

**2002 SPECIFIC MONITORING REPORT ON THE
SPECIFIC PROGRAMME FOR
RESEARCH AND TECHNOLOGICAL
DEVELOPMENT**



**IN THE FIELD OF
“SUSTAINABLE DEVELOPMENT, GLOBAL CHANGE AND
ECOSYSTEMS
SUB PRIORITY
GLOBAL CHANGE AND ECOSYSTEMS”**

This Report is part of the series of the annual monitoring reports prepared for the EC Framework Programme and the Euratom Framework Programme, and their constituent Specific Programmes and also addresses the implementation of the European Research Area related activities (ERA).

The Commission has over the years been placing increasing emphasis on the evaluation of Community RTD activities. With the overall Reform of the Commission, evaluation activities are more and more placed in the heart of the decision process.

In line with this continuous effort for improvement, a revised programme monitoring scheme has been introduced in 2001, based on the system launched in 1995 which involved independent external experts in the monitoring activities. The new mechanism launched this year, has been built in order to better involve the experts monitoring the implementation of ERA and specific programmes, by representing them in the Framework Programme Panel. The commission intends to enhance timely response by the Programme management to the recommendations produced by the experts, to provide a basis for a quick response mechanism to programme developments, and to give the follow up of experts recommendations still more attention.

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

The report consists of two parts:

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

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

PART A:

**REPORT OF THE 2002 “ SUSTAINABLE
DEVELOPMENT,GLOBAL CHANGE AND ECOSYSTEMS”
SPECIFIC PROGRAMME MONITORING PANEL**

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1. EXECUTIVE SUMMARY

The Commission requested that the 2002 Monitoring Panels put the main foci on: (a) the analyses of the follow-up of recommendations made in the different Monitoring Reports from 1999 to 2001, in preparation of the Five Year Assessment of the research activities undertaken during years 1999-2003 foreseen for 2003 and (b) the questions linked to the transition phase between the successive Framework Programmes (FPs), the legacy aspects of FP4 and FP5 and the preparation for the implementation of FP6.

Following an earlier recommendation for "light monitoring" every other year, the Panel size was reduced from 5 to 3 members, and the days allotted from 180 to 90. This would have been sufficient, had the documents prepared by the Commission for the monitoring exercise been available in time, as recommended by every Panel in previous years. The methodology applied by the Panel remained much the same.

The main activities were the launch of the FP6 activities and the implementation of the FP5 Sub-programme Environment and Sustainable Development (ESD) work-programme including two dedicated calls to improve the participation and integration of the Newly Associated States (NAS), a special call for research to support the initiatives for Global Monitoring for the Environment and Security (GMES) and five other calls concerned with SMEs, Marie Curie Fellowships, Advanced Study Courses and Accompanying Measures.

The 2002 ESD research budget consumption was almost 343 MEURO in total and includes most advance payments of contracts of the last call for research projects of 2001. In 2002, 188 of 562 submitted proposals were accepted for funding. This implies a higher number of contracts with a smaller dimension than the year before. Overall, 373 ESD contracts were negotiated and 303 contracts were signed, with a total EU contribution of 312,836 KEURO; including these, a total of 708 FP5 and 13 FP4 ongoing projects were managed by 49 SOs during 2002 (of which 8 were Detached National Experts whom can not take on the same responsibilities as SOs in the future).

Proposal evaluations, contract negotiations, managing the FP4 and FP5 projects together with the launch of FP6 activities, including the call for Expressions of Interests (Eols) and the definition of the Work-programme, have imposed a very high workload on the 115 staff members of Directorate I. Additional demands were placed on the staff by the restructuring of Directorate I in relation to FP6 requirements and by the increase of the horizontal activities of the Directorate, e.g. in order to ensure that Sustainable Development issues are implemented both in the Directorate General Research and in Policy-related Directorates. Directorate I staff seem to have accepted that change and work overload is the normal situation: overall motivation is high and preparations for FP6 are willingly made.

Reviewing the management arrangements was not a focal point for the Panel, but in view of the personnel reductions that will continue over the next year, it is essential that priorities be set. The Panel feels that if managerial tasks such as contract negotiations remain the responsibility of the SOs procedures must be simplified with a reliable system of control to assure quality rather than safeguards to prevent mistakes.

Reviewing the recommendations made by the ESD Panels since 1999 clearly shows that, although progress is being made in many respects from year to year, a large number of recommendations are found in more than one report. This seems to be especially true for recommendations that ask for the development of concepts or plans. The replies by the Commission are frequently not sufficiently to the point and rarely give an indication of the importance attached to the issues. As these problems are apparently not limited to the ESD Panel, it is strongly recommended to find ways of making monitoring more effective.

One of the problems that remains unresolved is giving external advisors a satisfying function in the Global Change and Ecosystems WP. The three associated External Advisory Groups (EAG) have been reduced to one Advisory Group (AG), but as a consequence of the timing of the transition and the terms of reference neither the old EAGs nor the new AG had a mandate for the decisive phases of FP6 and SP definition. The extent of involvement in the definition of the WP is perceived differently by the Commission and the AG. In order to achieve satisfaction within the AG an in depth discussion on the expectations of both sides should take place at the outset of AG activities.

Although efforts were made, the analyses of the Eols and of the questionnaires to National Contact Points (NCPs) show that the need to simplify procedures and to use plain language documentation remains. In conjunction with the problems faced by NAS inherent in the New Instruments, this difficulty in understanding aims and procedures enhances concern that the progress achieved in participation and integration of NAS could be lost again in FP6.

The 4 key actions of FP5 handled by Directorate I do not fully correspond to the topics of FP6 and a restructuring of the Units has begun to take account of this change. Although this forward planning strategy is helpful for FP6 it can pose problems for the follow up of previous projects.

The situation is especially unfortunate for Key Action 4: "City of Tomorrow and Cultural Heritage". The protection of cultural heritage and associated conservation strategies is covered to a certain extent within Priority 8.1 Policy oriented Research but not at a level comparable to FP5 KA4. Involvement of the managing bodies of the URBAN and INTERREG DG REGIO programmes and of DG ENV and DG EAC programmes in the on-going projects is welcome as a means to ensure an effective exploitation of results of KA4. It would be important to include the topic in early FP7 calls, as this would enable the scientific and stakeholder community, which has just begun to take shape through FP5, to continue the scientific effort. ERANET might help to bridge possible time gaps.

Although efforts are needed in all three domains, a clear distinction needs to be made between dissemination of results, exploitation of results and the assessment of the impact of EU research. The problems underlying the continuous lack of dissemination and exploitation of results could be worth a thorough analysis, rather than ad-hoc and short lived attempts at solutions. An exchange of experiences with other directorates might also be helpful, especially regarding impact assessment.

A central archiving system for project reports with a thematic index should be put in place in close cooperation with CORDIS to make reports easily accessible and results available to a wider community over a longer period of time. For ongoing and future projects the archive could essentially be an electronic archive and the problem of confidentiality could be resolved by a simple agreement to be signed by the consortia.

The significant changes in developing FP6 (e.g. New Instruments) were made in view of specific goals regarding the European scientific landscape. Based on a precise description of these aims, suitable indicators should be developed now to evaluate the performance at mid-term. At the same time, there is widespread concern that unexpected side effects could occur regarding e.g. NAS participation or the scale of financial participation of smaller countries, that might need correction at an early stage. It is therefore strongly urged that an index to monitor the development and a plan to counteract unwanted trends in case of need should be put in place now.

The topics in FP6 1.6.3 and the end of KA4 will cause a shift towards fewer technologically oriented projects in the DI specific programme. Thus the objective of 15% SME participation in FP6 might be difficult to reach in the SP.

The activity "Policy Support and Anticipating Scientific and Technological Needs" (so-called priority 8) is a very commendable step towards strengthening ties between research and policy DGs by defining research topics in an inter-unit discussion process. The officers of DG SG, ENV, ENTR, EAC, TRADE and REGIO that defined the research need should be involved in the evaluation procedure as well, to ensure that the initial aim is not lost. This part of the programme also opens a welcome window for more flexibility in addressing ad-hoc issues, emerging after the WP has been defined and for high-risk research.

The involvement of Directorate I in the Impact Assessment process, the Environmental Technology Action Plan and the Johannesburg Summit are considered to be significant steps towards better integration between DG Research and the Policy DGs. Supported by such tools as the publication on "Socio-economic tools for Sustainability Impact Assessment", they also help to make research results more widely known and used within the Commission.

2. INTRODUCTION

The European Commission has established the 2002 External Monitoring Panels according to the requirement to arrange for annual monitoring by external, independent and qualified experts of the implementation of the Specific Programmes (SP) of the Fifth Framework Programme (FP5).

As the year 2002 is both the last year of implementation of the FP5 (1998 –2002) and the first year of the Sixth Framework Programme (FP6) (2002 - 2006) the following report presents the findings of the Monitoring Panel in relation to the final implementation stage the FP5 - ESD Sub-programme and the starting phase of FP6 - Sustainable Development, sub-priority Global Change and Ecosystems (1.1.6.3). The 2002 monitoring report is the last annual assessment before the 5-year assessment is made in 2003.

The year 2002 was characterised by the definition and adoption of FP6, which is one of the important elements in the implementation of the European Research Area (ERA).

It was therefore appropriate for the Commission to request that the 2002 Monitoring Panels put the main foci on: (a) the analyses of the follow-up of recommendations made in the different Monitoring Reports from 1999 to 2001, in preparation of the Five Year Assessment of the research activities undertaken during years 1999-2003 foreseen for 2003 and (b) the questions linked to the transition phase between the successive FPs, the legacy aspects of FP4 and FP5 and the preparation for the implementation of FP6.

In 2002, with regard to Directorate I – Environment RTD programmes, the main activities were the launch of the FP6 activities and the implementation of the FP5 ESD work-programme (updated version of fall 2000 with minor adaptations made in 2001). This latter has included a dedicated call to improve the participation of the NAS by adding partners to the existing call (NAS1), a dedicated call for Accompanying Measures for Centres of Excellence in NAS to support the full integration of NAS into the ERA (NAS2), a special call for research to support the initiatives for Global Monitoring for the Environment and Security (GMES) and five other calls concerned with SMEs, Marie Curie Fellowships, Advanced Study Courses and Accompanying Measures.

Proposal evaluations, contract negotiations, managing the FP4 and FP5 projects (*see Annex 5. Main Management issues of 2002*) together with the launch of FP6 activities, including the call for Expressions of Interests (EOIs) and the definition of the Work-programme, have imposed a very high workload on the 115 staff members of Directorate I. Additional demands were placed on the staff by the restructuring of Directorate I in relation to FP6 requirements and by the increase of the horizontal activities of the Directorate, e.g. in order to ensure that Sustainable Development issues are implemented both in the Directorate General Research and in Policy-related Directorates.

The 2002 research budget consumption was almost 343 MEURO in total and includes most advance payments of contracts of the last call for research projects in 2001. The budget for the 2002 calls was limited because of the type of actions foreseen (e.g. for NAS1 10 MEURO, NAS2 10 MEURO, GMES 8 MEURO). A total of 562 proposals with a requested EU contribution of about 214 MEURO were considered eligible for evaluation. 188 proposals were accepted for funding: 49 for NAS1 (9,627 KEURO), 27 for NAS2 (9,677 KEURO) 9 for GMES (8,439 KEURO) 15 for CRAFT (7,366 KEURO) and the rest for the other calls. The general average success rate of 1 in 3 (1 in 2 for NAS1, 3 in 7 for NAS2, 1 in 5 for GMES and 2 in 9 for CRAFT) was rather high compared with other ESD research calls. CRAFT and GMES had a very large over-subscription; the requested contribution was between 4 and 6 times that of the actual EU contribution. The average size of the proposal in terms of EU contribution after negotiation was approximately 297 KEURO. The total costs after the negotiation was about 427 MEURO. This implies a higher number of contracts with a smaller dimension than in the 2001 calls' proposals (1,128 KEURO average proposal total costs size), basically a consequence of the type of the 2002 calls.

Overall, 373 ESD contracts were negotiated during 2002, amounting to a total contribution of about 340 MEURO after negotiation and 303 contracts were signed with a total EU contribution of 313 MEURO. Including these newly contracted projects, a total of 708 FP5 and 13 FP4 projects in the responsibility of the SO of Directorate I were ongoing during 2002.

This document is the Final Report of the 2002 "Sustainable development, Sub-priority Global Change and Ecosystems" Monitoring Panel. Specific issues are considered in the sections which follow and Conclusions and Recommendations are given. Some of these are specific to the SP research and management, while others are of a more generic nature and have been forwarded into the Framework Panel and ERA Panel.

The Panel wishes to acknowledge the considerable support provided by the Commission's Officers in supplying statistics and in arranging interviews. It also thanks those who provided information and opinions during the course of the interviews and in replying to the questionnaires.

3. PANEL METHODOLOGY

The three Members of the "Sustainable development, Sub-priority Global Change and Ecosystems" independent Monitoring Panel were appointed by the Commission in November 2002 (*Annex1 List of the Panel Members*). Panel members' expertise has enabled coverage of the main research areas of ESD, such as Climate Change, Ozone Depletion, Atmospheric Pollutants, and RTD process (from research to dissemination and exploitation). Members were selected in order to ensure both the gender balance and the involvement of NAS. The methodological approach, based on 'Broad Guidelines' (Ref 9) provided by the Commission at the start of the exercise, consisted of:

- Collection of information through:
 - Panel Meetings -the Panel held five meetings in Brussels during the period 7th November 2002 to 13th March 2003. The meetings and the interviews with staff [see below] were arranged by the Commission, which also provided statistical data, information and extensive documentation (*Annex 2 List of Documents*).
 - Meeting with Advisory Group (AG) - Panel Members met AG Members on 12th February 2003.
 - Interviews with selected Commission staff (DG Research and Environment) (*Annex 3 List of Interviews*)
 - "Sustainable development, Global Change and Ecosystems Directorate Self Assessment Fiches" of Programme Implementation, prepared by the Directorate.
 - Returns from different questionnaires specifically prepared by the Panel for the target groups of the Members of PC (9 countries) and NCPs (15 countries) of EU and NAS (*Annex 4 Questionnaires*).
 - Information from WEB based tools – CORDIS and CIRCA.
 - Discussion at Panel meetings leading to the identification of key issues.
 - Coordination and integration of the "Sustainable development, Global Change and Ecosystems" Panel with the Framework Programme Panel (FP) and the European Research Area (ERA) Panel through the participation of the Specific Programme Chairperson in 4 meetings of the FP and two joint meetings of FP/SP Panels.
- Analysis and recommendations through:
 - Standardised Matrix emphasizing the changes induced by the expert recommendations during the period 1999 – 2001 and recommendations of 2002 Monitoring Panel Paper of 12th February 2003
 - "Global Change and Ecosystems" Monitoring Report of 13th March 2003.

The overview document for 2002 describing the principal issues and synthesising basic statistical data (Self - Assessment Fiches (SAFs)) was provided to the Panel in a very first version at the start of the process (first draft on 8th November 2002). Those SAFs were not complete in several points, did not contain up-to-date statistics, and the organisation of the document was not clear. This lack of information required a big effort in interviewing the Commission staff as well as in the collection of the statistics, which were available only in the final phases of the process (end of February 2003). To give Panel Members an opportunity to better identify information needs at the start of the process and in consequence structure interviews more efficiently, **the Panel recommends that for future monitoring activities complete and up to date SAFs are provided in advance of the first Panel Meeting.** .

The Monitoring Panel members met some difficulties and delays in the start up of the process due to the change of the technical supervisor of the task during the process, in spite of the very laudable efforts made by both the old and the new technical supervisor. Long service in the Commission and the personal contacts with practically all the members of the Directorate are a strong asset for this task.

Although the Monitoring Panel members were appointed in November, they were able to receive a signed copy of their contract only in Mid-February 2003. The Commission restructuring, managerial changes (e.g. Activity Based Management) and the new financial regulations were said to be the main causes of that significant delay. Nevertheless, the Panel considers that in view of the recurring nature of the monitoring exercises, it should be possible to prepare the contracts in time and **the Panel recommends that in the future monitoring contracts be available at the start of the process. The Panel also recommends that the impacts of the above-mentioned managerial and financial changes on simplification, transparency, reliability and efficiency of the organisational processes in DG RTD be evaluated and monitored once the changes are fully implemented.**

4. ANALYSIS AND FINDINGS

4.1 - ANALYSIS AND SYNTHESIS OF RECOMMENDATIONS AND THEIR FOLLOW-UP FROM THE 1999 TO 2001 MONITORING EXERCISES

This analysis and synthesis documents the recommendations made in the monitoring reports of the year 1999 to 2001 and the responses on follow up given by the Directorate. The comments of the 2002 external monitoring Panel on the follow-up of the 2001 recommendations can be found in chapter 4.2.1. A more detailed compilation of recommendations and their follow-ups is given in a standardised matrix in Annex 7 to this report.

4.1.1 - Strategy – Objectives

The 1999 to 2001 monitoring reports covered basically the time period of the implementation of the FP5 as well as preparation for the forthcoming FP6, and adaptation to the philosophy of ERA.

4.1.1.1 - Progress in ERA, policy/intervention instruments

The 1999 Panel recommended that the Marie Curie activity should be encouraged and strengthened at both the individual and institutional level. The Directorate, in its follow up, did not indicate whether it would wish to strengthen such arrangements or not, but increase was not likely due to budgetary limits.

The 2000 Panel recommended that the Directorate should place greater emphasis on measures to increase the mobility of scientists participating in the FPs. The Directorate noted that many of the obstacles to increased mobility were outside the control of DG Research.

The 2001 Panel commented that mobility was a major issue and seemingly was not given a high priority by the Directorate, which should demonstrate an increased level of activity pertaining to the mobility of researchers in the ERA. Mobility should be a major issue in FP6 and could be incorporated within some of the FP6 instruments.

The Commission evaluated the mobility problems: The High Level Group (HLG) on Improving Mobility of Researchers examined the situation and based on their findings "A mobility strategy for the ERA" report was prepared, proposing concrete actions to improve mobility. A steering group was set up to support the process.

The 2000 Panel recommended that the Directorate should use the PC forum to support the ERA and to encourage the PC Members and Commission Officers to form much stronger links between EU projects and national programmes.

The Commission searched for links between the EU, international and national programmes. The ENVOT study determined where and how synergy and coordination could be increased. In FP6 numerous actions have been foreseen to increase links, complementary and coordination between national and EU programmes. One meeting of the PC per year was devoted to the presentation and discussion of the results of a call for proposals. This allowed the Commission to discuss more strategic issues with the PC, often after consultation of the EAG.

The 2000 Panel recommended that the Directorate should establish a rapid response procedure to accommodate new scientific issues, which was rather difficult in FP5. FP6 and the associated specific programmes allow for greater flexibility and faster response to emerging needs.

In line with the move towards the New Instruments of FP6 and of ERA, the Directorate encouraged the establishment of clusters and more extensive Thematic Networks of FP4 and FP5 projects. The trend towards larger projects was already observed in 2001, when the average cost per project was 1.9 MEURO (FP5) compared with 0.6 MEURO (FP4) in 1997.

4.1.1.2 - Candidate countries

The 2000 Panel recommended that the Commission should give special support to NCPs in ACs during the proposal phase and to increase their efficiency in informing scientists in their countries about RTD-programmes. Inclusion of ACs in RTD networks funded by the EU makes the scientific communities more familiar with each other's capabilities, thus ensuring that the most appropriate research groups are involved in research projects. The Commission agreed that the NCPs in ACs should receive additional support. Therefore several activities were being planned and an NCP Newsletter was created to help NCPs disseminate relevant information rapidly.

NAS involvement in the ESD Sub-Programme was considered unsatisfactory by the 2000 Panel, mainly because of: (a) difficulties in interpretation of complex wording in the Commission's documents combined with lack of experience in writing proposals, (b) under-developed networking arrangements and lack of relevant research infrastructure, (c) limited ability to find partners from MS, and (d) high travel cost and subsistence costs of participation in meetings in Brussels. In recent years the participation of NAS in the EU RTD programmes was given high priority. In 2002 the Directorate worked to increase the participation of these countries by issuing two dedicated calls and organizing a meeting of the NCPs, largely devoted to the specific issues of NAS and their integration into the ERA.

To increase the participation of NAS in FP6 and the ERA the 2001 Panel recommended that the Commission should: (a) consider opening up the pre-accession funds to improve RTD infrastructure and to support mobility and training, (b) carry out an overall analysis of the content of the work programmes for FP6 in relation to their relevance to NAS ESD priorities, and (c) have procedures in place to safeguard against NAS being excluded from the IPs and NoEs in FP6.

