "The International Dimension of the European Research Area" (COM (2001)346 final of 25.6.2001).</p>	
5.1.4	<p>It is the Expert Group's view that the dual function of INCO is now being altered. In opening up the FP through ERA one pillar is strengthened but the perception of the INCO dedicated work programme has been negative in the outside world and external opinions on INCO's future have not been good. This is a pity as in fact the Expert Group has come to recognise that the aim was to broaden the international dimension though this message has not been communicated properly. The fundamental re-organisation experienced in DG Research in the past year and the disappearance of Directorate E underlined these external concerns. In spite of the valiant and successful efforts of the two successor Units in replacing the former Directorate roles the reality was that the scientific management of many INCO projects being implemented by outside organisations was transferred to other Directorates and this operational change in responsibilities did not go unnoticed. Such external perceptions are</p>	<p>On the contrary, the new two-pillar-structure (opening of thematic programmes to international co-operation and specific international co-operation activities) has the capacity for endorsing the dual function of INCO and the potential for improving the INCO perception, which might have been altered.</p> <p>The overall visibility of international scientific co-operation is now being increased through a number of media, such as geographically focused leaflets.</p> <p>In particular 4 brochures for the World Summit on Sustainable Development (Investing in people, Managed land ecosystems, Aquatic ecosystems, Healthy societies)</p> <p>- The Commission agrees that more efforts are needed to promote the message of a broadened international dimension of European Research Area and the 6th Framework Programme.</p>	<p>Appropriate information material is available since August 2002.</p>

**2001 INCO MONITORING EXPERT GROUP RECOMMENDATIONS  
COMMISSION SERVICES' RESPONSE**

	<b>Expert Group recommendation</b>	<b>Commission Services' Response</b>	<b>Services' Commitment (if any)</b>
	<p>important.</p>	<p>(see INCO policy website on Europa with regular newsletter; etc. (Started in April 2002 - By Oct. 2002; training for NCP (on-going); INCO stands at November Conference to launch the 6th Framework Programme</p>	
	<p>Despite these upheavals, that in effect seem to anticipate what might occur in future in implementing FP 6, the processes involved in the administration of on-going projects, the management of new and on-going Calls and other practical measure necessary to maintain the functionality of INCO as required in FP 5 have been provided for the dedicated Programme by Unit 06. The development of the international cooperation dimension in the context of ERA for all TPs and the need for negotiation of further S&amp;T agreements and the renewal of others has been maintained by Unit 05. The fulfilment of these essential activities, often in the absence of a specifically dedicated senior line management, is a credit to the staff involved.</p>		

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	<b>Expert Group recommendation</b>	<b>Commission Services' Response</b>	<b>Services' Commitment (if any)</b>
5.1.5	<p>The Expert Group suggests reviewing the need for various activities in 2002 (or later in FP 6) as they currently exist. Measures should be taken to broaden participation in RTD projects; bursaries could be used as a separate means of creating mobility and not necessarily linked to ranked RTD projects; further efforts should be made to ensure that researchers are involved in research priorities stated in the programme and in a way that leads to results that are exploitable in third countries and useful for institutions and/or countries of origin of the scientists involved; participation of scientists from SMEs should be particularly promoted and encouraged.</p>	<p><i>The Commission shares the view of the Expert Group that 2002 is a year allowing to take stock of early experience with the 5th Framework Programme and reviewing what is most appropriate in the 6th Framework Programme, both in terms of continuity and innovation. The remainder of uncommitted resources from the 5th Framework Programme will be allocated to projects in conclusion of the last calls for proposals.</i></p> <p>Special emphasis is put during remaining contract negotiations on building increased concern for dissemination and impact of all types of projects into the contractual basis and planning of the consortia from the beginning. This implies also actively looking to associate SMEs, management bodies, NGOs and other 'end-users' throughout project implementation in order to enhance chances for up-take of results.</p>	<p>Recommended formula for bursaries to be implemented in Marie Curie schemes under the 6th Framework Programme as of early 2003.</p> <p>Thematic priorities from various dialogue fora with partner countries and regions to be taken into account in the calls for Marie Curie fellowships.</p>
<b>5.2</b>	<p><i>Recommendations – Key aspects</i></p>		
5.2.1	<p>There are several markedly different components to international cooperation that are not necessarily amenable to uniform approaches or initiatives. For example fostering collaboration with an industrialised country has to be seen in an entirely different context from having collaborative work with a CEEC or developing country. In addition to differences in geography or socio-economic development the nature of</p>	<p><i>The Commission agrees with the need to differentiate between partner countries and regions with different conditions in culture, socio-economic development, ecological and climatic conditions etc. Therefore it has proposed several different Marie Curie mobility mechanisms in the 6th Framework Programme.</i></p> <p>This is indeed happening. As a result, emphasis in</p>	

