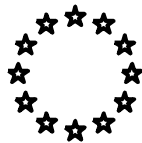


**2002 SPECIFIC MONITORING REPORT ON THE
SPECIFIC PROGRAMME FOR
RESEARCH AND TECHNOLOGICAL
DEVELOPMENT**



IN THE FIELD OF

**CONFIRMING THE INTERNATIONAL ROLE OF
COMMUNITY RESEARCH**

April 2003

This Report is part of the series of the annual monitoring reports prepared relating the EC Framework Programme, the Euratom Framework Programme, and their constituent Specific Programmes as well as to the European Research Area (ERA) related activities.

The Commission has over the years given increasing emphasis on the evaluation of Community RTD activities. Furthermore, with the overall Reform of the Commission, evaluation activities have been placed at the heart of the decision making process. In line with this continuous effort towards improvement, a revised programme monitoring scheme was introduced in 2001. It was based on the system launched in 1995 which involved independent external experts in the monitoring activities. The new mechanism aims at producing a better synergy between the monitoring of ERA and specific programmes of the Framework Programme.

The timely response by the Programme management to the recommendations produced by the experts will be enhanced, providing the basis for a quick response mechanism to programme developments, as the follow up of experts' recommendations will be receiving still more attention.

This report is the fourth in a series covering the Fifth Framework Programme. The report also highlights progress in relation to implementation of ERA to the launch of the Sixth Framework Programme as well as results and impact of previous Framework Programmes. The report should help reinforce the establishment of best practices and identify the scope for further improvements in implementation of policy and the programmes.

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.*

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1. EXECUTIVE SUMMARY

The Report discusses the basic components of the INCO Programme, i.e. the two axes of development (as identified already in FP5) and the three major routes of implementation that have been assigned to it in FP6. The Programme has had a distinct mission to be carried out though a wide geographical area, and has been structured in the form of many actions over the last four years (1999-2002).

The initial character of the Programme in the defined period has been more in favour of promoting the Scientific and Technological basis of socio-economic reasons of cooperation, rather than the development of pure science and technology (See Chap. 4.1.2). Nevertheless, the program has been able to articulate a number of successful actions in five diverse groups of countries. The objectives of the Programme have been clear from the beginning (see Chap. 4.2.1). The calls were implemented every year and no specific management problems were reported except the time lag between calls and payment of first instalment to the researchers (See Annex 6.1 Typical Calendar).

The management of the Programme had been allocated to an entire INCO Directorate of DG RTD. Half way through the Programme, however, the administration was reorganised and the thematic contents of more than 260 on-going projects were transferred to the Thematic Programmes Directorates. Units 05 and 06, under the direct responsibility of the Deputy Director General remained in charge of the overall coordination of the International Dimension in FP 5 and the programming and implementation of the INCO-specific activities.

A total of 3071 projects, bursaries and coordination activities have been funded throughout the FP5 with satisfactory operational implementation despite strain on human resources.

About half way through FP5, a new vision, that of the European Research Area, and the programming of a new, refurbished and more penetrating FP6 emerged. This exercise of adopting the new values and visions of the ERA and the new targets, policies and instruments of the FP6 was a big challenge for the staff involved because these tasks had to be executed in parallel to the implementation of the INCO Programme under FP5 rules.

The Expert Group recognises the following major achievements for the last year of INCO in FP5:

- The candidate countries received a large pre-eminence, and the total distribution of the budgets has been pushed through, according to the new and enlarged rationale of the new International Dimension of the European Research Area. The Accession Countries have been called to present their new Action Plans.
- Concerning other major world regions, government authorities and the respective Presidencies of the European Commission undertook the role of strengthening geographic cooperation with a number of distinct regions (Latin America, Asia, Mediterranean, ACP, NIS etc). Here, the mechanism of the bi-regional scientific and technological cooperation dialogues surfaced as a better way of mobilising the regional dimension of the international cooperation, for better access to the national priority planning, and for better acquaintance with the policy makers and their activities.
- Programme implementation was done in a successful way

The Report concludes with a number of general conclusions on the evolution of the INCO Programme and recommendations specific to the international dimension in ERA and FP6 as well as recommendations of general significance for the whole Framework Programme and ERA.

Four conclusions and related recommendations are of particular importance:

- 1) The European Commissioner Philippe Busquin's views on the international dimension of ERA, defined: "more important than ever for the transition towards sustainable development and shared prosperity." However, in the reporting period this was not yet reflected systematically in often more Euro-centred positions of documents. The desirable improvement of 'corporate cultural' cohesion on the content and implications of the international dimension of ERA calls for an open debate. The Expert Group recommends the establishment of a high level advisory group for the Commissioner with members from the main world meso-regions nominated in their personal capacity and not through political channels.

- 2) The new concept of international cooperation in FP 6 – although meant to strengthen the international dimension of the Framework Programme - does not seem to be based on a comprehensive strategic approach because International Cooperation is being addressed in very different ways and with diverse objectives in the three different routes for delivering it. The international dimension in FP6 as compared to FP5 appears therefore weakened. The Commission services should invest more creative efforts to better and more clearly define the overall objectives of international cooperation and the real aims of ERA.
- 3) The generic Programme objectives remain ambitious especially in terms of EU external policy and influence (due to the absence of a common foreign policy) and international scientific mobility (due to legal, social and cultural obstacles); however a breakthrough has been achieved in relation to intellectual property protection in a global context (recent adoption of a Community patent).
- 4) At the management level there is need for a functional decentralisation of the follow-up activities related to awareness, information, impact assessment and horizontal spreading and communication among EU programmes, in order to create more space for the internal “academic” training and elaboration of concepts by the Commission services involved with the international dimension of ERA (See 4.2.7 and 4.2.8.2).

2. PANEL METHODOLOGY

The methodology applied by the External Expert Group is functional to the operations required in the Terms of Reference (TOR) and to the achievement of the results. The monitoring activities were analysed along three main lines:

- 1) The reading of the main documents produced by the different EU institutions dealing with the establishment of the ERA and the implementation of FP5 and the preparation for FP6 (Annex 6.3)
- 2) The study and analysis of the internal assessment provided by the Commission services and other documents produced during 2002 dealing with the INCO Programme (Annex 6.3).
- 3) Interviews with key staff members of the Commission services engaged in relevant activities for the implementation and administration of the INCO Programme
- 4) The meetings of the Expert group and by internal communications.

The INCO SP Monitoring Expert Group comprises four experts. It has held five meetings in Brussels and two joint meetings with the FP panel. The Chairman of the group has participated in the FP Panel meetings. Records of the meetings were kept and the Chairman provided orientation to the FP Panel. A synopsis with the main conclusions of the Group was sent to the FP Panel on February 13th and a requested note of the Group's view on main topics related to the internationalisation of ERA was sent to the SP/ERA Group on January 20th (Annex 6.4).

The main documents (study, analysis and internal assessment) together with requested detailed information have been provided to the Group on request by the Commission Services that also cooperated in the organisation of the meetings and by attending them.

The timetable was elaborated by the Commission Services in cooperation with the FP Panel. The agenda of the meetings were drafted by the Chairman in consultation with the members of the Group. After the first meeting, a detailed distribution of labour was made on the basis of the detailed synopsis for the report provided by the TOR.

Interview schemes were elaborated as guidelines. However, the Group experienced the importance of a more direct dialogue with the invited officers while informal contacts were established, when needed.

3. INTRODUCTION (major events and achievements of 2002; main programmes objectives; state of implementation: budget, coverage of calls, contracts signed...; perspectives).

INCO in FP5 was a diverse Programme aiming at and moving around two complementary axes:

- 1) A dedicated international cooperation programme with several distinct areas designated in its Work Programme, and
- 2) An international cooperation policy.