In the follow-up, the Commission highlighted that it could not discriminate between countries, however, a number of actions to encourage and to ease the integration of the Candidate Countries had been undertaken. Information Relay Centres (IRCs) were established in each CC and linked to the IRCs in the MS.

4.1.1.3 - International co-operations

Both 2000 and 2001 Panels recommended that the Directorate should aim to enhance research cooperation with Non European States and International Science Programmes, and to identify those elements of UN and other international organisations with which collaboration would be readily achievable and most effective in terms of the ERA, etc.

The Commission highlighted that cooperation in science and research already existed with a number of international organisations. Further, the Summits like in Johannesburg or international conventions were certainly opportunities for exchanges and common actions. The Directorate needs to consider the opportunities available for improved collaboration with international science programmes co-ordinated by UN agencies e.g. UNESCO, WMO, UNEP, etc. The international dimension of the ERA and FP6 will be stronger and more focussed than in FP5. A major element of EU environmental policy is concerned with implementing legally binding international commitments, e.g. on climate change, biodiversity, ozone depletion, waste, environmental security.

4.1.1.4 – Gender awareness

The 1999 Panel identified areas: (a) gender balance, (b) Less Favoured Region involvement and (c) consistent statistics that were found lacking. The Directorate made available gender statistics to the 2000 Panel showing that for the ESD Sub Programme there were about three-times more male than female scientists in the older age group [above 35] and equal numbers of men and women in the younger group [under 35] working on research projects.

The 2001 Panel recommended that the Commission should explore means of encouraging women to apply as evaluators. Although particular efforts were done when recruiting experts, the limited number of women involved

in the field of research makes the accomplishment of this recommendation difficult. In the preparations for FP6, some measures are envisaged which could help increase participation of women in the evaluation process.

There was no reference to 'Gender in Science' in FP4 but the issue attracted attention in FP5. The EC aimed to promote women in FP5. The target was to have at least a 40% representation for women in the Marie Curie Scholarships, advisory groups and assessment/monitoring panels.

4.1.2 - Management and processes (including evaluation and monitoring)

4.1.2.1 - Procedures and tools

The 2001 Panel highlighted that there was a widespread and recurrent demand to simplify procedures and use plain language documentation and these requirements must be addressed urgently by the Commission. The Commission followed-up by saying that the services responsible for the implementation of the FPs were in favour of simplifying the procedures. Efforts had been undertaken to make FP6 documents easier to read and simpler than those of FP5.

4.1.2.2 - Launch of activities (calls for proposals, information to proposers, application tools...)

The 1999 Panel recommended that the "Guide for Proposers" should be shortened and improved by eliminating repetitions and ambiguities, and that a version of the electronic submission "Protocol" be urgently finalised and made much more user friendly. The Commission made appropriate efforts to satisfy these recommendations.

The 2000 Panel recommended that the Directorate should investigate the reasons for the apparent differences in the level of support provided by the Units to the Coordinators at the proposal presentation and submission stages. The Directorate responded that the proposers are invited to address their questions to the Helpdesk, which will give the same answer on administrative, financial and legal issues to all potential proposers.

Most of the NCPs contacted by the 2001 Panel wished to have more support from the Commission. The DG Research followed the Panel recommendation since it was a clear priority to count on a very high-level network being able to inform and assist potential participants and contractors in Community RTD projects, and reviewed the NCP arrangements with MS and NAS.

4.1.2.3 - Evaluation and selection of proposals (evaluation manual, time to contract...)

The 1999 Panel recommended that a two-phase evaluation process (pre-proposal, then full proposal for only a few selected pre-proposals) should be tested for performance. The Commission has not tested the proposed evaluation procedure because it would increase the workload and extend the time between proposal submission and decision.

Further, the 1999 Panel recommended that the Database for Expert Registration should be made much more user friendly, and the selection of evaluators should be more directly controlled by the Commission. It was also recommended that the moderators should ensure longer consensus reports that are well formulated, clear and informative.

The 2000 Panel recommended establishing a clear set of guideline criteria for European Added Value (EAV) with some urgency. The Commission services postponed the follow up on this recommendation for the new FP (FP6).

The 2000 Panel also recommended that the Directorate should (a) continue the trend towards making the application process more 'user friendly' and (b) analyse the scientific capability and reputation of the evaluators. The Commission simplified the formalities for the inclusion of candidates in the list of potential evaluators. However, no reference was made to a more "user friendly" application process. Quality assessment of evaluators would be considered in FP6.

The 2001 Panel recommended that the Commission urgently develop its procedures for selection and management of very large proposals and projects so that potential difficulties can be identified and exclusion barriers avoided. Further, in view of consistency of evaluations of proposals and as an additional check it was recommended that a confidential re-evaluation study of a sample of randomly selected proposals should be

undertaken. The Commission responded that new evaluation rules adapted to large and very large projects were under development for FP6. Eols allowed potential proposers from smaller MS and CC to start searching for possibilities to join consortia before proposals are due.

4.1.2.4 - Management Information System/Internal IT system

The 1999 Panel recommended that task and personnel mobility should be implemented, and a comprehensive Databases and Management Information System (MIS) be perfected in order to alleviate the work involved in contract negotiation and to shorten its duration. The 2000 Panel accepted that the Directorate's ability to increase staff mobility is limited by resource constraints. The MIS is being improved progressively but is still not a satisfactory system. It may be necessary for each Directorate to develop its own information system but these should be compatible and networked.

According to the 2001 Panel's recommendations the Directorate should place a much higher priority on the use of more rigorous procedures for input of current project data to its own system. In addition it must give its full support to the establishment of an interim arrangement for the provision of a centralised system for DG Research. The Commission pointed out that since the development of the MIS in 1999 the data quality has substantially improved. A DG-wide working group is currently preparing the informatics of FP6.

4.1.2.5 - Specific cases/programmes

According to the 1999 Panel, there is room for quite some improvement in both intra and inter-programme collaboration activities, as well as with activities attributed to the Joint Research Centre (JRC), and it is felt that this may be accomplished through initiatives of the various Co-ordination Directorates. The Directorate's response: there are systems in place which should aid collaboration and information exchange.

The 2000 Panel recommended that the Directorate should aim to (a) improve its interaction with the policy DGs and (b) secure opportunities within the ESD Sub Programme for an element of "curiosity driven" research. A number of actions were already implemented by the Commission, like teams of colleagues from different DGs working together (Director and staff levels). Another example was the involvement of DG Environment in the briefings of evaluators on policy issues. Dedicated calls to address important topics were prepared with other directorates.

In 2001 the Panel recommended Inter-Directorate management arrangements to handle coherence of management of Sustainable Development issues in FP6. These cross-thematic topics were to be carefully planned and introduced in a timely way so that fragmentation and loss of quality were avoided. The Commission mandated the Policy Unit to "supervise" the aspects of Sustainable Development in different FP6 activities. Links were established and specific measures taken to ensure the coherence throughout FP6.

Further, the 2001 Panel recommended that transitional procedures with clear lines of responsibility needed to be established so that FP5 projects continue to be effectively managed and impact studies and exploitation of research results from FP4 and FP5 projects can be continued. The Commission indicated that follow-up of on-going projects would be ensured and that the new structure of the Directorate reflected the need to manage FP4, FP5 and FP6 programmes.

The Policy Unit of the Directorate recognised the importance of expanding ESD science into industry and commerce and considered that there were particular opportunities in technology, mathematical modelling, database development, etc. The 2001 Panel fully supported this and recommended that the Directorate should develop an action plan for implementation within FP6. In following-up on this the Policy Unit is publishing a document on the available tools of the ESD for the Sustainability Impact Assessment.

4.1.2.6 - Dissemination of information and results

The 1999 Panel recommended that the Commission should develop a concerted and focused effort on result dissemination, for the joint purposes of activity evaluation, image strengthening, and conception of future activities. NCPs should be involved in dissemination of project results. The 2000 Panel noted that the ESD Five-Year Assessment Panel also recommended that a major effort should be made by the Directorate to increase its dissemination activity. The Directorate allocated one person to work on dissemination issues, but this was considered to be an inadequate response.

The 2001 Panel recommended that the Directorate should explore possibilities for making greater use of the wide range of media communication pathways. Similarly, the use of e-mail for distributing information on new developments to a select, informed, scientific and technical audience should be investigated. The Commission started an extensive information campaign in 2000, since the launch of the ERA concept, involving not only official communications but also more publicity oriented documentation. With regard to the communication of research results to a large public, all coordinators (and participants) of projects generally have their own web sites which the Commission is always happy to "hyperlink" to CORDIS. Some projects appear in various media, including on TV.

The 2001 Panel also recommended that the Directorate prepare a priority list of topics for synthesis, undertakes the necessary work and arranges for publication and dissemination. The Commission intends to publish the summaries and main results of all projects. To attain this, the Information and Communication Unit, in conjunction with SOs, drew up a project-centred publications policy. This could include the provision for an annual plan of synthesis and analysis reports and publications to be undertaken, in addition to active dissemination through the web and through the organisation of conferences. A further step towards dissemination and exploitation is being made with a selection of 50 projects to be analysed regarding dissemination and exploitation options by PTAs.

4.1.2.7 - Evaluation and monitoring

The 1999 Panel recommended that presentation of documents for monitoring panels should be organised, systematic and as comprehensive as feasible at the start of the monitoring exercise. The 2000 Panel noted that the response of the Commission was unsatisfactory. The Commission Officers must be aware of the type of documentation and statistical summaries that are needed by the Monitoring Panels, and they should be in place at the start of the Monitoring exercises. This includes the documents giving basic statistical data and analysis and describing the principal issues facing the Directorate in developing and managing the research.

The Directorate agreed to make statistical and other background data available to the panel, including self-assessment fiches. However, in the Commission's view the panels can start to work without the statistics since these constitute only one input among many to the whole exercise. Besides, Heads of Unit and the Director present the most important activities to the panel at the interviews.

The 2001 Panel commented that the self-assessment fiches were a valuable contribution to the monitoring process but the completed assessment, together with statistical data, were needed at the start of the Monitoring process so that interviews could be well structured and the Panel's work effectively planned. The 2001 Panel repeated the recommendation that for future monitoring activities the 'self-assessments' contain the most recent statistics and that they should be completed and provided to the Panel in advance of its first meeting. The Commission expressed that the statistics are always the most recent available and statistics covering the full year are only available early the following year.

The 2001 Panel considered that the Commission should consider holding a less intensive monitoring exercise every other year. The Commission agreed to a lighter monitoring every other year, starting with the 2002 monitoring.

4.1.2.8 - Human resources

The 2000 Panel recommended that the effectiveness of the PTAs and other external support to the Directorate and its Scientific Officers be assessed by the 2001 Panel. This was impossible because appointment of PTAs was delayed.

The 2001 Panel recommended that the Directorate develop a plan to ensure that an appropriate balance is established between the management aspects and the scientific skill base of SOs. The Commission's view: personnel were encouraged to keep up to date with the advancement of science and science policy. Although the SOs are also responsible for the administrative tasks, their scientific skills will have to be maintained in order to remain an "authority" for the scientific areas. The role of the "Administration and Finance" Unit is crucial in order to reduce the administrative loads on SOs.

The 2001 Panel also recommended that the Directorate should increase its staff resource. An increase is not easy and the Director and the Head of Units have to consider the priorities, possibly shedding some of the less urgent activities. The Commission responded that the staff resources for the research staff are defined by Council and Parliament. PTAs have been engaged to assist the SOs in a number of tasks.

4.1.3 - Impact of previous research FPs and SPs

There are many examples from the environment and sustainable development sectors in FP4 and FP5 which are now in progress showing their impact on policy and an input to industrial innovation. The research has made a particularly important contribution to the scientific understanding of global environmental issues, e.g. climate change, loss of biodiversity and has been crucial in the development of sound European policies relating to international agreements. Such achievements fully justify the inclusion of global change as a Priority Theme in FP6, even though no systematic impact study has been made.

4.1.3.1- Impact assessment (including Technology Implementation Plans, TIP)

The 1999 Panel noted that the project follow-up was not sufficiently effective. SOs should both be free and indeed feel compelled to visit at least once their on-going projects during the initial phase. The 2000 Panel added that active interchange and monitoring of projects by the Directorate during the lifetime of a project is essential.

The 1999 Panel also recommended that appropriate measures should be taken to ensure, from both SOs and project co-ordinators, prompt completion of Technology Implementation Plans, as well as their subsequent and systematic follow-up. The Directorate's response on the completion of TIPs was satisfactory, but no steps have been taken to adapt the TIP to meet the specific needs of the ESD.

Further, the 1999 Panel recommended that Consultants be engaged and workshops organised with the purpose of ascertaining potential result application. An institutional procedure should be implemented aiming to ease the translation of R&D results that have potential regulatory, policy or technical importance into practical use. The 2000 Panel noted that while the Directorate made some progress in the application of research results to meet policy and other requirements this falls short of what needs to be done.

Because many of the research results were not being effectively utilised the 2000 Panel recommended that the Directorate should make available substantial resources to establish a policy for the analysis and synthesis of research results and their dissemination.

The 2001 Panel recommended that more should be done, possibly using NCPs, to disseminate results and assess impacts, and that at least one permanent staff member in each of the Directorate's Units should be a focal point for exploitation and impact issues. Assessment of the impact of FP4 should be made as soon as possible by the Directorate, taking full account of the impact methodology already in use elsewhere in DG Research.

The Directorate considered three types of impact which are under consideration: (1) Impact of past FPs on the research community and the advancement in research knowledge, (2) Impact assessment of ESD research on economic, environmental and social aspects, and (3) The ex-post assessment at the project level but also at cluster, Key Action and programme levels. Two PTAs are working on impact assessment.

The 2001 Panel also recommended that a procedure should be established by the Research Directorates to utilise immediately results with a high policy, commercial or social importance as they emerge during the course of a project. The Commission responded that the Group of Directors, which includes a director from DG Environment, is informed of all projects before contract negotiations start. Hence, those that are potentially of interest for Environmental or Sustainable Development policies could be followed easily. Similar procedures apply for other programmes.

The 2001 Panel noted that important bridges could be established by having a formal document listing the priority areas for research required to support each technical and scientific directive and recommended that this should be prepared jointly by the Directorate and the relevant Policy Directorates. The Commission pointed out that Policy Units were installed for this purpose and at present the Policy Unit of the Directorate is contributing to a

number of legislative processes. In addition, the research needs for the 6th Environmental Action Programme have been integrated into FP6 from the outset.

4.1.4 Other aspects proper to the specific programme (if any)

4.1.4.1 – External Advisory Groups (EAG)

The 1999 Panel recommended that the harmonisation between the EAGs, the PC and eventually the New Science Forum should be ensured, for example through a mid-year sub-programme workshop. The Directorate response did not address this issue.

The 2000 Panel recommended that the Directorate should define the EAG role more clearly and establish a means for more effective interchange of information between EAGs and the PC. The Commission agreed that strengthening the strategic role of both the EAGs and the PC, as well as the interaction between these bodies is of particular interest for the future. The role of the EAGs can, however, not go beyond that of an advisory body, while that of the PC is defined by a Council Decision. It was noted that for FP5 the EAGs were consulted and their advice was then made available to the PC.

The 2001 Panel noted that many EAG members did not think their advice was being properly considered and that if the EAGs are to continue, their role in FP6 and the ERA should be urgently reformulated. In 2002 the mandate and the composition of the EAGs, or AG were revised for FP6.

4.2 - MONITORING OF THE IMPLEMENTATION IN 2002

4.2.1 - Follow up of 2001 recommendations,

As foreseen in the Terms of Reference, the 2002 Monitoring Panel has considered whether the Recommendations by the 2001 Monitoring exercise have been adequately addressed. In the following, the 2001 recommendations are given in italics, while the comments are presented in bold text. A more complete listing, including the specific follow up of the European Commission, can be found in the Standardised Matrix (Annex 7). Several of the issues raised in the Recommendations of the 2001 Panel's Report have again been considered in some detail by the 2002 Panel and in some cases are carried forward in their own 2002 Recommendations.

R (1): It is recommended that the Directorate prepares a priority list of topics for synthesis, undertakes the necessary work and arranges for publication and dissemination.

The Commission response is satisfactory even though there is room for a more pro-active information policy, but this is limited by the workload of the staff. The actions, largely started only in late 2002, should deliver their main outputs in 2003, provided the additional workload this puts on the staff be taken account of in a timely manner.

R (2): More should be done, possibly using NCPs, to disseminate results and assess impacts, and that at least one permanent staff member in each of the Directorate's Units should be a focal point for exploitation and impact issues. An assessment of the impact of FP4 should be made as soon as possible by the Directorate taking full account of the impact methodology already in use elsewhere in DG Research.

NCPs do not seem to be involved beyond the proposal preparation. The NCP briefings addressed in the Commissions reply mainly covered the FP6 launch and implementation. It might be worthwhile considering NCP involvement in dissemination and impact assessment. Appropriate indicators for impact still need to be developed for Environment and Sustainable Development.

R (3): Coherence of management of Sustainable Development issues in FP6: Inter-Directorate management arrangements to handle these cross - thematic topics are to be carefully planned and introduced in a timely way so that hasty ad hoc solutions leading to fragmentation and loss of quality are avoided.

A number of activities are ongoing in support of coherent management of the Sustainable Development issues. Inter-Directorate management arrangements are said to be in place, however, the concept governing them needs to be clearly defined and communicated.

R (4): The Policy Unit of Directorate I recognises the importance of expanding ESD science into industry and commerce and considers that there are particular opportunities in technology, mathematical modelling, database development etc. The Panel fully supports this and recommends that the Directorate should develop an action plan for implementation within FP6.

The document on the available tools of the ESD for the Sustainability Impact Assessment is welcomed as a means of dissemination, but it does not support the original aim of the recommendation: to enhance SMEs participation.

R (5): If the External Advisory Groups (EAGs) are to continue, it is recommended that their role in FP6 and the ERA should be urgently re-formulated.

The mandate and the composition of the EAGs have been revised and one Advisory Group (AG) for Global Change and Ecosystems has replaced the 3 External Advisory Groups established under FP5. The old EAGs and the newly established AG had no mandate for the decisive phases of FP6 and Global Change and Ecosystems Specific Programme. The present AG has no mandate regarding FP5 which will be active for another 2 – 3 years.

R (6): It is recommended that the Directorate develops a plan to ensure that an appropriate balance is established between the management aspects and the scientific skill base (of the personnel), the latter must not be completely eroded.

In FP6 the scientific role of Scientific Officers (SO) should be modified and be focused on supervision and early dissemination and exploitation of results in line with ERA objectives, but no plans seem to have been developed for this transition. For FP5 projects, as well as for programme development, more use should be made of external experts (e.g. peer reviewers, members of AG). The Unit "Administration and Finance" should help to keep the time dedicated by SOs to the negotiation of management and financial aspects of the contracts to a minimum by simplification of the necessary procedures.

R (7): In order to continue to cope it is recommended that the Directorate increases its staff resource [possibly through the use of PTAs or external consultants] whilst examining its priorities with the aim of shedding some of the less urgent activities.

As external pressures increase (e.g.: personnel reduction, restructuring of Directorate I due to FP6 management) the examination of priorities and shedding of some activities becomes even more important. No indication was given that this has taken place.

R (8): The Directorate should place a much higher priority on the use of more rigorous procedures for input of current project data to its own system. In addition it must give its full support to the establishment of an interim arrangement for the provision of a centralised system for DG Research.

A new system is being implemented; its efficiency will need to be monitored in the coming years.

R (9): It is recommended that a study be undertaken to identify those elements of UN and other international research where collaboration would be readily achievable and most effective in terms of the ERA and European international policy.

Although international cooperation is expanding (e.g. Johannesburg World Summit on Sustainable Development and others) with positive results, no systematic plan on possible international cooperation has been developed.

R (10): Mobility of researchers in the ERA: The Panel recommends that the Directorate demonstrates an increased level of activity here and in particular in respect to NAS. Further, it would wish the Commission to consider whether mobility opportunities can be incorporated within some of the FP6 projects.

The programme target of max 2% of budget has essentially been reached. FP6 addresses the Mobility issue - its efficiency cannot yet be judged (e.g. Mobility strategy for the ERA – June 2001).

R (11): It is recommended that the Commission should - consider opening up the pre-accession funds to establish new and enhance existing infrastructure, mobility and training, - check the FP6 draft work-programmes in relation to NAS research needs and participation barriers, - have procedures in place to safeguard against NAS exclusion from the larger Integrated Projects (IPs) and Networks of Excellence (NoE) proposed for FP6.