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	<p>particular actions can also be very distinct. For example mobility actions related to young researchers are of a different character to those designed to promote mobility of professional scientists or engineers with an international reputation. There are also wide differences in the scientific or technological content needed to influence the nature of international cooperation ranging for example from what might be needed in biotechnology or ICT to that which is appropriate for global climate change or preservation of cultural heritage. Implementing and operating an international dimension in ERA is more easily said than done.</p>	<p>collaboration with the USA is e.g. on the Implementation Arrangements, in which no exchange of funding is involved, but timing and tuning of respective research funding of NSF and the 5/6<sup>th</sup> Framework Programme are essential to generate desired effects.</p> <p>Conversely, scientific co-operation with countries with less developed infrastructure, yet problems or opportunities of mutual interest which are amenable to research, require different approaches.</p> <p>In both cases, though again in differentiated ways, international research co-operation will be all the more successful, the more it manages to operate synergistically with other Community policies and their instruments, such as foreign affairs, development co-operation and trade.</p>	

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5.2.2	<p><i>The Commission therefore needs to consider the ways in which it will deliver international cooperation in the context of FP 6 and more widely and what actions are needed to make this work in particular areas and circumstances “on the ground”</i>. It is not sufficient simply to open up FP 6 to the outside world as it is likely to become dominated by particular factions in particular areas of science. There would then be no coherent strategic position for an ERA-based international dimension (other than promoting a free market for scientific funding) but rather a disparate collection of individual examples of activity in different TPs and other operational areas such as COST or INTAS.</p>	<p>The Commission agrees that in the preparations of the 6th Framework Programme through 2002, in particular in terms of implementing modalities concerning international co-operation and in fine-tuning thematic priorities need particular attention in order to deliver on the international dimension of European Research Area.</p>	<p>The new Deputy Director General prepared in July 2002 a paper identifying the strategic and operational issues of international co-operation in the thematic activities according to the priorities expressed by the different Thematic Programmes.</p>
5.2.3	<p>There are obvious dangers in relying entirely on a “free market” approach to opening up the FP to proposals from outside countries. Some of these countries are better equipped to survive the rigours of scientific peer review as the principal criterion for evaluating proposals than others. Certainly scientific excellence should be paramount but other factors need to be taken into account in delivering policy objectives for the EU through international cooperation in S&amp;T in a global context. <i>The Commission should embrace the role of nurturing scientific expertise in particular countries or particular circumstances not least to enhance its own influence and standing</i>. This should not be seen as a patronising</p>	<p>The Commission services can agree with this approach as it has often tried to bring it up in many fora and implement it routinely. However, stakeholder involvement is likely to depend on the development of a favourable environment for research in developing countries themselves and prospects for this are at present addressed within the bi-regional dialogues.</p> <p><i>The nurturing role is best accomplished through concomitant investment in research capacity building in developing and emerging economies – a feature requiring synergistic efforts also from RELEX and Development co-operation policies.</i></p> <p>Indeed, the 6<sup>th</sup> Framework Programme contains a provision whereby in certain cases incoming</p>	<p>Ongoing use of thematic priorities in selection process.</p>