In line with the new architecture for international scientific co-operation in FP6, the management structure for international co-operation in DG RTD was reviewed in early 2001 leading to the creation of two units which have complementary missions: Unit 06 with responsibilities for the dedicated programme, and Unit 05 for the international cooperation dimension related to other FP activities, under the direct responsibility of the Deputy Director-General (Deputy DG). The post of the Deputy DG was filled again in June 2002. In the interim period, the responsibility for international co-operation has been assumed directly by the Director General. The B1 and B2 mobility schemes in INCO were transferred to Directorate D in the new structure as a component of the international dimension of the European Research Area.

The year 2002 served essentially as a transition period towards FP6. Preparing the new work programme and evolving working modes commensurate with new organisational model under FP6 was a major challenge for the Commission services that had to manage the transition together with ensuring services to implement the final calls in INCO and to complete tasks under FP5 procedures.

A total of 7 calls were handled in 2002 by Unit 06 and Unit D5 (for bursaries); one call was for research projects with Mediterranean partner countries (INCO-Med) and 6 for accompanying measures in support to training activities and conferences. Joint calls to further improve participation of candidate countries (Newly Associated States – NAS) throughout FP5 were launched within the Thematic Programmes. In addition, there was a selection procedure for INCO-DEV bursaries as well as one concerning the 2002 closing of the Japan Fellowships call. A new action based on training, excellence and mobility was implemented with the launch of a specific call aimed to attract the most promising researchers from candidate countries to a training period in a Member State and giving them the possibility to bring back the experience acquired. This call was managed by Directorate D, as were the calls for INCO-DEV bursaries and Japan fellowships.

Unit 06 ensured co-ordination tasks at DG level. The INCO-MED and NAS calls attracted significant interest. Most projects of suitable quality were funded in INCO-MED, while NAS calls were oversubscribed. In addition all negotiations of contracts for research projects resulting from the major 2001 calls were underway. Overall, no particular implementation problems were noted, except in the time required to achieve the contract, which is still too long.

The bilateral and bi-regional dialogues which had already intensified in 2001 were carried further in 2002 under the responsibility of Unit 05 in order to fulfil the mandate of the international dimension of the European Research Area and strengthen links with other EU policy areas (Relex, Development, Aid, Trade) with a view to enhance the impact of the relevant instruments. Substantial progress was made in relation to the association of Candidate countries to FP6 and S&T agreements. However, the generic programme objectives remain ambitious especially in terms of EU external policy and influence (due to the absence of a common foreign policy), international scientific mobility (due to legal, social and cultural obstacles), and intellectual property protection in a global context (due to the absence of a Community patent).

The work in furthering the international cooperation dimension in each of the TPs with a view to the new structure in FP6 has been no less challenging as ERA is now taking shape and the need for a coherent dimension to this seems to be widely acknowledged now within DG RTD. Implementing international activities in FP6 through three major routes (specific measures, activities in the seven thematic priorities, and mobility schemes) requires intensive and permanent co-ordination efforts at DG level. As recommended by the 2001 INCO monitoring experts, DG RTD decided to establish an International Co-operation Steering Group under the Chairmanship of the Deputy DG. Three meetings took place with active participation from all services involved. The first major tasks were to ensure the coverage of the international dimension in work programmes and to develop scenarios for the use of 285 million Euro for international activities in the seven TPs .

Following another recommendation of the 2001 INCO Expert Group, further efforts were made in 2002 for the production and dissemination of numerous publications and information material in printed and electronic formats, in order to increase the programme's visibility in and beyond the EU..

The contracted budget for the dedicated programme in 2002 was around 23 Mio€ with Area A3 (Mediterranean Partner Countries) being the largest component at 20.66 Mio€, followed by Area A4 (Developing countries) at 1.8 Mio€, Area B2 (Fellowships to Japan) at 1.1 Mio€, Area A1 (NAS – States in the pre-accession phase) at 0.239 Mio€, Area B1 (Bursaries for developing country researchers) at 0.203 Mio€, and A2 (NIS) at 0.201 Mio€. More detailed information can be found in Chap. 4.1.5.

4 - ANALYSIS AND FINDINGS

4.1 - Analysis and synthesis of recommendations and their follow-up from the 1999 to 2001 monitoring exercises

4.1.1 - Introduction

The programme on Confirming the International Role of Community Research (INCO) has been a common feature of the Framework Programmes from FP4, FP5 and the recently launched FP6. For INCO in FP4 there were two principal instruments: a specific programme on cooperation with third countries and international organizations; and the recognition of an international dimension in certain other specific RTD programmes. These instruments were also reflected in FP5. In INCO in FP5, the areas or components of activity are closely specified geographically and the thrust of the actions is socio-economic within that regional context. Thus for INCO in FP5 science and technology and research capability are supported /developed for specified socio-economic reasons. The recognition within INCO of five groupings of countries (Pre-Accession countries, the NIS, Mediterranean Partner countries, Developing Countries, Emerging Economy and Industrialized countries) with diverse needs and various possibilities for partnerships of European and non European research institutes offers a potential for problem solving research in many contexts, and thereby contributes to the implementation of several EU policies particularly in the spirit of science serving society.

The foregoing has had a major impact on the project proposals and their selection for funding. Thus proposals within the two framework programmes (FP4 and FP5) derived from a very different rationale for the scientific /technological activity. Some projects funded under the FP4 regime overlapped into the FP5 period of implementation. An impact assessment report on the specific programme for RTD in the field of INCO in FP4 is in press. The target period for this review and analysis (1999 – 2001) is mainly accounted for by FP4 projects and activities.

4.1.2 - Strategy – Objectives

The objectives of the INCO programme are intrinsic to the enlargement of the EU and its influence internationally. The purpose is to contribute significantly to the implementation of the Community's external policy, especially towards Central and Eastern European accession candidates, and to the Community's industrial co-operation and opening up of new markets. There are in addition, other specific targets relating to developing countries and the Mediterranean regions. Overall, research for socio-economic impact is clearly at the forefront of these broad policy objectives.

The main thrust of INCO is to facilitate socio-economic development through science and technology development. However, socio-economic objectives in principle pose a problem for assessing their delivery and impact given the scope of interaction of driving forces and timeframes for the framework programmes overall. In particular, the goal of deriving socio-economic impacts from scientific research activities more specifically derive from FP5 objectives and clearly there has not been adequate maturation time for realizing socio-economic impacts under the best of situations. In addition, the criteria for monitoring and assessing socio-economic impacts are not in place and these is an imperative and prerequisite need for the realization of impact assessment.

The notion of the European Added Value (EAV) as a fruit of all international cooperation initiatives is crucial to the realization of the political, economic and technological aspirations of the European Union through the European Research Area objective. While theoretically this is an ambitious principle, the lack of a clear method or criteria to determine the EAV underscores that this is in practice an elusive target. Goals must have "Smart" objectives which in turn must have well defined activities to achieve them. In this case, there is no clear strategy for ERA to make for RTD what economic integration is for Europe. The Commission services must develop and outline an action plan

indicating how the ERA will develop over the period to 2010 to achieve the objectives of the Lisbon strategy. It is, nonetheless, recognized that some elements of this already exist although it is also debatable to what extent it would be possible to more precisely define the concept of ERA at this stage.

Two main tools for INCO in FP4 were Specific Programmes on cooperation with third countries and international organizations and the recognition of an international dimension in RTD Specific Programmes. The limits for its implementation were presented because of a shortage of financial resources for international activities in the Specific Programmes. FP5 instruments were meant to achieve goals in relation to strengthening competitiveness, improving the quality of life, strengthening research infrastructure, SME development, internationalisation, enlargement etc. The changes in the nature of objectives of the INCO Programme under FP4 and FP5 reflect the strategic changes of objectives for the Framework Programme overall. Particular objectives in the INCO work plan in FP4 and FP5 were specific and geographically based. Moreover, within the regional context of FP5 the thrust was socio-economic. However, there is an apparent lack of analytical evidence on how these activities are fulfilling FP5 objectives. In addition to making assessment of EU research policy difficult, this lack of analysis further weakens the well-founded development of new instruments.