Substantial efforts have been made to enhance NAS participation in FP5 in 2002 in terms of information and communication as well as through two dedicated calls for the inclusion of NAS into the ESD sub-programme, bringing the percentage of NAS partners in overall FP5 ESD programme up to 9.3% (7.6% of financial contribution). The Panel also welcomes a decision in 2003 for an Action Plan for the strengthening NAS participation in FP6 as a tool to safeguard against NAS exclusion from FP6 New Instruments.

R (12): The Directorate should explore possibilities for making greater use of the wide range of media communication pathways. Similarly, the use of e-mail for distributing information on new developments to a selected, informed, scientific and technical audience should be investigated. Unless additional staff resources can be secured, these important communication and dissemination activities should be externalised.

Previous activities were continued, but no special efforts along the lines of the recommendation were made. There is much room for a more pro-active information policy, but this is limited by the workload of the staff.

R (13): There is a widespread and recurrent demand to simplify procedures and use plain language documentation and these requirements must be addressed urgently by the Commission.

In view of the obvious misunderstandings regarding the call for EoI (about 50% of the EoIs were out of scope, incomplete or of insufficient quality) (Ref 29) and, with the present uncertainty in the interpretation of the New Instruments, it seems that further improvement is necessary.

R (14): A procedure should be established by the Research Directorates to utilise immediately results with a high policy, commercial or social importance as they emerge during the course of a project.

Progress has been made for policy relevant results in some areas and a catalogue of CRAFT results is being assembled. FP6 has a special line of action ("priority 8") with research questions defined together with policy DGs which should guarantee immediate utilisation of results.

R (15): Important bridges could be established by having a formal document listing the priority areas for research required to support each technical and scientific Directive and it is recommended that this should be prepared jointly by Directorate I and the relevant Policy Directorates. This recommendation should also be applied in the wider FP context.

Although no listing was made, discussions in preparation of FP6 were fruitful and the Panel considers that satisfactory progress has been made.

R (16): The Panel recommends that the Commission urgently develops its procedures for selection and management of very large proposals and projects so that potential difficulties can be identified and exclusion barriers avoided.

Procedures are evolving rapidly as the first deadline for proposals approaches, but the guidelines for selection of proposals were published rather late and the extent of the involvement of SOs in management of very large projects has not been put in place in a timely manner. There is concern that exclusion barriers might be considerable for certain groups for sub-priority 1.1.6.3.

R (17): It is recommended that transitional procedures with clear lines of responsibility need to be established so that FP5 projects continue to be effectively managed and impact studies and exploitation of research results from FP4 and 5 projects can be continued.

Although Directorate I is aware of the problems and is attempting to resolve them, there is concern that the measures taken - especially in view of personnel cuts - might not be sufficient to avoid the dissemination and exploitations problems, that occurred previously.

R (18): The Commission should explore means of encouraging women to apply as evaluators. This may involve direct approaches to known women experts and improvement of working conditions, fees, communication arrangements and provision for childcare.

An attempt is made to reduce barriers for women in the evaluation of FP6, e.g. the introduction of remote evaluation. Details of these plans are not known, but they could imply problems regarding confidentiality. Stronger involvement of national and regional bodies by the EC could help to increase the application of women scientist as evaluators.

R (19): The Commission reviews the NCP arrangements with MS and NAS and establishes a more effective interaction with NCPs than at present.

Improvement is acknowledged, but better NCP support cannot compensate for the problems inherent in FP6 and its New Instruments.

R (20): For future monitoring activities the 'self-assessments' contain the most recent statistics and that they are completed and provided to the Panel in advance of its first meeting. The Commission should examine re-scheduling the start of the Panels' work (possibly by two months).

The situation of the new Monitoring Panel was practically identical to the one last year: until two weeks before the deadline for the first draft of the Monitoring Report the 2002 Panel had neither complete statistics nor complete Self Assessment Fiches.

R (21): The annual and 5-year monitoring are necessary but the Panel considers that the Commission should consider holding a less intensive exercise every other year.

Lighter monitoring as practiced this year could be sufficient, but it should nevertheless be well prepared in a timely manner on the part of the Commission. The essential question however is whether a way can be found to make the exercise more effective.

R (22): Consistency of evaluations of proposals: In view of these concerns and as an additional check it is recommended that a confidential re-evaluation study of a sample of randomly selected proposals should be undertaken.

Directorate I is aware of the problem and it is working on finding a solution. The Panel proposes that the AG might be an appropriate body to entrust with or involve in this task.

Summary: although progress has been made in many respects, a large number of recommendations are recurrent. This is especially true for recommendations that ask for the development of concepts or plans. More direct replies by the Commission would be helpful in many cases and put the next Monitoring Panel in a better position to give useful advice. If e.g. a recommendation is considered inappropriate, not feasible or of lower priority, this could be taken account of by the next Panel. The responses should address results as well as activities. **The Panel recommends that both the work of the Monitoring Panels and the response procedure by the Commission be reconsidered in view of the impact expected of the monitoring exercises.**

4.2.2 - The attainment of objectives in terms of implementation as set out in the work-programmes for 2002,

There were no calls for ESD research projects for FP5 in 2002, but a number of calls specifically aimed to assure the attainment of the objectives of FP5. Two calls were launched in 2002 to improve the participation of the NAS into the existing projects (NAS1) and to support the full integration of NAS into the ERA through the selection of Centres of Excellence in NAS (NAS2). These calls closed on 15/02/2002 and 31/01/2002 have had 10 MEURO of budget each. NAS1 call resulted in 107 proposals received, with a total of 27.935 MEURO contribution requested and 9.626 MEURO allocated to the 49 proposals funded. NAS2 call resulted in 64 proposal received, with a total of 29.045 MEURO contribution requested and 9.677 MEURO allocated to the 27 proposals funded.

A special joint call for RTD projects was launched by Directorate H (Space and Transports) together with Directorate I for the Global Monitoring for the Environment and Security. 9 of the 46 proposals submitted were funded, with a total contribution of about 8.439 MEURO. DG INFOS also contributed to this activity with its own budget.

The evaluation and negotiation of the ESD RTD projects for FP5 of the October 2001 call stretched well into 2002. The topics of the call were well covered with sufficient high quality proposals. Of 562 proposals (for a total requested contribution of about 214 MEURO), 51% qualified for GO, and of these 188 are being funded (for a

total contribution after negotiation of about 56 MEURO) – 373 FP5 projects (selected both in October 2001 and in 2002 calls) have been negotiated (about a 61% of increase of this activity in relation to the 203 negotiated contracts of 2001) and about 81% of these projects have been signed in 2002. Of the total 708 ongoing FP5 projects 9% are completed, and 43% have only just begun. The Panel is pleased to find that it is intended to include a study of the number of scientific publications in reviewed journals resulting from FP5 projects in the framework of the 5-Year Assessment work. This will help to evaluate the scientific quality and impact of EU research activities.

After the funding resulting from the final call has been decided, the overall coverage of the scientific topics can be evaluated. On the whole, the result is satisfactory. The topics of KA1 (Sustainable Management and Quality of Water) are quite well covered by the projects selected. They have and are expected to continue to provide scientific support to the implementation of the EU Water Framework Directive, but the scientific basis for the concept of ecological quality is still far from satisfactory. There is a relative shortage of innovative projects on water supply and sanitation systems. KA2 (Global Change, Climate and Biodiversity) had good coverage of most themes, except “desertification” and “mitigation and adaptation”, which nevertheless also included some good projects. A wide range of activities has been covered by KA3 (Sustainable Marine Ecosystems), spanning basic science through to technology and systems development over a wide range of scales. Clustering of projects continued to be fruitful. Although multidisciplinary approaches were applied, the socio-economic dimension could have been better covered, and industrial and SME participation remain weak. KA4 (City of Tomorrow and Cultural Heritage) has taken a very favourable development, with response as well as quality of projects increasing as the community gradually formed. Only “Fostering integration of cultural heritage in the urban setting” was poorly supported, with just 1 project. All three areas of the Infrastructure Measures as well as the Generic Activities on natural and technological risks and hazards (including forest fires) were adequately covered. Earth observation projects make extensive use of ENVISAT data.

The outcome in the socio-economic area shows that whereas in the first two years of FP5 only about one-third of the budget for socio-economic research was dedicated to the development of quantitative tools and methods, in the last few calls this share has been increased significantly, allowing the achievement of a good overall balance between quantitative and qualitative approaches (Ref. 34). There is one section dedicated to socio-economic research in the so-called generic activities. The economic dimension is also integrated into projects of the different key-actions, mainly in KA4.

In many areas coverage could have been harmonised, had it been possible to select fundable projects with lower ratings at the expense of higher rated projects in better covered areas.

4.2.3 - Transition aspects linked to the final phase of projects, in particular the follow-up and closure of current contracts

As all FP5 projects will be completed only during the time frame of FP6 (2002 – 2006), a plan for the exploitation of their results and their consideration in the definition of the FP6 calls and proposals - to avoid duplications and utilize/incorporate their results - is important. It will be the responsibility of the EC officers, particularly the Scientific Officers, to ensure the transfer of results of ongoing FP5 projects to new FP6 projects. To ensure this, it is recommended that a guidance document be attached to the FP6 calls, suggesting the following:

- During the preparation of proposals, particular care should be taken to exploit earlier EU funded projects.
- The proposals should include a plan to monitor results of relevant ongoing EU projects (and national programmes)

Although such guidelines were not included in the first call, evaluators should be made aware of the problem and it should be made clear during the negotiations that consortia should address the issue.

The 4 key actions of FP5 handled by the respective 4 Thematic Units of Directorate I do not fully correspond to the topics of FP6, and a restructuring of the Units has begun to take account of this change. Although this forward planning strategy is helpful for FP6 it can pose problems for the follow up of previous projects.

The Key Action: “City of Tomorrow and Cultural Heritage” is most strongly affected, as it is not part of FP6 and the unit handling it (“urban sustainable development”) will experience substantial modification next year. The involvement of the managing bodies of the URBAN and INTERREG DG REGIO programmes and of DG ENV and DG EAC programmes in the on-going KA4 projects is considered a good step in ensuring an effective exploitation

of the results of KA4. The relevant EAG expressed its regret that a scientific and stakeholder community, which had just begun to take shape through FP5, would probably scatter as project funding ends. The inclusion of the protection of cultural heritage and associated conservation strategies within Priority 8.1 (Policy oriented Research) is helpful but not sufficient to support the already developed scientific community. Including the topic in early FP7 calls could solve the problem, as KA4 projects started late and therefore would not face a significant time gap. ERANET might also help to bridge the gap.

A separate unit for Sustainable Development research issues was installed, which will also be responsible for Strategic and Policy Aspects for overall impact assessment and – to some extent - for dissemination of results as well as the management of the area V of the sub-priority 1.1.6.3 WP (Strategies for sustainable land management, including coastal zones, agricultural land and forests).

The Panel is concerned that the problems experienced in earlier transition phases (e.g. FP4 to FP5) will be aggravated in the present transition, due to the substantial changes in contents and organisation connected to FP6, and the simultaneous reductions in personnel required by the Commission. Although the reduction is gradual and will be achieved by not filling vacancies, movement of officers and positions between directorates and DG's etc., the Panel **urges the Commission to follow up on last year's recommendation to examine its priorities with the aim of shedding some of the less urgent activities.**

4.2.4 - Legacy aspects, in particular the follow up of finished contracts, including the Technological Implementation Plans (where relevant for the SPs)

All FP4 and earlier EU-funded research activities (e.g. INCO, COST) were completed by 2002, but the Panel is concerned regarding dissemination and exploitation of these results. Lack of dissemination and exploitation of results is a recurrent topic in all ESD monitoring reports. Many recommendations have been made over the years. Instruments such as the Technological Implementation Plan (TIP) were introduced with the aim of resolving these problems. TIP forms, however, are frequently not well suited to results achieved in the sub-priority Global Change and Ecosystems, as their output frequently is of scientific value or used as management and policy oriented tools (e.g. decision support). Few of the projects have a technological product. **It is recommended that the TIP forms be adapted to suit the type of results to be expected by the non-technical projects.**

The list of activities undertaken in 2002 by Directorate I to promote dissemination and exploitation of results is again impressively long. Apart from publications, lectures, workshops and press releases it includes the involvement of two PTAs in an ongoing project to promote the results of 50 projects, partly finished, partly still operating. The study is planned in three phases as follows:

- Phase 1: Catalogue the results of the projects and dissemination plans together with project coordinators.
- Phase 2: Pilot dissemination of the 50 project documents to four target groups: (a) scientific community, (b) policy makers, (c) industries, SMEs, and (d) general public, for commenting.
- Phase 3: Based on the evaluation of the pilot dissemination exercise, complete final dissemination and plans for the exploitation of results.

Collaboration with project coordinators to enhance dissemination and exploitation activities at an early stage in the projects are deemed to be promising if it will be addressed in a systematic way and reach a wider public, but more effort than the very limited PTA hours available in this project would probably be necessary.

Thus the Panel has the impression that a break-through has not yet been achieved, and the question must be raised, what is at the root of the problem. Is it

- a) inherent in the environmental topics, directed more towards policies than commercial applications,
- b) part of the culture and approach of the university scientists that dominate this research field,
- c) a consequence of deep rooted changes from FP to FP, withdrawing the necessary attention from projects still ongoing or recently finished to ascertain that the new FP is in place in time, or
- d) lack of initiative, incentive or capacity on the part of the Commission to fully resolve this issue.

The Monitoring Panel is not in a position to analyse this problem thoroughly, but **the reasons for insufficient dissemination and exploitation should be analysed thoroughly and then the problem should be addressed at the root.**

Nevertheless, the Panel would like to point out one basic pre-requisite for disseminations and exploitation of project results: they must be readily available. At present interim and final project reports are not archived centrally in an easily accessible manner and thus difficult to find if the responsible SO has been replaced or has changed units, etc. Therefore a central archiving system with a thematic index should be put in place to make results available to a wider community over a longer period of time. Requests for reports from former projects could then be processed rapidly and with little effort and every new project could be supplied with at least the summaries of former projects on related topics. Close cooperation with CORDIS would be advisable. For all newly incoming reports the archiving system could very well be an electronic archive, the consortia providing their reports on CD and the effort of setting it up would be limited. A PTA could be given the task of retrieving reports of past projects from the Central EU Archive, from SOs or from Coordinators of past projects. As this probably requires considerable resources, it might be limited to FP4 and FP5 projects. The problem of confidentiality could be resolved for most projects, ongoing and past, by having consortia sign simple agreements as in the call for Eols. **The Panel thus recommends establishing an archive for project reports accessible to a wide community of users and especially to consortia of future projects working on similar themes.**

4.2.5 - Preparation of the implementation of the specific programme under the Sixth Framework Programme (advisory structure, work-programme...)

The recent history of DG Research is marked by significant changes introduced with every new FP. Changes between FP4 and FP5 were significant regarding the type of research and the topics funded, but the change from FP5 to FP6 marks fundamental changes in the number of research topics funded and in the structure and size of the consortia. Such changes are made in view of specific goals, such as e.g. the reduction of the workload of SOs or de-fragmentation of the European research landscape. In order to evaluate at a later stage whether the specific aims inducing the changes from FP5 to FP6 were met, **these aims should be precisely described and suitable indicators should be developed to evaluate the performance** – e.g. a quantification of workload and of fragmentation.

The responses to questionnaires to PC members demonstrated wide agreement on three expectations regarding FP6: it would strengthen leading large research units, small entities will not profit as much as in previous FPs and the extent of the financial participation of smaller Member States would fall (Fig. 4.2.5 –a).

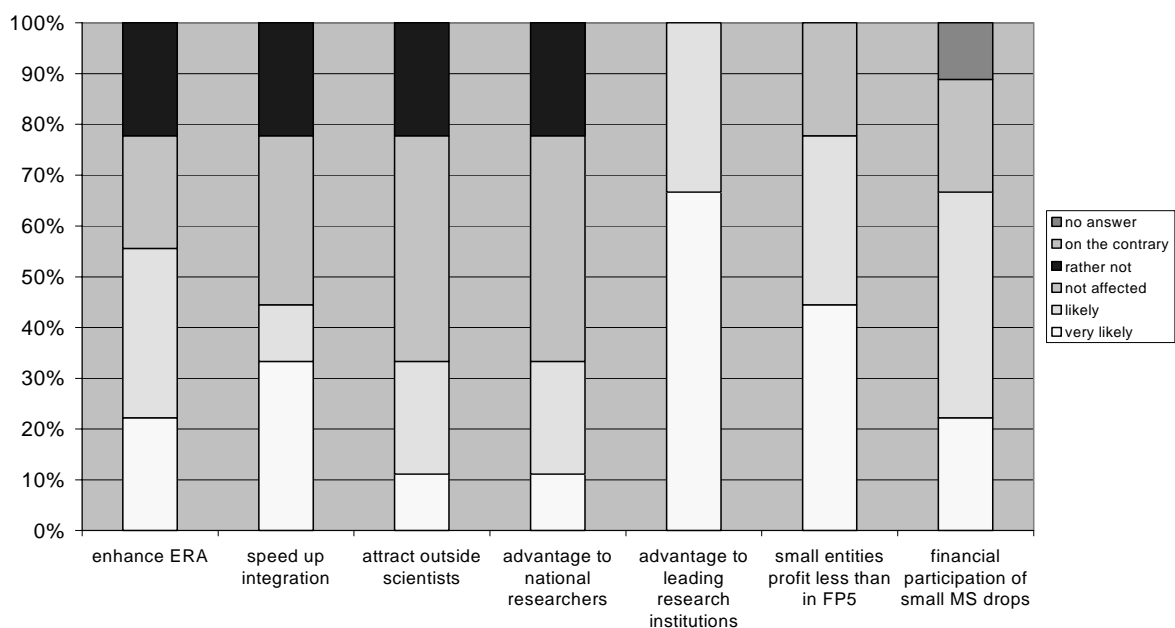


Figure 4.2.5 –a: Expected impacts of FP6 on the research landscape in Europe (PC members' questionnaire)

While the first effect is probably in line with the aims of the Commission in putting FP6 in place, the second might be an unexpected side effect that might need correction at an early stage. The same is true for the concern expressed by the 2001 Monitoring Panel regarding participation of Accession Countries (AC) in the New Instruments. This concern is supported by the results of the Invitation for Expressions of Interest (the participation of the NAS in the Eols submitted by Western European countries was rather weak, and of the large number of Eols coming from NAS, most were considered by the reviewers to be out of scope, of insufficient quality or incomplete). The implementation of a mechanism to prevent unwanted developments, as recommended by the 2001 Panel, was apparently deemed unnecessary, but it is **strongly urged that an index to monitor the development and a plan to counteract in case of need should be put in place now**, before the response to the first call is known. The action plan for NAS that is presently in discussion will need to be monitored by the next Panel.

Preparations for the FP6 had begun in 2001 that resulted in a first draft of the structure of the sub-priority 1.1.6.3 Work programme in 2002. Based on this an invitation for Eol was issued on 20th March 2002 together with a short description of the New Instruments: IPs and NoEs. The aim of the action was: (a) to consult the research community on its readiness to prepare research actions using the New Instruments, and (b) to provide the Commission with input for preparing the relevant Work Programme, as well as the scope of the first call for proposals for FP6. By the deadline of 7th June 2002, 11,855 Eols had been submitted. Priorities 1.1.6.3 ("Global Change and Ecosystems") and 1.1.7 ("Citizens and Governance in a Knowledge Based Society") received a disproportionately large number of Eols. 25 experts selected by the Commission assisted the Commission with the analysis of the Eols of priority 1.1.6.3. The overall result of the analyses was published in CORDIS, but no individual feedback was given to the authors/consortia. Of the 1,412 Eols submitted for WP topic 1.1.6.3 "Global Change and Ecosystems", 15% were considered to be fully ready for the application of the New Instruments, some 35% were seen as not yet ready, and 50% of the Eols were either out of scope, incomplete or of insufficient quality. It was evident that many submitters did not fully understand the New Instruments. When authors gave the authorization, Eols were published on CORDIS and are accessible to the public.

It is not clear why such a high percentage of Eols apparently did not meet the required standards: there are indications that contradicting information - also from the Commission - caused some confusion, and while most of the NCPs feel that they were well trained and have understood the aims of the New Instruments [response to questionnaires], they are less confident regarding structure and pre-requisites, especially of the NoEs (figure 4.2.5-b). While some members of the Commission indicated that scientists might not take the trouble to become familiar with new procedures, NCPs and PC members tend to attribute the disappointing result to other causes (lack of clarity in Commission documents and presentations, contradictory information from different sources and normal situation for new procedures). In view of the information deficits in the scientific community and the NCPs, the Panel regrets the delays in the publication of the Guidelines for Evaluators and of the Sample Contracts, as these documents can contribute considerably to the understanding of the New Instruments.