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	<p>activity in which for example a developing country might only provide natural resources or scope for trials or simply be a recipient of largesse, but rather one seeking a genuine stakeholder involvement in which the aim is to foster collaborative scientific endeavour for the benefit of a global society.</p>	<p>researchers from developing countries or emerging economies may be given return grants after their research training in the EU or associated states, thus helping to build research capacity.</p> <p>The ALFA programme for young scientists from Latin America has already started using thematic priorities from the S&amp;T dialogue as one selection criterion.</p>	
	<p>Countries in the South have a significant contribution to make to ERA not least in relation to research effort on sustainable development and natural resources. <i>This means that the philosophy of INCO has to be transferred to the TPs if the FP is to be a realistic instrument for fostering international cooperation.</i></p>	<p>Since the reorganisation January 1, 2001, the Thematic Programmes have a mandate to get involved in wider international S&amp;T co-operation.</p>	
5.2.4	<p>In order to make progress and define actions on the ideas outlined above it is of utmost importance for the implementation of the international dimension of ERA that the original function of INCO be maintained and further developed in FP 6 in some way. In order to create a maximum of synergy, partnership and coherence between the two columns of international activities (the specifically dedicated international programme on the one hand and the international dimension integral to each of the thematic priorities on the other) <i>the Expert Group recommends establishing an international cooperation strategic steering team (ICST) or unit and small steering committee under the responsibility of the</i></p>	<p>It is felt that the work of such strategic group is very much in the brief of unit 05 itself. <i>Ad hoc</i> working groups will be established (e.g. RTD/DEV Task Force). Furthermore, existing bilateral and bi-regional dialogue fora and emerging multi-stakeholder platforms around priority themes identified during dialogue provide the functionalities proposed by the Expert Group without the need to establish an additional steering group. However, the Commission will monitor developments into the launching of the 6th Framework Programme to keep the option of reconsidering this recommendation should the need arise.</p> <p>Stakeholder participation is a part of a conducive local environment; Directorate-General RTD is in principle to set up monitoring instruments under the 6th</p>	

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	<p><b>Deputy DG.</b> The steering team/unit and committee should also provide an interface for integration between the top-down approach of mainstreaming international cooperation on the one hand and the bottom-up development of the international activities by the thematic priorities. The major task of the steering unit and committee should be the planning and the development of annual work programmes and implementation plans for the different target regions - and in particular in bi-regional dialogues under the framework of S&amp;T agreements which are now becoming more proactive. A second important task would be to ensure the visibility of the international dimension as seen from outside, through an integrated reporting and output of data which covers all international R&amp;D activities of the FP.</p>	<p>Framework Programme in continuation of earlier instruments such as MOCO bearing in mind the operability of such instruments; Activities in line with the request are open to funding under accompanying measures (skills building for proposal writing).</p> <p>The Commission shares the Expert Group's concern for the visibility of INCO activities in the future and is exploring practical ways to have a more comprehensive reporting of international activities in Thematic Programmes.</p>	
	<p>For the composition of the steering committee it would be important to have all thematic priorities and specific international activities represented while for the steering team/unit it would be necessary to have staff involved who have specific practical experience and knowledge in the different target regions. The focus of such activity might logically be seen in Unit 05 but with appropriate contributions from Unit 06.</p>	<p>The normal co-operation between units 05 and 06 ensures the suitable mix of skills and competence needed to fulfil this function.</p>	

