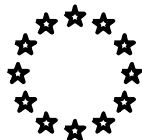


2001

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



IN THE FIELD OF

**USER-FRIENDLY
INFORMATION SOCIETY**

This report is one in a series of external annual monitoring reports prepared for the EU Framework Programme, the Euratom Framework Programme and their constituent specific programmes.

The Commission has over the years placed increasing emphasis on the evaluation of Community R&D activities. As part of the process of continuous improvement, a new programme monitoring scheme was introduced in 1995. This scheme involves independent, external monitoring experts and a timely response by Programme Management to the recommendations they produce.

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The views expressed are those of the authors and do not necessarily reflect those of the European Commission.

*For earlier monitoring reports covering the IST Programme, see:
http://europa.eu.int/information_society/programmes/evaluation/index_en.htm*

PART A:

Report of the external Monitoring Panel

TABLE OF CONTENTS

1. EXECUTIVE SUMMARY.....	1
2. METHODOLOGY	4
3. THE IST PROGRAMME'S ACHIEVEMENTS IN 2001	5
4. ANALYSIS AND FINDINGS	7
4.1 URGENCY IN THE TRANSITION TO FP6	7
4.1.1 <i>Progress in ERA Implementation</i>	7
4.1.2 <i>Towards the new FP</i>	7
4.1.3 <i>Civil Society</i>	10
4.1.4 <i>Contribution to Enlargement</i>	10
4.1.5 <i>Participation of SMEs</i>	12
4.1.6 <i>International Dimension</i>	13
4.1.7 <i>Women in science</i>	14
4.2 AN OPPORTUNITY TO IMPROVE PROCESSES	15
4.2.1 <i>Management of Operational Processes</i>	15
4.2.2 <i>Communication and Information</i>	16
4.2.3 <i>Monitoring and Evaluation</i>	17
4.3 MAKING THE BEST USE OF HUMAN RESOURCES.....	17
4.3.1 <i>Human resources management</i>	17
4.4 ASSESSING IMPACT	19
4.5 FOLLOW-UP OF PREVIOUS RECOMMENDATIONS.....	20
4.5.1 <i>2000 Monitoring Panel</i>	20
4.5.2 <i>Five-Year Assessment (1999)</i>	21
5. CONCLUSIONS AND RECOMMENDATIONS	22
ANNEX 1: DOCUMENTS, SOURCES AND PRESENTATIONS	26
ANNEX 2: INTERVIEW AND ROUNDTABLE GUIDELINES.....	28
ANNEX 3: TERMS OF REFERENCE	35
ANNEX 4: CVS	37

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1. EXECUTIVE SUMMARY

The objective of this report of the 2001 IST Monitoring Panel is to support IST Programme Management in its efforts to improve Programme effectiveness and efficiency. The Monitoring exercise was carried out from November 2001 to March 2002.

The concept of the European Research Area (ERA) is envisaged to strengthen the depth and potential of European scientific and technological leadership. A major objective of the new Framework Programme is to support ERA goals, and major changes are proposed to the "instruments" by which the EU supports research and development. The IST Programme has already responded to this challenge, and several actions have been initiated through the 2002 Work Programme to identify RTD directions and research roadmaps and to communicate with the research community. Nevertheless, making the transition to FP6 in the context of IST is a significant change and is presenting the Commission Services and the wider constituency with some interesting new challenges.

Within the IST Programme itself, during 2001, Programme Management has successfully carried out the evaluation of the fifth and sixth calls for proposals, launched projects stemming from the fourth, fifth and sixth calls, made changes to successfully raise the participation level of Newly Associated States, developed the work-programme for 2002, and contributed to Commission proposals for a sixth Framework Programme. The Panel sees the continued production of an annual Self-Assessment Report by the IST Programme as an important demonstration of management commitment to analysis and improvement. Programme Management has also made considerable progress in 2001 to improve the effectiveness and timeliness of the Programme's administration. Progress on the "time to contract" has been particularly impressive, with the average time being reduced from 250 days to 150 days. This demonstrates both the responsiveness of the Programme to its user community and management capability to carry through an improvement that required a major change of thinking. The 2001 Monitoring Panel recognises this as a significant achievement.

The recommendations of the 2001 IST Monitoring Panel focus on four main issues in the delivery of the Programme:

- Urgency in the Transition to FP6
- An Opportunity to Improve Processes
- Making the Best Use of Human Resources
- Assessing Impact

In making its recommendations, the Panel did not assume to know where the responsibility for reacting to a particular recommendation lies, or the constraints that the IST Programme and the associated DG may have in implementing them. Rather, we considered **all the major factors that might affect the successful delivery of the IST Programme**, whether applicable or controllable at a Programme or Framework level. We have nevertheless indicated in some cases the level at which we consider the issue could be appropriately handled.

1.1 *Urgency in the Transition to FP6*

Realising the European Research Area (ERA) is a major objective of FP6, and preparations are well underway for the launch of the IST Programme under this Framework. Although intensive activity has been going on in parallel with the Panel's work, it is important to highlight areas where we feel

urgent action is required, prior to the launch, to both address current concerns and prepare for future challenges:

- in order to improve the shared understanding, both internally and externally of what the ERA will mean in the context of IST, the Panel recommends the development of a set of **scenarios and examples** that illustrate potential ERA outcomes.
- to benefit fully from the many important lessons from previous Framework Programmes, the Panel recommends a **strengthening of the learning and consultation process**.
- to increase awareness and coordination among key stakeholders, the Panel recommends that a **strategy document and project plan** are used to guide and communicate the FP6 implementation.
- in view of the growing role played by **civil society** in advancing social progress, the Panel recommends that the IST and the Framework Programme consider placing **greater emphasis** on this sector.
- to address factors that may limit **NAS** participation in the FP6 IST Programme, the Panel recommends that a **special package of support measures** be put in place.
- there is a significant level of **SME** participation in the Programme. However, this would be strengthened by a specific policy that identifies **objectives and targets**.
- to encourage **SME** participation in FP6 and overcome current and future barriers, the Panel recommends the definition of a **more appropriate set of procedures and contractual models**.
- the level of **international cooperation** under the FP is quite low. The Panel recommends that this issue is raised at the FP level and that all Research DGs be involved to investigate the situation and **consider a strategy** to address the problem.
- to address the current low levels of **involvement of women** in the IST programme, the Panel recommends that, in coordination with DG Research, a **policy and specific plan** be set up to address this problem.

1.2 An Opportunity to Improve Processes

DG Information Society has made significant and valuable progress in the last year to implement changes in the time-to-contract process, resulting in major reductions in the time taken. This is recognised by the Panel as a major achievement. Nevertheless, there is a continuing opportunity in FP6 for significant changes to make the RTD process more effective and efficient for all players. In particular, the Panel recommends that:

- the significant achievements of the "time-to-contract pilot" become part of a **continuous improvement programme** via the implementation of plans for further improvements in "user-facing" processes from pre-call to contract payments.
- to achieve the delivery of a consistent communications policy relating the IST programme to DG Information Society, a statement is made to show how a consistent communication policy will be fully implemented.
- a common method is introduced for obtaining management information on project and programme progress.

1.3 Making the Best Use of Human Resources

The delivery of a service such as the IST Programme is completely dependent on the talent of management and staff, and it is clear to the Panel that the success of the Programme to date is due to a dedicated and hard-working team focused on achieving the best possible results from the Programme.

However, the 2000 Monitoring Panel highlighted a number of issues that require strong management efforts in order to obtain the best use of human resources, and in particular, the definition of a clear Human Resource policy that includes specific attention to issues such as gender. This Panel recommends that progress on these issues is strengthened as a matter of priority, and in particular that:

- **a strategic policy and plan for Human Resource management** is developed. The plan should include targets and actions related to working conditions, **gender issues**, job descriptions and competency.

1.4 Assessing Impact

During the last year, the IST Programme initiated an analysis and reflection on how to improve the way in which its impact is assessed. A number of important steps were taken, including the first use of a "self-assessment" fiche at sector level. Indeed, in many respects, the IST Programme may have taken a lead in the Framework on this issue. However, much is yet to be done. The current situation results in an underselling of the Commission's role and hinders analysis of added value. The time is ripe for a systematic approach to the assessment of IST impact combining top-down (methodological) and bottom-up (experience-based) approaches. Sufficient resources and staff must be allocated to carry out an impact assessment exercise effectively, and the value of the IST Programme indicates that the size of the Impact Assessment resource should be significant. Specifically, the Panel recommends that:

- the IST Programme develops an appropriate methodology and implements a properly resourced plan for an impact assessment scheme. In view of the time lag in the measurement of impact, work on this should start immediately with a view to starting implementation in June 2002.
- a requirement for carrying out systematic and independent impact assessments should be embodied in the legal texts of FP6 and its Specific Programmes.

2. METHODOLOGY

This is the report of the 2001 Annual Monitoring of the Information Society Technologies (IST) Programme required by the Council Decision establishing the Programme. Its objective is to support IST Programme Management in its efforts to improve the effectiveness and efficiency of the Programme.

The Monitoring exercise was carried out from November 2001 to March 2002 by a panel of five independent, external experts (annex 4). Their work was based on:

- documentary research (annex 1);
- the 2001 Self-Assessment Report produced by the IST Programme in October 2001;
- semi-structured interviews of each Director by two or three members of the Panel (annex 2);
- semi-structured interviews of a sample of National Contact Points (NCPs) and members of the Programme Committee (ISTC) by individual Panel members (annex 2);
- discussions between the full Panel and separate roundtables of Project Participants, Project Officers, and intermediaries from the candidate countries such as NCPs (annex 2);
- presentations by Commission staff to the full Panel (annex 1);
- discussions between the full Panel and the Deputy Director-General;
- observer participation in the IST 2001 Düsseldorf conference;
- interviews conducted by Panel members in the international part of the exhibition at the IST 2001 Düsseldorf conference.

The Panel's terms of reference are attached as annex 3.

In making its recommendations, the Panel did not assume to know where the responsibility for reacting to a particular recommendation lies, or the constraints that the IST Programme and DG Information Society may have in implementing them. Rather, we considered **all the major factors that might affect the successful delivery of the IST Programme**, whether applicable or controllable at a Programme or Framework level. We have nevertheless indicated in some cases the level at which we consider the issue could be appropriately handled.

The Panel wishes to record its appreciation of the considerable time and effort made available by all those referred to above in assisting the Panel in undertaking its mandate. Particular thanks should be accorded to DG Information Society's Policies & Programmes Evaluation Unit for its timely, efficient and knowledgeable support.

3. THE IST PROGRAMME'S ACHIEVEMENTS IN 2001

This is the third year of operation of the IST Programme (1999-2002). As of October 2001, it is 31 months since the first IST call for proposals was published, and 22 months since the first projects began work. During the year, IST Programme Management has undertaken a substantial amount of high-quality Programme implementation. It has successfully:

- carried out the evaluation of the fifth and sixth calls for proposals (see table below);
- launched projects stemming from the fourth, fifth and sixth calls;
- made changes to successfully raise the participation level of Newly Associated States;
- responded to feedback from a number of sources, including the IST Advisory Group, to develop the work-programme for 2002;
- contributed to Commission proposals for a sixth Framework Programme.

CALL Number (Deadline)	Proposals received		Proposals Retained		Contracts Signed (as at 31/10/2001)	
	Number	Contribution requested (M €)	Number	Contribution requested (M €)	Number	Contribution engaged (M €)
Call 5 (15/01/2001)	271	417.95	97	161.40	58	93.57
Call 6 (25/04/2001)	1161	1,882.44	315	471.52	56	60.13

source: IST Programme Management

Following the programme's sixth Call for proposals, an overall total of 1841 proposals had been retained for implementation as projects, committing 90% of the total programme budget. Nearly all previous programmes' projects (Fourth Framework Programme) have now finished, and 106 of the earliest IST (Fifth Framework Programme) projects have also now ended.

This substantial effort is the core of the Programme and has been well carried out, putting in place research projects that will undoubtedly contribute to European society and Commission policies such as the eEurope initiative, the new regulatory framework for electronic communications, and the "European Research Area" (ERA).

IST Programme Management has made considerable progress in 2001 to improve the effectiveness and timeliness of the Programme's administration. Two issues of serious concern to the participants of the programme have been addressed head-on: improvement of IST's "time to contract" from an average of 250 days to 150 days, and also the "time to payment" associated with all forms of IST contracts. Progress on "time to contract" has been particularly impressive: the 2001 Monitoring Panel wishes to highlight this and to congratulate the management team on a significant and commendable achievement.

Administrative preparations for the Sixth Framework Programme (FP6) are gaining momentum, and the development of informatics tools is following a process of continual improvement.

Other areas during 2001 where IST Programme Management has acted to improve the efficiency and effectiveness of the Programme are:

- Developing further a self-assessment report that requires IST Programme Management to review and report on progress annually. The 2001 Monitoring Panel considers that this is an essential and best-practice management tool.