The moves towards FP6 have taken place against this background of increasing the social, economic and environmental impact of EU research in line with the Lisbon Strategy. Previous Monitoring Panel reports indicate that the management, coherence and analytic support of these policy development processes within and between the Commission and its services is a major concern. The new operational instruments (Networks of Excellence and Integrated Projects) represent major changes in European research policy and a particular challenge for international cooperation across FP6.

The general issue of integration of the former pre-accession countries into the European science and technology system was a high priority area for INCO programmes in both FP4 and FP5. Much effort in terms of resources went into stimulating Centres of Excellence (See Mollas-Gallart J and Salter A., Diversity and Excellence: Considerations on Research Policy, ITPS Report, Jul. 2002) in those countries to better put their capabilities at the service of the Union as a whole. While there were some problems such as the failure of the "special forum" of member and candidate countries to prepare an ERA action plan for the support of integration of candidate countries, the ultimate successful integration of 10 candidate countries into the EU marks an important achievement in the goal of enlargement. Reports indicate that INCO played a crucial role in the realization of the integration of pre-accession countries. It remains to be seen whether integration will in the final analysis stand for proof of the success of instruments like the Centres of Excellence. A renewed effort might be required in FP6 to ensure that the new members sustain a capacity for science and technology equal to that of the founding members of the Union rather than becoming marginalized within the European Union. The new members must also live up to the expectation of fulfilling the ideals of the EAV in the development of new European policies.

International cooperation in science and technology is a cross cutting issue. It has been argued that the objectives of the INCO programme are intrinsic to both the enlargement of the EU and its influence internationally, especially in Central and Eastern Europe. It is also recognized as a central component of the ERA, especially the principle of an ERA open and attractive to scientists everywhere in order to offer well balanced cooperation to the world. There will be a need to rethink the initiatives appropriate for the NIS & CEEC in light of the recently achieved aims of enlargement. Other international cooperation initiatives aimed at the developing countries, Mediterranean Partner countries, West Balkans and the Emerging Economies and Industrialized countries will remain important domains to play out the objective of research as a common thread and means to deal with problems of regional interest by mobilising the expertise of the European scientific community jointly with teams from these countries.

The greatest challenge to any meaningful international cooperation is the willingness on the part of the Union to invest in the development of scientific and technological infrastructure in the cooperating countries themselves. In the absence of facilities and resources available to retain cooperating country scientists, the whole relationship will result in a brain drain from third countries to Europe, hence defeating the whole purpose of scientific cooperation in the first place.

The FP5 programmes have successfully increased the number of Small and Medium Enterprises (SMEs) participating in projects, in all groups of countries especially in the Developing Countries group where they are of utmost importance. However, despite achieving the 10 percent participation rate, there are no clearly researched objectives for the SMEs over and above the participation rates. Moreover, there is lack of a reasoned guidance as to the modes of participation across the various research fields of the framework programme. It is also important to research and document information on specific problems faced by SMEs in transnational research and technology cooperation. Nevertheless, there are apparent benefits of participation in the framework programme

on the part of SMEs such as access to funds, partnership, networking as well as access to information and technology. It remains to be seen how these perceived benefits will be translated into socio-economic impacts. It thus seems necessary for the Commission services to provide a comprehensive policy and guidance paper on the objectives of SMEs' participation in FP6 and the appropriate mechanisms for such participation across the various research activities of the framework programme.

Gender mainstreaming as an institutional strategy to reach gender equality goals is not widely understood within INCO. Consequently, the operational implications of committing to a mainstreaming strategy have been comprehensively discussed and debated (Appel et. al, 2000). The final result has been the omission of gender in key instruments, procedures and programme documents. The commitment to gender mainstreaming in INCO will require not only the development of gender competence of individuals, but also the development and implementation of gender mainstreaming infrastructure, policies, practices and procedures in the institution. Appel further outlines in some detail some recommendations for better integration of the gender dimension. Neither the 1999 nor the 2001 reports have made any attempt to analyse the gender dimension within INCO. The 2001 report, however, mentions a rapid and effective development in laying the basic framework for the "Women in Science" activities. The report further recommends the incorporation of the "Gender in Science" dimension into all relevant documentation associated with the FP6 programme and into the development of any associated management information systems (MIS). Special programmes for girls into science, facilitating the increase in female participation and the intended "Gender Relevance" studies proposed in the Women in Science Work Programme should be expedited.

Despite improvements in carrying out relevant campaigns, public awareness of the Framework Programmes is imperative for increasing participation. Overall statistics (see attached table in 4.1.5) shows limited intake of proposals with equally limited retention as seen from the number of contracts awarded. However, there is no apparent tendency in the annual flow of proposal over the target period. Sources of information for potential proposers, particularly in developing countries and associated countries could make better use of contact points and EU Delegations as sources of information and documents in a timely manner. Currently, many contact points are still not aware of INCO activities in their domains.

Based on the 2001 INCO Monitoring analysis this is a serious drawback in attempts to expose and publicise EU funding and support opportunities in the third world in particular. As suggested from the Expert panel's interviews, hard copies and preferably electronic copies of documents must be available in some kind of central data store. In addition, the Information Communication Unit in conjunction with the SPs must draw up a project centred publication policy consistent with its more general policy. It is also important to undertake an annual plan of synthesis and analysis of reports and publications and the programme management should explore closer links with the European scientific societies with the intention of regular publication of the results in major prestigious journals. Finally, the framework programmes must review communication and marketing strategies, in order to develop a more user oriented approach.

The structure and organization of INCO's activities in FP5 address a diversity of socio-economic needs of the participating countries. The greatest challenge is to develop tools to monitor and assess socio-economic impact of the various initiatives and enforce programme objectives in all funded proposals. So far, the Commission services are commendably increasing interest in impact analysis and devoting resources to such analysis. Some examples are IST, Non-Nuclear Energy, INCO and GROWTH. However, assessing impact of FP research, especially as far as socio-economic aspects are concerned, remains complex due to the overlap of different Framework Programmes where some FP4 projects were only just finishing in 2001, while some FP5 projects have not even started. These factors are compounded by the effect of different timeframes within which impacts occur. For example, technical impacts tend to occur relatively quickly, while the lag period for socio-economic impacts is invariably much longer. In addition, the web of multiple causality in all impacts, particularly economic and social impacts make it difficult to attribute changes directly to framework programme research.

4.1.3 - Management and processes (including evaluation and monitoring)

The major mode of action through which the Commission makes contributions to various INCO programmes include shared cost actions, concerted actions and thematic networks. Other instruments include Accompanying measures, fellowships and research networks. Common characteristics over the years has been limited submission rates (several hundreds every time) and limited acceptance rates of proposals (contracted over received proposals) (see Chap. 4.1.5). In addition to declining budget allocations during the period, this has been attributed to lack of adequate and substantive information to the interested participants. It has also been attributed to lack of information and/or

complexity in the submission procedures. It is clear that more efforts are required to either simplify the information packages and /or encourage wider use of pre-proposal checking.

There has been some concern that S&T agreements, as a political instrument, have little to do with the rest of INCO. This raises some questions regarding the usefulness, choice of potential partners and cost effectiveness of the initiatives. The impact analysis study of the S&T agreements will most likely shed light on the perceived doubts. The training of researchers is an important tool in capacity building efforts. It is thus regrettable that bursaries for young scientists were only available if they were expressly included in the contract for FP5 projects a priori. In practice, the need will often become clear in the course of the project. It is suggested that a bursary system could be used effectively as a separate means towards engagement of more scientists from developing countries in European research.