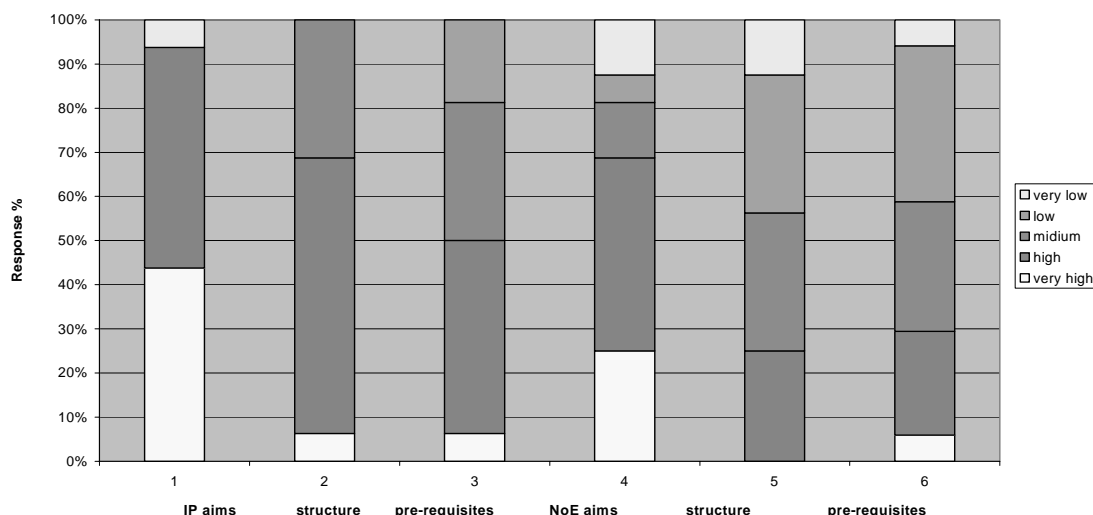


Figure 4.2.5-b: Confidence of NCP in their understanding of structure and pre-requisites of the New Instruments (NCP questionnaire)

The effort involved in the Eols on the side of the scientists as well as on the side of the Commission was considerable, and their effect should be evaluated as guidance for future decisions on similar procedures. There was no clear mechanism in place on how the Eols should impact the WP, but during the interviews it was indicated that the Eols essentially confirmed the priorities originally envisaged by the Commission. Thus they enhanced confidence that the response to the call issued on December 17th would be satisfactory. The publication of the Eols also made research interests of the European scientific community transparent and has led to numerous new contacts among scientists, which eventually might also result in scientific co-operations. This is considered to be a very promising development.

Although the Commission had good reasons for not doing so, the scientific community, NCPs and PC members would obviously welcome individual feedback of some nature (fig. 4.2.5-c), as authors of the 50% of Eols not reaching the required standard have no way of knowing this and might waste resources in defining an IP or a NoE along the lines of their Eol in response to one of the calls. In view of the fact that the high rejection rate of FP5 was considered to be one of the most serious problems by the Commission as well as by the NCPs and PCs, this would have been a valuable chance for improvement of this rate in FP6.

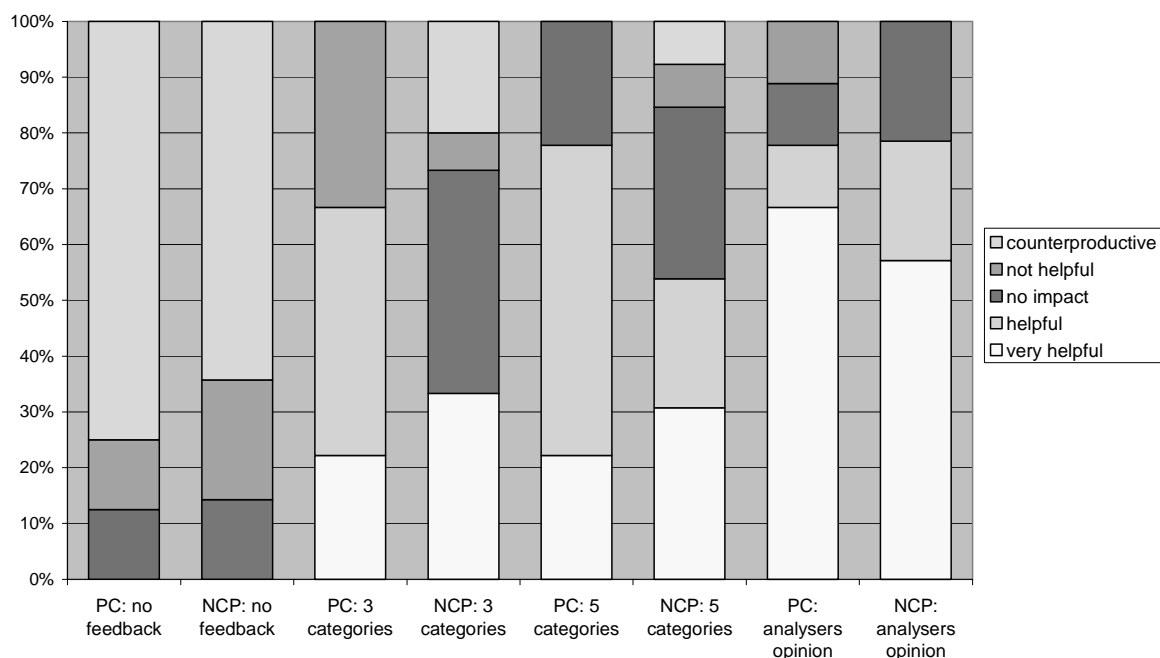


Fig 4.2.5 – c. Rating for different individual feedback options for Eols (NCPs and PC questionnaires)

The WP calls for not more than one IP or NoE on 16 topics and opens 8 topics for Specific Targeted Research Projects (STREPS) and Coordination Action (CA) and some Specific Support Action (SSA). About 80% of the funds are dedicated to the New Instruments, 20% to STREPS and CA. Unlike former FPs an overall budget of 140 MEURO was assigned to the New Instruments, thus distribution of funds within the 16 plus 8 topics is not decided, nor is there a clear procedure that will be followed. **The Panel expresses its concern on possible bargaining between SOs in the selection of the proposals. Attributing a guaranteed minimum sum to every topic with some leeway for additional funding for outstanding projects could reduce concerns, however other suggestions on how to solve this problem are welcome.**

The so-called priority 8 (Policy Support and Anticipating Scientific and Technological Needs) is a very commendable step towards strengthening ties between research and policy DGs by defining research topics in an inter-unit discussion process. The research to be funded in this line of action should respond to a direct need of DG SG, ENV, ENTR, EAC, TRADE, and REGIO. To ensure success it would be useful to **involve the officers that defined the research need in the evaluation procedure** as well, e.g. giving them a role in evaluation of

policy relevance and European Added Value (EAV) after the scientific merits of proposals have been established. Participation of these officers in at least the kick-off meetings of the projects could establish stimulating contact between scientists and end users. **Again, a monitoring index to evaluate the impact of these specific projects on EU policies should be put in place now.**

This part of the programme also responds to repeated requests to open windows for more flexibility in addressing ad-hoc issues of relevance, emerging after the WP has been defined and for funding of high risk research, both necessary to the ERA aim of improving European competitiveness.

5 CONCLUSIONS AND RECOMMENDATIONS

5.1 - GENERAL CONCLUSIONS/MAJOR TRENDS/ MAIN STRENGTHS AND WEAKNESSES ENCOUNTERED

Directorate I has been effective in managing the final stages of FP5-ESD Sub Programme and good progress has been made in the launch of the FP6 – Sub-priority 1.1.6.3 “Global Change and Ecosystems”, given the heavy workload, available resources, Directorate General Research organizational restructuring and the administrative and financial constraints.

2002 ESD SP activity has successfully concentrated on measures to facilitate the participation of NAS, to adapt the programme to the need for larger scale projects by “clustering” smaller projects and to ensure that Sustainable Development issues are implemented in DG Research and in Policy related DGs.

The Directorate staff has made positive efforts to accommodate both the preparation of FP6 and the support of the final phases of FP5. This has imposed a very high workload on the staff members of the Directorate. The increasingly closer ties of Directorate I thematic units to policy DGs will further increase the workload in the future. Management arrangements to achieve these results have worked well.

Dissemination and exploitation of the results of FP5 and previous FPs continue to be a major issue even though the list of the dissemination activities undertaken by Directorate I in 2002 is impressively long. Progress in the assessment of the impact of EU research funded by Directorate I budget is not yet significant.

Directorate I restructuring necessities due to the transition to FP6 were substantial due to substantial changes in the contents of the sub-priorities. Although the change is gradual and Directorate I FP6 final organisation is not determined, there is concern regarding the follow up of the FP4 and FP5 contracts, particularly those of FP5 - KA4 “City of Tomorrow and Cultural Heritage”, which was only partially followed up in FP6 priority 8.1.

Although additional external personnel (PTAs) have been introduced for selected tasks, Directorate I is not sufficiently staffed to carry out all the work presently required in a satisfactory way. This is unlikely to improve in future, due to the ongoing 10% workforce reduction, unless the requirements put on SOs by the FP6 New Instruments are considerably less than those of former projects.

SOs have coped well with the new task of negotiating project contracts and with the increased horizontal activities of the Directorate. The ongoing changes in the administrative arrangements (starting from 2003), due to the introduction of the new financial regulations, seem to further increase the administrative burden of the SOs.

Reviewing the recommendations made by the ESD Panels since 1999 clearly shows that, although progress is being made in many respects from year to year, a large number of recommendations can be found in more than one report.

5.2 - RECOMMENDATIONS (A LIMITED NUMBER OF KEY RECOMMENDATIONS):

5.2.1 Recommendations specific to the SP programme / ERA related activities

(1) Even though present management arrangements are working well, Directorate I does not have enough staff to carry out all the work presently required in a satisfactory way. Workload will increase with closer ties to policy units and if Panel recommendations are implemented, and it is not clear whether the New Instruments will reduce the demands on SOs. Therefore evaluation and streamlining of the activities are indispensable. A concept to achieve this should be worked out and adopted by the Group of Directors.

(2) In FP6 the scientific role of Scientific Officers (SO) should be modified and focus on supervision and early dissemination and exploitation of results in line with ERA objectives. If financial and administrative tasks remain with the SOs, procedures must be simplified by giving to SOs real responsibility in making decisions, with a system of control to check the quality of these decisions on a random basis, rather than a safeguard system, to prevent all possible mistakes.

(3) One of the problems that remained unresolved is giving external advice a real function in the Global Change and Ecosystems SP: neither the old EAGs nor the new AG had a mandate for the decisive phases of FP6 and Global change and Ecosystems Specific Programme definition. The extent of involvement in the definition of the WP is perceived differently by the Commission and the AG. In order to achieve satisfaction within the AG an in depth discussion on the expectations of both sides should be implemented at the outset of the AG activities.

(4) No specific plan has been put in place to ensure that the problems experienced in earlier transition phases (e.g. FP4 to FP5) will not occur again in the present transition, possibly aggravated due to the substantial changes in contents and organisation connected with FP6, and the simultaneous reduction in personnel required by the Commission. This is especially true for those FP5 topics that have no explicit correspondence in FP6, e.g. KA4 "City of Tomorrow and Cultural Heritage". Clear responsibilities should be defined for the support of FP5 projects in their final phases.

(5) Dissemination and exploitation of the results of FP5 and previous FPs continue to be a major issue. The Monitoring Panel is not in a position to analyse this problem thoroughly as it can be generated by multiple causes (inherent in the environmental topics, part of the culture and approach of the university scientists, a consequence of deep rooted changes from FP to FP or a lack of initiative, incentive or capacity on the part of the Commission). Reasons for insufficient dissemination and exploitation should be analysed thoroughly and then the problem should be addressed at the root.

(6) A central archiving system with a thematic index should be put in place for project reports in close cooperation with CORDIS to make them easily accessible and results available to a wider community over a longer period of time. For ongoing and future projects the archive could essentially be an electronic archive and the problem of confidentiality could be resolved by a simple agreement to be signed by the consortia.

(7) TIP forms are not well suited to results achieved in the sub-priority Global Change and Ecosystems, as their output frequently is of scientific value or used as management and policy oriented tools (e.g. decision support). Very few of the projects have a technological product. It is recommended that the TIP forms be adapted to suit the type of results to be expected by the non-technical projects.

5.2.2 Recommendations of general significance for the whole FP/ERA

(8) As the approach introduced with the FP6 and ERA is significantly different from FP5, there is a need to evaluate at a later stage whether the specific aims inducing the changes from FP5 to FP6 were met. These aims should be precisely described and suitable indicators should be developed to evaluate the performance – e.g. a quantification of workload or of fragmentation of European research.

(9) The effort involved in the Eols on the side of the scientists as well as on the side of the Commission was considerable. It is, therefore, important to evaluate effects of Eols on WPs and their side effects. The strong signals given by the first invitation (e.g. high percentage of Eols rated as either out of scope or of insufficient quality, and a low percentage of Eols fully ready for the application of the New Instruments) should be taken into consideration when deciding on the speed of implementation of New Instruments, next ERA steps, etc.

(10) The implementation of a mechanism in the WP or the first call to prevent unwanted developments within FP6 (participation of smaller organisation, smaller Member States, NAS etc..) as recommended by the 2001 Panel, was apparently not deemed necessary, but it is strongly urged, that an index to monitor the development and a plan to counteract in case of need should be put in place at an early stage. The main aspects to be monitored concern: country composition of consortia and networks, particularly the participation of the

NAS and the scale of financial participation of small countries as well as the role and participation of SMEs. Decisions on the necessity of corrective actions at the right level should be taken before the second call. An action plan for NAS that seems to be in discussion will need to be monitored by the next Panel.

(11) About 80% of the funds are dedicated to the New Instruments while the remaining 20% is allocated to STREPS and CA. Unlike former FPs an overall budget of 140 MEURO was assigned to the New Instruments, thus distribution of funds within different topics is not decided, nor is there a clear procedure that will be followed. **The Panel expresses its concern on possible bargaining between SOs in the selection of the proposals. Attributing a guaranteed minimum sum to every topic with some leeway for additional funding for outstanding projects could reduce concerns - however, other suggestions on how to solve this problem are welcome.**

(12) As the horizontal character of this sub-priority can produce some duplications of request of financial contribution from different organisations and proposals, **before negotiation of the first FP6 projects starts a concept to avoid duplications and gaps in the cross-thematic topics of Sustainable Development should be put in place.**

(13) To strengthen the link with the policy DGs and to ensure the attainment of the aims of the research to be funded in response to their direct need (within "priority 8"), it would be advisable to **give officers of policy-DGs a role in the evaluation procedure and to invite them to participate in meetings of the project consortia.**

(14) As the increased workload of the SOs and the specific skills needed for the management of the FP6 projects can affect the implementation of the New Instruments, **it is recommended to define clearly the role of the SOs regarding the New Instruments as soon as possible, taking into consideration the simultaneous management of the FP5 projects and the procedure to handle turnover.**

5.2.3 Recommendations addressing the evaluation and monitoring methodology

(15) Following an earlier recommendation for "light monitoring" every other year, the time allocation to each Monitoring Panel was reduced. This would have been sufficient, had the documents prepared by the Commission for the monitoring exercise been available in time, as recommended by previous monitoring Panels. **The Panel recommends that for future Monitoring activities complete and up to date SAFs are provided in advance of the first Panel meeting.**

(16) At the request of the FP Panel a standardised matrix to review the recommendations made by the ESD Panels since 1999 was compiled. This made visible that a large number of recommendations were repeated several times. Indications that concepts or plans suggested in the recommendations were developed are rare. The replies by the Commission were frequently not sufficiently to the point and did not indicate what importance was attached to the issue. **The Panel recommends that both the work of the Monitoring Panels and the response by the Commission be reconsidered in view of the impact expected from the monitoring exercises.**

(17) Major Commission interventions (Activity Based Management, new financial regulation etc.) seem to affect the performance of Directorate I and DG RTD. **The Panel recommends that the impacts of the major Commission interventions on the performance of DG RTD in view of simplification, transparency, reliability and efficiency of the organisational processes be monitored and evaluated.**

ANNEXES

ANNEX 1. LIST OF PANEL MEMBERS

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Rapporteur	Paola PERINI (PP)	47 Via delle Belle Arti IT - 40126 Bologna Tel.: 39. 349.0079137 Tel/Fax: 39 051. 227861 E-mail: paola.perini@libero.it
Panel Members	Peter LITERATHY (PL)	Formerly: Water Resources Research Centre Plc Institute for Water Pollution Control Kvassay J. ut 1. H-1095 Budapest Home: Hataror ut 39, H-1122 Budapest Tel/Fax: +36.1.3558998 Mobile +36.303115445 Present: Kuwait Institute for Scientific Research, POB 24885, 13109 Safat, KUWAIT E-mail: pliterathy@vituki.hu pliterat@qualitynet.net pliterat@safat.kisr.edu.kw

ANNEX 2. LIST OF DOCUMENTS

Doc	Title
1	1999 Annual Monitoring report on the RTD activities conducted under the EC and Euratom framework programmes
2	2000 Annual Monitoring report on the RTD activities conducted under the EC and Euratom framework programmes
3	2000 External Monitoring report on the specific programme for research and technological development in the field of the Environment and sustainable development
4	2001 Annual Monitoring report on the EU framework Programme for Research and Technological Development
5	2001 External Monitoring report on the specific programme for research and technological development in the field of the Environment and sustainable development
6	2001 Specific Monitoring Report on European Research Area activities (ERA)
7	A Handbook for impact assessment in the Commission. How to do an Impact Assessment and Technical Annexes
8	AG Members FPVI – Global change and Ecosystems
9	Broad Guidelines of 2002 monitoring of the implementation of the European Research Area (ERA) and of Community Research Framework Programmes and Specific Programmes
10	COM(2002) 499 final, 11.09.2002. Communication from the Commission "More research for Europe – Towards 3% of GDP.
11	COM(2002) 565 final , 16.10.2002 Communication from the Commission "The ERA : Providing new momentum. Strengthening – Reorienting – Opening up new perspectives"
12	Commission Communication on Impact assessment, SEC 2002 (...) 17.05.2002
13	Final report of the Expert Advisory Group . FP5. City of tomorrow and cultural heritage (KA4)
14	Final report of the Expert Advisory Group . FP5. Global change, climate and Biodiversity (KA2)
15	Final report of the Expert Advisory Group . FP5. Water management and Marine Ecosystems (KA1 and KA3)
16	Impact assessment in the Commission. Guidelines
17	KA1: Sustainable Management and Quality of water. Coverage of the workprogramme after the FP5 calls
18	National contact points – General – Sustainable Development, Global change and Ecosystems
19	OJ L. 294/1 2002/834/EC of 29.10.2002 Council Decision adopting a specific programme for research, technological development and demonstration: "Integrating and strengthening the ERA" (2002-2006)
20	OJ L. 294/44 2002/835/EC of 29.10.2002 Council Decision adopting a specific programme for research, technological development and demonstration: Structuring the European Research Area" (2002 –2006)
21	OJ L. 294/60 2002/836/EC of 29.10.2002 Council Decision of 30 September 2002 adopting a specific programme of research, technological development and demonstration to be carried out by means of direct actions by the JRC (2002 – 2006)
22	OJ L. 294/74 2002/837/Euratom of 29.10.2002 Council decision adopting a specific programme (EURATOM) for research and training on nuclear energy (2002 –2006)
23	OJ L. 294/86 2002/838/Euratom of 29.10.2002 Council Decision adopting a specific programme for research and training to be carried out by the Joint Research Centre by means of direct actions for the European Energy Atomic Community (2002-2006)
24	OJL 232/1 29.8.2002 Decision No. 1513/2002/EC of the European Parliament and of the Council of 27 June 2002 concerning the sixth framework programme of the European Community for research, technological development and demonstration activities, contributing to the creation of the ERA and to innovation (2002-2006)
25	Organisational chart of the Directorate General Research
26	Organisational chart of the RTD I Environment
27	PE-CONS 3647/02 RECH 144 CODEC 1003 22.10.2002 . "Regulation of the European Parliament and of the Council concerning the rules for the participation of undertakings, research centres and universities in, and for the dissemination of research results for , the implementation of the European Community sixth framework Programme (2002-2006)
28	RECH 142 ATO 105 22.10.2002 Council regulation concerning the rules for the participation of undertakings, research centres and universities in the implementation of the Sixth Framework