- Increasing the harmonisation and convergence of processes within Key Actions and the better use of common proposal submission and evaluation tools across Key Actions.
- Introducing a formal system of collecting progress indicators and monitoring data on projects.
- Initiating a more systematic method of impact analysis through self-assessment fiches and an initial analysis of the topic.

The Directors, Heads of Unit, Project Officers and Support Staff of the IST Programme operate within structures and procedures that are largely not of their own making and which they have limited powers to change. Many of the management difficulties faced by the Programme derive directly from these externally imposed constraints. It is essential to take into account these constraints if the field of action of IST Management is to be understood and Monitoring Panel recommendations are to be addressed to the appropriate authorities. In particular, the Panel would like to stress that the European Commission's own central legal and financial requirements and procedures are over-elaborate, over-centralised and highly cost-ineffective — a view shared by the Commission¹, Programme Management and the Monitoring Panel.

¹ *Simplifying the Commission's Decision-Making Process: memorandum from the President*, SEC (2000) 2071/6, November 2000

4. ANALYSIS AND FINDINGS

4.1 URGENCY IN THE TRANSITION TO FP6

Realising the European Research Area (ERA) is a major objective of FP6, and preparations are well underway for the launch of the IST Programme within this Framework. We also recognise that a great deal of intensive activity has been going on in parallel to our own work; so that the IST Programme may already be addressing some of our observations. Nevertheless, we believe it is important to highlight areas **where urgent action is needed** in preparation for the launch of FP6.

4.1.1 Progress in ERA Implementation

Several actions have already been initiated in the IST programme to start the process of realising the ERA. In the 2002 Work Programme (WP 2002), there is a specific action line on "Strengthening the ERA in the IST domain" (IST2002-VIII.1.10). This aims to foster collaboration and facilitate the exchange of knowledge, best practices and expertise between research funding and operational bodies in the Member States. In addition, one of the main objectives of WP 2002 is to prepare the research community for FP6 and, notably, to identify RTD challenges and research roadmaps, as well as to foster better understanding of constituencies and implementation models. **It is important that the experience acquired is transferred** and used to tune FP6 instruments.

This work should also assist DG Information Society to develop a fuller appreciation of what ERA means in the context of IST and to describe examples of ERA activities and results. The Panel considers that **such examples or scenarios are essential to clarify and explain ERA goals** in a practical way that can be clearly understood and **communicated both in-house and to potential participants**. The generation of these examples will help to address concerns² and uncertainties about how the ERA approach will apply in the IST context. They will also help IST constituencies to prepare for FP6's role as a major means of implementing the ERA and in addition will sensitise IST programme staff in DG Information Society.

We understand that ISTAG is addressing this issue and that an analysis is being carried out by DG Information Society into "Who does What" in Europe. We support this work and suggest it should be further enhanced **by the generation of potential ERA outcomes and examples in the context of IST**.

Recommendation 1

ERA Examples Developed in the Context of IST: In order to improve understanding of how the ERA approach will apply to IST and to communicate this to all players, the Panel recommends that a set of scenarios and examples are developed to illustrate potential ERA outcomes in the context of IST. These will enable both Commission staff and programme participants to contribute more fully to the evolution and delivery of the programme. (Completion date: May 2002).

4.1.2 Towards the new FP

Instruments

The new instruments of FP6 have been designed to facilitate the building of the ERA. The way in which they will be understood and implemented will be paramount for the success of FP6 in the context of ERA. Integrated projects, networks of excellence and coordinated national research will help reduce fragmentation of RTD efforts and create European research communities. In addition a

² Expressed in interviews with Directors.

fourth instrument, targeted research, has been added to cover the value and approach developed in earlier Frameworks for specific projects³.

The Panel was made aware of **a number of concerns** from a wide range of contributors about the appropriateness and risks to IST of these instruments. **These concerns must be fully taken into account** in the evolution of FP6, and in view of the timescale, **considerable urgency is required**.

The rationale for **Integrated Projects (IPs)** is strong, both intrinsically (e.g. the need for critical mass) and extrinsically (e.g. the management capacities of the Commission have reached their limit). However, the evidence is far from convincing, with research in the ICT domain suggesting⁴ that achieving value from larger projects takes special measures and involves greater risk of large-scale failure. To take full advantage of the positive aspects of the concept, the Panel suggests that research results and lessons learnt should be fully absorbed into FP6 definitions. There is also **a significant concern that SMEs will be excluded from IPs** and that IPs will make it **harder for NAS players to participate**.

The rationale for **Networks of Excellence (NoEs)** is also strong. However, there are concerns about: (1) the **interpretation and meaning** of the term in the context of IST and (2) the **possible discrepancy between the level of commitment expected from participants (high) and the funding proposed** (per researcher, not more than 25% of the value of the capacities and resources brought to an NoE). Is this sufficiently motivating? The challenge is how to make the application of this instrument consistent with industry and academic strategies, at a time when joint ventures have lost much of their appeal and demonstrated their instability. In the Panel's view, **intense consultation with industry and public research centres in the IST field is strongly needed**. The differences between NoEs and the alliances of the 1990s should be fully understood and articulated. Evidence⁵ also indicates that the best role for the Commission is to facilitate and support networks rather than to take a direct role. This and other lessons from past experience need to be borne in mind in the development of the instrument in the IST context. There is also a significant concern **that SMEs will be excluded** from networks of excellence.

The rationale for achieving **greater overall value from national programmes** is also strong, given that an EU FP budget typically only accounts for some 5% of public research funding. Much effort and **extra consultation is still required**, and IST needs a strategic view of how this instrument will apply to the domain. A first step for achieving a better co-ordination between national and Community levels is to improve access to information about national research activities for all

³ Sources consulted on preparations for FP6:

- section 7 of *IST Self-Assessment Report 2001*
- *IST Research in FP6 + Research in the Ten Sub-Areas of the IST Priority*, INFSO-F6, Oct. 2001
- *Simplification of Implementation Procedures for FP6*, DG RTD & DG INFSO, Oct. 2001
- *IST in FP6: Interservice and DG INFSO Working Groups*, INFSO-F, Dec. 2001
- *IT System for Next FP: Feasibility Study*, DG Research, July 2001
- *Provisions for Implementing Integrated Projects*, DG Research, Jan. 2002
- *Networks of Excellence in FP6 [and other statements]*, INFSO-F, Jan. 2002
- *IST in FP6 presentation*, INFSO-F6, Dec. 2001
- separate roundtables with NAS stakeholders, project coordinators, and project officers
- findings from interviews with IST directors, National Contact Points (NCPs) and ISTC members

⁴ Findings of study *Key Issues and Questions associated with "Big" Projects in the ICT Area*, Nov. 2001, http://europa.eu.int/information_society/programmes/evaluation/index_en.htm#iststudies

⁵ *Clustering in the IST Programme: Activities and Results*, INFSO-F6, Jan. 2002, ftp://ftp.cordis.lu/pub/ist/docs/cpt_clusters-01-2002.pdf; also interviews with Directors, etc.

researchers in Europe. The Panel notes with interest that an information Web Portal for IST R&D across Europe will have a feasibility study starting in March 2002.

Targeted research has the scope to include modalities or sub-instruments that worked well in FP5. Despite the danger of renewed complexity, the majority of those interviewed by the Panel felt **that exploratory awards and take-up actions had also been shown to work well in FP5, especially for NAS and SMEs**, and their value should not be lost.

Recommendation 2

Strengthening the Learning and Consultation Process: There are many important lessons to be learnt from previous Framework Programmes on issues such as big projects, networks and exploratory awards. These lessons are valuable. They should be used to fashion the FP6 instruments as applied to IST and should be fully taken into account by those formulating the Framework/programme. There are also a number of significant current concerns over the instruments and their application, for example in the formulation of joint ventures and the participation of industry, SMEs and NAS. In its FP6 planning, the IST Programme should consider increasing the level of consultation and validation with the IST constituency. (Completion date: May 2002)

Strategy, Awareness and Planning

The shift of emphasis to ERA in FP6 is creating some **mixed messages and inconsistency over the IST strategy**. The main focus in FP4 and FP5 has been on users, innovation and application within a medium timeframe (e.g. *eEurope*), supported by long-term research. FP6 appears to be swinging back to longer-term research as the main emphasis. Unless changes to this balance are properly addressed (through the appropriate instruments) and understood (both internally and externally), there is scope for confusion — both within the Commission services and externally. This could lower participation in the FP6 Programme — especially by industry and users.

As well as being a significant shift from previous Frameworks, the current situation with FP6 instruments is also evolving quite rapidly and is largely outside the control of the IST Programme. It is consequently not surprising that the Panel found a **significant lack of knowledge** about FP6 within DG Information Society, the programme committee (ISTC) and amongst NCPs⁶. This situation is no doubt changing as preparations proceed, but at the time of our soundings, we found a lack of awareness of the new instruments, coupled with a concern about how they will specifically be deployed in IST. Concerns included the larger autonomy of integrated projects and the potential for "agency" style operation. There was also limited knowledge of the plans for FP6 implementation and concerns over the considerable number of major issues still to be resolved in a short period of time.

Although many elements of a strategy are in place and documented, the Panel consider that the **production and distribution of a strategy document** will articulate and communicate a shared view of the IST Programme's vision and direction in the context of FP6.

Furthermore, despite the relatively short timescale and critical implementation issues, **there does not yet appear to be a specific "project plan"** for implementing IST in FP6 in terms of inputs, outputs, activities, timetable, milestones, resources and contingencies. Elements such as an overall

⁶ Drawn from interviews with Directors, POs, NCPs and ISTC members.

calendar are in place, but a specific project plan would help the Commission services to coordinate, communicate and manage the implementation.

Recommendation 3

FP6 Strategy and Planning Documents: In order to support the introduction of FP6 in the context of IST and to increase awareness and coordination among key stakeholders, a strategy document and a supporting project plan should be widely distributed and used to guide the implementation. The plan should include measures to ensure that the composition of advisory bodies reflects the range and proportions of different types of programme participants (such as SMEs). (Completion date: May 2002.)

4.1.3 Civil Society

Much emphasis has been placed in the IST Programme on the "industry" and "government" sectors, and although there is still much to be done in these sectors on issues such as e-Government and e-Democracy, the application of ICT to Civil Society and non-governmental organisations (NGOs) potentially requires specific coverage as a distinct sector⁷. Organisations and institutions matter more than technology itself in the diffusion processes — for example, the use of "common interest groups" is widespread in ICT. However, the presence of NGOs in the IST Programme and the emphasis given to the sector both seem to be limited⁸. Experiments and innovations should be extended in this domain to help in their successful uptake of IT. The inclusion of Civil Society as an important sector in the Information Society deserves more attention, and more research is needed to assess how "social groups" take up ICT, how the "social capital of individuals" is affected, and how ICT can help to enhance this "social capital".

Recommendation 4

Consider a Greater Emphasis on Civil Society: In view of the growing and recognised role played by non-governmental organisations and civil society in advancing social progress, the Panel recommends that the IST and the Framework Programme as a whole consider placing greater emphasis on this sector. (Completion date: June 2002.)

4.1.4 Contribution to Enlargement

Several successful actions have been undertaken to support the integration of NAS within the FP5. The IST Programme reports such actions resulted in a NAS organisation success rate of 20%, compared to 25% of EU organisations, after six calls for proposals⁹.

⁷ In this respect, the Panel welcomes the recent IST workshop on "Knowledge Management applied to Non-Governmental Organisations (NGOs)", held under the auspices of KA II – <http://www.knowledgeboard.com/community/zones/ec.html>

⁸ Information gathered by the Panel from Programme documents.

⁹ Sources consulted on enlargement:

- *Review of NAS Participation in IST*, INFISO-F4, June 2001
- *Stocktaking: NAS Involvement in IST*, INFISO-F4, Nov. 2001
- presentation on "Newly Associated States in the IST Programme", INFISO-F4, Nov. 2001
- section 3.4 of *IST Self-Assessment Report 2001*
- roundtable with NAS stakeholders
- findings from interviews with IST directors, National Contact Points (NCPs) and ISTC members.

Although their integration must be considered successful, the NAS success rate and the quality of participation vary from one NAS to another, depending upon their cultural heritage, pre-existing cooperation links with Member States (mainly at academic level), and degree of entrepreneurial experience.

In general, the Panel found that NAS still experience a number of difficulties that cannot be underestimated. Major issues are their difficulty in acting as project originators or coordinators and to enter the "winners' club" due to legal and financial viability barriers and the perceived and real complexity of Commission procedures.