There is an expressed need for greater clarity in the proposal information to assist inexperienced applicants by contact points, local advisors, Euro information points etc. with the view to raising the success rates for applications. Thus a route map to the documents and how they must be completed should also be provided. Moreover, sources of advice and information on the programme and linkages to other funding initiatives through National Contact Points or the E.C. delegations should also be improved, particularly in developing countries. The administrative and financial support and information systems operated effectively in the handling of the calls. However, processing project proposals still takes too long, and it is not adequately transparent to the proposers. Hence, it is recommended that the effectiveness and quality of outsourced Commission services for collection, compilation and encoding into databases of proposals prior to evaluation process must be improved. Moreover, a regularly updated report on the status of projects that are being processed should be widely circulated by e-mail to proposers, NCPs, EU delegations, national authorities and academic institutions. The use of electronic submission of proposals must be evaluated in terms of the requirements and limitations of an efficient and user-friendly electronic support for the evaluation system. It appears that the simplification of the procedures and shortening of the time from submission to contract payments remains an elusive priority response on the part of the Commission services.

A functional FP-wide management information system (MIS) is required in order to standardize procedures and systems of management for projects such as reporting guidelines, contract negotiation requirements, dissemination, work plans and packaging. Among other things, internal evaluation systems must be established at mid-term, post-project, and at other intervals when appropriate to ensure compliance needed in any further phase of the work. This means that the programme must actively and systematically monitor the way in which it is delivering its specific objectives at both project and programme level.

The successful development of Community research and ERA depends on the creation of a better research climate in Europe, and on common efforts to create synergies between European, national, regional and Community programmes. In that light, the efforts to improve the management of COST and its restructuring are commendable and must be pursued. A sensible programme interface needs to be found for COST that is relevant to the coordination and cooperation of research at the national level and at the European level.

The position of EUREKA with respect to the follow-up of recommendations from previous monitoring exercises was less clear in FP5. Specific steps to reinforce the technical and financial synergies between EUREKA and the Framework Programme were taken under the Greek Eureka Chairmanship with the result that references to Eureka are made in some of the thematic priorities' work programmes in FP6. For example, the inclusion in particular of Eureka complementary research will now be sought in all activities of the Information Society Programme. However, there is still room for more cooperation between Eureka and the FP and initiatives are being taken by the Commission services. The Panel feels that this situation requires initiatives and a qualitative approach to the monitoring of the activities.

For INCO-Copernicus, the continuing initiatives to fund accompanying measures is commendable, especially the support to foster the participation of researchers from non-member countries. Cooperation with Industrialized third countries is one of strategic relevance hence the efforts to improve assessment activities in this area of cooperation with different groups of countries namely large size developing countries (like China, India, Brazil, South Korea, Mexico etc) and really advanced industrial countries like USA, Japan, Australia, New Zealand, Canada, etc. must be continued.

Dissemination of information and results is a strategic communication tool and marketing strategy for successful initiatives. Guidelines for the preparation of a technical annex to a RTD project based on the proposal details require incorporation of an outline of dissemination of activities. Although the TIPs address some useful questions, it is rather passive in style and depends on drawing responses rather than on defining actions. This gives an impression that officials are satisfied if the process of completing the data sheets has been undertaken, rather than managing the optimisation of

exploitation of project findings in order to achieve a certain impact. For FP6, the management input into the dissemination of project results and their take-up must be undertaken actively if the INCO Programme is to convincingly demonstrate successful achievement of objectives and tangible benefits to society. This underscores the need to establish criteria for assessing the effectiveness of dissemination and take-up of results.

4.1.4 - Impact of previous research FPs and SPs

Assessing the impact of FP research is a complex undertaking due to, among other things, the overlap of different framework programmes. The delivery and policy complexion of the programme objectives pose a problem for assessing their delivery. They represent almost lifetime goals and could take years to fulfil. Consequently, only a small amount of achievement could be demonstrated at the end of the FP5. These are not simply scientific and technological goals as in FP4 but socio-economic goals of the FP5. In either case, the achievements are open to influence from many diverse activities, organizations and political circumstances.

Nevertheless, the objectives achieved in the FP5 INCO programme and the contrast with the FP4 programme are fully appreciated. On the framework and specific programme levels, there is clear evidence of programme planning and critical path management to meet known deadlines and commitments. Moreover, difficulties posed by accommodating many staff changes and lack of experienced staff in 1999 have also been overcome.

INCO is a complex programme with areas of differing character and objectives in a wide range of geographic areas. It is thus difficult to provide a synopsis of the impact achieved that will embrace features applicable to the programme as a whole. Within the technological dimension of project achievement, monitoring reports indicate that only one fifth of the Copernicus projects were real pilot plants with industrial participation, while one third of them claimed to have intellectual property rights pending output of the project work. All projects, however, reportedly demonstrated convincing academic achievement in university theses, publications and innovations. In INCO DC (Latin America & Mediterranean) most projects were not expected to produce intellectual property outcomes. However, the impact on industrial innovation or competitiveness was more obvious on agriculture than on health and environment-related projects.

In INCO DC (Africa and Asia), most projects were research oriented projects, out of which less than 20 percent had a technological dimension. However, technological outcomes are more apparent in INCO Copernicus than in INCO DC. Cooperation is an overall positive impact, but it has different characteristics in different areas of the programme and is more important in some than in others. The contribution of Copernicus projects to the quality of life was particularly important for CEEC and NIS countries. For INCO DC (Latin America & Asia), the impact on job creation and the improvement were more prominent on agricultural than on health-related projects. However, employment benefits stemmed mainly from the contract itself.

In general, it is thought that it is not possible to provide an adequate evidence-based assessment of the impact of the work of the framework programme. The necessary tools and procedures for that are only just being developed and put into practice. It will also require longer term observations and specific assessments to ascertain the real nature of impacts, especially those of a socio-economic nature deriving from FP5 initiatives. That notwithstanding, there have been some outstanding projects which can be considered as success stories. This will make an immediate impact or contributions that are clearly significant for future development and may as such be indicative of potential areas of impact for future analysis studies and assessments. The success stories come in the categories as follows:

1) *Health impacts*

a) Praziquantel resistance to African Schistosomiasis

This initiative advanced both the scientific and technological horizons with far reaching policy, commercial and information crucial for implementation of health strategies.

b) Workshop initiative "From Research to Action in Reproductive Health"

This project was an accompanying measure aimed at improving the impact of EC supported reproductive health research and the effectiveness and efficiency of RH development projects and programmes. The results showed that research in RH provides health policy makers with critical information that is both accurate and reliable and depends upon cost effectiveness of appropriate new technologies and alternative approaches in addressing developing countries' most pressing RH problems.

2) Desertification

a. *Food Production through improved rangeland management and animal feeding strategies in transhumance pastoral systems*

This project achieved key objectives - knowledge support for livestock management, grazing ecology of the highland pastures, socio-economic context of livestock production. It also engendered several publications and resulted in two PhDs. Moreover, a series of constraints to improved livestock-derived income have been identified and confirmed through village workshops.

b. *Workshop on sustainable management of shelterbelt vegetation of river oases.*

This project contributed to the management of holistic ecosystems. The research revealed that an agriculture oasis cannot be approached as a single productive structure but must be considered as part of a broader ecosystem. The project effectively demonstrated, for policy and decision makers under delicate desert environment, a potential conflict between the necessity to regenerate and maintain shelterbelts and the official Chinese goal of maximizing agriculture production in oases environments.