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	Expert Group recommendation	Commission Services' Response	Services' Commitment (if any)
	<b>Recommendations specific to the SP programme / European Research Area related activities</b>		
5.2.5	<p>Looking at Areas A1 to A5 of the INCO dedicated work programme the relatively low participation from NAS, in particular in Central Europe emphasizes <b>the need for focused action at different levels</b>. For example:</p> <p>a) <i>The Commission should encourage NAS to harmonise their national research programmes, improve their research infrastructures and increase spending on R&amp;D, and provide more foreign language training for their researchers.</i></p> <p>b) <i>Commission Services in charge of research should offer more "stagiaires" and detached national expert positions to NAS.</i></p> <p>c) <i>The Commission should encourage more researchers from NAS to become evaluators for proposal selection.</i></p> <p>d) <i>The more "user-oriented" information made available through CORDIS must be complemented by specific activities, public events and conferences in the NAS.</i></p> <p>e) <i>Training activities (such as TRAIN-NET Train the Trainers, an accompanying measure within the Quality of Life Programme) targeted at the</i></p>	<p>Substantial efforts have been provided in 2001 to increase the participation of NAS both in INCO specific programme and in the thematic programmes.</p> <p>a) The co-ordination of national EU programmes is foreseen by the 6th Framework Programme.</p> <p>b) Programmes concerning the participation of END and stagiaires in Commission activities have been on going for the last years.</p> <p>Already in 1999, Commission informed the personal representatives of research ministers of CCs about the possibility of short-term secondments in Directorate-General RTD. From this time several national detached experts took profit of this possibility. All requests from CCs have been fulfilled.</p> <p>c) The lists of experts are open for candidate countries as for Member States. The importance of taking advantage of this possibility is underlined by the Commission in all the meetings with candidate countries were participation in FP Framework Programme is discussed.</p> <p>d) Candidate countries are encouraged to provide Cordis with the addresses of their information web pages, where all information is available.</p> <p>e) During the 5th Framework Programme "Awareness and Training" actions were supported in all the NAS,</p>	

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	<p><i>the exchange of experience and expertise of National Contact Points and the improvement of the services for researchers by training of NCPs in the NAS should be extended.</i></p> <p><i>f) Joint and partnering activities of IRCs (Innovation Relay Centres) in EU member states and NAS should be supported.</i></p> <p>In addition and more importantly it is probably <b>necessary to find a politically and legally acceptable solution that would enhance NAS participation under appropriate contractual arrangements</b> (concerning in particular the payment of salaries and reimbursements for durable equipment without depreciation) - at least for a limited period of time.</p>	<p>some are still on-going. Specific supporting actions for organisations from CCs are foreseen in the 6th Framework Programme.</p> <p>The call for proposals "Support to conferences" has been extended to information days in the NAS to promote the calls dedicated to NAS (Joint call for proposals to support the integration of NAS in the European Research Area; dedicated additional measures to further improve participation of NAS in the 5th Framework Programme).</p> <p>f) During the 4th Framework Programme, Information Relay Centres were selected and supported in each CE candidate country, linked to the IRC in the member states.</p> <p>The NAS are also participating in Working Groups on the Model Contract and on the costing principles for the 6th Framework Programme.</p>	
5.2.6	<p>For developing countries such <b><i>focused action could involve</i></b> for example:</p> <ul style="list-style-type: none"> <li>• <i>Proper monitoring of ongoing activities with adequate staff and structures.</i></li> <li>• <i>Dissemination and promotion to foster the participation of categories like decision makers and end-users which is still too small.</i></li> </ul>	<p>The Commission agrees that the issues highlighted deserve priority attention. As additional staff allocation is not currently an option, streamlining, further standardisation and other rationalisation measures will be considered together with further prioritising to meet the identified needs.</p> <p>- The Commission's proposals for specific programmes implementing the <u>Sixth Framework Programme</u> of the European Community for research, technological development and</p>	