Although greater simplification and improved transparency must be regarded as permanent FP objectives to the advantage of all participants, it is unlikely that major structural changes to the rules, procedures and practices will come about in time for FP6. **It is therefore imperative that NAS participation in FP6 is supported by a special package of measures that includes rapid, intensive training to enable them to catch up in time for participation in FP6.** These measures must be centred on the education of NCPs, who are the key operational link between the IST Programme and potential participants in NAS. A training programme should be based on two main lines of action:

- NCP training;
- tutoring by expert NCPs from Member States.

In view of the turnover of individuals in a number of NCP posts, the training should also be supported by increased stability of the NCP position; in this respect it would be helpful if member states and NAS awarded NCPs with "mandates" for a minimum and reasonable duration.

The Panel suggests that the training might take the form: (1) An "IST in FP6 Discovery" session via DG Information Society and (2) "Training on the job" — partnering of NAS NCPs with expert NCPs or former NCPs from Member States. Such tutoring action must consider cultural and linguistic affinities in order to be effective¹⁰.

The package should also include measures that support the participation of NAS organisations as project coordinators.

Other potential obstacles to the IST programme's involvement of NAS in FP6, such as dealing with big projects and too strict financial requirements, are similar to those of SMEs and will be dealt with in the next section.

Recommendation 5

Special Package of Measures for Supporting NAS Inclusion in FP6: In order to overcome some of the FP6 factors that could limit NAS participation in the IST Programme and the Framework Programme, the Panel recommends that a special package of measures be put in place for FP6. Such measures should be designed to support NAS participation in the short term and bring them up to speed in the medium term. Careful design should ensure that these measures support NAS without isolating them. The package should include: (1) encouragement for NAS inclusion and leadership in consortia, and (2) a rapid, intensive training programme for NAS NCPs involving both DG Information Society and Member State NCPs. (Completion date: June 2002).

4.1.5 Participation of SMEs

The participation of SMEs in IST projects is satisfactory in both absolute and relative terms according to the figures presented by the Programme¹¹. Broadly speaking, 25% of project participants are SMEs, compared to 27% large companies and 25% universities. SMEs are involved in all types of actions and have an important role in IST. Their participation in take-up actions is highly encouraging. We understand that the overall level of participation far exceeds Framework objectives.

However, the Panel's view is that further improvements should be considered. In particular, **the clarity of the objectives of the Commission services regarding IST and SMEs could be improved**. There exist high-level political aims that properly reflect the importance of SMEs in the EU, but these are not translated into specific goals and supported objectives within IST (for example, regarding targets for optimum participation levels or the extent that the focus is on users or IST suppliers). In the absence of such targets it is hard to measure success, other than in broad terms such as "the more SMEs the better". Given the importance of the topic, the Panel feels that more work is needed to analyse and segment SMEs and to be much more specific about the level of involvement and impact sought via the intervention of the IST programme¹².

The level of participation of SMEs is quite different depending on the programmes and the sectors. For example, the tourism sector, which is mostly based on SMEs, is very concerned about the risk of being marginalised by the FP6 big projects. The following quote however, reflects a quite general view: "*SME participation is likely to be very doubtful; the present rules of participation combined with shared legal and financial liability, and larger projects are not attractive*"¹³. To encourage SME participation in Community RTD projects, 86% or more of the SMEs in a recently consulted sample felt that average project size, number of partners and project duration should remain the same or decrease¹⁴. **The financial viability constraints** are making it even harder for SMEs to participate¹⁵. Many small companies are now told that in order to obtain a cash advance they need to be a large company, so that SMEs can remain unpaid for up to a year — a clear contradiction in goals and one that **could kill SME participation**.

The Panel is encouraged that these issues are being looked at. For example, ISTAG has undertaken an examination of how best to ensure proper representation of the interests of IST SMEs and how to maintain and expand the role of IST-SMEs in FP6¹⁶. However, as previous Five-Year Assessments

¹⁰ Here the "Twinning Light" initiative of the Phare programme could be instructive:
<http://europa.eu.int/comm/enlargement/pas/twinning/index.htm>

¹¹ Sources consulted on SMEs:

- presentation on "SMEs in the IST Programme", INFSO-F4, Nov. 2001
- *SME Participation in the FP5 IST Programme*, INFSO-F4, Oct. 2001
- sections 3.6 and 4.1.3 of *IST Self-Assessment Report 2001*
- *SME Participation under IST in FP6*, ISTAG, May 2001,
ftp://ftp.cordis.lu/pub/ist/docs/istag_SMEs_in_FP6.pdf
- *SMEs in EU RTD Programmes: Report of a Survey*, IDEALIST Consortium, Nov. 2001
- *FP5 SME Participation 1999-2001*, DG Research, July 2001

¹² In this respect, the Panel welcomes the recent report by Key Action II entitled:

Assessment of IST KAI II SME Take-up Projects in the context of the eEurope GO DIGITAL Initiative

¹³ Directorate B paper – *IP projects in FP6*

¹⁴ *SMEs in EU RTD programmes: Report of a Survey*, IDEALIST Consortium, Nov. 2001

¹⁵ Drawn from interviews and meetings with ISTC members and NCPs.

¹⁶ *SME Participation under IST in FP6*, ftp://ftp.cordis.lu/pub/ist/docs/istag_SMEs_in_FP6.pdf

and Monitoring Panels have highlighted, **radical changes are needed** — for example trying a system where payment is made on delivery rather than through an advance payment.

Recommendation 6

Develop an IST Policy for SMEs: In order to improve yet further the contribution and quality of SME involvement in the FP6 IST programme, it is recommended that a specific policy on SMEs be developed. This should be based on an in-depth segmentation analysis and allow future impact assessment against clear objectives and targets. (Completion date: October 2002)

Recommendation 7

Encourage SME Participation in FP6. To overcome the current and potential future barriers to SME participation, the Panel recommends the definition of a more appropriate set of procedures and contractual models for SME participation. This should be tackled at the Framework Programme level. (Completion Date: first call of FP6)

4.1.6 International Dimension

International cooperation is an essential feature of RTD in general and the RTD Framework Programme in particular. Even, and we would say, especially, in a fiercely competitive environment, establishing world-wide cooperations and alliances among scientific and industrial actors is a key factor of success in keeping abreast of competitors and achieving satisfactory results in areas such as standardisation, product and service definition and market knowledge. From the information and data provided to the Panel¹⁷, it appears that, although an active international cooperation programme is in place across the FP, and although significant efforts have been made in IST, a significant level of cooperation has only been achieved with NAS and other associated countries. **The number of participants from Third Countries to FP5 activities is low**, close to negligible: less than 2% for IST (ca. 200 vs. ca 10 000 for EU participants, 4% of the funding)¹⁸. Even taking into account that extensive international scientific cooperation might exist outside of the scope of the IST and the Framework Programme at large, this figure signals a lack of visibility and involvement at international level of EU-related scientific activities. **This cannot but hamper the establishment of the leadership** the Programme seeks to build.

Recommendation 8

Raising the Level of International Cooperation: The level of international cooperation under the FP is quite low. The Panel recommends that this issue is raised at the FP level and that all research DGs be involved to investigate the situation and consider a strategy to address the problem. (Completion date: end June 2002)

¹⁷ Sources consulted on the international dimension:

- presentation on "Newly Associated States in the IST Programme", INFISO-F4, Nov. 2001
- *IST INCO Newsletter* and INCO website, <http://www.cordis.lu/ist/int/home.html>
- section 4.1.1 of *IST Self-Assessment Report 2001*
- roundtable with NAS stakeholders
- tour of international section of exhibition at IST 2001 Düsseldorf event, plus interviews of exhibitors
- findings from interviews of IST directors and other IST programme staff.

¹⁸ See Statistics section (annex III) of *IST Programme Self-Assessment Report 2001*.

4.1.7 Women in science

DG Information Society commissioned a study on "Gender Impact Assessment of the Specific Programmes of the Framework Programme"¹⁹. This covered gender aspects in the IST programme — in programme management, evaluation and monitoring panels, and among project coordinators and project participants — and also gender issues related to the development and use of ICT and its socio-economic aspects. Overall, the study found that the proportion of women involved in the Programme is low across the board (project coordinators, ISTAG, ISTC, monitoring and Five-Year Assessment panels, programme staff). The study includes 12 recommendations to DG Information Society related to the gender issue.

However, neither the study nor its recommendations seem to have affected IST management policy or practices in the slightest²⁰. In short, **the issue of women in science simply does not seem to exist in the IST programme.**

With the exception of the 2001 Self-Assessment Report¹⁹, the 2001 Monitoring Panel cannot find any traces of this issue in the on-going management of the IST programme, as for example in the preparations for FP6, in the response to the ERA, or in the communications strategy of DG Information Society and the IST programme. Management of the IST programme covers many different areas, and the Monitoring Panel has examined several, as reflected in other sections of this monitoring report. The issue of women in science does not appear in any of these areas of management.

In addition, the Panel has carried out interviews with directors of the Programme, and not one of them has expressed that "women in science" is an issue of importance to the Programme. The Monitoring Panel has had roundtable discussions with NAS representatives, with Project Officers and with Project Coordinators. Only 1 out of 25 members in these roundtables were female, and the issue of women in science has indeed been a very obvious non-issue.

On this basis, the Panel feels that **distinct and positive action is urgently required**. This should include a vision, measurable targets, and a strategy for increasing the participation of women in the IST programme. A time limit could be defined, after which, if no substantial progress is made, allocation of research resources could be coupled to progress in concern for Women in Science.

Recommendation 9

Policy for the Participation of Women in IST: To address the current low levels of involvement of women in the IST Programme, the Panel recommends that in coordination with DG Research and at the level of the Framework Programme, a policy should be developed and a specific plan set up to address this problem. The plan should include an assignment of responsibility for awareness raising and for reporting on the implementation of the policy at regular intervals. (Completion date: July 2002)

¹⁹ See *Gender Impact of the IST Programme*, October 2001 (summarised in section 3.2 of *Gender in Research Synthesis Report*, ftp://ftp.cordis.lu/pub/improving/docs/women_gender_impact_fp5_en.pdf), and section 3.7 of *IST Self-Assessment Report 2001*.

²⁰ Though the Panel is pleased to note the launch foreseen of the project "Widening Women's Work in ICT", which aims to further a better understanding, from a socio-economic perspective, of the reasons for the under-representation of women in ICT-related activities.

4.2 AN OPPORTUNITY TO IMPROVE PROCESSES

DG Information Society has made **significant and valuable progress** in the last year in **enhancing the overall strategic vision of the IST programme** as part of the preparations for FP6. The Monitoring Panel would like to encourage management to continue this process. Furthermore, **the locus and mechanism for the efficient management of the IST Programme have been put in place**, allowing improvements and simplifications in procedures to be developed and implemented. However, there remain strong concerns, from a number of sources²¹, that the Framework Programme as a whole continues to suffer from a number of inefficient and costly processes that adversely affect its image and hinder the realisation of its potential impacts. There is an opportunity in FP6 for significant changes to be made in order to make the RTD process more effective and efficient for all players.

4.2.1 Management of Operational Processes

Performance Improvement: The reduction in the "time to contract" has been a significant achievement and is a good example of effective management based on the approach of listening and responding to the IST Programme's end-users²².

Some concern was expressed to the Panel that time-to-contract improvements might have been achieved primarily by changing priorities rather than by simplifying procedures and implementing e-processes²³. Although different views on this issue exist, participant satisfaction does not appear to have diminished. Here the Panel would like to register its view that end-user surveys enable assessments of this type to be made. They should in any case be conducted regularly on this and other operational processes.

There is also a residual concern amongst some staff²⁴ that the quality of approved projects may suffer from the reduced time to contract. Evidence and data to explore this point is currently limited, and the Panel has heard strong counter-arguments that the changes made are unlikely to affect quality. The Panel suggests that **a mechanism be considered for examining the correlation of the success of projects with the quality rating of their original proposals.**

It is clear to the Panel from the success of the time-to-contract initiative that the approach taken should be applied to an overall examination of business/operational processes across the whole project life-cycle, from time-to-contract to project review, final payment and impact assessment. Due consideration should be given to greater use of e-tools to support process improvements.

²¹ Drawn from interviews with programme participants, ISTC members, POs and NCPs.

²² Sources consulted on the time-to-contract issue:

- section 6.2 of *IST Self-Assessment Report 2001*
- *Report by Key Action 1 on Call 6 Time-to-Contract Pilot*, INFSO-B, Oct. 2001
- *Evaluation of Call 6 Time-to-Contract Pilot*, INFSO-R3, Oct. 2001
- *Response to Evaluation of Call 6 Time-to-Contract Pilot*, INFSO-B, Nov. 2001
- *First Report to Commissioner Liikanen on Time-to-Contract Pilot*, DG INFSO, July 2001
- *Follow-up Report to Commissioner Liikanen*, Nov. 2001
- section 7 of *Independent Observers' Report on Call 6 Evaluation*, Nov. 2001
- *Time-to-Contract Pilot: End-of-Year Assessment*, INFSO-B, Jan. 2001
- separate roundtables with NAS stakeholders, project coordinators, and project officers
- findings from interviews with IST directors, National Contact Points (NCPs) and ISTC members

²³ View expressed by a number of project officers.