Doc	Title
	Programme of the European Atomic Energy Community (2002-2006)
29	Report on the Analysis of Expressions of Interest 2002
30	Rules for members of Advisory Groups under FP6
31	Self assessment 2002 – ESD P6.3
32	Socio-economic tools for sustainability impact assessment. EUR 20437
33	Specific Programme Committee on integrating Strengthening. 1.6 Sustainable Development, Global Change and Ecosystems. Member States and Associated Countries
34	The overall socio-economic dimension of Community research in the Fifth European framework programme and Annex 1 Main Documentary sources and references
35	Ubuntu minute on science and technology for sustainable development adopted on September 3 rd , 2002

ANNEX 3. LIST OF INTERVIEWS

Meeting	Interview made to	Position
8th Nov 2001	C. Patermann	Director Directorate I Environment - DG Research-
	P. Mathy	Unit I4 - Marine Ecosystem and Biodiversity – HOU
	M. Bohle – Carbonell	Unit I6 - Administration and Finance – HOU
	A. Ghazi	Unit I2 - Global Change – HOU
	A. Tilche	Unit I3 -Water cycle and soil related aspects – HOU
	D. Miles	Unit I5 -Sustainable urban systems and cultural heritage – HOU
	P. Valette	Policy aspects and strategy for the sustainable development – HOU 1
22nd Nov 2001	C. Patermann	Director Directorate I Environment - DG Research
	K. G. Barthel	Assistant to the Director Directorate I – Environment
	E. Lippiatou	Unit I 1 - Policy aspect and strategy for the sustainable development – FP6 and ERA , science and society
	M. Sharman	Unit I4 - Marine Ecosystem and Biodiversity – Biodiversity
	A. Edwards	Unit I4 -Marine Ecosystem and Biodiversity - Marine observing systems and Technologies
13 th – 14 th January 2003	A. Baubin	Unit I6 - Administration and Finance – Administrative Assistant
	M. Bohle- Carbonell	Unit I6 - Administration and Finance – HOU
	A. Borcard	Direction A. Unit 1. Framework programme
	W. Cannell	Direction A. Unit 1. Framework programme
	A. Tilche	Unit I3 -Water cycle and soil related aspects – HOU
	H. Barth	Unit I3 -Water cycle and soil related aspects – Integrated management of water at catchment scale. Ecological impact of global change on freshwater bodies.
	P. Migliorini	Directorate General Environment
	N. Christoforides	Unit I 1 - Policy aspect and strategy for the sustainable development – Economic models on environment and sustainable development ; International cooperation
11 th –12 th February 2003	P. Backe – Hansen	Directorate I- Unit 1 – Policy Aspect and Sustainable Development Strategy – Coordination and promotion to SMEs; innovation, exploitation of the results
	P. Valette	Directorate I- Unit 1 – Policy Aspect and Sustainable Development Strategy - HOU
	K. G. Barthel	Directorate I. Assistant to the Director – Management of the archive
	M. Weydert	Former supervisor of the Monitoring Panel, (until Nov. 2002) Directorate I- Unit 1 – Policy Aspect and Sustainable Development Strategy
	Advisory group	Sustainable Development, Global Change and Ecosystems
13 th March 2003	P. Valette	Directorate I- Unit 1 – Policy Aspect and Sustainable Development Strategy - HOU
	P. Mathy	Unit I4 - Marine Ecosystem and Biodiversity – HOU
	A. Tilche	Unit I3 -Water cycle and soil related aspects – HOU
	D. Miles	Unit I5 -Sustainable urban systems and cultural heritage – HOU
	D. Koutos	Unit I6 – Administration and Finance
	E. Lippiatou	Unit I 1 - Policy aspect and strategy for the sustainable development – FP6 and ERA , science and society
	M. Weydert	Former supervisor of the Monitoring Panel (until Nov. 2002) Directorate I- Unit 1 – Policy Aspect and Sustainable Development Strategy

ANNEX 4. QUESTIONNAIRES

4.A QUESTIONNAIRE FOR NCP PREPARED BY THE ESD-MONITORING TEAM 2002

We would greatly appreciate your support in filling in the following questionnaire. As we are interested in your personal views and expectations, no exact figures are needed, and the time to fill in the form will not be above 15 minutes. The individual questionnaires will be treated confidentially by our 3-member monitoring group – only the overall results will be included in our final report.

When addressing Framework Programmes (FP4, FP5, FP6) we are always referring to the Environment and Sustainable Development part only, in the case of FP6 to priority 1.1.6.3 in the case of the first call.

In many cases answers are requested on a five grade scale ranging from e.g. very good (1) to very poor (5); the medium box (3) indicates an indifferent rating. Please mark your rating by inserting an X in the appropriate box.

Name of responding person:

Tel.:

Country:

1 How would you rate training supplied by the EC on all thematic and managerial aspects, including relevant EU policies and ethical aspects - especially before and at the beginning of FP6?

Very good	1	2	3	4	5	Very poor
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2 Do you feel confident of having understood the

- 2a aims of IPs.....
- 2b structure of IPs.....
- 2c pre-requisites for IPs.....
- 2d aims of NoEs.....
- 2e structure of NoEs.....
- 2f pre-requisites for NoEs.....

Very well	1	2	3	4	5	Very poorly
Very well	1	2	3	4	5	Very poorly
Very well	1	2	3	4	5	Very poorly
Very well	1	2	3	4	5	Very poorly
Very well	1	2	3	4	5	Very poorly
Very well	1	2	3	4	5	Very poorly

3 The Commission found that 15 % of the Eols were mature (1) for one of the new instruments, 35 % were good in principle (2), but less mature and 50% were not mature (3), out of scope (4) or incomplete (5). Of the Eol submitted by scientists from your country – what is your estimate for these three categories?

%	Mature (1)	%	Less mature (2)	%	Not mature, etc (3, 4, 5)

4 No feed back has been given to scientists on individual Eols. In case the Commission will decide to repeat the exercise of the Eols, would it be better to have:

- a No feedback.....
- b Feedback on the above-mentioned 3 first few categories applied (see qst.3)
- c Feedback on the above-mentioned 5 categories applied (see qst.3).....
- d Short Information on the opinion of the analysers.....
- e others (please specify):

Best solution	1	2	3	4	5	Unfortunate decision
very helpful	1	2	3	4	5	counterproductive
very helpful	1	2	3	4	5	counterproductive
very helpful	1	2	3	4	5	counterproductive
very helpful	1	2	3	4	5	counterproductive
very helpful	1	2	3	4	5	counterproductive

5 How many applications do you expect from your country for the first call of FP6 / Priority 1.1.6..3?

- 5a as coordinator of an IP
- 5b as participant in an IP
- 5c as coordinator of a NoE
- 5d as a participant in a NoE

none	< 3	3-5	5-10	10-20	> 20
none	< 3	3-5	5-10	10-20	> 20
none	< 3	3-5	5-10	10-20	> 20
none	< 3	3-5	5-10	10-20	> 20

6a How well were you prepared by the EC to advise consortia in IP and NoE in setting up appropriate management structures?

Very well	1	2	3	4	5	Very poorly
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6b How many potential consortia participants have you advised regarding FP6/1.1.6.3?

<5	5-10	10-20	20-50	>50
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6c Who were the primary clients? Please rank starting from the most frequent:

universities	Large research units	Other research org.	SME	Industry	others
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7a Do you have a plan on how to assist the Commission in assuring transparency and equal access to calls for new partners in on-going IP and NoE?

yes	in preparation	no
-----	----------------	----

7b If yes, would you sketch it please?

8 What are/were the dominant problems and difficulties encountered by scientist in application and participation in the Framework Programmes in your country?

8a FP4:

8b FP5:

8c FP6:

9 What are/were the dominant problems in disseminating results of projects under FP4 and FP5?

10 What are/were the dominant problems in exploiting results of projects under FP4 and FP5?

11 On which of these issues have you given feedback to the Commission?

12 Is the Commission responsive to requests and suggestions on the part of NCPs?

12a individual or detail questions

always	1	2	3	4	5	never
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12b general problems.....

always	1	2	3	4	5	never
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13 Do you make use of the EC-NCP extranet Website?

13a to retrieve information

Very frequently	1	2	3	4	5	never
-----------------	---	---	---	---	---	-------

13b as a discussion forum.....

Very frequently	1	2	3	4	5	never
-----------------	---	---	---	---	---	-------

14 Which countries are you especially involved with in European wide networking of NCPs, as a means to stimulate the participation in Community RTD activities and a contribution to the realisation of the ERA?

15 Which countries are you especially involved with in transnational exchange of experiences and dissemination of best practices?

16 Do you receive support from the EC for these activities?

Very much	1	2	3	4	5	none
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17 What level of contact did you have with the research community during the bidding process of a) FP5

Very frequent	1	2	3	4	5	Very low
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17b) Eols for FP6/1.1.6.3

Very frequent	1	2	3	4	5	Very low
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18a Does the NCP have any formal or informal links with the PC and/or External Advisory Groups or Advisory Groups?

PC	yes	no	EAG/AG	yes	no
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18b Should such links be established?

PC	yes	no	EAG/AG	yes	no
----	-----	----	--------	-----	----

19 When was an external monitoring or evaluation of the performance of the NCP made?

none	1999	2000	2001	2002
------	------	------	------	------

4.B QUESTIONNAIRE FOR PC MEMBERS PREPARED BY THE ESD-MONITORING TEAM 2002

We would greatly appreciate your support in filling in the following questionnaire. As we are interested in your personal views and expectations, no exact figures are needed, and the time to fill in the form will not be above 15 minutes. The individual questionnaires will be treated confidentially by our 3-member monitoring group – only the overall results will be included in our final report.

When addressing Framework Programmes (FP4, FP5, FP6) we are always referring to the Environment and Sustainable Development part only, in the case of FP6 to priority 1.1.6. and section 6.3 in the case of the first call.

In many cases answers are requested on a five grade scale ranging from e.g. very good (1) to very poor (5); the medium box (3) indicates an indifferent rating. Please mark your rating by inserting an X in the appropriate box.

Name of responding person:

Tel.:

Country:

1 Are the aims of FP6 in the interest of the member state/NAS you are representing? yes partly no

2 Which aims are the most important in your view? Please comment

3 Do you believe the new instruments suitable to achieve the aims of FP6? yes partly no

4 The Commission found that 15 % of the Eols were mature (1) for one of the new instruments, 35 % were good in principle, but less mature (2) and 50% were not mature (3), out of scope (4) or incomplete (5).

Of the Eols submitted by scientists from your country – what is your estimate for these three categories?

%	mature	%	less mature	%	not mature, out of scope, incomplete
---	--------	---	-------------	---	--------------------------------------

5 These results indicate that about 50 % of the submitters had not understood what was required of them. What do you believe to be the reason for this?

- a lack of clarity in Commission documents and presentations.....
- b lack of training for National Contact Points.....
- c contradictory information from different sources.....
- d lack of effort on the part of the scientists.....
- e lack of capability on the part of scientists.....
- f normal situation for any new procedure.....
- g other (please specify):

Very likely	1	2	3	4	5	certainly not
Very likely	1	2	3	4	5	certainly not
Very likely	1	2	3	4	5	certainly not
Very likely	1	2	3	4	5	certainly not
Very likely	1	2	3	4	5	certainly not
Very likely	1	2	3	4	5	certainly not

6 No feed back has been given to scientists on individual Eols. In case the Commission will decide to repeat the exercise of the Eols, would it be better to have:

- a No feedback.....
- b Feedback on the above-mentioned 3 first few categories applied (see qst.4)
- c Feedback on the above-mentioned 5 categories applied (see qst.4).....
- d Short Information on the opinion of the analysers.....
- e others (please specify):

Best solution	1	2	3	4	5	Unfortunate decision
very helpful	1	2	3	4	5	counterproductive
very helpful	1	2	3	4	5	counterproductive
very helpful	1	2	3	4	5	counterproductive
very helpful	1	2	3	4	5	counterproductive
very helpful	1	2	3	4	5	counterproductive

7 How many applications do you expect from your country for the first call of FP6 / Priority 1.1.6..3?

- 7a as coordinator of an IP
 7b as participant in an IP
 7c as coordinator of a NoE
 7d as a participant in a NoE

none	< 3	3-5	5-10	10-20	> 20
none	< 3	3-5	5-10	10-20	> 20
none	< 3	3-5	5-10	10-20	> 20
none	< 3	3-5	5-10	10-20	> 20

8 High rejection rates have often been criticised in former FPs. By aiming at larger projects a reduction of the rejection rate was attempted. What overall rejection rate would you consider to be a success?

< 1:3,	< 1:5	< 1:8	no suitable indicator for success
--------	-------	-------	-----------------------------------

9 What number of accepted projects would you consider to be a success for your country in the first call of FP6/1.1.6.3?

- 9a as coordinator of an IP
 9b as participant in an IP
 9c as coordinator of a NoE
 9d as a participant in a NoE

1	2	3	4	5	6	7	8	9	10	> 10
1	2	3	4	5	6	7	8	9	10	> 10
1	2	3	4	5	6	7	8	9	10	> 10
1	2	3	4	5	6	7	8	9	10	> 10

10 How appropriate do you consider the following indicators to be for the evaluation of the overall success of FP6 and the new instruments:

- a Projects are rated as very good by evaluators.....
- b Rejection rate is lower than before.....
- c Distribution of size of projects is well balanced.....
- d Participating countries are well balanced
- e Participating entities are well balanced.....
- f Participation of female scientists is higher than in the past.....
- g Fragmentation of research within Europe is overcome
- h Responsibility and self management given to scientists has increased.....
- i Projects produce scientifically interesting results
- j Project results increasingly support EU policy
- k Results enhance EU competitiveness.....
- l Soft indicators, e.g. impressions of Scientific Officers.....

Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate

Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate
Very appropriate	1	2	3	4	5	Not appropriate

l Others (please specify):

11 On the basis of which evaluations should the revision of FP6 take place?

- a) First Technical Review (2004)
- b) Second Technical Review

12 The total effort of the scientific community in preparing Eols for FP6/1.1.6.3 is estimated to corresponds to more than 10 person-years of work. The effort of the Commission was also considerable. Some say, a selected group of 10 scientists or the Scientific Officers could have achieved a similar result at lower costs. Which of the following could justify the effort put in the Eols?

- a Workprogramme (WP) topics correspond to the most frequent topics of Eols
- b WP topics correspond to the topics proposed by the most mature Eol's
- c WP topics correspond to topics proposed by leading research institutions
- d Eols by leading research institutions deviate strongly from most frequent topics
- e Expectations by EU Scientific Officers are confirmed by Eols
- f Expectations by EU Scientific Officers deviate strongly from Eols
- g Use of published Eols for partner searches, national research programmes, etc. as spin-off effect
- h Others (please elaborate):

Eol useful	1	2	3	4	5	unnecessary
Eol useful	1	2	3	4	5	unnecessary
Eol useful	1	2	3	4	5	unnecessary
Eol useful	1	2	3	4	5	unnecessary
Eol useful	1	2	3	4	5	unnecessary
Eol useful	1	2	3	4	5	unnecessary

Eol useful	1	2	3	4	5	unnecessary
------------	---	---	---	---	---	-------------

13 What is your expectation of the new instruments of FP6 (compared to old instruments):

- a They will enhance the ERA
- b They will speed up scientific integration in the enlarged Europe
- c They will help to attract scientists from other parts of the world (e.g. USA)
- d They will be of advantage to national researchers in all EU MS & NAS
- e They will be of advantage to the leading research institutions in EU MS & NAS
- f Small research entities will not be able to profit in the same manner as in previous FPs
- g The return rate (€) for smaller Member States in research will drop.
- h Others (please specify):

very likely	1	2	3	4	5	on the contrary
very likely	1	2	3	4	5	on the contrary
very likely	1	2	3	4	5	on the contrary
very likely	1	2	3	4	5	on the contrary
very likely	1	2	3	4	5	on the contrary

very likely	1	2	3	4	5	on the contrary
very likely	1	2	3	4	5	on the contrary

Global change and Ecosystems

- 14 How would you rate the overall success of FP5:
- a for research in the EU
 - b for EU environmental, climate and sustainability policy
 - c for research in your country
 - d for environmental, climate and sustainability policy in your country

Comments:

very successful	1	2	3	4	5	waste of money	too early to know
very successful	1	2	3	4	5	waste of money	too early to know
very successful	1	2	3	4	5	waste of money	too early to know

very successful	1	2	3	4	5	waste of money	too early to know
-----------------	---	---	---	---	---	----------------	-------------------

- 15 How would you rate the overall success of FP4:
- e for research in the EU
 - f for EU environmental, climate and sustainability policy
 - g for research in your country
 - h for environmental, climate and sustainability policy in your country

Comments:

very successful	1	2	3	4	5	waste of money	too early to know
very successful	1	2	3	4	5	waste of money	too early to know
very successful	1	2	3	4	5	waste of money	too early to know

very successful	1	2	3	4	5	waste of money	too early to know
-----------------	---	---	---	---	---	----------------	-------------------

- 16 How many projects with participants from your country are still active in FP4?

- 17 What are/were the major problems encountered in FP5?

- a Thematic choices
- b Rejection rates
- c Administrative burden for researchers
- d Qualification/experience of evaluators
- a Lack of dissemination of results
- b Lack of exploitation of results
- e Others (please specify):

Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem

Global change and Ecosystems

18 What are/were the major problems encountered in FP4?

- c Thematic choices
- d Rejection rates
- e Administrative burden for researchers
- f Qualification/experience of evaluators
- g Lack of dissemination of results
- h Lack of exploitation of results
- i Others (please specify):

Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem
Important problem	1	2	3	4	5	No problem

19 Where specific efforts made in your country to disseminate (D) or exploit (E) the results of FP5 and FP4 projects?

- a All projects (D) yes no (E) yes no
- b Projects with involvement of scientists from your country (D) yes no (E) yes no

20 How strong were the impacts of past FPs on research in your country?

- a Internationalisation of research
- b Availability of additional research money
- c Focussing of research on European issues
- d Withdrawal of research money from national priorities
- e Increased emphasis on applied research
- f Aggregation of smaller units within the country
- g Enhancement of research quality
- h Increased efforts to involve NAS researchers
- i Others (please specify):

very strong	1	2	3	4	5	opposite effect
very strong	1	2	3	4	5	opposite effect
very strong	1	2	3	4	5	opposite effect
very strong	1	2	3	4	5	opposite effect
very strong	1	2	3	4	5	opposite effect
very strong	1	2	3	4	5	opposite effect
very strong	1	2	3	4	5	opposite effect
very strong	1	2	3	4	5	opposite effect

ANNEX 5. MAIN MANAGEMENT ISSUES OF 2002

5.1 Proposals evaluation

CALL	Data	Funded	Pending	Rejected	Reserve	Grand Total	Success rate
NAS2 Newly Associated 31/01/2002	Total number of proposals received	27		37		64	3/7
	Total required contribution (€)	11.240.097		17.804.661		29.044.758	
	Total contribution after negotiation (€)	9.677.391		0		9.677.391	
AM Accompanying 15/02/2002	Total number of proposals received	19		(1)	34	53	1/3
	Total required contribution (€)	9.518.566		10.833.715		20.352.281	
	Total contribution after negotiation (€)	6.580.298		0		6.580.298	
NAS1 Newly Associated 15/02/2002	Total number of proposals received	49		(2)	58	107	1/2
	Total required contribution (€)	11.336.029		16.598.490		27.934.519	
	Total contribution after negotiation (€)	9.626.964		0		9.626.964	
CRAFT Cooperative For Technology 28/02/02	Total number of proposals received	15		51		66	2/9
	Total required contribution (€)	9.468.728		25.349.356		34.818.084	
	Total contribution after negotiation (€)	7.366.166		0		7.366.166	
GMES Global Monitoring and Security 28/02/02	Total number of proposals received	9		37		46	1/5
	Total required contribution (€)	9.104.140		39.651.255		48.755.395	
	Total contribution after negotiation (€)	8.439.234		0		8.439.234	
ASC Advanced Study Courses 15/03/02	Total number of proposals received	3		3		6	1/2
	Total required contribution (€)	565.017		214.690		779.707	
	Total contribution after negotiation (€)	397.849		0		397.849	
TRAIN(MCFI- MCFH)	Total number of proposals received	38	1	92	3	134	2/7
	Total required contribution (€)	5.583.588	0	6.851.543	139.800	12.574.931	
Marie Curie Fellowship 20/03/02	Total contribution after negotiation (€)	5.199.176	0	0	0	5.199.176	
AM Accompanying 17/04/2002	Total number of proposals received	28		(3)	58	86	1/3
	Total required contribution (€)	12.115.748		27.593.067		39.708.815	
	Total contribution after negotiation (€)	8.549.927		0		8.549.927	
Total number of proposals received		188	1	370	3	562	1/3
Total required contribution (€)		68.931.913	0	144.896.777	139800	213.968.490	
Total contribution after negotiation (€)		55.837.005	0	0	0	55.837.005	