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	<p style="text-align: center;"><b>Expert Group recommendation</b></p>	<p style="text-align: center;"><b>Commission Services' Response</b></p>	<p style="text-align: center;"><b>Services' Commitment (if any)</b></p>
	<ul style="list-style-type: none"> <li>• <i>As in all the Programme Areas the work load in 2001 was not proportional to the number of staff in place and this situation cannot continue in 2002 without affecting programme implementation.</i></li> <li>• <i>There is a real risk of losing visibility for developing countries in FP 6 so the strengthening of relations and cooperation with DG Development seems necessary to reach the necessary critical mass.</i></li> <li>• <i>If there is to be consolidation of international cooperation with developing countries in FP 6 there should be fewer but highly effective objectives/tasks:</i> <ul style="list-style-type: none"> <li>- <i>promotion and consolidation through networking (possibly supported by external institutions or organisations widely operating in the region)</i></li> <li>- <i>research funds used for clear priorities emerging in the third countries in the course of FP 6.</i></li> </ul> </li> <li>• <i>Principles of most value to developing countries in the future international dimension of ERA ought to be based on regional integration (socio-political-environmental-market/technological integration) and interdisciplinary and</i></li> </ul>	<p>demonstration activities (2002-2006) foresee <u>specific activities to be undertaken in support of participation of scientists and institutions from developing countries, Mediterranean countries including the Western Balkans as well as Russia and the NIS.</u></p> <p>- <u>These specific activities will be set out in detail in the Work Programme under elaboration.</u></p> <p>- <u>In view of limited human and financial resources, focalisation on fewer themes, synergies with other activities and focus on types of cooperation providing highest social added value for limited public funding are criteria to select from the range of thematic areas partner countries and regions have expressed interest in.</u></p>	

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5.2.7	<p><i>regional actions inserted within medium- to long-term dynamic scenarios, based on consistent socio-economic and environmental (climatic) indicators.</i></p> <p>As concluded by the recent COST assessment study (see doc No 59) COST has for a long time delivered one of the priorities of current ERA-policy - that of international coordination of national research activities. A decline or even closure of COST would make achieving ERA much more difficult. However it is clear that the form of management of COST remains a key concern and its appropriateness for inclusion in FP 6 in the absence of a specific programme Area in which it might be logically located is problematical. The Expert Group did not feel qualified to make specific recommendations on how the future management of COST should be constructed but it fully supports the judgements of the COST Panel that any change in the management should be made in a way and at a speed that preserves the continuity of COST. <b><i>There would be merit in exploring an INTAS-like managerial solution for the future operation of COST in which its secretariat function is established as a separate legal entity funded by some form of block Commission grant.</i></b></p>	<p>The member states of the intergovernmental framework of COST are currently exploring such a solution. The Commission is assisting in this procedure based on its experience on INTAS.</p>	
5.2.8	<p>For EUREKA although <b><i>the Expert Group strongly recommends more interaction with the</i></b></p>	<p>In addition and in the meantime, the Commission services decided to set up an inter-service group</p>	<p>To report to next INCO panel on the measures to be taken by the inter-service group, which</p>

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	<p><b>FP at project-level</b> it supports the Commission's view that synergy between the FP and EUREKA has to go beyond a mere financial logic since both are instruments for the creation of the ERA, but with distinct rules and mechanisms. In this context the Expert Group highly welcomes the activities at political level in year 2001, which were characterised by the rejuvenation of EUREKA under the Spanish and Greek EUREKA chairmanships.</p> <p>The proposed "Framework of co-operation for an operational agreement between EUREKA and DG Enterprise – Innovation" (Draft version of 31/10/01) should be implemented as soon as possible. There is promising potential for future collaboration between EUREKA and the FP in the two priority areas for action (integrated projects within strategic technological fields and reinforcement of the innovative performance of SMEs), identified by a joint working group which included high level representatives from the European Commission.</p>	<p>among different DGs involved with EU, precisely to promote more interactions with the Framework Programme at project-level on concrete topics.</p> <p>A more reduced group, incorporating officials responsible for innovation, private capital funding and regional aspects has already been looking into possible synergies that go beyond the financial logic (the so called "synergy group").</p> <p>EUREKA networks have been invited to participate to the seminars organised by the Commission in order to present the new instruments to information multipliers. In addition, EUREKA networks have been strongly encouraged to reply to the Expression of Interest precisely to increase the chances of obtaining joint projects with a real European dimension.</p> <p>The Framework of co-operation for an operational agreement between EUREKA and Directorate-General Enterprise – Innovation is already operative.</p>	<p>met on the first time in June 2002.</p> <p>A number of joint events have been held or are in preparation.</p>
5.2.9	<p>It can be envisaged that certain international cooperative research actions considered to be important in a EU policy context or to be an essential requirement for particular strategic reasons might be inappropriate to implementation either in TPs or through other mechanisms such as INTAS, COST or</p>		