²⁴ Drawn from interviews with some Directors and POs.

Grants: Some programme committee (ISTC) members and Directors consider that an RTD funding policy based on grants would result in significant improvements in both processes and overhead costs. It would also align the funding structure more closely with other international approaches and best practice. The Panel understands that some action is in hand on this issue and recognises that this is a policy matter that is appropriate to pass to the Framework Panel.

Recommendation 10

Continuous Process Improvement: Extend the significant achievements of the "time-to-contract pilot" by drawing up and implementing plans for further significant improvements in "user-facing" processes from pre-call to contract payments. These plans should be supported by a properly designed and systematic method of collecting feedback from the user community. (Completion date: June 2002)

4.2.2 Communication and Information

Successive Monitoring and Five-Year Assessment Panels have pointed out that the lack of a coherent communication plan *"negatively impacts the effectiveness of the programme"* (Director-General's note of March 2001). A revised IST communications plan has been in place since January 2001²⁵; however, its application and coordination across DG Information Society in a consistent manner has yet to be achieved and there is not, as yet, full "buy-in".

Nevertheless, the significant efforts on communications have achieved important results. IST is now a visible, world-class reference-point among RTD programmes. This is all the more essential as since the Lisbon and Barcelona Summits, promoting Europe to be at the forefront of the global information society has become an integral part of EU policy, with the IST programme as a very significant component. But plenty of work remains to be done — for example, to address potential confusion with initiatives such as TEN-Telecom, eEurope and now ERA.

This highlights the importance of a strong, clear and well coordinated communications policy in DG Information Society, coordinated with the IST programme.

The Panel considers that **further steps are needed to achieve the implementation of a common communications strategy** in DG Information Society in order to:

- Conform with broader communications policy goals at Commission level;
- Express the central role and purposes of the EU's Information Society policy at DG level;
- Consistently conform to the objectives of IST, as both a central tool of EU information society policy and as an RTD programme.

²⁵ Sources consulted on the communications policy issue:

– *IST Strategic Communications Plan*, Jan. 2001

– *DG INFSO Communications Strategy*, R. Verrue, March 2001

– presentation on "Information Society Communications Policies", INFSO-R5, Jan. 2002

– intervention by N. Heenan, INFSO-F, Jan. 2002

Recommendation 11

Achieving a Consistent Communications Policy: Further work is required to achieve the delivery of a consistent communications policy relating the IST programme to DG Information Society. The Panel recommends that a statement be made with a list of objectives on how a consistent communication policy will be fully implemented through better coordination, improved internal and external consultation mechanisms, and determined decision-making. (Completion date: June 2002)

4.2.3 Monitoring and Evaluation

Monitoring, review and evaluation are terms applied to the assessment of proposals, projects, Key Actions and programmes, and a number of different approaches are deployed by the IST programme. On the whole there has been a convergence of methods over the last year, with continued flexibility to apply specific methods appropriate to different parts of the programme.

New cross-programme methods that have been introduced in 2001 include the introduction of quantitative indicators and data collection on the progress of individual projects²⁶. This initiative demonstrates DG Information Society's commitment to making improvements in project monitoring, but this now needs strengthening to make it effective. The data is being collected **but is not yet being used in a coherent or coordinated way** by management²⁷. For example, it could be used to explore the degree of correlation between project success and the quality of original proposals. As Panels repeatedly point out, the Commission Services are good at measuring inputs but less good at measuring outputs.

Recommendation 12

Management Information for Monitoring Projects and Programme: The IST programme should strengthen the effectiveness of its management process by introducing a standard and supported method for obtaining management information on project and programme progress on a sector/Key Action/programme basis. This should build on an initial collation and analysis of data from the project indicators fiche. (Completion date: June 2002)

4.3 MAKING THE BEST USE OF HUMAN RESOURCES

4.3.1 Human resources management

The Commission adopted a "Global Package for the Reform of Personnel Policy" on 30 October 2001. With this in mind, the 2000 Monitoring Panel recommended that:

A common IST Human Resources Policy should be developed that links human resource development (training, career development, new employees, gender issues etc) to Programme development. This policy should be made available to the 2001 Monitoring Panel. Explicit targets for better gender balance should be formulated.

The 2001 Panel expected the objectives, targets and measures of the "Reform of Personnel Policy" to be visible in an IST human resource policy. **However, it cannot to date recognise such a policy.**

²⁶ *Project Review Progress Indicators Fiche and Project Monitoring in IST*, IST Programme, Sept. 2001.

²⁷ Drawn from interviews with all Directors and with POs.

On the **gender issue**, statistics do not show any improvement²⁸. There has been no progress during 2001 in the gender balance of project officers (POs) in the IST programme. Furthermore, **there is not a strong expression of concern about this situation** from IST management. In addition, the 2001 Monitoring Panel has not identified objectives, targets and measures for changing the current situation. While accepting that progress on this issue is a challenge, we consider that a pro-active approach and a search for innovative solutions are required.

In roundtable discussions with POs as well as in interviews with Directors, a concern about **the current and future role of staff at all levels and in all positions** was expressed. This concern is primarily related to the balance between scientific and administrative work and the skills demanded for the two different kinds of task. Worries have been expressed that new procedures introduced in order to shorten the time to contract and time to payments will reduce the parts of the processes that require the POs to apply their scientific competence and experience.

In the 2001 Self-Assessment Report, the management of the IST programme states that "most of its senior staff are employed as scientific officers, but they spend the vast majority of their time administrating projects". The management finds this situation unsatisfactory and states that "scientific officers should be concentrating on fine-tuning the technical implementation of the programme and contributing to setting the objectives for future programmes". **The Panel agrees that the roles should be clarified** to match the requirements for flexibility and the structure of the Programme. The Panel suggests that this can be achieved by the creation of clear, appropriate job descriptions. Job descriptions are seen as natural components of a human resource management policy.

The need for a clear policy on people is accentuated because the Programme is experiencing a period of almost unprecedented pressures that limit and alter management's freedom of action. These pressures include the continuing reform of the Commission, the impact of the new FP6 instruments on the work of the staff, major changes in the Framework Programme, and the enlargement of the European Union.

Components of an IST Human Resource policy do exist: for example, in training (related primarily to languages and IT tools), in bilateral, yearly talks between POs and directors, and concerning targets for numbers of temporary agents and permanently employed agents. However, **other important elements are not visible in the current Human Resource management of the IST programme**. These include:

- work conditions (e.g. part time work, flex-time, teleworking²⁹, mobility);
- personnel planning (e.g. job descriptions, career planning, follow up on annual appraisals);
- maintenance and development of competences and continuous skills development.

Overall, the Human Resource management of the IST programme appears to the 2001 Monitoring Panel to be lagging behind what is recognised as normal practices in most private and public organisations. In summary, the Panel finds that the **Human Resource management** of the IST programme, including general issues related to working conditions, family-friendly environment, gender, job descriptions and skills requirements, is **insufficient and out of date**.

²⁸ Conclusion drawn from analysis of data supplied by INFSO-R1.

²⁹ The Panel acknowledges the valuable experience acquired in the ongoing Telework Pilot in DG Information Society and DG Employment, but is unaware of any policy on a broader rollout.

The Panel is well aware that a Human Resource policy for the IST programme cannot be independent of general policy on Human Resources for the Commission. However, the Panel believes that there are a **number of possibilities for improvement**, including drawing up policy statements, setting targets and instituting monitoring measures.

As last year's Monitoring Panel recommendations related to human resources and the gender balance have had little impact, **more powerful action is now recommended**.

Recommendation 13

A Strategic Policy and Plan for Human Resource Management should be developed. The plan should include targets and actions related to working conditions, gender issues, job descriptions and competency. The management of the IST programme should give clear policy messages concerning all issues covered in the strategic Human Resource policy and plan. They should be pro-active in implementing the plan and set good examples. The policy and plan should be ready by June 2002. Pro-active actions and good examples should start immediately.

4.4 ASSESSING IMPACT

The Panel is surprised that a volume of expenditure as large as that represented by the Framework Programme has continued for so long without systematic consideration being given to its impact and to learning the lessons of experience. This cannot go on forever. Indeed, DG Information Society has clearly recognised the need to assess the IST Programme's impacts methodically, and during 2001 instituted an initial analysis, reflection and a series of actions³⁰. **The time is now ripe for a methodologically sound, consistent and systematic approach to the impact of the IST programme in accordance with FP-wide guidelines.**

Elements do exist to start building such an approach. Although there is no overall impact assessment scheme in place for FP5 as a whole, various useful initiatives have been taken to assess the impact of the IST programme and its FP4 antecedents. Some are specific to Key Actions, others relate to the last Five-Year Assessment exercise³¹. Some are more analytical (based for instance on impact assessment fiches), or demonstrative (success stories); some aim at a synthetic view based on a classification of value (Integrated Programme Portfolio Analysis, IPPA). In this respect, the Work Programmes are extremely valuable documents that should be systematically checked against results and used for impact assessment. The endeavours of the Growth and INCO programmes and the EUREKA initiative also yield valuable lessons. In addition, a treasure-trove of knowledge concerning RTD impacts lies with project officers, but is not collected and formalised. It should be exploited and integrated in a global scheme combining top-down (methodological) and bottom-up (experience-based) approaches to produce guidelines for impact assessment consistent across the whole FP.

³⁰ Sources consulted on impact assessment and results tracking:

- sections 6.3 and 6.4 of *IST Self-Assessment Report 2001*
- *Project Monitoring in IST: Principles*, Oct. 2001, INFSO-F
- *Project Review: Progress Indicators Fiche*, Oct. 2001, INFSO-F
- *Impact Assessment: Stock-Take of Publications*, Sept. 2001, INFSO
- *Impact Assessment Template*, Sept. 2001, INFSO-R3
- *Impact Assessment: Completed Templates*, IST Directorates, Nov. 2001
- presentation on "Impact Assessment in IST", INFSO-F4, Nov. 2001
- *Impact Assessment: Background and Analysis*, INFSO-F4, Nov. 2001
- *Technologies for People (Success Stories)*, INFSO, Nov. 2001
- presentation to FP Panel on "IST Impact Assessment", INFSO-F4, Jan. 2002

³¹ See http://europa.eu.int/information_society/programmes/evaluation/pdf/reportist5y_en.pdf

Evidently, there is much yet to be done. **Sufficient resources and staff must be allocated to carry out an impact assessment exercise effectively**, and the value of the IST programme indicates that the size of the impact assessment resource should be significant. To assist in achieving this, **a requirement for impact assessments should be embodied in the legal bases of FP6 and its constituent specific programmes.**

Recommendation 14

Implementing an Impact Assessment Methodology: The IST Programme should move forward and rapidly implement its plans to develop, with expert advice, an impact assessment methodology based on independent external evaluation. It should then set up a properly resourced impact assessment scheme. In view of the time lag in the measurement of impact, work on this should start immediately with a view to starting implementation in June 2002. More generally, and to be raised at Framework level, a requirement for carrying out systematic and independent impact assessments should be embodied in the legal bases of FP6 and its constituent Specific Programmes.

4.5 FOLLOW-UP OF PREVIOUS RECOMMENDATIONS

4.5.1 2000 Monitoring Panel

There has been serious action by DG Information Society to respond to and implement the 17 recommendations made by the 2000 Monitoring Panel³². Results have been generated from the completion of actions on seven recommendations: 1) Customer surveys, 4) IST Project Monitoring, 7) Deputy DG, 9) Time to Contract, 12) SME analysis, 13) Cluster Analysis, and 17) Operation of Monitoring Panel.

Partial results have been generated from the implementation of six others: 3) Clarifying criteria, 6) FP6 Plan, 8) Electronic Submission 10) Advisory Groups, 14) Integration of NAS. Work is still underway on two recommendations: 15) IST Human Resource Policy, and 16) Targets and measures for gender balance.

No specific results have been generated in response to three recommendations, although the views of the Monitoring Panel have been taken into account on: 2) policy on proposal budgets, 5) review of project monitoring, and 11) review of take-up measures.

Recommendation 15

Outstanding recommendations and actions from last year's report are summarised below. Most are already covered elsewhere in this report. Three are extensions and are indicated below in bold:

- **On-going customer satisfaction measurement should become part of normal business** (extension)
- Management system for use of project monitoring data (see section 4.2.3)
- Independent annual review of monitoring process (see section 4.2.3)
- Operational plans for implementation of IST in FP6 (see section 4.1.2)
- **Investigate e-submission barriers** (extension)
- **Review synergy and ROI from take-up measures** (extension)
- Action on SMEs (see section 4.1.5)
- Medium term plan for NAS integration (see section 4.1.4)
- Human resource policy (see section 4.3)
- Gender targets and measures (see section 4.3)

4.5.2 Five-Year Assessment (1999)

The Panel received an updated report³³, and a summary of the Panel's view is contained in the table below.