- (1) AM of 15/02/2002 : this amount of 34 proposal take into account 3 proposals of the reserve list which will be rejected
(2) NAS1 du 15/02/2002 : this amount of 58 proposal take into account 8 proposals of the reserve list which will be rejected
(3) AM du 17/04/2002 : this amount of 58 proposal take into account 5 proposals of the reserve list which will be rejected

5.2 Contracts production and management

			Contract production		Contract Management	
			Negotiated	Signed	Ongoing	Completed (Date of end)
			(Date of batch)	(Signature of contract)		
					(between date of start and end)	
FP5	KA1	RTD	24	61	122	4
		AM	14		7	1
		CRAFT	12		21	2
		MC	12		12	2
		NAS1	11			
		NAS2	7			
		TOTAL	80		61	162
	KA2	RTD	53	86	172	18
		AM	18		22	6
		CRAFT	4		3	0
		MC	7		17	3
		NAS1	14			
		NAS2	6			
		TOTAL	102		86	214
	KA3	RTD	21	48	80	0
		AM	6		8	5
		CRAFT	4		2	0
		MC	12		10	3
		NAS1	4			
		NAS2	5			
		TOTAL	52		48	100
	KA4	RTD	30	54	91	1
		AM	15		7	2
		CRAFT	8		7	0
		MC	3		1	1
		NAS1	10			
		NAS2	3			
TOTAL		69	54		106	4
EVR1	RTD	11	16	38	3	
	AM	0		0	0	
	CRAFT	0		0	0	
	MC	0		0	0	
	NAS1	5				
	NAS2	2				
	TOTAL	18		16	38	3
EVG1	RTD	28	33	71	9	
	AM	3		3	1	
	CRAFT	2		6	0	
	MC	0		2	1	
	NAS1	5				
	NAS2	1				
	TOTAL	39		33	82	11

			Contract production		Contract Management	
			Negotiation	Contracting	Ongoing	Completed (Date of end)
			(Date of batch)	(Signature of contract)		
					(between date of start and end)	
FP5	EVG2	RTD	1	0	0	0
		AM	0		0	0
		CRAFT	0		0	0
		MC	0		0	0
		NAS1	0			
		NAS2	0			
		TOTAL	1		0	0
	EVG3	RTD	0	5	0	0
		AM	8		5	2
		CRAFT	0		0	0
		MC	1		1	0
		NAS1	0			
		NAS2	3			
		TOTAL	12		5	6
	Total	RTD	168	303	574	35
		AM	64		52	17
		CRAFT	30		39	2
		MC	35		43	10
		NAS1	49		0	0
		NAS2	27		0	0
		TOTAL	373		303	708
FP4	Environment				10	
	MAST				3	
TOTAL					721	

Legenda:

RTD = CA+CM+DM+RS+TN

MC = MCI + MCH

MCH = IND + PHD

AM = GAK + GAK/AVC + GAM + Eloise/Study

CRAFT Cooperative Research Action For Technology

GAK General Accompanying Kitzmantel

GAK/AVC Gen. Acc. Kitzmantel Advanced Study Course

GAM General Accompanying Measures

MCH Marie Curie Host Fellowship

IND MCH Industry

PHD MCH Training Site

MCFI Marie Curie Individual Fellowship

CA Concerted action

CM Combined Research

DM Demonstration Action

RS Research project

TN Thematic network

NAS Newly Associated States

EVG1/2/3: Activities of a generic nature

EVK1/2/3/4: Key actions

EVR1: infrastructure projects

KA1 Sustainable Management and Quality of water

KA2 Global Change, Climate and biodiversity

KA3 Sustainable Marine Ecosystems

KA4 City of tomorrow and Cultural Heritage

EVR1 Infrastructure projects

EVG1 The fight against major Natural and Technological Hazards

EVG2 Development of generic Earth observation technologies
Socio-economic aspects of Environmental Change in the

EVG3 Perspective of Sustainable Development

ANNEX 6. LIST OF ABBREVIATIONS

AC	Accession Countries
AG	Advisory Group
CA	Coordination Action
CC	Candidate Countries
CRAFT	Cooperaritive research
DG	Directorate General
EAC	Education and Culture (Directorate General).
EAG	External Advisory Group
EAV	European Added Value
ENBI	European Network for Biodiversity Information
ENTR	Entreprise (Directorate General)
ENV (DG)	Environment (Directorate General)
EOI	Expression of Interests
ERA	European Research Area
ESD	Environment and Sustainable Development
FP	Framework Programme
FP5	Fifth Framework Programme (1998 –2002)
FP6	Sixth Framework Programme (2002 –2006)
GMES	Global monitoring for the Environment and Security
HLP	High Level Group
HoU	Head of Unit
ICS	Internal Control Standards
IGBP	International Geosphere/Biosphere Programme
IHP	International Hydrology Programme
INCO	International Cooperation
IOC	Intergovernmental Oceanographic Commission
IODP	Integrated Ocean Drilling Program
IP	Integrated Projects
IRC	Innovation Relay Centre
LOICZ	Land-Ocean Interaction in the Coastal Zone
JRC	Joint Research Centre
MAB	Man & the Biosphere programme
MAP	Mediterranean Action Plan
MIS	Management Information System
MS	Member State
NASA	National Aeornautics and Space Administration
NAS	Newly Associated State: Bulgaria, Cyprus, the Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, Slovenia
NCP	National Contact Point
NoE	Networks of Excellence
NSF	National Science Foundation
PC	Programme Committee
PTA	Project Technical Assistant
REGIO	Regional Policy (Directorate General)
RTD	Research and Technology Development (Directorate General)
SAF	Self Assessment Fiches
SG	General Secretariat
SME	Small and Medium Enterprises
SO	Scientific Officers
SP	Specific Programme
STREPS	Specific Targeted Research Projects
TIP	Technology Implementation Plan
TRADE	Trade (Directorate General)
WP	Workprogramme

ANNEX 7. STANDARDISED MATRIX 1999 – 2001 INCLUDING THE FOLLOW-UP OF THE

Issues	Year	<p><i>Recommendations, (R)</i> N.B. The number in bracket indicates the listing number of recommendation in the related year Monitoring Panel report. <i>Follow up, (FU)</i> <i>Comments, (C)</i> N.B. Comments of the 2002 Panel are in bold letters.</p>
1. STRATEGY AND OBJECTIVES		
Overall strategy and objectives	1999	No relevant recommendation this year
	2000	No relevant recommendation this year
	2001	No relevant recommendation this year
ERA	1999	<p>R (11): <i>The Marie Curie activity should be encouraged and strengthened, both at the individual and institutional level.</i> FU: The number of fellowships allocated in the Programme corresponds to the budgetary possibilities for the ESD Sub-Programme. C (2000 Panel): The Directorate's response is unsatisfactory in that it gives no indication as to whether it would wish to strengthen such arrangements or not. In discussions within the Directorate the 2000 Panel was unable to obtain a view as to whether, resources permitting, the Fellowships should be increased. This is surprising in that the ERA seeks to achieve greater mobility of scientists. The Panel supports this view. C (2002 Panel): Up to 2% of the 2001-2002 budget was allocated to Marie Curie activities</p>
	2000	<p>R (7): <i>The Directorate should use the PC forum to support the ERA and in particular establish a process so that PC Members and Commission Officers can work together to form much stronger links between EU projects and national programmes. The Panel also recommends that the Directorate should place greater emphasis on measures to increase the mobility of scientists between organisations participating in the Programme.</i> FU: In the case of ESD the Commission has always searched for strong links between the EU, international and national programmes. In addition, a study (ENVOT) to determine where and how synergy and coordination can be increased has recently been completed. In the Next Framework Programme numerous actions are foreseen to increase links, complementary and coordination between national programmes and national and EU programmes. Mobility will also be a major issue in the FP6. However, it should be noted that many of the obstacles to increased mobility are outside of the control of DG Research (transfer of pension rights, insurances, employment of spouses and schools for children, etc). C (2001 Panel): Mobility is a major issue and does not appear to have been given a high priority by ESD Directorate. An active plan for 'mobility' is needed and some targets should be set. C (2002 Panel): Attention should be given to mobility during FP6.</p> <p>R (3): <i>The Directorate encourages PC Members to use the PC forum for the exchange of information on research initiatives in Member States.</i> FU: On average only one meeting per year is devoted to the presentation and discussion of the results of a call for proposals. Opinions on batches of projects are normally asked for in writing. This has already allowed the Commission to discuss more strategic issues with the Programme Committee, often after consultation of the Expert Advisory Groups. In addition, the Programme Committee has met a CREST ad-hoc group for coordination through cooperation (see also the ENVOT study). With respect to the next Framework Programme, it must be noted that the Programme Committees of Framework 5 have no mandate and that discussions are currently taking place in CREST and in the Research Group of the Council as well as in the ITRE committee of the European Parliament. C (2001 Panel): Acceptable response C (2002 Panel): No further comments</p>

RECOMMENDATIONS OF THE 2001 SP MONITORING PANEL

Issues	Year	Recommendations, (R) Follow up, (FU) Comments, (C)
ERA	2001	<p>R (10): <i>Mobility of researchers in the ERA: The Panel recommends that the Directorate demonstrates an increased level of activity here and in particular in respect to NAS. Further, it would wish the Commission to consider whether mobility opportunities can be incorporated within some of the FP6 projects.</i></p> <p>FU: These different points have already been deeply examined by the High Level Group (HLG) on Improving Mobility of Researchers and national contributions are detailed in the HLG final report of April 2001. Furthermore, the Communication of the Commission "A mobility strategy for the ERA" (June 2001) is based on the conclusions of the HLG report and proposes a series of concrete actions to remove these obstacles to mobility. Moreover, a steering group, with representatives from the Member states and Candidate Countries, has been set up to support the process.</p> <p>C (2002 Panel): No information about increased activities on the Mobility issue in FP5 was available, but the programme target of 2% of the budget has essentially been reached. FP6 addresses the Mobility issue; its efficiency cannot yet be judged (e.g. Mobility strategy for the ERA – June 2001).</p>
	1999	No relevant recommendation this year
Policy/intervention instruments	2000	<p>R (2): <i>A rapid response procedure should be established by the Directorate to accommodate new scientific issues as necessary.</i></p> <p>FU: In the FP5, it was rather difficult to accommodate new scientific issues in the work programme because of the nature of the Specific Programme. The Commission's proposals for the Next Framework Programme and the associated specific programmes allow for greater flexibility and a faster response to emerging needs, especially under "Anticipating the EU's scientific and technological needs."</p> <p>C (2001 Panel): The Panel accepts the Commission's response, noting the restrictions on flexibility within FP5. The Directorate's proactive approach with dedicated calls for Endocrine Disrupters and Biodiversity Networks is welcomed. There will be opportunities to accommodate new scientific issues in FP6.</p> <p>C (2002 Panel): To be followed-up during FP6.</p>
	2001	No relevant recommendation this year
Candidate countries	1999	No relevant recommendation this year
	2000	<p>R (5): <i>The Commission gives special support to NCPs in ACs both to increase their efficiency in informing scientists in their countries about RTD-programmes and during the proposal phase. Incentives should be given to include ACs in RTD networks funded by the EU as a means of making the scientific communities more familiar with each other's capabilities and thus ensuring that the most appropriate research groups are involved in research project proposals.</i></p> <p>FU: The Commission services also agree that the NCPs in accession countries should receive additional, properly tailored support. Therefore several activities are being planned and a NCP Newsletter has been created to help NCPs to disseminate relevant information rapidly.</p> <p>C (2001 Panel): Acceptable response but more attention still needs to be directed to the NCP, particularly in an FP6 and ERA context.</p> <p>C (2002 Panel): The Commission published two special calls (NAS) for proposals to help integrate research teams from NAS countries in the EU research. The support to NCPs in ACs is also addressed under other recommendations</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
Candidate countries	2001	<p>R (11): <i>It is recommended that the Commission should - consider opening up the pre accession funds to establish new and enhance existing infrastructure, mobility and training, - check the FP6 draft workprogrammes in relation to NAS research needs and participation barriers, - have procedures in place to safeguard against NAS exclusion from the larger IPs and NoE proposed for FP6.</i></p> <p>FU: Although the Commission cannot discriminate between countries, a number of actions to encourage and to ease the integration of the Candidate Countries have been undertaken. Thus the general rules like call contents, evaluation criteria or contractual arrangements should not differ for the Candidate Countries, but additional specific measures can be undertaken to encourage their participation in the FP6 and in the new instruments. Already in 2001, substantial efforts have been provided to increase the participation of NAS both in the INCO specific programme and in the thematic programmes:</p> <p>a) Programmes concerning the participation of END and stagiaires in Commission activities have been ongoing in recent years.</p> <p>b) The lists of experts are open for candidate countries as for Member States. The importance of taking advantage of this possibility is underlined by the Commission in all the meetings with candidate countries in which participation in FP is discussed.</p> <p>c) Candidate countries are encouraged to provide CORDIS with the addresses of their information web pages, where all information is available.</p> <p>d) During FP5 "Awareness and Training" actions were supported in all the NAS, some are still ongoing. Specific supporting actions for organisations from CCs are foreseen in FP6.</p> <p>e) During the FP5, Information Relay Centres (IRCs) were selected and supported in each candidate country and linked to the IRCs in the Member States.</p> <p>C (2002 Panel): In Progress. Substantial efforts have been made to enhance NAS participation in FP5 in 2002 in terms of information and communication as well as through two dedicated calls for the inclusion of NAS into the ESD sub-programme bringing the percentage of NAS partners in overall FP5 ESD programme up to 9.3% (7.6% of financial contribution). No safeguard against NAS exclusion from FP6 New Instruments was implemented.</p>
	1999	No relevant recommendation
International cooperation	2000	<p>R (part of 8): <i>The Directorate should aim to enhance research cooperation with non European states and international science programmes</i></p> <p>FU: It is in progress.</p> <p>C (2001 Panel): Taken into account in the FP6.</p> <p>C (2002 Panel): It is included in FP6.</p>
	2001	<p>R (9): <i>It is recommended that a study be undertaken to identify those elements of UN and other international research where collaboration would be readily achievable and most effective in terms of the ERA and European international policy.</i></p> <p>FU: Cooperation in science and research already exists with a number of international organisations. Further, the Summits like in Johannesburg or international conventions organised in tight cooperation with the U.N. (and South Africa) are certainly an opportunity for exchanges and common actions. There is cooperation with NSF (Implementing Arrangement) and NASA, IOC, IODP, LOICZ, COST, EUREKA, etc. Strong participation to IPCC and the UNCSD for Climate change and Sustainable development.</p> <p>C (2002 Panel): Although international cooperation is expanding, no information on efforts to identify and evaluate new elements of possible international cooperation was made available.</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
SMEs	1999	No relevant recommendation this year
	2000	No relevant recommendation this year
	2001	No relevant recommendation this year
Innovation (including	1999	No relevant recommendation this year
	2000	No relevant recommendation this year
	2001	No relevant recommendation this year
Gender awareness	1999	R (part of 1): <i>Gender balance, Less Favoured Region involvement and consistent statistics are three examples of areas that were found lacking.</i> FU: The Commission services are aware of the fact that adequate databases have to be consolidated and more operational, including on the past activity. For example, data on participation of less favoured regions would need quite some programming, a task can only be done efficiently once the central data base system is available. With regard to the participation of men and women, the available data and the information on scientists working on projects in this Sub-Programme (and in the related FP4 Programmes) will be analysed before the first meeting of the 2000 Monitoring Panel in the fall 2000. C (2000 Panel): Gender statistics, which were made available to the 2000 Panel, show that for the ESD Sub Panel there are about three-times more male than female scientists in the older age group [above 35] working on the research projects. In the younger group [under 35] there are equal numbers of men and women. This may be interpreted as an encouraging trend, but it may also indicate that woman are less frequently promoted to senior posts. C (2002 Panel): No comments
	2000	No relevant recommendation this year
	2001	R (18): <i>The Commission should explore means of encouraging women to apply as evaluators. This may involve direct approaches to known women experts and improvement of working conditions, fees, communication arrangements and provision for child care.</i> FU: The Commission agrees that progress needs to be made in this direction. In the preparations for FP6, some measures are envisaged which could help increase the participation of women in the evaluation process, e.g. the increased use of remote evaluation for the individual reading and assessment of proposals. Strong encouragement through personal contact and other means (continuous publicity) is being given to attract more female scientists, technologists and industrialists to evaluation. Unfortunately, although particular efforts are already being done when recruiting experts, it has to be pointed out that the limited number of women involved in the field of research makes the accomplishment of this recommendation difficult. This is likely to take some time to change in view of the low number of female students in some of the relevant disciplines (sometimes only 20%) and the directorate can only support the panel's statement "girls into science" aiming at developing the interest into science at the lowest possible age. C (2002 Panel): An attempt is made to reduce barriers for women in the evaluation of FP6, e.g. the introduction of remote evaluation. Details of these plans are not known, but they could imply problems regarding confidentiality. Stronger involvement of national and regional bodies by the EC could help to increase the application of women scientist as evaluators..
Public awareness	1999	No relevant recommendation
	2000	No relevant recommendation
	2001	No relevant recommendation
Socio-economic aspects	1999	No relevant recommendation
	2000	No relevant recommendation
	2001	No relevant recommendation