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	<p>EUREKA available in ERA. Such activities might be specific research activities that require targeted implementation to satisfy a defined need – in that sense they are demand or event-pulled rather than supplier-pushed. Examples might be to nurture research expertise in a developing country, to address unforeseen emergencies, to address particular environmental or health concerns in a region, to influence policy thinking in identified countries by facilitating mobility of key experts. There needs to be a management focus for such specific, even catalytic, activities that is not just a matter of administrative convenience; and financial resourcing for them within the thematic priorities. This <i>dedicated International Cooperation Research (INCOR) targeting special needs or issues not easily addressed in other ways should be an identified responsibility of a unit or resource group in the management of FP 6</i>. Such a resource group might logically be based in Unit 06. Critical mass here might be provided through joint research initiatives with other Directorate-Generals or appropriate agencies so that an instrument of the FP is providing research thinking in an even wider context.</p>	<p>Indeed, these functions are largely already entrusted to Unit 06.</p>	

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5.2.10	<p>Projects in the proposed INCOR areas will have been implemented for specific reasons that do not reflect an obvious relevance to TPs or other mechanisms. Because of this “dirigiste” rather than responsive character of the effort it is particularly important that the research projects implemented are closely managed to fulfil the required objectives so a feature of proposals for funding at least in such areas should be <i>the provision of Logical Frameworks for the projects and their use to manage the project cycle and reinforce the need to deliver outputs that have an impact on the issues that necessitated the research effort in the first place.</i></p>	<p>cf answer to point 5.2.9</p> <p>The logical framework formats used in earlier Framework Programmes should be completed and amended to allow for specific space for the problem statement and a more elaborate link between such problem statements, objectives, activities, results and outcomes as well as monitoring indicators and sources of verification.</p>	<p>Pending format requirements across the board of the 6th Framework Programme, proposal formats for specific measures in support of international co-operation will be amended in this direction.</p> <p>Draft available for the launching conference of the 6th Framework Programme, Nov. 2002</p>
	<b>Recommendations of general significance for the whole Framework Programme / European Research Area</b>		
5.2.11	<p>A strategic analysis of the various components of international cooperation needs to be developed for FP 6 that derives from the Commission Communication COM 346 (2001) final and gives it operational coherence in the context of the FP 6 TPs and other instruments. This can be achieved by making use of some of the recommendations made above (see 5.2.4 and 5.2.10). It is vital that the operational context of international cooperation in FP 6 is effectively</p>	<p>The Commission services recognise the importance of this issue. The Deputy Director General and Units 05 and 06 have deepened discussions with the thematic priorities to ensure that the components of international co-operation are better operationally integrated.</p>	

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5.2.12	<p>communicated to all interested audiences in the appropriate form.</p> <p>The negotiation and oversight of EU bilateral S&amp;T agreements with third countries has been an INCO responsibility but the activity for which such agreements act as an umbrella is largely to be found in other TPs. There is no readily accessible database (excepting CORDIS) from which management information on this activity can be gleaned other than at TP level or in some instances from the EU Delegation office in country. This makes monitoring of this activity extremely difficult. It would also be a prerequisite to forming any view of the performance and effectiveness of the agreements both to the EU and the third country involved. <i>It is recommended that action be taken to collate data on project activities in place as a result of, or embraced under, S&amp;T agreements with third countries so that monitoring progress and performance in this Area can be more readily achieved.</i></p>	<p>- The Commission is developing an informatic system for the 6th Framework Programme common to the Directorates General involved in the 6th Framework Programme (cf <a href="http://europa.eu.int/comm/research/fp6/it-system/index_en.html">http://europa.eu.int/comm/research/fp6/it-system/index_en.html</a>).</p> <p>The development of this comprehensive system is outside the remit of INCOR.</p>	
5.2.13	<p>Attempts to mainstream gender in INCO are relatively recent, and while the relevance of gender is mentioned in some policy documents it is not yet systematically reflected in the work programmes of the different INCO areas. <i>The Expert Group therefore broadly supports the conclusions of the INCO Gender impact assessment study and its recommendations for</i></p>	<p>The gender dimension has been part of the INCO approach throughout, though it is indeed only recently that more specific emphasis is being put on it. However, this reflects at least partially the attempt of not creating a 'women-corner', but rather to implement a more systematic people focus, where different social and economic roles are being analysed and addressed in specific ways. While some inroads</p>	<p>As one practical step, among others, a workshop on engendering the agenda in relation to aquatic ecosystems and human capital has been scheduled for December 2002.</p>