	Recommendation (summarised)	2001 Panel Comments
1	Vision and roadmap needed, more focused ISTAG methodology and review of formal consultation mechanism.	Largely addressed via Foresight studies and Technology Roadmaps.
2	Future programmes have enough flexibility to allow for regular re-assessment of the strategic focus.	This is being addressed to some extent in FP6 formulation.
3	Fundamental review of communication plans, including information provided to proposers.	Progress has been made but the implementation of a cohesive and co-ordinated approach is still causing difficulties.
4	Several variants of the project contract model should be used, in particular to avoid extensive overheads in the case of SMEs.	No significant progress, although simpler contracts and procedures are generally planned for FP6.
5	Make project reviews more meaningful and the payment cycle more efficient.	No progress, changes for FP6 are still being examined.
6	Review the operation of clustering to ensure focus on clear joint objectives	Done – but lessons should be absorbed for networks of excellence in FP6.
7	Project key indicators collected as part of on-going systematic impact analysis.	Partly done in so far as project progress data is collected. Systematic management use and impact analysis is outstanding.
8	Learning and best practice used (e.g. use of workflow tools).	Some progress, but much still to be done on the efficiency and effectiveness of overall processes, regardless of tools.
9	Procedures from call to contract should be actively managed as integrated process.	Excellent progress on time to contract process and communication of timescales (albeit not as "service times")... but some way to go on overall processes.
10	Introduce review mechanism for earlier recommendations.	Done.

³² See http://europa.eu.int/information_society/programmes/evaluation/pdf/responseist2000m_en.pdf

³³ *Current Status of Recommendations of the IST 5-Year Assessment Panel*, INFSO, Jan. 2002

5. CONCLUSIONS AND RECOMMENDATIONS

During 2001, the IST Programme has successfully carried out a wide range of activities to meet its operational obligations to FP5. This range includes the evaluation of 1471 proposals, the negotiation of contracts for 422 new projects and the successful running of over 1500 projects. In addition to meeting this heavy operational workload, the IST Programme has made changes to raise successfully the participation level of Newly Associated States, has developed the work-programme for 2002, and has contributed to Commission proposals for a Sixth Framework Programme.

The IST Programme is also responding strongly to the challenge of ERA and the introduction of FP6. Several actions have been initiated through the 2002 Work Programme and intensive activities are currently underway to develop and implement the new FP6 Programme for 2003. However, given the discontinuity of the change and timescale in the evolution of the new instruments, the IST Programme is now facing some urgent planning issues in the delivery of FP6.

IST Programme Management has also made considerable progress in 2001 to improve the effectiveness and timeliness of the Programme's administration. Progress on the "time to contract" has been particularly impressive, with the average time being reduced from 250 days to 150 days. This demonstrates both the responsiveness of the IST Programme to its user community and management's capability to carry through such a major improvement. The 2001 Monitoring Panel considers this to be a significant achievement and an excellent stepping-stone from which to undertake further process improvements.

The delivery of a service such as the IST Programme is completely dependent on the talents of management and staff, and it is clear to the Panel that the success of the Programme to date is due to a dedicated and hard-working team focused on achieving the best possible results from the Programme. However, pressures on staff and management continue to increase and extra measures are now needed to obtain the best use of human resources.

The lack of a consistent impact assessment scheme results in an underselling of the Commission's role and hinders analysis of added value. During 2001, DG Information Society recognised the situation, instituted an initial analysis and reflection, and initiated a number of important steps to improve the way in which the impact of the IST Programme is assessed.

Recommendations

The recommendations of the 2001 IST Monitoring Panel focus on four main issues in the delivery of the Programme:

- Urgency in the Transition to FP6
- An Opportunity to Improve Processes
- Making the Best Use of Human Resources
- Assessing Impact

Additionally, we have reviewed the recommendations of the 2000 IST Monitoring Panel and have highlighted some outstanding issues.

In making its recommendations, the Panel did not assume to know where the responsibility for reacting to a particular recommendation lies, or the constraints that the IST Programme and DG Information Society may have in implementing them. Rather, we considered **all the major factors that might affect the successful delivery of the IST Programme**, whether applicable or controllable at a Programme or Framework level. We have nevertheless indicated in some cases the level at which we consider the issue could be appropriately handled.

Progress in ERA implementation		<i>Completion</i>
1	ERA Examples Developed in the Context of IST: In order to improve understanding of how the ERA approach will apply to IST and to communicate this to all players, the Panel recommends that a set of scenarios and examples are developed to illustrate potential ERA outcomes in the context of IST. These will enable both Commission staff and programme participants to contribute more fully to the evolution and delivery of the programme.	<i>May 2002</i>
<i>Towards the new FP</i>		<i>Completion</i>
2	Strengthening the Learning and Consultation Process. There are many important lessons to be learnt from previous Framework Programmes on issues such as big projects, networks and exploratory awards. These lessons are valuable. They should be used to fashion the FP6 instruments as applied to IST and should be fully taken into account by those formulating the Framework/programme. There are also a number of significant current concerns over the instruments and their application, for example in the formulation of joint ventures and the participation of industry, SMEs and NAS. In its FP6 planning, the IST Programme should consider increasing the level of consultation and validation with the IST constituency.	<i>May 2002</i>
3	FP6 Strategy and Planning Documents: In order to support the introduction of FP6 in the context of IST and to increase awareness and coordination among key stakeholders, a strategy document and a supporting project plan should be widely distributed and used to guide and the implementation. The plan should include measures to ensure that the composition of advisory bodies reflects the range and proportions of different types of programme participants (such as SMEs).	May 2002

4	Consider a Greater Emphasis on Civil Society: In view of the growing and recognised role played by non-governmental organisations and civil society in advancing social progress the Panel recommends that the IST and the Framework Programme as a whole consider placing greater emphasis on this sector.	June 2002
<i>Contribution to Enlargement</i>		<i>Completion</i>
5	Special package of Measures for Supporting NAS inclusion in FP6: In order to overcome some of the FP6 factors that could limit NAS participation in the IST Programme and the Framework Programme, the Panel recommends that a special package of measures be put in place for FP6. Such measures should be designed to support NAS participation in the short term and bring them up to speed in the medium term. Careful design should ensure that these measures support NAS without isolating them. The package should include: (1) encouragement for NAS inclusion and leadership in consortia, and (2) a rapid, intensive training programme for NAS NCPs involving both DG Information Society and Member State NCPs.	June 2002
<i>Participation of SMEs</i>		<i>Completion</i>
6	Develop an IST Policy for SMEs: In order to improve yet further the contribution and quality of SME involvement in the FP6 IST programme, it is recommended that a specific policy on SMEs be developed. This should be based on an in-depth segmentation analysis and allow future impact assessment against clear objectives and targets.	October 2002
7	Encourage SME Participation in FP6: To overcome the current and potential future barriers to SME participation, the Panel recommends the definition of a more appropriate set of procedures and contractual models for SME participation. This should be tackled at the FP level.	First call for FP6
<i>International Dimension</i>		<i>Completion</i>
8	Raising the Level of International Cooperation: The level of international cooperation under the FP is quite low. The Panel recommends that this issue is raised at the FP level and that all research DGs be involved to investigate the situation and consider a strategy to address the problem.	June 2002
<i>Women in Science</i>		<i>Completion</i>
9	Policy for the Participation of Women in IST: To address the current low levels of involvement of women in the IST Programme, the Panel recommends that in coordination with DG Research and at the level of the Framework Programme, a policy should be developed and a specific plan set up to address this problem. This plan should include an assignment of responsibility for awareness raising and for reporting on the implementation of the policy at regular intervals.	July 2002
<i>Management of Operational Processes</i>		<i>Completion</i>
10	Continuous Process Improvement: Extend the significant achievements of the "time-to-contract pilot" by drawing up and implementing plans for further significant improvements in "user-facing" processes from pre-call to contract payments. These plans should be supported by a properly designed and systematic method of collecting feedback from the user community.	June 2002

<i>Communication and Information</i>		<i>Completion:</i>
11	Achieving a Consistent Communications Policy: Further work is required to achieve the delivery of a consistent communications policy relating the IST programme to DG Information Society. The Panel recommends that a statement be made with a list of objectives on how a consistent communication policy will be fully implemented through better coordination, improved internal and external consultation mechanisms, and determined decision-making.	June 2002
<i>Evaluation and Monitoring</i>		<i>Completion</i>
12	Management Information for Monitoring Projects and Programme: The IST programme should strengthen the effectiveness of its management process by introducing a standard and supported method for obtaining management information on project and programme progress on a sector/Key Action/programme basis. This should build on an initial collation and analysis of data from the project indicators fiche.	June 2002
<i>Human Resources Management</i>		<i>Completion</i>
13	A Strategic Policy and Plan for Human Resource Management should be developed. The plan should include targets and actions related to working conditions, gender issues, job descriptions and competency. The management of the IST programme should give clear policy messages concerning all issues covered in the strategic Human Resource policy and plan. They should be pro-active in implementing the plan and set good examples. The policy and plan should be ready by June 2002. Pro-active actions and good examples should start immediately.	Policy and plan ready by June 2002. Pro-active actions and good examples start immediately.
<i>Assessing Impact</i>		<i>Completion</i>
14	Implementing an Impact Assessment Methodology: The IST Programme should move forward and rapidly implement its plans to develop, with expert advice, an impact assessment methodology based on independent external evaluation. It should then set up a properly resourced impact assessment scheme. In view of the time lag in the measurement of impact, work on this should start immediately with a view to starting implementation in June 2002. More generally, to be raised at a Framework level, a requirement for carrying out systematic and independent impact assessments should be embodied in the legal bases of FP6 and its constituent Specific Programmes.	Starting June 2002.
<i>2000 Monitoring Follow-up</i>		<i>Completion</i>
15	<ul style="list-style-type: none"> • <i>On-going customer satisfaction measurement should become part of normal business</i> • <i>Investigate e-submission barriers</i> • <i>Review synergy and ROI from take-up measures</i> 	

ANNEX 1: DOCUMENTS, SOURCES AND PRESENTATIONS

Websites

- ❑ IST Programme: <http://www.cordis.lu/ist>
- ❑ PROSOMA: <http://www.prosoma.lu>
- ❑ DG Information Society: http://europa.eu.int/information_society/themes/index_en.htm
- ❑ European Research Area: <http://www.cordis.lu/rtd2002/home.html>
- ❑ FP6: <http://europa.eu.int/comm/research/nfp.html>

Background to 2001 monitoring exercise

- ❑ Broad guidelines for 2001 monitoring exercise

Independent monitoring and assessment reports, reviews, etc

- ❑ 2000 IST Monitoring: Report, Commission services response and status of follow-up
- ❑ Interviews with Directors: reports from 2000 Monitoring exercise
- ❑ 1995-99 5-Year Assessment: status of follow-up
- ❑ 2000 FP Monitoring: Report
- ❑ Independent observers' report: Call 6 evaluation
- ❑ SMEs: Report of a Survey by IDEALIST Consortium
- ❑ Evaluation of Call 6 Time-to-Contract Pilot by Evaluation Unit of DG Information Society
- ❑ Gender Impact Assessment of the IST Programme: Report
- ❑ Key Issues and Questions associated with "Big" Projects in the ICT Area: Report
- ❑ IST End-User Satisfaction with Programme Management Mechanisms: Report
- ❑ IT System for Next Framework Programme: Feasibility Study
- ❑ Integrated Programme Portfolio Analysis (IPPA): calls 1 to 6

Information provided by IST programme management

- ❑ Organigram of DG Information Society
- ❑ IST Self-Assessment Report 2001 (with core statistics)
- ❑ Activity Report 2001 for Directorate B
- ❑ Role and Contribution of Not-for-Profit Organisations (directorate B)
- ❑ Overview of Key Action II Activities (directorate C)
- ❑ Summaries of Key Action II Projects Started in 1999 and 2000 (directorate C)
- ❑ Summaries of Key Action II Projects Started in 2001 (directorate C)
- ❑ E-2001 Venice Conference: Concertation Activities (directorate C)
- ❑ E-Work and E-Commerce
- ❑ European Investment Forum 2001: Handbook
- ❑ IST Work-Programme 2001
- ❑ IST Work-Programme 2002
- ❑ IST Consultation Process for Producing Workprogramme
- ❑ Time-to-Contract Pilot: Report by Key Action 1
- ❑ Consolidated Response by Key Action 1 to Evaluation of Call 6 Time-to-Contract Pilot
- ❑ First Report to Commissioner Liikanen on the Time-to-Contract Pilot
- ❑ Follow-up Report to Commissioner Liikanen on Time to Contract
- ❑ Time-to-Contract Pilot: End of Year Assessment by Key Action 1
- ❑ Time to Payment: Report of IST Working Group
- ❑ Project Monitoring in IST: Principles
- ❑ Project Review: Progress Indicators Fiche
- ❑ Review of the Newly Associated States' Participation in IST
- ❑ Stock-Taking: Newly Associated States' Involvement in IST
- ❑ Candidate Countries: Progress towards Accession
- ❑ IST INCO News, issues 1 to 6
- ❑ SME Participation in the FP5 IST Programme
- ❑ FP5 SME Participation 1999-2001 (DG Research analysis)
- ❑ SMEs in FP6 (ISTAG report)
- ❑ Assessment of IST KAI SME Take-Up Projects (directorate C)