3) Long-Term Food Security

a) *Sustainable Food Production*

Bambara groundnuts are an important protein source with potentially high supply of energy. In this project, genetic and agronomic studies combined indigenous knowledge to define ideal varieties under varying ecological conditions. Simple molecular techniques are being set up for local laboratories to characterise groundnut races.

a) *Sustainable Domestication of Indigenous Fruit Trees*

This project identified a new important food source in Botswana and Namibia by domesticating indigenous fruit trees with high fruit yield potentials.

There are other success stories in sustainable use of water and aquatic ecosystems. The latter was an INCO Concerted action project, with 31 participants from Europe, Africa and the Americas.

As we approach the need for a more systematic impact assessment of the international dimension in the S+T cooperation and its projects, we must say that such an impact has to be assessed both on an ex-ante and an ex-post basis, but the rationale for such an approach and the methodology required to achieve it still need to be developed. This need has been underlined both in the INCO Five Year Assessment Report related to the SP, as well as the report on the Impact of International Cooperation of EU S+T Cooperation (1994-1998) in the 4th FP.

4.1.5 - Other aspects proper to the specific programme

Two analytical tables with all proposal statistics and budget statistics for the period 1999 – 2002 are given below. The proposals and the budgets are distinguished in categories received, ranked and accepted for contract signing (contracted).

	1999 Proposals			2000 Proposals			2001 Proposals			2002 Proposals		
Area	Received	Ranked	Contract	Received	Ranked	Contract	Received	Ranked	Contract	Received	Ranked	Contract (incl. Reserve list when appropriate)
A1	227	52	52	94	20	19	61	28	28	150	17	17
A2	248	61	74	49	13	9	90	20	21	27	9	3
A3	131	34	34	28	12	12	76	13	13	150	22	9
A4	311	77	76	535	134	133	379	84	84	68	0	7
A5	7	3	3	24	9	8	13	6	6	6	0	0
B1	77	17	16	144	36	35	70	11	11	14	2	2
B2	43	14	11	21	8	6	14	7	6	13	9	9
C1	-	-	-	-	-	-	2	2	2	-	-	-
Totals	1044	258	266	895	222	223	705	171	171	428	59	47

Area	1999 Budgets (in mil euros)			2000 Budgets			2001 Budgets			2002 Budgets		
	Requested (received proposals)	Ranked	Contracted	Requested (received proposals)	Ranked	Contracted	Requested (received proposals)	Ranked	Contracted	Requested (received proposals)	Ranked	Contracted
A1	118.5	28.9	24.5	3.4	1.0	0.665	1.8	0.635	0.387	7.8	0.942	0.284
A2	114.6	28.3	35.3	1.9	0.764	0.501	36.2	6.0	4.9	1.4	0.334	0.201
A3	87.3	21.1	19.0	1.7	0.613	0.432	64.6	12.5	11.4	136.6	20.8	20.6
A4	357.9	48.8	42.5	888.8	106.0	86.9	389.6	74.1	66.8	10.4	0	1.8
A5	0.562	0.300	0.300	3.4	2.6	1.6	5.5	2.5	1.0	0.758	0	0
B1	1.6	0.293	0.284	2.7	0.582	0.555	3.8	0.202	0.184	0.675	0.150	0
B2	0	0	1.2	0	0	0.777	0	0	0	0	0	1.1
C1	-	-	-	-	-	-	1.8	1.8	0.790	-	-	-

P.S. The groups of countries referred in the above codification is the following: A1. New Pre-accession States, A2. NIS Mongolia and CEEC not in the pre-accession phase, A3. Mediterranean Partner Countries, A4. Research for development, A5. Emerging and industrialized countries, B1. Training of researchers from developing countries, B2. Fellowships to Japan for E.U. Researchers, C. Coordination.

Some preliminary comments on the data of the tables show the following: 1/ The percentage of proposals contracted as a function of the total number of submitted proposals is decreasing over the period from 31% to 29% and 26% for 1999, 2000 and 2001, respectively. 2/ The budget contracted as a percentage of the requested budget for the calls is generally decreasing from 22% to 9% and 14%, respectively, for the years 1999, 2000 and 2001.

4.2 - *Monitoring of the implementation in 2002*

4.2.1 - Follow up of 2001 recommendations

In 2001, the INCO Monitoring Panel expressed particular concerns in regard to:

- ✓ Developing the role of international co-operation in ERA in the political context
- ✓ Developing the INCO heritage in the operational context of FP 6.

The 2001 INCO panel experts appreciated COM 346 (2001) final – on “The International Dimension of ERA” as an important baseline document and recommended that a strategic analysis of the various components of international cooperation should be developed for FP6 that builds on this document. Here, some progress was made with respect to the “inward” orientation of INCO and the importance for the completion of ERA especially with a view to integrating the Candidate Countries. This materialized in an intensified dialogue with all candidate countries via meetings with their research ministers and other representatives of the Member States.

Concerning the “outward” orientation which addresses the positioning of ERA in a world-wide context, the bi-regional dialogues were intensified during 2002. Most international activities were deployed in relation to the main world regions (Latin America, Asia and Africa), with meso-regional cooperation initiatives and organisations (MERCOSUR, ASEM, ASEAN, ACP, NEPAD, and Mo-Co.) and national states (Mexico, Chile).

At the operational level, the major concerns of the INCO Monitoring Experts addressed the transfer of the INCO philosophy into the thematic priorities and the lack of operational stimulus, as well as the building of interfaces between the different routes on which international cooperation will be delivered in FP6. In reply to one of the major recommendations of the 2001 Monitoring exercise, DG RTD decided to establish an International Co-operation Steering Group (ICSG) under the chairmanship of the Deputy DG Mr Hugh Richardson in September 2002 with representatives from all services involved in the implementation of FP 6, across all DGs concerned (RTD, INFISO, TREN, FISH, ENTRE). The Group is supposed to:

- Ensure appropriate coverage of relevant themes in accordance with results of bi-regional dialogues and action plans for specific third countries
- Take the responsibility for the optimal distribution of the 285 Mio€
- Ensure together with representatives from all concerned services coordination with international cooperation activities carried out in the thematic priorities and in Structuring the European Research Area.

A further recommendation of the 2001 Monitoring Panel addressed the necessity to increase the overall visibility of international scientific cooperation. Unit 05 and 06 responded with intensified efforts to communicate achievements and opportunities of international scientific cooperation to a variety of stakeholders. Means used ranged from face to face presentations, conference talks, written materials, web sites, posters and videos for the November launch conference of FP6. Examples of outreach activities and materials comprise two INCO newsletters and 4 leaflets (providing an overview of international S&T cooperation in the perspective of research for the transition towards sustainable development for developing countries, the Mediterranean region, Russia and other NIS and accession countries). In addition four brochures with overviews of the last ten years of international S&T cooperation from Rio to Johannesburg, with an outlook towards activities and orientations under the concept of the international dimension of ERA were made.

4.2.2. The attainment of objectives in terms of implementation as set out in the work programme for 2002

The work programme 2002 – Confirming the international role of community research {C (2001) 4240 of 13.12.2001} outlined the objectives, priorities and deliverables to be pursued in International Research and Technology Development (RTD) co-operation under the FP5. The activities described are those belonging to the dedicated “international co-operation” programme devoted to RTD co-operation with third countries, training of researchers and co-ordination in 2002. The objectives and actions set out in the work programme will be evaluated in the following in relation to the activities implemented in 2002 and their outcome. The monitoring report follows the classification contained in the work programme:

- ✓ Co-operation with third countries,
- ✓ Training of researchers, and
- ✓ Co-ordination (COST and EUREKA).