Issues	Year	Recommendations, (R) Follow up, (FU) Comments, (C)
2. IMPLEMENTATION, MANAGEMENT AND PROCESSES		
Procedures and tools in general	1999	No relevant recommendation
	2000	No relevant recommendation
	2001	<p>R (13): <i>There is a widespread and recurrent demand to simplify procedures and use plain language documentation and these requirements must be addressed urgently by the Commission</i></p> <p>FU: The services responsible for the implementation of the FPs are in favour of simplifying the procedures where this is possible. But, under no circumstances may the Commission jeopardize its accountability to the European Parliament and the taxpayer. Efforts have been undertaken to make FP6 documents easier to read and more simple than FP5.</p> <p>C (2002 Panel): In view of the obvious misunderstandings regarding the call for EoI (about 50% of the EoI's were out of scope, incomplete or of insufficient quality) and the present uncertainty in the interpretation of the New Instruments it seems that further improvement is necessary.</p>
Launch of activities (calls for proposals, information to proposers, application tools...)	1999	<p>R (3): <i>The Guide for Proposers should be shortened and improved by eliminating repetitions and ambiguities and adding an index to help applicants locate the relevant pieces of text and a final debugged version of the electronic submission Protocol be urgently finalised, and made much more user friendly.</i></p> <p>FU: The Commission services are revising the Guides for Proposers and Protocol. Since these tools are not specific to the EESD Programme, appropriate working groups have been set up at the level of the DG. In fact, Protocol has been working substantially better for the second call (closed in February 2000) than it did in the first call. The recommendations of the Panel will be considered in the scope of current activities aimed at improving.</p> <p>C (2000 Panel): The response from the Commission is satisfactory. The Guide has been improved.</p> <p>C (2002 Panel): The Panel agrees for FP5, but cannot yet evaluate the Guide for FP6 proposals.</p>
	2000	<p>R (11): <i>The Directorate investigates the reasons for the apparent differences in the level of support provided by the Units to the coordinators at the proposal presentation and submission stages.</i></p> <p>FU: The proposers are invited to address their questions to the Helpdesk. This allows the directorate to give the same answer on administrative, financial and legal issues to all potential proposers. If questions are directly addressed to staff, there will inevitably be differences in treatment. For NAS calls, questions can be addressed both to Helpdesks and coordinating staff.</p> <p>C (2001 Panel): Acceptable response</p> <p>C (2002 Panel): In the introductory phase of the New Instruments the system did not work sufficiently well. Conflicting information has and is continuing to confuse the scientific community</p> <p>R (13): <i>The Directorate through seminars/workshops/visits etc ensures the full participation of the NCPs in FP5 activities.</i></p> <p>FU: The directorate organises seminars for NCPs. The same is done by the unit responsible for SMEs. The staff member responsible for the NCPs is also in regular contact with the NCPs via email. This activity has been substantially increased although not all NCPs are equally active. An increased support to NCPs from DI has been requested.</p> <p>C (2001 Panel): The 2001 Panel has contacted a numbers of NCPs, most of whom wish to have more support from the Commission.</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
Launch of activities (calls for proposals, information to proposers, application	2001	<p>R (19): <i>The Commission reviews the NCP arrangements with MS and NAS and establishes a more effective interaction with NCPs than at present.</i></p> <p>FU: DG Research agrees with this recommendation since it is a clear priority for DG Research to be able to count on a very high-level network being able to inform and assist potential participants and contractors in Community RTD projects.</p> <p>The Commission emphasises that national governments are responsible for establishing, performance monitoring and quality assurance of their NCPs. Discussion of document with guiding principles for establishing improved NCP systems for FP6 is finalised.</p> <p>The Commission will provide more frequent training and permanent exchange of information on all aspects of FP6 to NCPs nominated by MS and AS.</p> <p>C (2002 Panel): Training of NCPs has been enhanced and most of them seem to be satisfied. However, their confidence in their understanding of the NoEs is not high, which indicates, that more training is necessary.</p>
Evaluation and selection of proposals (evaluation manual, time to contract...)	1999	<p>R (4): <i>A two-phase evaluation process (pre-proposal, then full proposal for only a few selected pre-proposals) should be tested for performance, possibly for one of the Key Actions at first, in order to permit more accurate selection of proposals near the cut-off point.</i></p> <p>FU: The Commission services are reviewing the procedures. The evaluation rules are imposed by Council Decisions and a Manual which is largely common to all Specific Programmes. Changes to the latter could possibly be considered for the years 2001 and 2002.</p> <p>C (2000 Panel): The Commission has not tested the two- phase evaluation procedure. The Panel was told that a Commission review, which included the results of German experience, concluded that the two-phase procedure would increase the workload and extend the time between proposal submission and decision.</p> <p>C (2002 Panel): It seems that the two-phase evaluation process is being reconsidered by the Commission, but no details, e.g. on a small-scale test are available.</p> <p>R (5): <i>The Database for Expert Registration should be made much more user friendly, and the selection of evaluators should be more directly controlled by the Commission in order to ensure a high professional level of the evaluation process.</i></p> <p>FU: A first simplification has already been implemented and a working group of the DG is currently looking into further possible simplification. With regard to the quality of the experts, the Commission services are doing everything to select the highest quality experts from the lists when choosing experts, with the constraints that there must be some balances with regard to gender and nationality, that there must be a rotation of experts every 3 years, that the requested expertise be covered and that there be no conflict of interest. The suggestion for additional possibilities from professional organisations will be followed up. However, under current rules, the experts still have to register individually.</p> <p>C (2000 Panel): A satisfactory response was given by the Commission. The registration form has been simplified.</p> <p>C (2002 Panel): Registration is more user friendly and an effort was made to make the transition from FP5 to FP6 database easy. The issue at present is the increase in the number of female evaluators (see also: gender issue).</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
Evaluation and selection of proposals (evaluation manual, time to contract...)	1999	<p><i>R (6): Moderators should ensure longer consensus reports that are well formulated, clear and informative, effectively substantiating panel evaluation. Copies of consensus reports on all proposals must be sent to the co-ordinators the day after the information meeting of the Programme Committee, emphasising their duty to inform the participants.</i></p> <p>FU: The Commission services will take these recommendations into account. The moderators and when needed the Heads of Units, will closely follow the preparation of the consensus reports and panels will be given more time to write these reports. Further, the Commission services are investigating the possibilities to release the consensus reports as early as possible (actually in place since May 2000), in respect of any legal constraints there might be.</p> <p>C (2000 Panel): Acceptable response.</p> <p>C (2002 Panel): Many consensus reports are still not convincing. Considerable delay occurred in the official transmission of some consensus reports of the 2001 calls; only unofficial information reached co-ordinators rapidly.</p>
	2000	<p><i>R (6): The Commission establish a clear set of guideline criteria for evaluation of European Added Value with some urgency.</i></p> <p>FU: The Commission services will keep the recommendation for clearer guidelines for evaluation criteria like EAV in mind for FP6, the last call for FP5 closing within a few months.</p> <p>C (2001 Panel): Acceptable response</p> <p>C (2002 Panel): A better explanation is needed and clearer guidelines must be defined in FP6</p> <p><i>R (14): The Directorate (a) continues the trend towards making the application process more 'user friendly' and (b) analyses the scientific capability and reputation of the evaluators [1999-2000] in relation to the wider ESD scientific community</i></p> <p>FU: Especially the formalities for the inclusion of candidates in the list of potential evaluators have been simplified and the long form has been abolished. There should therefore be no barriers for the inclusion of very busy high level experts on these lists.</p> <p>C (2001 Panel): No reference has been made to a more "user friendly" application process. The quality assessment of evaluators has not been addressed by the DI. To be considered in FP6.</p> <p>C (2002 Panel): This issue is of particular relevance in the New Instruments of FP6 and should be followed-up.</p>
	2001	<p><i>R (16): The Panel recommends that the Commission urgently develops its procedures for selection and management of very large proposals and projects so that potential difficulties can be identified and exclusion barriers avoided.</i></p> <p>FU: Obviously the Commission will adapt its procedures to the new FP. About the overcoming of the barriers to the exclusion from IPs and NoEs: 15% of the budget devoted to the SMEs will partly ensure the participation of SMEs; EOIs has allowed potential proposers from smaller and CC to start searching for possibilities to join consortia before proposals are due; new evaluation rules adapted to large and very large projects are under development. No indications of exclusions barriers are visible in the EOIs for the new instruments.</p> <p>C (2002 Panel): Procedures as recommended by the Panel are not yet in place. The 15% rule for SME might develop into a serious problem for priority 1.1.6.3 if applied undifferentiated to all SPs. The Panels analyses of Eol returns does indicate a potential problem for NAS participation.</p> <p><i>R (22): Consistency of evaluations of proposals: In view of these concerns and as an additional check it is recommended that a confidential re-evaluation study of a sample of randomly selected proposals should be undertaken.</i></p> <p>FU: With the advent of FP6, the evaluation procedures have been reviewed.</p> <p>C (2002 Panel): No steps have been taken towards quality check of evaluations by confidential re-evaluation of a random sample of proposals. This quality assurance could be delegated to the AG.</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
Management Information System/Internal IT system	1999	<p>R (7): Task and personnel mobility should be implemented, calls staggered, and a comprehensive Databases and Management Information System (MIS) perfected in order to alleviate the work involved in contract negotiation and shorten its period. In this context, the preparation of the contract negotiation files by SOs should be improved.</p> <p>FU: The possibilities for task and personnel mobility are relatively limited if the human resources are not increased. In fact, both are only possible if there are possibilities to use gaps i.e. to move personnel on a temporary basis to other jobs if this does not endanger their primary responsibilities. The central data base system of the DG is expected to be operational before the summer 2000 and should ease the whole data maintenance. The MIS of DI has proven itself in 1999 and will be further developed (in complementarity to the central MIS). The initial phase of the contract negotiations will be reviewed.</p> <p>C (2000 Panel): Accepts that the Directorate's ability to increase staff mobility is limited by resource constraints but the situation would be eased through more outsourcing of work. The MIS is being improved progressively but is still not a satisfactory system. It may be necessary for each Directorate to develop its own information system but these should be compatible and networked.</p>
	2000	No relevant recommendation this year
	2001	<p>R (8): Directorate should place a much higher priority on the use of more rigorous procedures for input of current project data to its own system. In addition it must give its full support to the establishment of an interim arrangement for the provision of a centralised system for DG Research.</p> <p>FU: Since the development of the MIS in 1999, the data quality has substantially improved although there are still some difficulties, notably with regard to completeness and real-time updating. A DG-wide working group is currently preparing the informatics of FP6.</p> <p>C (2002 Panel): The new DG wide system is being implemented, its efficiency will need to be monitored in the coming years.</p>
Specific cases/programme	1999	<p>R (12): There is room for quite some improvement in both intra- and inter-programme collaboration activities, as well as with activities attributed to the JRC, and it is felt that this may be accomplished through initiatives of the various Co-ordination Directorates.</p> <p>FU: A number of collaborations already exist. The Group of Directors involving representatives from the Thematic Programme for preserving the ecosystem, all the other RTD Programmes and the policy DGs, has been the main internal instrument and vehicle for carrying out consultations and discussions on strategy for the implementation of the Programme, the outcome of calls for proposals and the updating of the work programme. It has also been the forum for exchange of news and important issues at Programme Committee and EAG meetings. This mechanism has been completed by bilateral contacts and specific topics of mutual interest. The establishment of mini-teams, involving officials at working level from the various Programmes and policy DGs, built around the key actions, will foster closer integration and cooperation between the Programmes. The Commission services will continue to examine ways and means of improving collaboration.</p> <p>C (2000 Panel): The Directorate's response is partially satisfactory. There are systems in place which should aid collaboration and information exchange but do they work?</p> <p>C (2002 Panel): The New Instruments of FP6 might also lead to more intra-programme collaboration. The situation of the JRC has not been looked into by the Panel.</p>
	2000	<p>R (8): The Directorate should aim to (a) improve its interaction with the policy Directorates and (b) secure opportunities within the ESD Sub Programme for an element of curiosity driven research.</p> <p>FU: A number of actions have already been implemented, e.g. teams of colleagues from different DGs working together (Director and staff levels). Another example is the involvement of DG Environment in the briefings of evaluators on policy issues. Also two dedicated calls to address important topics have been prepared with other directorates, one on endocrine disrupters and another one on a biodiversity facility.</p> <p>C (2001 Panel): Generally acceptable response but no reference was made to the "curiosity driven" research.</p> <p>C (2002 Panel): FP6 "Activity 8.1" will is a good example of increased collaboration with policy DGs and their programmes; it also offers a window for curiosity driven research. The success of this priority needs to be monitored in the coming years.</p>

Issues	Year	<p><i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)</p>
Specific cases/programme	2001	<p>R (3): <i>Coherence of management of Sustainable Development issues in FP6: Inter-Directorate management arrangements to handle these cross - thematic topics are to be carefully planned and introduced in a timely way so that hasty ad hoc solutions leading to fragmentation and loss of quality are avoided.</i></p> <p>FU: Unit "Policy aspects" has been mandated to "supervise" the aspects to Sustainable Development in different FP6 activities. Links have been established and specific measures have been taken to ensure the coherence throughout FP6. The Communication on "Impact assessment" has been implemented and information on major policies and initiatives are given to the other Directorates.</p> <p>C (2002 Panel): A number of activities are ongoing in support of coherent management of the Sustainable Development issues, but there does not seem to be an underlying, overall concept.</p> <p>R (17): <i>It is recommended that transitional procedures with clear lines of responsibility need to be established so that FP5 projects continue to be effectively managed and impact studies and exploitation of research results from FP4 and 5 projects can be continued.</i></p> <p>FU: Follow-up of on-going projects will be ensured. The new structure of DI reflects the need to manage FP4 , FP5 and FP6 programmes.</p> <p>C (2002 Panel): Although the DI is aware of the problems and is attempting to resolve them, it is doubtful that the measures taken - especially in view of personnel cuts - will be sufficient.</p> <p>R (4): <i>The Policy Unit of Directorate I recognises the importance of expanding ESD science into industry and commerce and considers that there are particular opportunities in technology, mathematical modelling, database development etc. The Panel fully supports this and recommends that the Directorate should develop an action plan for implementation within FP6.</i></p> <p>FU: Policy unit has published a document on the available tools of the ESD for the Sustainability Impact Assessment.</p> <p>C (2002 Panel): The document on the available tools of the ESD for the Sustainability Impact Assessment is welcomed as a means of dissemination, but it does not support the original aim of the recommendation: to enhance SMEs participation.</p>
Dissemination of information and results	1999	<p>R (14): <i>The Commission should develop a concerted and focused effort on result dissemination, for the joint purposes of activity evaluation, image strengthening, and conception of future activities. NCPs should be involved in dissemination of project results. An effort must be made to ensure the same service by the NCPs of all countries.</i></p> <p>FU: It needs to be recalled that first contractors have to exploit and/or disseminate the results of their projects. On top of that, one person has been mandated to work on the dissemination issues inside the ESD Sub-Programme. Another person is working on the NCP network which has already been substantially strengthened and improved since 1998.</p> <p>C (2000 Panel): Noted that the ESD Five-Year Assessment Panel also recommended that a major effort should be made by the Directorate to increase its dissemination activity. The Directorate has responded by allocating one person to work on dissemination issues within the ESD Sub-Programme. This is a totally inadequate response.</p> <p>C (2002 Panel): Dissemination is one of the most persistent issues.</p>
	2000	No relevant recommendation this year

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
Dissemination of information and results	2001	<p>R (12): <i>The Directorate should explore possibilities for making greater use of the wide range of media communication pathways. Similarly, the use of e-mail for distributing information on new developments to a select, informed, scientific and technical audience should be investigated. Unless additional staff resources can be secured, these important communication and dissemination activities should be externalised.</i></p> <p>FU: Since the launch of the ERA concept in 2000 there has been an extensive information campaign involving not only official communications but also more publicity oriented documentation. In the framework of the action plan for Science and Society, a special action is foreseen to establish a better interaction between the scientific community and the media.</p> <p>With regard to the communication of research results to a large public, all coordinators (and participants) of projects generally have their own web sites which the Commission is always happy to "hyperlink" to CORDIS. Some projects appear in various media, including on TV. Number of press releases and presentation into major communication events, e.g. Barcelona on water.</p> <p>C (2002 Panel): Previous activities were continued, but no special effort along the lines of the recommendation were made. There is much room for a more pro-active information policy, but this is limited by the workload of the staff.</p> <p>R (1): <i>The Directorate prepares a priority list of topics for synthesis, undertakes the necessary work and arranges for publication and dissemination.</i></p> <p>FU: The objective of the Commission is to publish the summaries and main results of all projects. The Information and Communication Unit, in conjunction with SPs, draws up a project-centred publications policy consistent with its own more general policy. This sub-policy could include the provision for an annual plan of synthesis and analysis reports and publications to be undertaken. Dissemination is already actively sought using the web and through the organisation of conferences. Most project coordinators usually set up a web site dedicated to the project and present results at a project dedicated workshop and at conferences. On the Commission side, hyperlinks permit the access to project websites from CORDIS.</p> <p>A wider publication policy is being put into place, the first action of which being the selection of 50 projects most relevant for the Sustainable Development Strategy have been selected and are subject of a synthesis by PTAs to make "Sustainability impact assessment." Dissemination of result of ELOISE project through a dedicated service contracts.</p> <p>C (2002 Panel): The Commission response is satisfactory even though there is room for a more pro-active information policy, but this is limited by the workload of the staff. The actions, largely started only in late 2002, should deliver their main outputs in 2003, provided the additional workload this puts on the staff be taken account of in a timely manner.</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
Evaluation and monitoring	1999	<p>R (1): <i>The presentation of documents for monitoring panels should be organised, systematic and as comprehensive as feasible at the start of the monitoring exercise. For this purpose it is of prime importance that adequate databases be made available to DG Research as soon as possible. Gender balance, Less Favoured Region involvement and consistent statistics are three examples of areas that were found lacking.</i></p> <p>FU: The Commission services are aware of the fact that adequate databases have to be consolidated and more operational, including on the past activity. For example, data on participation of less favoured regions would need quite some programming, a task can only be done efficiently once the central data base system is available. With regard to the participation of men and women, the available data and the information on scientists working on projects in this Sub-Programme (and in the related FP4 Programmes) will be analysed before the first meeting of the 2000 Monitoring Panel in the fall 2000. The statistics should become automatically consistent once they are drawn from a single database. Producing these statistics requires to gather the data from applicants/contractors and to develop appropriate functions in the software for their analysis. The priority of this task has to be defined.</p> <p>C (2000 Panel): With respect to documentation the response of the Commission was unsatisfactory. The Commission Officers must be aware of the type of documentation and statistical summaries that are needed by the Monitoring Panels. When requests for statistics were made the Panel was presented with many pages of data often without adequate captions. This wastes the Panel's time and leads to frustration. It is noted that 1999 Five-Year Assessment Panel for the ESD expressed similar concerns and called on the Directorate to anticipate the Panel's needs in the future by producing a document giving a brief overview of the Programme and areas of achievement or concern from a Directorate perspective. The Panel wishes to have such arrangements in place in advance of the next Monitoring exercise.</p> <p>C (2002 Panel): Basically the same recommendation was made in 2000 and 2001. For the Panel's comments see 2001.</p> <p>R (2): <i>Reimbursements of travel and subsistence expenses to every contracted expert must be expedited to fulfil contractual obligations, and prepayments made timely, in order to enable the Commission to contract high level expertise.</i></p> <p>FU: Following major problems of the payment related informatics of the DG Budget, payments of all services had been delayed earlier in 1999. 1999 was therefore rather exceptional year. The limited staff available for payments could not catch up with the thousands of payments to be made each month. This should not be a problem in 2000 since the central payment system is back working again.</p> <p>C (2000 Panel): The Commission response is satisfactory but the 2000 Panel was concerned that any expenses incurred while holding interviews with PC and EAG members or national representatives other than in Brussels were not to be reimbursed. The Panel considers that 'face to face' interviews are very valuable and would therefore recommend that some budget provision is made so that a limited amount of travel to undertake interviews in a Panel Member's home country or in an adjacent country can be accommodated.</p> <p>C (2002 Panel): Additional interviews were not an issue in the "light monitoring" of 2002.</p>
	2000	<p>R (1): <i>Documents giving basic statistical data and analysis and describing the principal issues facing the Directorate in developing and managing the research should be made available to future Panels at the start of their work.</i></p> <p>FU: The directorate has made statistical and other background data available to the panel with the fiches of the self assessment. However, in the Commission's view the panel can easily start its work without the statistics since these constitute only one input among many to the whole exercise, and the Heads of Unit and the Director present the most important activities to the panel at the first two meetings.</p> <p>C (2001 Panel): The self assessment fiches are a valuable contribution to the monitoring process but the completed assessment, together with statistical data, are needed at the start of the Monitoring process so that interviews can be well structured and the Panel's work effectively planned.</p> <p>C (2002 Panel): Basically the same recommendation was made in 2000 and 2001. For the Panel's comments see 2001.</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
Evaluation and monitoring	2001	<p><i>R (20): ... that for future monitoring activities the 'self-assessments' contain the most recent statistics and that they are completed and provided to the Panel in advance of its first meeting. The Commission should examine re-scheduling the start of the Panels' work (possibly by two months).</i></p> <p>FU: The statistics are always the most recent available. If the monitoring starts in October, reliable statistics are obviously only available up to the summer. Statistics covering the full year are only available early the following year.</p> <p>C (2002 Panel): The situation of the Monitoring Panel was practically identical to the one last year: The complete Self Assessment Fiches were not ready in time to serve as a basis for the interviews, and the complete statistics were only made available at a very late stage. The Commission has not commented on the option of re-scheduling the monitoring work.<i>R (21): The annual and 5-year monitoring are necessary but the Panel considers that the Commission should consider holding a less intensive exercise every other year.</i></p> <p>FU: The Commission plans to make every other year a lighter monitoring, starting with the 2002 monitoring.</p> <p>C (2002 Panel): Lighter monitoring as practiced this year, could be sufficient, but it should nevertheless be well prepared in a timely manner on the part of the Commission. The essential question however is whether there is a will to develop the monitoring exercises into more powerful tools, to better serve the commission.</p>
Human resources	1999	No relevant recommendation this year
	2000	<p><i>R (12): The effectiveness of the PTAs and other external support to the Directorate and its Scientific Officers be assessed by the 2001 Monitoring Panel.</i></p> <p>FU: No comment (a recommendation for the 2001 monitoring panel)</p> <p>C (2001 Panel): Impossible for the 2001 Monitoring Panel to assess the impact of PTA as appointments have only recently been made due to bureaucratic delays.</p> <p>C (2002 Panel): The Panel did not monitor the effectiveness of PTAs; the dissemination and exploitation project delegated to PTAs has only recently started, and the role of PTAs in the handling of Eol was not discussed. by the Panel.</p>
	2001	<p><i>R (6): It is recommended that the Directorate develops a plan to ensure that an appropriate balance is established between the management aspects and the scientific skill base (of the personnel), the latter must not be completely eroded.</i></p> <p>FU: The personnel is encouraged to keep up to date with the advancement of the science and science policy. Programme SOs are also responsible for the administrative tasks. Their scientific skills will have to be maintained in order to maintain an "authority" for the scientific areas. The role of the Unit "Administration and Finance" is crucial in order to simplify and to keep the time dedicated by SOs to the negotiations of management and financial aspects of the contracts to a minimum.</p> <p>C (2002 Panel): In FP6 the role of Scientific Officers (SO) needs to be modified and be focused on supervision and early dissemination and exploitation of results in line with ERA objectives but no plans seem to have been developed for this transition. For FP5 projects as well as for programme development more use could be made of external experts (e.g. peer reviewers, members of AG) for scientific issues. The Unit "Administration and Finance" should help to keep the time dedicated by SOs to the negotiation of management and financial aspects of the contracts to a minimum by simplification and streamlining of the necessary procedure.</p> <p><i>R (7): In order to continue to cope it is recommended that the Directorate increases its staff resource [possibly through the use of PTAs or external consultants] whilst examining its priorities with the aim of shedding some of the less urgent activities.</i></p> <p>FU: The staff resources for the Research staff are defined by Council and Parliament. An increase is therefore not easy and the director and the heads of unit have to continuously monitor the activities of the directorate according to the priorities. PTAs have been engaged to assist the SOs in a number of tasks. DI has been restructured in order to fulfill the new FP6 requirements and a personnel reduction of about 10% has been introduced</p> <p>C (2002 Panel): As external pressures increase (e.g.: personnel reduction, restructuring of the Directorate I due to FP6 management) the examination of priorities and shedding of some activities becomes even more important. No indication was given, that this has been addressed in a systematic manner.</p>