- ❑ IST Research in FP6
- ❑ Research in the Ten Sub-Areas of the IST Priority
- ❑ IST in FP6: Interservice & DG INFSO Working Groups – State of Play
- ❑ DG Research and DG Information Society Report on Simplification of Implementation Procedures for FP6
- ❑ Integrated Projects: Provisions for Implementation
- ❑ Integrated Projects in FP6 (directorate B paper)
- ❑ Big Projects: Lessons (directorate B paper)
- ❑ Networks of Excellence in FP6
- ❑ IST in FP6: Presentation to Staff
- ❑ IST in FP6: Update
- ❑ Clustering in the IST Programme: Activities and Results
- ❑ Networks of Excellence and Working Groups
- ❑ Re-Orientation of FP5 in the Context of the ERA: IST Programme (originally for 2000 FP Panel)
- ❑ Building the ERA: What is Underway in the IST Programme?
- ❑ Impact Assessment: Stock-Take of IST (FP5) and ACTS-RACE / Esprit / Telematics (FPs 3 and 4) publications
- ❑ Technologies for People: Success Stories 2001
- ❑ Impact Assessment: Template
- ❑ Impact Assessment: Completed Templates
- ❑ Impact Assessment: Growth Programme's Scheme
- ❑ Impact Assessment: Presentation made to 2000 IST Monitoring Panel
- ❑ Impact Assessment: Technology Implementation Plan (TIP)
- ❑ Impact Assessment in IST: Background and Analysis
- ❑ IST Strategic Communications Plan
- ❑ DG INFSO Communications Strategy
- ❑ DG INFSO Positioning Statement
- ❑ Staff Numbers and Gender Breakdown for IST Programme
- ❑ Gender Balance and Human Resources in the IST Programme
- ❑ Women's Development Programme for DG Information Society

Commission Communications, Memoranda, etc

- ❑ Towards a European Research Area – COM (2000) 6
- ❑ Making a Reality of the European Research Area – COM (2000) 612
- ❑ The Regional Dimension of the European Research Area – COM (2001) 549
- ❑ European Competitiveness Report 2001
- ❑ "eEurope: Challenges and Opportunities", speech by Commissioner E. Liikanen
- ❑ FP6: Amended Proposal for an EP/Council Decision – COM (2001) 709
- ❑ FP6: Amended Proposal for Rules for Participation – COM (2001) 822
- ❑ FP6: Amended Proposals for Specific Programmes – COM (2002) 43

Presentations by DG Information Society staff

- ❑ 2000 IST Monitoring: first report on follow-up of recommendations (P. Zangl)
- ❑ 2000 IST Monitoring: update on follow-up of recommendations (N. Heenan)
- ❑ Human resources policy and gender issues (G. di Vita)
- ❑ Self-Assessment of the Programme (F. de Bruïne to 2001 FP Monitoring Panel)
- ❑ Newly associated states in the IST Programme (J. Cotta)
- ❑ SMEs in the IST Programme (J. Cotta)
- ❑ Impact assessment in the IST Programme (J. Cotta to IST Panel, K-H. Robrock to FP Panel)
- ❑ Information Society communications policies (P. Pelhate)
- ❑ IST Programme communications strategy (N. Heenan)

ANNEX 2: INTERVIEW AND ROUNDTABLE GUIDELINES

Guide for interviewing IST Key Action Directors and Head of Future & Emerging Technologies (FET)

6. GENERAL INTRODUCTION

- What have been the three main achievements of this last year?
- What were the three main management issues that you had to handle this last year? How have these issues been resolved?
- Explain the position of your Key Action/FET in IST and your role in the Programme's coordination. Does coordination need to be improved? Yes/No – Why? How?
- What difference has the role of Deputy DG made?
- To what extent have you implemented 'Activity Based Management'? Plans/issues?

7. PROPOSAL AND PROJECT PROCESSING

- Based on the recent Call 6 Time-to-Contract pilot, the IST Programme plans to reduce the time to contract signature from the current average of almost 250 days to less than 150 days for Call 8, the last planned call for proposals. [panel docs. #11,12,39,48] How are things going? What needs to be done to implement this fully in FP6?
- What are your issues in implementing 'Time to Payment' improvements? [panel doc. 40]
- *Contact Person for Further Discussions*

8. PROJECT MONITORING AND REVIEW

- To what extent has your Key Action/FET adopted the "base set of underlying principles and reporting requirements" and the "progress indicators" fiche established earlier this year? [panel docs. #20 and #21]
- Are there differences between the project monitoring system in your Key Action/FET and other Key Actions? Why? What are the relative advantages and disadvantages?
- What mechanisms do you use to ensure that projects can adapt during their lifetime to changes in markets and technologies? Could these mechanisms be improved? How?
- Are there any mechanisms / strategies that could be used to ensure that project results are better exploited by the partners?
- How useful is the TIP? What do you do with it? How do you use it?
- *Contact Person for Further Discussions*

9. IMPACT ASSESSMENT

- How do you track and record the impact of your projects 1) during their lifetime 2) after the project has formally finished? How to improve this?
- What are your views on being able to analyse this data at 1) a Key Action/FET level, b) an IST Programme level? Can it be sensibly done? How?
- How useful is the TIP? What do you do with it? How do you use it?
- *Contact Person for Further Discussions*

10. BIG PROJECTS

- What size are the very largest projects within your Key Action/FET? Are there any qualitatively or quantitatively different requirements in their operation and management? (Prompt: Are there economies of scale in the Commission's management; are different PO skills required; are different evaluation, project negotiation or project review mechanisms required?)
- Do you consider that the impact/value for money of a project is related to its size? (Y/N). If yes, in what way is it related?
- Do you measure the impact of big projects in a different way from how you measure the impact of other projects? (Y/N) If yes, in what way is it different?

11. SMES

- What are the three main difficulties faced by SMEs (IT and other) participation in your Key Action/FET? How can SME (IT and other) participation be better facilitated?

12. HR POLICY AND IMPLEMENTATION

- To what extent is a policy in place and being applied?
- To what extent do you address the issue of gender balance?

13. CLUSTERING

- How much of an impact do you think clustering has achieved? How has this been assessed? How can clustering be further improved?

14. NEWLY ASSOCIATED STATES AND THE REST OF THE WORLD

- How well do you consider your Key Action/FET addresses the issue of accession countries/newly associated states?
- To what extent do you include the rest of the world in your KA/FET?

15. WOMEN IN SCIENCE

- To what extent do you address the issue of women in science?

16. EUROPEAN RESEARCH AREA

- Do you have any views on the extent that ERA is, and can be, addressed by the IST programme?

17. eEUROPE

- To what extent do you address the issue of e-Europe?

18. ISTAG

- What are your views on the effectiveness of ISTAG?

19. FP6

- What are your views on the potential effectiveness of the proposed FP6 instruments? (e.g. networks, integrated projects/large projects)

20. COMMUNICATIONS

- How large is the size and scope of the communications task in relation to these new instruments?
- *Contact Person for Further Discussions on any of the above.*
- In your opinion, what are the three main changes that could and should be implemented within the IST Programme **over the next 12 to 18 months**?
- **Over the longer period**, what would be your three main recommendations for improving the IST Programme?

WRITTEN SUBMISSIONS BY IST KEY ACTION DIRECTORS/HEAD OF FET

If you have them, please provide the Monitoring Panel with a copy of:

1. The *Annual Operational Targets* to which your Heads of Unit / Programme Management have been working during 2001.
2. The *Staff Development Plan* operational in your Key Action/FET.

(if not available or judged unnecessary, please explain)

ANY FURTHER COMMENTS, IN WRITING, ON THE FOLLOWING TOPICS ARE WELCOME:

- **GENERAL**
- **PROPOSAL AND PROJECT PROCESSING**
- **PROJECT MONITORING AND REVIEW**
- **IMPACT ASSESSMENT**
- **BIG PROJECTS**
- **SMES**
- **HR POLICY AND IMPLEMENTATION**
- **CLUSTERING**
- **NEWLY ASSOCIATED STATES AND THE REST OF THE WORLD**
- **WOMEN IN SCIENCE**
- **EUROPEAN RESEARCH AREA**
- **E- EUROPE**
- **ISTAG**
- **FP6**
- **COMMUNICATIONS**

Guide for interviewing Director of directorate F

1 GENERAL INTRODUCTION

- What have been the three main achievements of this last year?
- Would you say that the goal of IST "integration" is being achieved?
- What were the three main management issues that you had to handle this last year? How have these issues been resolved?
- Explain the position of Directorate F in IST and your role in the Programme's coordination. Does coordination need to be improved? Yes/No – Why? How?
- What difference has the role of Deputy DG made?
- To what extent have you implemented 'Activity Based Management'? Plans/issues?

21. PROGRAMME INFO & COMMS

- What were the three main achievements in the past year?
- Explain the three main difficulties faced in promoting the Programme and disseminating its results.
- What is the IST Programme's communications policy?
- To what extent is the communications policy of the IST programme integrated with the policy of the DG and the Commission?
- What would be your three main recommendations for improving the Programme's information and communications 1) at the KA level and 2) at the IST Programme level?

Contact Person for Further Discussions

22. PROPOSAL EVALUATION

- What were the three main difficulties faced in the proposal evaluation process in 2001?
- Based on the recent Time-to-Contract pilots, the IST Programme plans to reduce the time to contract signature from the current average of almost 250 days to less than 150 days for Call 8. How are things going?
- What needs to be done to implement this fully in FP6?
- Overall, what would be your three main recommendations for improving the proposal evaluation process 1) at the Key Action level and 2) at the IST Programme level?

Contact Person for Further Discussions

23. PROJECT MONITORING AND REVIEW

- To what extent have the Key Actions adopted the "base set of underlying principles and reporting requirements" and the "progress indicators" fiche established earlier this year? [panel docs. #20 and #21]
- Are there any mechanisms / strategies that could be used to ensure that project results are better exploited?
- How useful is the TIP? What is done with it? How do you use it?

Contact Person for Further Discussions

24. IMPACT ASSESSMENT

- How do you track and record the impact of projects
 - 1) during their lifetime
 - 2) after the project has finished?
- How is the impact of the Programme as a whole assessed? How to improve?

Contact Person for Further Discussions

25. BIG PROJECTS

- What are your views on the effectiveness of big projects?
- Are there any qualitatively or quantitatively different requirements in their operation and management?
- Do you consider that the impact/value for money of a project is related to its size? (Y/N). If yes, in what way is it related?
- Do you measure the impact of big projects in a different way? (Y/N) If yes, in what way is it different?

26. SMES

- What are the three main difficulties faced by SMEs (IT and others) over participation in the IST Programme?
- How can SME participation be better facilitated?

27. HR POLICY AND IMPLEMENTATION

- To what extent is a policy in place and being applied?
- To what extent do you address the issue of gender balance?

28. CLUSTERING

- How much of an impact do you think clustering has achieved?
- How has this been assessed?
- How can it be further improved?

29. NAS AND THE REST OF THE WORLD

- How well do you consider the IST programme addresses the issue of accession countries/newly associated states?
- To what extent do you consider the IST programme includes the rest of the world?

30. WOMEN IN SCIENCE

- To what extent do you address the issue of women in science in your Directorate?

31. EUROPEAN RESEARCH AREA

- Do you have any views on the extent that ERA is, and can be, addressed by the IST programme?

32. eEUROPE

- To what extent do you address the issue of e-Europe?

33. ISTAG

- What are your views on the effectiveness of ISTAG?

34. FP6

- What are your views on the potential effectiveness of the proposed FP6 instruments? (e.g. networks, integrated projects/large projects)

35. COMMUNICATIONS

- How large is the size and scope of the communications task in relation to these new instruments?

Contact Person for Further Discussions on any of the above.

35.1.1.1.1 YOUR KEY RECOMMENDATIONS

Main concerns/messages (3 max) are:

Guide for interviewing ISTC (Programme Committee) members and National Contact Points (NCPs)

1. The IST Programme in general

What are the three main issues that concern you most?

What three key improvements would you recommend?

2. Programme Instruments

What are your views on the potential effectiveness of the proposed new FP6 instruments?