The INCO 2002 implementation took place in the last year of FP5 activities and in the context of transition towards FP6. A total of 7 calls were handled: One call was dedicated to research projects with Mediterranean Partner Countries (INCO-MED), and 6 calls for accompanying measures in support to training activities and conferences. The total budget for the ranked proposals was about 20 million EUR. The major calls for research projects had to be handled in 2001 with the contracts concluded in 2002. A selection procedure of 2002 INCO-DEV Bursary proposals took place, as well as one for the 2002 closing of the Japan Fellowships. These actions were managed by Unit 05 of Directorate D, Human Resources and Mobility.

Joint calls to further improve the participation of candidate countries (Newly Associated States – NAS) throughout FP5 and the ERA were launched within the Thematic Priorities (TPs). In addition, a new action based on training, excellence and mobility, 'Strategic Action on Training and Excellence (SAT)', was implemented with the launch of a specific call aimed to attract the most promising researchers from candidate countries to a training period in a Member State and giving them the possibility to bring back the experience acquired. This call was also managed by unit 5 of Directorate D.

Unit 06 ensured co-ordination tasks at DG level. Bi-lateral and bi-regional dialogue was carried further in 2002 and the association of candidate countries to FP6 and S&T co-operation agreements was completed.

A) WORKING AGENDA FOR 2002

The working agenda 2002 for the targeted countries in the INCO-2 Programme areas (FP 5) and the implementation of the activities during the same period comprised:

A1: States in the pre-accession phase (NAS)

They were associated with FP5 but only for accompanying measures to support scientific mobility of high level researchers from these countries to the Member States and allowing them to bring back the experience acquired in the candidate countries.

Objectives :

- ✓ to maintain and reinforce the scientific excellence of the candidate countries
- ✓ to allow the Member States to benefit from the scientific expertise from these countries.

Deliverables:

- ✓ Increased scientific collaboration between candidate countries and Member States
- ✓ Reinforcing the competitiveness of European research in the context of an enlarged Europe
- ✓ Reinforcing and maintaining excellence in the candidate countries and in the Member States
- ✓ Supporting high quality training by improving exchanges and transfer of knowledge between the countries involved
- ✓ Enhancing participation of candidate countries in FP5 activities

Actions

- ✓ Participation of researchers from these countries in conferences organized in Western Europe
- ✓ Support for researchers from candidate countries to a training period in a Member State and a return period in the candidate countries.
- ✓ Support for the organization of conferences in the involved countries.
- ✓ Possible inclusion in the FP5 scientific areas in a bottom up approach
- ✓ Equal opportunities for men and women

Implementation:

- ✓ Two calls were made in 2002 for which 150 proposals (Training and excellence, 80; and Conference support, 70) were received. The ranked proposals are 17 (respectively 11 and 6), in reserve 19 (5 and 14), and in contract 28 (11 and 17).
- ✓ A number of dedicated additional measures to further improve the NAS participation in FP5 and their integration in the ERA have been taken during 2002 at various levels within the TPs and the INCO specific activities. They allowed for the participation of extra NAS partners in on-going FP5 contracts. Four lines of initiatives had been established:

NAS 1 for the extension of existing projects within the 5 TPs by the participation of extra NAS partners. The indicative budget was 35 Million Euro. Proposals received were 457, 297 ranked for negotiations for a total proposed budget of 32.393.367 EUR. (see Annex 6.1). The distribution of received proposals within the 5 TPs, countries, and the success rate achieved (proposals ranked compared to proposal received) demonstrated the positive results achieved with these integration measures.

NAS 2 for the integration into ERA. A joint call for accompanying measures (conference, twinning, visiting scientists, training measures, etc.) to the TPs "Quality of life", "Competitive and sustainable growth", "Energy, environment and sustainable development" to support the integration of high level research Centre in the NAS with structure of excellence in Member States. The indicative budget was 35 Million Euro. 353 proposals were received for all thematic priorities and 126 were ranked (see Annex 2). Also these measures seem to have provided positive results.

INCO accompanying measures to support the mobility of high-level NAS researchers to Member States and activities upon return. A call "Strategic action on training and excellence" within the horizontal programme "Confirming the international role of Community research" has been launched with an indicative budget of 2 Million Euro. 80 proposals were received, of which 6 declared not eligible from the administrative point of view, 12 proposals were incomplete and/or did not fulfil the requested criteria, 28 passed the requested thresholds, 16 were short listed and only 11 could be selected due to the budget limitations (approximately 2.000.000€ available for the call). These 11 proposals covered fields related to life sciences (nerve cell injury in epilepsy; genetic diversity in exploited, marine fish and shellfish, resistance to crop diseases etc), to physics (theoretical and computer physics, semiconductor quantum dots in high magnetic fields) and chemistry (electrochemical sensors).

Support for conferences was carried out through an open call for proposal to support researchers from the pre-accession countries to participate in events which take place in Europe or to finance the organisation of scientific events in pre-accession countries. There has also been the possibility to support information events concerning the EU RTD policy. The last deadline was on March 2002. 70 projects were received, of which 20 were selected for negotiation (14 from the reserve list).

CO-ORDINATION of international dimension across FP6 through regular meetings with the service involved in these actions. They can be considered as preliminary exercise to the structure of FP6.

A2: NIS, Mongolia and CEECs not in the pre-accession phase. COPERNICUS 2

The cooperation is directed to specific problems of this region in transition.

Objectives

- ✓ to maintain and reinforce the scientific excellence of the candidate countries
- ✓ to develop a pluralistic scientific and technological system able to help these countries to solve their major economic and societal problems, with a focus on regional problems linked to the environment and health, structural problems of transition and socio-economic development including aspects such as social welfare, unemployment and stabilisation of local institutions, sustainable use of natural resources

Deliverables:

- ✓ Effective tools for limiting man-induced environment damage
- ✓ Technologies and tools for a sustainable industry
- ✓ Better means to stem the rise of diseases, and to improve health care coverage, especially for vulnerable groups.
- ✓ Increased linkages between researchers from these countries and those of the EU, and among the countries themselves

Actions

- ✓ Participation of researchers from these countries in conferences organized in Western Europe.
- ✓ Support to the organization of Conferences in the involved countries.

- ✓ Research undertaken mainly by means of shared cost actions. Concerted actions/thematic networks possible
- ✓ Equal opportunities for men and women

Implementation:

- ✓ A call for proposals was permanently open in order to support NIS researchers participation in events which take place in Europe or for the organisation of scientific events in the NIS (Conference support ACM). The last deadline was March 2002. 27 projects have been received, of which 9 have been ranked for negotiation and 3 contracts have been signed in 2002.
- ✓ In the framework of the call dedicated to research projects with West Balkan countries (Copernicus 2) and launched in 2001, negotiations have started concerning two ranked environmental projects and negotiations have been opened up to one project from the reserve list.
- ✓ Dissemination of information has been ensured through the participation in mid-term assessment meetings concerning on-going Copernicus and S&T contracts, mainly in NIS countries, and through presentations to local scientific communities of the ERA and the FP6 with special focus on the new opportunities offered to the potential third countries participants.

A3: Mediterranean Partners Countries (MPC)

The co-operation aims to enhance the S&T base of the Euro-Mediterranean partnership.

Objectives

- ✓ To concentrate on a set of five strategic areas: socio-economic modernisation, managing scarce regional water resources, preserving and using cultural heritage, promoting healthy societies and regional environment sustainability. There are sectors not included in the TPs of FP5 or under Research for Development.
- ✓ Synergy and complementarities between this programme, the TPs and MEDA co-operation activities will be ensured.

Deliverables:

- ✓ Cross-sectoral policy options for structural adjustment, efficient transport, water and environment management.
- ✓ Management and decision support systems for natural resources and health.
- ✓ Technologies for efficient water use, treatment and reuse and for the conservation of cultural heritage.

Actions

- ✓ Call for proposals for research and networking based on shared cost, concerted actions and thematic network
- ✓ Accompanying measures for all areas of the programme including workshops, seminars, studies, conferences, dissemination, etc.