Issues	Year	Recommendations, (R) Follow up, (FU) Comments, (C)
3. IMPACT OF POLICY AND PROGRAMMES		
Impact assessment (incl. TIP)	1999	<p>R (8): <i>Project follow-up was not considered to be effective. Scientific Officers should both be free and indeed feel compelled to visit at least once their ongoing projects during the initial phase, and Heads of Unit should actively manage this. More attention should be paid to project activities throughout its lifetime. Together with the other areas in which SO activity should be increased, this might mean consideration be given to staff numbers and task allocation.</i></p> <p>FU: SOs normally visit project regularly. This could be streamlined and a visit around mid-term be the rule, either for individual projects or for groups of projects. However, missions have to be kept as short as possible.</p> <p>C (2000 Panel): Active interchange and monitoring of projects by the Directorate during the lifetime of a project is essential. If this task cannot be met from within the Directorate due to staffing constraints it should be externalised.</p> <p>C (2002 Panel): The Panel did not monitor at project level; however, responsibilities of the SOs should be clearly defined and a frame should be given for the time allocated to different activities. This will be of special importance while FP5 and FP6 projects overlap.</p> <p>R (9): <i>Appropriate measures should be taken to ensure, from both SOs and project co-ordinators, prompt completion of Technology Implementation Plans, as well as their subsequent and systematic follow-up.</i></p> <p>FU: Although the contractual agreement foresees the submission of a TIP by each contractor in FP4, the follow-up after the project period was not yet part of the rules. This is different in FP5. The fact that only 25% of the projects had submitted their TIPs in 1999 will be corrected. SOs are ensuring that in the future all project participants submit a TIP (at least the table with the results and how they will be exploited). It has to be noted, however, that the TIP is really designed for technology projects, and not as much for scientific or socio-economic projects. This will require some adaptations.</p> <p>C (2000 Panel): The Directorate's response on the completion of TIPs is satisfactory, but no steps have been taken to adapt the TIP to meet the specific needs of the ESD.</p> <p>C (2002 Panel): An adaption of the TIPs to the needs of ESD has still not been made. Requiring pertinent information from project co-ordinators with every interim report may help to make TIPs more useful.</p> <p>R (10): <i>Consultants be engaged and workshops organised with the purpose of ascertaining potential result application. An institutional procedure should be implemented aiming to ease the translation of R&D results that have potential regulatory, policy or technical importance into practical use.</i></p> <p>FU: Scientific Officers are in contact (via an appropriate mechanism) with other DGs in order to allow for the transfer of results for policy needs (e.g. with the DG Environment). This role will be strengthened and broadened in the implementation of the ERA. Contactors are encouraged to inform stakeholders of results. In FP5 this is even part of their work. Also, the non-confidential part of TIPs is available to all stakeholders and new ways of making results available to Member States for their policy needs are being established.</p> <p>C (2000 Panel): While the Directorate has made some progress in the application of research results to meet policy and other requirements this falls short of what needs to be done. The response is therefore unsatisfactory.</p> <p>C (2002 Panel): The Commission does not sufficiently differentiate between dissemination of information and results, exploitation and impact assessment. Though they are related, they require the application of widely different methods. Although there is still room for improvement, activities to disseminate are comparatively numerous, while those for exploitation are fewer. In the case of impact assessment - possibly the most complex - even the method is unclear.</p>

Issues	Year	Recommendations, (R) Follow up, (FU) Comments, (C)
3. IMPACT OF POLICY AND PROGRAMMES		
Impact assessment (incl. TIP)	2000	<p>R (9): Many of the research results are not being effectively utilised and recommends that the Directorate should make available substantial resources to establish a policy for the analysis and synthesis of research results and their dissemination. In an associated activity the Directorate should undertake a systematic study of the impact of the research results from FP3 and FP4.</p> <p>FU: The Commission has already implemented the Technology (or better: Results) Implementation Plan which gives an overview of the results and the intended use of these. This should allow a better follow-up in the future. The first of these TIPs of FP5 projects are expected to be submitted in 2002. The possibility to have several staff members follow these in detail will depend on the staff resources available.</p> <p>C (2001 Panel): The issue of impact assessment for FP4 is addressed in the 2001 Monitoring Panel Report.</p> <p>R (10): The 2001 Monitoring Panel examines the effectiveness of these new management arrangements.</p> <p>FU: No comment (a recommendation for the 2001 panel)</p> <p>C (2001 Panel): Acceptable response</p> <p>C (2002 Panel): To be followed-up case by case.</p>
	2001	<p>R (2): More should be done, possibly using NCPs to disseminate results and assess impacts, and that at least one permanent staff member in each of the Directorate's Units should be a focal point for exploitation and impact issues. An assessment of the impact of FP4 should be made as soon as possible by the Directorate taking full account of the impact methodology already in use elsewhere in DG Research.</p> <p>FU: There are three types of impact which are under consideration:</p> <ul style="list-style-type: none"> • Impact of past FPs on the research community and the advancement in research knowledge. A set of indicators such as number of publications, number of patents, number of international partners of research institutes, etc. has to be completed. • Impact assessment of ESD research on economic, environmental and social aspects. In the future with FP6 the role of impact assessment will be strengthened. • The ex-post assessment at the project level but also at cluster, Key Action and programme levels. <p>Briefings of 2-3 days on implementation and strategic orientation have been made; three PTAs make the assessment and the promotion.</p> <p>C (2002 Panel): The Panel agrees with the description of impact types, but has found little evidence of actions taken to assess any of the impacts. NCPs do not seem to be involved beyond the proposal preparation. More use should be made of these resources especially for the impact assessment. The NCP briefing addressed in the Commissions reply mainly covered the FP6 launch and implementation. Appropriate indicators for impact still need to be developed for Environment and Sustainable Development.</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
Impact assessment (incl. TIP)	2001	<p>R (14): <i>A procedure should be established by the Research Directorates to utilise immediately results with a high policy, commercial or social importance as they emerge during the course of a project.</i></p> <p>FU: The Group of Directors at which there is also a Director from DG Environment is informed of all projects before contract negotiations start. Hence, those which are potentially of interest for Environmental or SD policies can be followed easily. Similar procedures apply for other programmes.</p> <p>C (2002 Panel): Progress has been made for policy relevant results in some areas and a catalogue of CRAFT results is being assembled. FP6 has a special line of action ("priority 8") with research questions defined together with policy DGs which should guarantee immediate utilisation of results</p> <p>R (15): <i>Important bridges could be established by having a formal document listing the priority areas for research required to support each technical and scientific Directive and it is recommended that this should be prepared jointly by Directorate I and the relevant Policy Directorates. This recommendation should also be applied in the wider FP context.</i></p> <p>FU: The institution of Policy Units had this purpose and at present the Policy Unit of Directorate I is contributing to a number of legislative processes, such as the preparation of an Inter-service Guideline on Sustainability Impact Assessment, the elaboration of an Action Plan for Environmental Technologies (DG ENV) and the organisation of the events of Rio+10 at Johannesburg (Secretariat General). On the other side the research needs for the 6th Environmental Action Programme have been formulated in that Programme and have been integrated from the outset into the FP6.</p> <p>The Groups of Directors will also be involved in the preparations of the work programme for FP6 (priorities 6 and 8 in this case).</p> <p>C (2002 Panel): Although no listing was made, discussions in preparation of FP6 were fruitful and the Panel considers that satisfactory progress has been made..</p>

Issues	Year	<i>Recommendations, (R)</i> Follow up, (FU) Comments, (C)
4. OTHERS		
EAG	1999	<p><i>R (13): Harmonisation between the External Advisory Groups, the Programme Committee and eventually the New Science Forum should be ensured, for example through a mid-year sub-programme workshop.</i></p> <p>FU: As in the past with IRDAC, ESTA, ECOPS, EMAPS etc. the Commission services use a number of advisory bodies to get input for a number of activities in a transparent way. This does not interfere with the role of the Programme Committee since it is done before the Programme Committee is asked for an opinion, and hence the role of the Programme Committee is not questioned. These advisory bodies can also give advice on topics for which the Programme Committee is not involved.</p> <p>C (2000 Panel): The Directorate response does not address this issue.</p> <p>C (2002 Panel): The role of external advisory groups and their interactions need to be reconsidered in in-depth discussions, going beyond Directorate I.</p>
	2000	<p><i>R (4): The Directorate defines the EAG role more clearly and establishes a means for more effective interchange of information between EAGs and the PC.</i></p> <p>FU: Strengthening the strategic role of both the EAGs and the Programme Committee as well as the interaction between these bodies are of particular interest for the future. The role of the EAGs can, however, not go beyond that of an advisory body, while that of the Programme Committees is defined by a Council Decision and input for future activities is generally first discussed by CREST. CREST may then ask the programme committees to meet as CREST ad-hoc groups with appropriate mandates (e.g. to give input for new specific programmes). It has to be noted that for this Framework Programme, the EAGs were consulted i.a. on the contents of the ESD workprogramme and the revision there. Their advice was then made available to the programme committee at its discussions. No changes will be made at this moment.</p> <p>C (2001 Panel): The response with respect to the EAGs is unacceptable. Many EAG members are disenchanted with the Directorate in that they do not think their advice is being properly considered.</p> <p>C (2002 Panel): see comment in 1999 and 2001.</p>
	2001	<p><i>R (5): If the EAGs are to continue it is recommended that their role in FP6 and the ERA should be urgently formulated.</i></p> <p>FU: The mandate and the composition of the EAGs are subject of revision for the FP6. The new structure is expected to be in place in time for the launch of the Programme. There will be a new advisory structure for Priority 6 of FP6.</p> <p>C (2002 Panel): The mandate and the composition of the EAGs has been revised and one Advisory Group (AG) for Global Change and Ecosystems has replaced the 3 External Advisory Groups established under FP5. The old EAGs and the newly established AG had no mandate for the decisive phases of FP6 and Global change and Ecosystems Specific Programme. The present AG has no mandate regarding FP5, although it will be active for another 2 – 3 years. There is a discrepancy in perception of the role of the AG between AG members and Commission staff which needs to be addressed.</p>

PART B:

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

RESPONSES BY COMMISSION SERVICES TO THE 2002 ESD MONITORING REPORT

Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
1 Even though present management arrangements are working well, Directorate I does not have enough staff to carry out all the work presently required in a satisfactory way. Workload will increase with closer ties to policy units and if Panel recommendations are implemented, and it is not clear whether the New Instruments will reduce the demands on SOs. Therefore evaluation and streamlining of the activities are indispensable. A concept to achieve this should be worked out and adopted by the Group of Directors.	The impact of the Reform is expected to improve strategic planning. In fact, strategic objectives are set at the DG level and then priorities at the level of the Directorate are set out in the Annual Management Plan (AMP), which is part of the Activity Based Management (ABM). These priorities are then made operational at the level of Unit, on the basis of which individual objectives are established in the course of the Career Development Review. Once the ABM system will be fully operational, its regular update and revision will allow to manage new priorities. The Group of Directors is not involved in the Directorate internal organisation.	The Unit/Directorate priorities need to be communicated regularly to the staff. The communication of the Directorate priorities and the AMP could be done during Heads of Unit meetings and, if necessary, SOs meetings that are organised monthly at the Directorate level.	Periodically
2 In FP6 the scientific role of Scientific Officers (SOs) should be modified and focus on supervision and early dissemination and exploitation of results in line with ERA objectives. If financial and administrative tasks remain with the SOs, procedures must be simplified by giving to SOs real responsibility in making decisions, with a system of control to check the quality of these decisions on a random basis, rather than a safeguard system, to prevent all possible mistakes.	This recommendation is not consistent with the Financial Regulation, which requires that an ex-ante control be made for each financial and administrative action initiated. To this end, the new Financial Regulation introduces the role of the initiator and verifier. The administrative burden on Scientific Officers should be reduced for the Sixth Framework Programme projects that will require less micro-management tasks, e.g. simplifying the negotiation and introducing the audit certificates. Moreover, IT tools (FASIS, PWSIS etc.) have been made available to SOs to follow contract management (see recommendation No. 4 of the Framework Programme Panel).		
3 One of the problems that remained unresolved is giving external advice a real function in the Global Change and Ecosystems SP: neither the old EAGs nor the new AG had a mandate for the decisive phases of FP6 and Global change and Ecosystems Specific Programme definition. The extent of involvement in the definition of the WP is perceived differently by the Commission and the AG. In order to achieve satisfaction within the AG an in depth discussion on the expectations of	This has been raised also at the Framework Programme level. (see recommendation No. 2 of the Framework Programme Panel). For the Sixth Framework Programme one only Advisory Group has been set up, instead of the 3 External Advisory Groups (EAGs) in the Fifth Framework Programme. The Advisory Group can be managed more easily and its scientific advice has been very effective and substantial, especially in the revision of the work programme, in the choice of	It is foreseen that the AG will be consulted on the 2-step evaluation procedure.	10 October 2003

RESPONSES BY COMMISSION SERVICES TO THE 2002 ESD MONITORING REPORT

Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
both sides should be implemented at the outset of the AG activities.	instruments to be used for the different topics and in the identification of some international experts. The role of the AG is seriously taken into account and their involvement will be extended to other areas in the future. However, as pointed out in the Framework Programme Monitoring replies, the mandate of the AG does not cover the issues related to implementation and management.		
4 No specific plan has been put in place to ensure that the problems experienced in earlier transition phases (e.g. FP4 to FP5) will not occur again in the present transition, possibly aggravated due to the substantial changes in contents and organisation connected with FP6, and the simultaneous reduction in personnel required by the Commission. This is especially true for those FP5 topics that have no explicit correspondence in FP6, e.g. KA4 "City of Tomorrow and Cultural Heritage". Clear responsibilities should be defined for the support of FP5 projects in their final phases.	This issue has been raised also at the Framework Programme level (in the Activity-Based Management system, resources are clearly identified for the follow up of previous framework programmes). Unfortunately Directorate I is suffering from staff cuts (reduction of 13 staff members) However, procedures and tools have been put in place to follow the Fifth Framework Programme contracts (e.g. FASIS and PWSIS). An assessment of their actual use and effectiveness will be carried out. Concerning KA4 'City of Tomorrow and Cultural Heritage' the number of staff members involved in this area has reduced, but is still substantial. They are actively involved in the exploitation of research results e.g. in the framework of the Urban Thematic Strategy in co-operation with DG Environment. A sector 'Urban Sustainability and cultural heritage' has been created recently under the unit 'Policy aspects and strategy for sustainable development' (see recommendation 4 of the Framework Programme Panel).	- Assessment of tools and procedures for managing FP5 projects Achieved Summer 2003	By the end 2003
5 Dissemination and exploitation of the results of FP5 and previous FPs continue to be a major issue. The Monitoring Panel is not in a position to analyse this problem thoroughly as it can be generated by multiple causes (inherent in the environmental topics, part of the culture and approach of the university scientists, a	This issue has been raised also at the Framework Programme level. (See recommendation 5 of the Framework Programme Panel). Several activities are undertaken both at the Directorate and Unit level, however a systematic and pro-active approach needs to be put in place. These are		

RESPONSES BY COMMISSION SERVICES TO THE 2002 ESD MONITORING REPORT

Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
<p>consequence of deep rooted changes from FP to FP or a lack of initiative, incentive or capacity on the part of the Commission). Reasons for insufficient dissemination and exploitation should be analysed thoroughly and then the problem should be addressed at the root.</p>	<p>some of the activities that are already in place:</p> <ul style="list-style-type: none"> - The "clustering" of projects has enhanced the dissemination potential of projects of the Fifth Framework Programme. - A scientific officer is appointed to cover the task of information officer in order to provide support for media communication activities and dissemination activities, although more resources should be devoted to have a broader coverage of these activities. - The CORDIS WebPages for the Sixth Framework Programme has been created in April and the list of Fifth Framework Programme projects has been updated and completed in June in order to facilitate the access to the results of ongoing projects. - Project Technical Assistants (PTAs) have been appointed to assess impacts of the most promising Fourth and Fifth Framework Programme projects in view of exploiting their results in a more effective way. 	<p>Done</p> <p>Done</p> <ul style="list-style-type: none"> - The Report "Impact Study of Result Dissemination in the Field of Environment and Sustainable Development" will be completed by the PTAs and a strategy of dissemination and exploitation of the results of the most promising projects will be proposed 	<p>September 2004</p>
<p>6 A central archiving system with a thematic index should be put in place for project reports in close cooperation with CORDIS to make them easily accessible and results available to a wider community over a longer period of time. For ongoing and future projects the archive could essentially be an electronic archive and the</p>	<p>This issue has been raised also at the Framework Programme level. (See recommendation No. 5 of the Framework Programme Panel).</p> <ul style="list-style-type: none"> - A database on Fourth Framework Programme projects related to Global Change has been created in the framework of the ECLIPSE project and will be updated in the framework 	<ul style="list-style-type: none"> - The possibility could be explored to have this database in CORDIS. Moreover, according to ICS 	<p>By the end of 2004</p>

RESPONSES BY COMMISSION SERVICES TO THE 2002 ESD MONITORING REPORT

Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
<p>problem of confidentiality could be resolved by a simple agreement to be signed by the consortia.</p>	<p>of the PROPACC project that has just started.</p> <ul style="list-style-type: none"> - The Directorate is willing to propose that in the 'Guidelines for reporting' of Sixth Framework Programme projects a publishable summary of results is made available in CORDIS together with the annual report. 	<p>standards (No. 13 on Archiving Systems), the database of project reports will be updated with the indication of their location.</p> <ul style="list-style-type: none"> - This proposal could be made in the framework of the working group elaborating the "Guidelines for reporting". 	<p>By the end of the elaboration of the "Guidelines of reporting"</p>
<p>7 TIP forms are not well suited to results achieved in the sub-priority Global Change and Ecosystems, as their output frequently is of scientific value or used as management and policy oriented tools (e.g. decision support). Very few of the projects have a technological product. It is recommended that the TIP forms be adapted to suit the type of results to be expected by the non-technical projects.</p>	<p>The TIP format cannot be changed for Fifth Framework Programme projects at this stage, but this recommendation can be taken into account for the Sixth Framework Programme. However, a study called 'Methodological analysis of TIP as a tool for impact assessment and evaluation' has been commissioned by the Commission to see to what extent it could be used for ex-post assessment. One of the outcomes of this study (which is based on rather heterogeneous completed TIPs) is that the TIP in its present form is not the best suited tool for impact and assessment studies. However, TIPs have a good range of uses related to exploitation of results (its original purpose) and may contribute to impact studies as one amongst other inputs. To enhance the overall use of this tool, it is recommended that operational guidelines are established to help Fifth Framework Programme project coordinators in filling TIP in a more efficient and standardised way.</p>	<ul style="list-style-type: none"> - Scientific Officers of Directorate I should inform their contractor of the release of these guidelines. - Ways should be explored to detect and, subsequently, better exploit those results that serve the objectives of the "Global Change and Ecosystems" Programme, including the use of CORDIS and other means such as databases created in the framework of projects (i.e. PROPACC, see Recommendation No. 7 above). 	<p>2004</p> <p>Beginning 2004</p>