Do you have any comments on how well the programme contributes to:

- SMEs (both IT and others)
- Newly Associated States
- Women in science
- European Research Area
- e-Europe

What are your views on the effectiveness of big projects?

Does the programme include the right mix of participants? Is it attracting sufficiently your centres of excellence?

3. Impact

How highly would you rate the impact of the programme in your state/region?

Are you able to assess in a quantitative manner the impact of the programme in your state/region? If so, what results do you have and what methods do you use?

To what extent do you consider the overall programme needs to change its assessment of impact – any views on why and how?

4. Management and procedures

What are your views on the changes being made in the management of projects? (e.g. piloting of the reduced time to contract, review of time to payment process, common monitoring system, Dep DG, user satisfaction surveys, HR policies)

What do you consider are the priority improvement issues? (from the perspective of users)

What are your views on the effectiveness of ISTAG?

5. Information flow

How effective is the Commission/NCP/user channel? How would you like to see it improved?

Guideline points for roundtable with Newly Associated States (NAS) stakeholders

Points to be covered in discussion

- Three main issues that concern you about the Programme in general
- Three key improvements that you would like to see
- How to make the Programme more user-friendly for potential NAS participants
- How to encourage the participation of NAS industry — especially SMEs
- How effective are RTD projects, accompanying measures and take-up actions for NAS participants?
- And what about FP6 and the European Research Area?

Guideline points for roundtable with IST Programme participants

Points to be covered in discussion

Expectation and reality

- What were your expectations about participating in the IST Programme?
- Has the programme met those expectations
- And what benefits have you actually experienced?

Impact

- How do you measure the impact of your project?
- How do you assess "success"?

Your thoughts about ...

- Candidate countries / newly associated states?
- IST in the Sixth Framework Programme?

ANNEX 3: TERMS OF REFERENCE

1. Background and objectives

The legal basis of the IST Programme stipulates³⁴ that the Commission "shall monitor, with appropriate assistance from independent external experts, the implementation of the specific programme."

The objective of the monitoring exercise is to help the IST Programme's managers to implement the Programme by:

- giving feedback on implementation and current orientation;
- reinforcing best practices;
- identifying weaknesses and making concrete suggestions for their correction;
- providing an independent view of progress made.

2. Issues to be addressed

The 2001 monitoring exercise covers the third year of the implementation of the IST Programme. It will focus on:

- 1) Following up the commitments made by DG Information Society in response to the recommendations of the 2000 monitoring panel³⁵.
- 2) The IST Programme's contribution to the implementation of the ERA³⁶.
- 3) Candidate country³⁷ participation.
- 4) SME participation.
- 5) Women and science³⁸.
- 6) Preparations for the Sixth Framework Programme, including legacy issues.
- 7) Impact assessment of previous specific programmes in the IST area.
- 8) Recommendations for the future, including, where appropriate, recommendations for the improvement of the monitoring process.

3. Task

The performance of the task and the associated financial provisions are referred to in articles 3 and 4 of the contract. The overall orientation of the 2001 monitoring exercise is described in the separate background document "Broad Guidelines of the 2001 Monitoring of ERA and RTD Programme Implementation"³⁹.

The contractor will work in close liaison with the Evaluation Unit of DG Information Society as a member of a panel of independent experts charged with producing a monitoring report. The Commission will appoint the chair and rapporteur from amongst the panel's members. The chair will be a member of the 2001 Framework Programme Monitoring Panel. The Evaluation Unit will specify the format of the report.

³⁴ Extract from article 4(a) of Council Decision N° 1999/168/EC of 25 January 1999.

³⁵ See http://europa.eu.int/information_society/programmes/evaluation/pdf/responseist2000m_en.pdf

³⁶ European Research Area: for background, see <http://europa.eu.int/comm/research/area.html>

³⁷ Bulgaria, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, Slovenia, Turkey.

³⁸ With particular reference to the report *Gender Impact Assessment of the IST Programme* and its follow-up.

³⁹ To be sent to the contractor by the Commission services before the start of the task.

The report and its findings must be based on:

- information provided by the programme's managers and by the Evaluation Unit⁴⁰;
- information gathered by the experts via presentations and interviews with programme managers and their staff, managers and staff of other relevant services of DG INFSO, members of the IST programme committee (ISTC), and national contact points;
- information gathered via contacts with programme participants and with other stakeholders.

A representative of the Evaluation Unit will participate in each meeting of the panel. At these meetings, panel members are expected to discuss and compare their individual analyses, listen and respond to presentations, and carry out interviews. Members must keep a log of their contacts with Commission staff and other interested parties, and inform the panel and the Evaluation Unit accordingly.

The panel's report must reflect a consensus of opinion amongst its members. The chair of the panel will send the final version of the report to the Evaluation Unit.

4. Audience

The target audience of the report is the senior management of the IST Programme. The report will also be sent to the ISTC, the external advisory group (ISTAG) and other relevant bodies. The report and the response by the Commission services will be published on the World-Wide Web. The chair will present the panel's findings to the Director-General and senior IST Programme management, the ISTC, ISTAG, and to the Framework Programme Monitoring Panel.

5. Locations and dates

The panel will meet in Brussels⁴¹ according to a schedule established by the Evaluation Unit after discussion with the panel chair.

⁴⁰ Including:

- statistics covering calls (including time-to-contract data), funding and a participant breakdown
- IST Programme's self-assessment ("Qualitative Assessment Report");
- review of progress achieved in fulfilling the commitments made in response to the recommendations of the 2000 monitoring panel, including an evaluation of an "accelerated time-to-contract" trial for Key Action 1;
- coverage by proposals and projects launched of work-programme;
- previous monitoring, evaluation and impact assessment reports;
- documents covering calls for proposals, project monitoring, impact tracking and other processes.

⁴¹ A roundtable with programme participants will take place on 4/12/01 during the IST 2001 event in Düsseldorf.

ANNEX 4: CVS

2001 IST Programme Monitors

Gérard Pogorel (*chair and member of Framework Monitoring Panel*) is Professor of Economics and Management at ENST (Ecole Nationale Supérieure des Télécommunications) in Paris. His activities have focused on government and business policies in the areas of international communications, IT and technology management. He served at Université de Technologie de Compiègne (UTC, 1973-88) as Scientific Adviser, Direction de l'Enseignement Supérieur des Télécommunications (1988-93), and as Dean of INT School of Management (1993-95). He also acted as consultant to the OECD (ICCP Committee), the European Commission, and several institutions involved in formulating public and business policy in France and Europe. He was chair of the ACTS 1998 Monitoring Panel and of the 2000 Monitoring Panel for the EU RTD Framework Programme. He has published numerous articles and books, including *Networks, Machines and Portfolios: Technology Decision-Making in Large Corporations* (Franco Angeli), *Technology Management and Corporate Strategy*, and *Global Telecommunications Strategies and Technological Changes* (both from North-Holland).

Peter Jenkins (*rapporteur*) is joint managing director and principal consultant at Symbia, a professional services company specialising in business performance improvement and information systems strategy. He specialises in the European software and services industry, where he has acted as coordinator to an association of ten large firms and has carried out an extensive range of work for the European Commission. Prior to this he was with Logica, where as a divisional director he led a number of consultancy and software systems projects. During 1992/93 he played a key role in establishing the European Software Institute (ESI) in Bilbao. He spent the earlier part of his career in the aerospace business in a number of managerial and technical roles. He served as the rapporteur for the 1998 evaluation of the Telematics Engineering sector.

Fulvio Casali has been President of Alcanet International since 1999, where he had earlier been technical director and general manager. From 1992 to 1996 he was the chief information officer of Alcatel Italia. He had previously spent several years in Brussels managing the RACE Industrial Consortium project following work in Telettra, SECI and ITT-Face. He also served for a period as European industry representative at CEPT/Groupe Large Bande. He received the first ITT Fellowship Professional Award in 1985 for studies on broadband services, and is the author of more than 30 papers, mainly on network planning and broadband services. He edited the book *IBC: Strategies and Technologies* (North-Holland, 1992).

Eva Lindencrona, director of the Swedish Agency for Innovation since January 2001, has been a teacher and researcher at Stockholm University for a number of years and was until 1998 MD of the Swedish Institute for Systems Development (SISU). She had previously worked in industry as a systems developer and a consultant. She has been active in international standardisation bodies and has been the international chair of an ISO subcommittee on data exchange. She has served as an evaluator for a number of EU R&D programmes as well as for R&D programmes in Sweden, Norway and Germany. Eva Lindencrona was a member of the 2000 IST Monitoring Panel.

Lydia Montandon has been head of the education and training unit in the software engineering division of SchlumbergerSema Spain since 1998. She had previously coordinated multimedia projects at SP Multimedia y Comunicación. Her academic background in educational technology is complemented by a decade of professional experience in graphic design and human-computer interaction involving a wide variety of client companies. She is currently responsible for several European-level projects, mostly in the fields of multimedia and technology-supported learning.

PART B:

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

Progress in ERA implementation	<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
<p>1 ERA Examples Developed in the Context of IST: In order to improve understanding of how the ERA approach will apply to IST and to communicate this to all players, the Panel recommends that a set of scenarios and examples are developed to illustrate potential ERA outcomes in the context of IST. These will enable both Commission staff and programme participants to contribute more fully to the evolution and delivery of the programme.</p>	<p><i>May 2002</i></p>	<p><i>The Programme has moved beyond scenario and example development and is actively exploring a number of initiatives in particular in respect of exploiting the New Instruments, facilitating ERA-NET proposals, Research Networks and the ongoing efforts in COST and EUREKA.</i></p>	<p><i>For their meeting of 21st November 2002, the Monitors were supplied with a paper detailing the strategic approaches currently underway on the IST dimensions of ERA.</i></p> <p><i>The mandate of the new ISTAG group has been specifically extended to cover ERA issues (see also answer # 3)</i></p>
<p><i>Towards the new FP</i></p>	<p><i>Recommended Completion</i></p>	<p><i>Draft Response of IST Programme Management</i></p>	<p><i>Progress to date (if any)</i></p>
<p>2 Strengthening the Learning and Consultation Process. There are many important lessons to be learnt from previous Framework Programmes on issues such as big projects, networks and exploratory awards. These lessons are valuable. They should be used to fashion the FP6 instruments as applied to IST and should be fully taken into account by those formulating the Framework/programme. There are also a number of significant current concerns over the instruments and their application, for example in the formulation of joint ventures and the participation of industry, SMEs and NAS. In its FP6 planning, the IST Programme should consider increasing the level of consultation and validation with the IST constituency.</p>	<p><i>May 2002</i></p>	<p><i>An extensive consultation of the Sector Actors took place including the highly successful Expression of Interest Exercise where the IST programme received some 3,000 proposals. Details on this consultation were presented to the Monitors as part of the “Strategy” presentation at their meeting of 21 November 2002.</i></p> <p><i>Specific preparatory meetings are being held with the actors identified in each of the Strategic Objectives (Workprogramme) in the run up to the first call.</i></p>	<p><i>Original recommendation considered to be fully implemented at IST and FP level.</i></p> <p><i>Close interaction with the constituency is continuing.</i></p>

3	<p>FP6 Strategy and Planning Documents: In order to support the introduction of FP6 in the context of IST and to increase awareness and coordination among key stakeholders, a strategy document and a supporting project plan should be widely distributed and used to guide and the implementation. The plan should include measures to ensure that the composition of advisory bodies reflects the range and proportions of different types of programme participants (such as SMEs).</p>	<p>May 2002</p>	<p>Since October 2000, the Programme Management has produced a long series of documents describing our strategy for implementation of FP6, mirroring the progressive development of this. The IST Committee has been frequently briefed on our strategic approach to FP-6, and on the progress being made towards the FP Decision. Heads of Unit have been fully involved in the development of strategic research priorities, through Internal Reflection Groups (IRGs). These were also used in the final stage of their work as a basis for wide scale consultation with the Sector Actors. Project Officers have been kept up to date by their Heads of Unit, and by periodic meetings chaired by the Deputy Director General.</p> <p>The composition of our advisory body ISTAG has also been altered precisely to keep it relevant to the issues such as SMEs and ERA raised by the Panel.</p>	<p>Moving from FP5 to FP6 will require a permanent and sustained training at the level of all staff members, which is well underway.</p> <p>The Panel has been furnished with the names of the re-constituted ISTAG.</p>
4	<p>Consider a Greater Emphasis on Civil Society: In view of the growing and recognised role played by non-governmental organisations and civil society in advancing social progress the Panel recommends that the IST and the Framework Programme as a whole consider placing greater emphasis on this sector.</p>	<p>June 2002</p>	<p>In the last 2 Calls in the 5th FP the IST programme considerably reinforced the scale and scope of socio-economic research funded by the programme. Organisations representing “civil society” are encouraged to participate in the 6th FP wherever this is meaningful. The DG has set up a high level group on Socio-economic aspects whose secretariat will be assured by new A2 Strategy unit.</p>	<p>Progress made bottom-up in FP5 will be reinforced by the strategic role of the new high level group.</p>