Implementation:

- ✓ There were two calls in 2002: 1) The last INCO-MED call for research proposals (5 April 2002) received 120 proposals, 17 ranked, 5 in reserve, and 7 contracts. 2) The accompanying measures under INCO-MED (15 March 2002) received 30 proposals, 5 were ranked, 0 in reserve and 2 contracts signed in 2002.
- ✓ All major themes of the current INCO-MED work programme have been covered in 2002, however, response was clearly mature and better structured in key areas such as managing scarce water resources, coastal ecosystems, health and cultural heritage. Almost all highly evaluated proposals could be ranked and proposed for funding. In addition, funding for accompanying measures which covers all themes open at one point or other in FP5 could be secured for all ranked proposals.
- ✓ Negotiations of 33 selected proposals from 2001 calls were successfully concluded.

A4: Research for Development in DC

It includes the Developing Countries (ACP Agreements), and it is directed at the specific problems these countries have in facing regional or global challenges.

Objectives

- ✓ to undertake research to tackle the challenges posed for DC.
- ✓ to mobilise the strengths, expertise and resources of the European scientific community jointly with DC research teams.
- ✓ To use RTD co-operation to support Community development co-operation policy in line with current strategy.

Deliverables:

- ✓ Identification of policy options for RTD, for meeting basic needs and for use of renewable natural resources.
- ✓ Improved systems of renewable natural resources use in rural and urban areas and improved health systems.
- ✓ Cost-effective tools for improved health, agricultural and agro-industrial production and water management.
- ✓ Enhanced Europe-Developing Country and international policy dialogue.
- ✓ Strengthened Europe-DC links and research base in Europe and DC.

Actions

- ✓ Research in the priority areas and fields
- ✓ Accompanying measures for all areas of the programme including workshops, seminars, studies, conferences, dissemination, etc.

Implementation:

- ✓ One call in 2002 (INCO-DEV ACM, 15 March 2002) with the total of 68 proposals, 14 ranked, 5 in reserve, and 7 contracts signed in 2002.
- ✓ During 2002, most international activities were deployed in relation to Latin America and the Caribbean (ALCUE) and through bilateral negotiations with Mexico, Chile and MERCOSUR; Asia-Europe Meetings (ASEAM) and sub-sets, such as ASEAN; dialogue with African, Caribbean and Pacific (ACP) countries as well as in the context of NEPAD; and Mediterranean dialogue (MoCo).
- ✓ A number of initiatives taken by the Commission have increased the visibility of the EU-international dimension towards third countries. Among them several workshops in the context of ASEM, ACP and Mediterranean, the EU engagement at the World Summit on Sustainable Development, The EU Water Initiative at WSSD.
- ✓ The projects on topics that have provided major scientific achievements dealt with desertification (the CIRMAN-ARAL project); sustainable food production (MYCHINTEC) in China; food processing in East Africa; health care reform in Eritrea, Zimbabwe and Mozambique; water resources projects in Latin America, Africa and Mediterranean countries; land use analysis for integrated resource management in SE Asia; coast zone management in the Mediterranean.
- ✓ Negotiations of 109 selected proposals from 2001 calls were successfully concluded.

A5: Emerging Economies and Industrialised Countries

The programme aims at giving appropriate reciprocal access to expertise and knowledge in these countries and the EU

Objectives

- ✓ S&T Agreements are useful instruments for the implementation of FP5. They will be renewed and extended with certain industrialised countries (Japan, Korea), emerging economies or specific regions (e.g. MERCOSUR, ASEM, etc.) if there is a Community interest.

Deliverables:

- ✓ Determination of S&T Co-operation activities of European interest
- ✓ Implementation of S&T Co-operation agreements
- ✓ Concertation and co-ordination

Actions

- ✓ Research in the priority areas and fields
- ✓ Accompanying measures for all areas of the programme including workshops, seminars, studies, conferences, dissemination, etc.

Implementation:

- ✓ Only one call was made in 2002 (AS-INCO Emerging ACM) with the total of 6 proposals submitted. However, none were either ranked, reserved or contracted.

B. TRAINING OF RESEARCHERS

B1: Training of researchers from developing countries, including Mediterranean Partner Countries and emerging economies

Objectives

- ✓ Collaboration among European and the target countries' researchers and institutions
- ✓ Possibility to be associated to projects of the thematic programmes of FP5

Actions:

- ✓ Bursaries up to 6 months for training or work on particular experiments for young researchers from developing countries

Implementation:

- ✓ One call for individual fellowship for young researchers of developing countries in 2002 (IBD) with the total of 15 proposals, out of which 2 were ranked and selected.

B2: Fellowship to Japan for Community Researchers

Objectives:

- ✓ To enable young researchers and engineers from the European Countries to participate in high-level industrial research in public and private laboratories in Japan.

Actions:

- ✓ Fellowship to Japan for Community Researchers

Implementation:

- ✓ One call for Fellowship of European researchers to Japan (IF) was made with the total of 13 proposals, 9 ranked, 0 in reserve and 9 contracts.

C. CO-ORDINATION

Objectives

- ✓ To ensure synergy and co-ordination between the research co-operation policy and activities of this programme and those undertaken by the other RTD programmes and the Member States, as well as with other Community initiatives and policies, in particular external policies.

Deliverables:

- ✓ Increased activities' efficiency and impact of European international RTD co-operation.
- ✓ Increased participation of partners from outside the Union across the thematic programmes of FP5
- ✓ Co-ordination policy and activities with the Member States
- ✓ Complementarity and synergy with other international RTD for a and initiatives

Actions

- ✓ Support to establish co-operation with third countries
- ✓ Support to COST and EUREKA
- ✓ Co-operation between the Community and international organisations.

Implementation

- ✓ The activities carried out by Unit 05: Coordination with Member States, regional and bi-regional dialogues and associated activities.
- ✓ Successful negotiation of S+T Agreements and news agreements negotiation

4.2.3 Other activities

Previous years monitorings emphasised the need of more and better information and user-friendly efforts in the INCO-DEV programmes, and the relevance of impact assessment of STD and FP activities. There was a number of initiatives in these areas during 2002 confirming the positive reply from the Commissions services to these recommendations.

Eureka

In 2002, three activities aimed at intensifying co-ordination and synergies between the research programmes of the Union and Eureka :

- ✓ A joint working group EC-Eureka-EIB (European Investment Bank) has been set up on synergies for financing. A report has been produced in July 2002.
- ✓ The different Directorates general of the European Community, which are involved in the Eureka initiative, have increased their co-ordination, through an inter-service group, organized by DG Research.
- ✓ Several joint events between Eureka and innovation networks of the European Community have been successfully organised.

COST

The European Commission pursued its support to European co-operation in the field of scientific and technical research in COST. With the new participation of the Former Yugoslavian Republic of Macedonia in 2002, the total number of members increased to 34. 161 COST actions were underway on 31 December 2002. COST continued to develop wide research networks in Europe gathering 25,000 researchers, thereby playing an important role for scientific and technical co-operation in Europe.

INTAS

The recent figures provided by the INTAS on its activities since its establishment are following:

	Total No of Activities funded	Total funded budget in EURO
Research and Network Projects	2,555	165,195,000
Young NIS Scientist Fellowship	675	3,450,000
Young NIS Scientists Conf. Grants	257	232,000
Summer Schools	20	250,000
Monitoring Conferences	240	1,734,000
Infrastructure Actions	24	3,822,000

*Situation as of end August 2002

4.2.4 Qualitative indicators

SMEs

Participation of SMEs and non-SMEs by region in INCO 2 shared cost actions, concerted actions and thematic networks concerned INCO-DEV, INCO-MED and INCO-Copernicus calls in 1999 – 2002. All received proposals classified in relation to the geographical target regions in INCO 2 (MPC, NIS, ACP, ALA), candidate countries (CEEC, Cyprus, Malta) and the EU, show that the average rate with participation of SMEs is about 10% of the total. This rate has not been met for Accession Candidate Countries, MPC, NIS, and Asia, but for all other target regions of INCO 2, including partners from Member States.