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	<p><i>better integration of the gender dimension.</i> Since the new FP 6 aims to go further in the development of scientific and technical excellence, innovation and integration of research in EU and non EU countries, as well as capacity building especially in the Candidate Countries for enlargement and NIS and developing countries it is essential to make gender explicit as a cross-cutting issue within the programme.</p>	<p>are being made, e.g. through some policy research projects and accompanying measures, there is certainly a need for continued efforts to raise awareness and practice and increase visibility in work programmes.</p>	
	<p>More specifically, the Expert Group recommends the provision of more opportunities at work programme level for incorporating gender within certain priorities, such as the preservation and use of cultural heritage, promoting healthy societies, the environment and health priorities in support of NIS and CEECs, or the issue of energy supply in developing countries. In order to support the Commission's target to have a better participation of female researchers, specific information and training activities on how to become involved in EU research and on how to prepare proposals for FP 6 should be implemented in particular for female researchers in Candidate Countries as well as NIS and CEEC.</p>		

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	<b>Recommendations addressing the evaluation and monitoring methodology</b>		
5.2.14	<p><i>There is a need for a continuing approach to developing tools for assessment of effectiveness and usefulness of the eventual outcomes resulting from the research efforts of the FP 5 INCO programme and in the future of the international dimension of FP 6. Some consistency is needed in the use of criteria to benchmark Programme outputs, their dissemination, uptake and the eventual societal outcomes. Development of appropriate methodological tools would greatly assist the monitoring task and provide better year by year comparability. For INCO a start has been made in a prototype impact study of a sample of FP4 projects which provided indications of what is required. More needs to be done here if ERA is ultimately to be shown as a demonstrably credible instrument for furthering the influence and calibre of EU science and technology in a global context.</i></p>	<p>The development of appropriate methodological tools could indeed be envisaged, subject to the possibility of amending the logical framework format under the 6th Framework Programme.</p> <p>In addition, the impact study that was carried out at INCO programme level provided initial tools that can be usefully developed in the future, while a planned additional analysis of the co-operation agreements has not yet materialised.</p>	

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5.2.15	<p>Impact studies are not monitoring exercises but they require a benchmarking approach that can be used to assess outcomes in relation to stated objectives at project and programme levels. The indicators and related thresholds devised for this benchmarking purpose should be provided also to the SP experts to monitor the programme. Otherwise, the monitoring exercise (of both Programme and projects) will only result in qualitative or subjective partial assessments and not be quantitative. The material provided for the present monitoring exercise was sufficient, maybe even too much, but less and more organised material would facilitate the work of the SP. However, the most critical point is the total absence of any indicators and associated thresholds for the use of the monitoring Expert Group. A monitoring exercise should not be based only on a qualitative assessment.</p> <p><i>It is recommended that a specialist study be undertaken that would result in a list of indicators (financial, economic, technical/implementation, environmental, social) either common to the whole INCO programme or specific to each of its Areas to be used during programme/project monitoring and to support future impact studies together with thresholds identified for each selected indicator.</i></p>	<ul style="list-style-type: none"> <li>- cf remark to point 5.2.14</li> <li>- Carrying out the recommended specialist study to develop indicators for more quantitative monitoring of INCO in the future should be considered in the foreseeable future.</li> </ul>	
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