<i>Contribution to Enlargement</i>		<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
5	<p>Special package of Measures for Supporting NAS inclusion in FP6: In order to overcome some of the FP6 factors that could limit NAS participation in the IST Programme and the Framework Programme, the Panel recommends that a special package of measures be put in place for FP6. Such measures should be designed to support NAS participation in the short term and bring them up to speed in the medium term. Careful design should ensure that these measures support NAS without isolating them. The package should include: (1) encouragement for NAS inclusion and leadership in consortia, and (2) a rapid, intensive training programme for NAS NCPs involving both DG Information Society and Member State NCPs.</p>	<p>June 2002</p>	<p>The rules for participation for FP6 mean that NAS organisations participate as a right and on the same footing as existing MS in FP6 – this will greatly facilitate their access to the IST programme. All National Contact Points for IST (NCPs) including those of the NAS are regularly invited to Brussels for briefings by DG-INFSO staff and a minimum of one information day per NAS has already been arranged by the IST programme in each country prior to the 1st call.</p>	<p>Since 2001, the IST Workprogramme has made provision for IST projects to be extended to include partners from NAS. This led to well over 200 organisations from NAS joining the programme, receiving (in total) over 15M€ of community funding. Overall, there are now more than 1000 NAS organisations working in IST (i.e. they are represented in 1 of every 3 IST projects), receiving 90M€ in total.</p> <p>Organisations from the 12 candidate countries participate as a right and on the same footing as existing MS in FP6.</p>
<i>Participation of SMEs</i>		<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>

6	<p>Develop an IST Policy for SMEs: In order to improve yet further the contribution and quality of SME involvement in the FP6 IST programme, it is recommended that a specific policy on SMEs be developed. This should be based on an in-depth segmentation analysis and allow future impact assessment against clear objectives and targets.</p>	<p>October 2002</p>	<p>The progress made by IST to involve SMEs in its mainstream research has already set a benchmark for FP6 as a whole. Our policy will continue to revolve around preventing any “ghettoisation” of SMEs of participating in specific sectors or availing of specific instruments. A fuller description of the specific measures undertaken to encourage participation in FP6 is provided in answer #7 below but we are confident that participation will be high even where new instruments are preponderant in those areas where SMEs are already naturally co-operating with larger concerns. In those areas where this co-operation is perhaps less developed we might see a concentration of SME interest in the more traditional instruments. In any event it is the programme's intention to carefully evaluate the situation immediately after the first call.</p> <p>Additionally SME issues will be addressed by the impact assessment system that the IST Programme is currently putting into place, and also by the mid-term assessment planned at FP6 level.</p>	<p>In IST in FP5, approx 25% of funding went to SMEs who also represented approx. 25% of participants. We are working to ensure that this percentage is maintained in FP6</p> <p>See also answer # 7</p>
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7	<p>Encourage SME Participation in FP6: To overcome the current and potential future barriers to SME participation, the Panel recommends the definition of a more appropriate set of procedures and contractual models for SME participation. This should be tackled at the FP level.</p>	<p>First call for FP6</p>	<p>The new instruments of FP6 support new research and technology transfer opportunities that are particularly geared to the innovation needs of various kinds of SMEs - IPs in particular by integrating all types of activity along the innovation chain (RTD, Demonstration, Take-up, training) should prove attractive to SMEs. Furthermore:-</p> <p>Legal and financial viability checks will not be conducted on project partners prior to contract negotiation, thereby removing the onerous demands on many SMEs to produce bank guarantees etc.</p> <p>Corrective/targeted calls are specifically planned and will target issues like SME participation</p> <p>The criteria on Quality of Consortia in the IST theme includes the consideration has “the opportunity for a real involvement of SMEs has been adequately addressed.”</p> <p>On the FP level SME specific measures have also been retained in the form of the CRAFT scheme, collective research etc.</p>	<p>See answer # 6</p>
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<i>International Dimension</i>		<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
8	<p>Raising the Level of International Cooperation: The level of international cooperation under the FP is quite low. The Panel recommends that this issue is raised at the FP level and that all research DGs be involved to investigate the situation and consider a strategy to address the problem.</p>	<p>June 2002</p>	<p>Though the International participation in IST compare favourably to elsewhere in FP-5, the Programme Management agrees that there is scope for further improvement. This recommendation addresses the structure and rules of participation of FP-6, and has been taken up at FP-level in the manner the Panel has suggested.</p> <p>Furthermore a pro-rata split between thematic priorities for International co-operation budgetary allocation has been agreed, which will see the IST priority accorded some 90M€ for this activity i.e. three times the amount allocated in FP5.</p>	<p>Participation of Organisations from countries not explicitly covered by agreements with the EU has been facilitated in FP6 to enable funded participation of organisations even from countries generally regarded as competitors where their participation is essential to the project.</p> <p>The IST programme has launched a 8M € accompanying measure addressing specifically international co-operation, socio-economic etc. issues.</p>
<i>Women in Science</i>		<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
9	<p>Policy for the Participation of Women in IST: To address the current low levels of involvement of women in the IST Programme, the Panel recommends that in coordination with DG Research and at the level of the Framework Programme, a policy should be developed and a specific plan set up to address this problem. This plan should include an assignment of responsibility for awareness raising and for reporting on the implementation of the policy at regular intervals.</p>	<p>July 2002</p>	<p>Action was taken during 2001-2 to disseminate the IST programme's values on participation of women Eg via an exhibit at the IST 2001 event, and presentations to interested groups.</p> <p>To date the IST programme has essentially treated women specific issues in IST in bottom-up fashion. We would appreciate any guidance from the Panel as to how this might be complimented by a more strategic approach</p>	<p>IST is in close co-operation with DG-RTD's Women and Science group as well as represented in all relevant Commission activities. Annual reporting has been established for all such activities.</p>

<i>Management of Operational Processes</i>	<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
<p>10 Continuous Process Improvement: Extend the significant achievements of the “time-to-contract pilot” by drawing up and implementing plans for further significant improvements in "user-facing" processes from pre-call to contract payments. These plans should be supported by a properly designed and systematic method of collecting feedback from the user community.</p>	<p>June 2002</p>	<p>Proposers in the final IST calls in FP5 were systematically advised of our planned “time to contract”, in the guides to proposers and when notifying results of the technical evaluation.</p> <p>The program is preparing to meet the challenge in FP6 of continuing the improvements realised to date in the context of new instruments and procedures and hoping to extend this “best practice” to time to payment. We are confident that time to contract standards can be maintained for the traditional instruments, but given the additional evaluation and negotiation constraints imposed by the new instruments, we must await the outcome of the first call before establishing new benchmarks for new instrument contracts. Conversely, the new audit accompanied annual review procedures for the new instruments should help in cutting time to payment.</p> <p>All user-facing procedures are currently under review as part of our preparations for FP-6. As of today, we have only limited facilities for collection of user-feedback. For example, a sub-group of the IST Committee, and the NCPs are used extensively to collect feedback. For the new payment procedures based on Audit Certificates, there is a committee collecting feedback from all parties involved, including projects. (See also Recc 15)</p> <p>The informatics tools for FP-6 are being developed continuously, in a process that will continue at least until 2004. Interim solutions to accommodate the new structures of FP6 and to support its initial Calls for proposals will be implemented ad-interim. Existing FP-5 tools and operational processes also need to be maintained during this period.</p>	<p>IST's time to contract has been reduced to 120 days across the board since Call 7 (2001).</p> <p>The responses to the Calls for Tender for the new evaluation service facility and for electronic proposal submission have been evaluated, and the service providers selected</p>

<i>Communication and Information</i>		<i>Recommended Completion:</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
11	<i>Achieving a Consistent Communications Policy: Further work is required to achieve the delivery of a consistent communications policy relating the IST programme to DG Information Society. The Panel recommends that a statement be made with a list of objectives on how a consistent communication policy will be fully implemented through better coordination, improved internal and external consultation mechanisms, and determined decision-making.</i>	<i>June 2002</i>	<p>The IST Programme management supports this recommendation. We agree that successful implementation and co-ordination of our communications policy for IST depends on adequate resources and priority being given to such work, throughout the IST Programme, and across DG-INFOS.</p> <p>We have an established statement of objectives, and are working towards more effective means of implementing these. Nevertheless it remains true that there is room for improvement in our communication's policy and its implementation.</p>	<p>Specific operational plans for implementation of the Communications policy have been drafted, but are not yet considered complete. Responsibility for the IST Communities "main window" on our activities i.e. the IST Web on CORDIS has been transferred to the new A2 strategy unit to ensure both continuity and coherence of service during the 5th FP to 6th FP changeover period and a consistently relevant service thereafter.</p> <p>See also Recc 15.</p>
<i>Evaluation and Monitoring</i>		<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
12	Management Information for Monitoring Projects and Programme: The IST programme should strengthen the effectiveness of its management process by introducing a standard and supported method for obtaining management information on project and programme progress on a sector/Key Action/programme basis. This should build on an initial collation and analysis of data from the project indicators fiche.	<i>June 2002</i>	<p>The IST Programme Management welcomes this recommendation to build-up still further our overview of progress made by projects. To undertake a more thorough consolidation of such progress across the programme (going beyond a statistical analysis of the indicators fiche) would require a substantial, and sustained effort by all DG-INFOS Units managing IST. Given finite resources, it is not yet clear that such a deployment could be justified in the face of other pressing priorities.</p>	<p>Use of the "Progress indicators fiche" has already been implemented across the programme. However, insufficient fiches have been submitted so far to make a meaningful analysis.</p>

<i>Human Resources Management</i>		<i>Recommended Completion</i>	<i>Draft Response of DG-INFISO Management</i>	<i>Progress to date (if any)</i>
13	<p>A Strategic Policy and Plan for Human Resource Management should be developed. The plan should include targets and actions related to working conditions, gender issues, job descriptions and competency. The management of the IST programme should give clear policy messages concerning all issues covered in the strategic Human Resource policy and plan. They should be pro-active in implementing the plan and set good examples. The policy and plan should be ready by June 2002. Pro-active actions and good examples should start immediately.</p>	<p>Policy and plan ready by June 2002. Pro-active actions and good examples start immediately.</p>	<p>A comprehensive work programme for Human Resources Management in DG INFISO has been developed and the new CDR – Career Development Review system has been launched.</p> <p>Extensive CDR standards for competencies and conduct in the service have been established.</p> <p>Job descriptions for all DG INFISO staff have been established and entered in the JIS application. The system will be updated given the current DG INFISO reorganisation .</p> <p>Gender issues: a third module of the Women's Development Programme took place early December.</p>	<p>Career Development Review: all DG INFISO will have been provided with comprehensive training by the end of the year.</p>
<i>Assessing Impact</i>		<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
14	<p>Implementing an Impact Assessment Methodology: The IST Programme should move forward and rapidly implement its plans to develop, with expert advice, an impact assessment methodology based on independent external evaluation. It should then set up a properly resourced impact assessment scheme. In view of the time lag in the measurement of impact, work on this should start immediately with a view to starting implementation in June 2002. More generally, <i>to be raised at a Framework level</i>, a requirement for carrying out systematic and independent impact assessments should be embodied in the legal bases of FP6 and its constituent Specific Programmes.</p>	<p>Starting June 2002.</p>	<p>The Programme Management is very keen to see that a full, thorough and completely independent impact assessment of IST is undertaken.</p> <p>The recommendation to undertake an "Independent Assessment" of the work performed by FP-6 is already incorporated in Article 5 of the Decision adopting the 6th Framework Programme and Article 7 of the Specific Programme.</p>	<p>Work has already started. A Call for tender for a first Impact Assessment study of IST has been issued and the contractors selected.</p>

<i>2000 Monitoring Follow-up</i>	<i>Recommended Completion</i>	<i>Draft Response of IST Programme Management</i>	<i>Progress to date (if any)</i>
<p>15</p> <ul style="list-style-type: none"> • <i>On-going customer satisfaction measurement should become part of normal business</i> • <i>Investigate e-submission barriers</i> • <i>Review synergy and ROI from take-up measures</i> 		<p>A report on how to measure “customer satisfaction” amongst IST participants was produced in 2001, but the programme has yet to decide on how to proceed in implementing its findings.</p> <p>Barriers to eSubmission have been investigated and our findings have been taken into account in the development of new tools for FP6.</p> <p>Take-up Measures exist only as part of larger integrated projects in FP6, where their ROI can be explicitly pre-determined and justified.</p>	<p>IST’s effort to implement a survey of awareness and opinions on IST is integrated into the development of a coherent overall communications strategy – see also answer to # 11.</p> <p>Off-line and on-line eSubmission facilities will be available for the first call.</p>