This rate refers to a percentage of the budget approved for each proposal. An estimated percentage of participation of 15% is considered high for some calls and some groups of countries. Considering the importance of the SMEs in the proposals for the different regions, the high rate has not been met for Mediterranean Partners Countries, NIS and Asia, but it can be considered to have been met roughly for all other target regions of INCO 2, as well as for the E.U. member state partners.

Besides that, the target regions show about the same distribution as for the submitted proposals. Therefore, SMEs from the Mediterranean Partner Countries, NIS and Asia as we

It as for ACP countries are supposed to be below that rate. The rate of SMEs participating in ranked proposals compared to submitted proposals is roughly the same (the only relevant difference is for candidate countries which has been about 100%).

Women and Science

The gender dimension has been the object of a gender impact assessment of the specific programme "Confirming the International Role of Community Research " (INCO) of the FP6 (1998-2002). The results have been published in "Gender in Research – Executive summary and recommendations", September 2002. Overall, according to data supplied by the Commission services, the number of women coordinators in all FP5 calls in Research Projects, Thematic Networks and Concerted Actions etc. has been 50, and the number of women coordinators in Accompanying Measures 16.

Ethics

The statements provided with the self-assessment by the Commission services indicates that despite the increasing demand on ethical control in RTD we are still far away from a shared understanding concerning the development of universally agreed standards. Ethical questions have therefore to be addressed more carefully in the S+T Agreements with third countries.

4.2.5 The attainment of objectives

All major themes of the current INCO work programme have been covered in 2002. However, response was clearly more mature and better structured in key areas such as managing scarce water resources, coastal ecosystems, health and cultural heritage. Almost all accompanying measures, which cover all themes open at one point or other in FP5 could be secured for all ranked proposals.

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

In 2002, INCO was implemented in the context of the final year of FP5 and the transition towards FP6. The implemented activities are comprehensive of the contracts signed in 2001 and in the previous years. Practically all FP5 contracts from calls prior to 2002 are now well underway and the last negotiations are nearing completion to deliver again fully on the objectives and priorities for 2002 in terms of project cycle management. Remaining FP4 contracts are nearing conclusion and final reporting including TIPs are being concluded as a matter of priority. On-going contracts are being monitored and with very few exceptions being followed-up, show normal progress.

The closure of all calls of the FP5 in 2002 allowed a realistic assessment of the overall budgetary needs of the different areas of the INCO programme. As a result, a last modification of the indicative breakdown of the amount deemed necessary was proposed, involving some minor reallocations to finance high quality proposals from the reserve lists.

The overall breakdown of the amount deemed necessary shows the following distribution in 2002:

Pre-accession States	6.1%
NIS and other CEEC	24.5%
Mediterranean Partners	11.8%
Developing countries	44.2%
Emerging economies and Ind. Countries	1.1%
Training of researchers	1.5%
Co-ordination	10.9%

4.2.7 - Legacy aspects, in particular the follow up of finished contracts of successive FPs, (incl. the Technological Implementation Plans -where relevant for the SPs-)

The nomination of the Director Deputy General in June 2002, with the responsibility of the two international co-operation units - Unit 05 ("International scientific co-operation policy") and Unit 06

("International co-operation scientific projects") – and the establishment of an International Scientific Steering Group under its chairmanship, have completed the reorganisation of the management structure for international scientific cooperation in FP6.

The Steering Group is composed of the representatives of all service involved in the implementation of FP6, across all DGs concerned (STD, INFSO, TREN, FISH, ENTRE). Its main mandate is to ensure coherence between the different activities of the FP concerning international scientific co-operation.

INCO calls closing in 2002 were launched between January – April 2002. The overview of a typical calendar for evaluation, negotiation, and selection show a time period of 10 months (see Annex 6.1). The selection decision and contract signature require about half of the period. A shortening of this time interval seems desirable, but difficult to achieve, especially in procedures implying international co-operation.

However, it remains unclear why after the signing of the contract, as well as during the successive stages of its implementation, the internal administrative dispositions should delay by two-three months the concrete allocation of funds to the project co-ordinators. This situation creates undue stress and pressure on project co-ordinators and an unfair claim of self-financing on project partners.

The Panel is conscious of the persistent dichotomy between the involvement of political and social actors relevant to the proclaimed strategies and priorities at regional and meso-regional level, and the legal representative institutions. This is the case of the regional dimension in the Mediterranean area, though not exclusively limited to this region.

The well-known problem of the strain on human resources, in RTD Units 05 and 06 and in the Commission services in general, could be solved by involving through decentralisation peripheral services of the Commission. A number of activities related to information services, awareness, spreading of information, co-operation among EU projects at the geographical level, dissemination, exploitation, could be shared with EU Delegations, national/regional "focus points", etc.

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

The international scientific cooperation in FP6 is understood as the international dimension of the ERA. The four strategic objectives stated in the Communication of the Commission COM (2001) 346 fin. 25.6.01 are the following:

- ✓ Make the Area more attractive for the best scientists and make it a world class reference centre
- ✓ Enable European researchers and industrialists to access knowledge and technology available elsewhere in the world
- ✓ Develop scientific and technological activities useful to the implementation of EU foreign and development aid policy
- ✓ Enlist the S&T resources of the European Union and of third countries in initiatives that provide a response to significant world problems of concern to the Community.

In this context, international scientific relations are moving higher at the political agenda of the EU. The main aim of the restructuring of the international dimension in FP6 as compared to FP5 was the inclusion of effective international cooperation activities in the mission of the thematic directorates rather than maintaining this as a separate function. The year 2002 served essentially as a transition period towards FP6, preparing the ground for the new work programmes and evolving working modes commensurate with the FP6 structure.

In this new structure international cooperation is being delivered through three main routes:

1 and 2 Within Specific Programme 1 – Focusing and Integrating Community Research –there is 600 million Euro indicated as included for international cooperation activities.

1. Of this amount, 315 Mio€ is for the funding line "Specific Measures in Support of International Cooperation" with own calls for proposals. These activities will involve four groups of countries, namely Developing Countries, Mediterranean Partner Countries, Western Balkans, Russia and other Newly Independent States (NIS). The objectives are: To lend support, in the scientific and

technological field, to the implementation of the Community's foreign policy and development aid policy.

2. The remaining 285 Mio€ will be dedicated to the participation of INCO target countries (Developing countries, Mediterranean Partner Countries, Western Balkans, Russia, and the other NIS) in the seven Priority Thematic Areas of Research, as well as participation under "Specific Activities covering a Wider Field of Research." The objectives are: Participation of European researchers, business and research organizations in the E.U. and in the countries associated with the FP6 to have access to knowledge and expertise existing elsewhere in the world. Participation of European resources in initiatives related to the issues arising at the world level and being the subject of international and global effort.

3. Specific Programme 2 – "Structuring the European Research Area" – contains a coherent set of mobility schemes to support international mobility of researchers under the Human Resources and Mobility activity.

In the Expert Group's view, the implementation of the international dimension of FP6 still seems to be problematic with regard to the following aspects:

- *Management*

At operational level the "Specific Measures in Support of International Cooperation" will be implemented by units 05 and 06 under the responsibility of the Deputy Director General and Directorate D will mastermind international activities in the field of mobility, while the development of international activities within the Priority Thematic Areas of Research will have to rely on the directors in charge of these thematic priorities. This complex structure with a considerable number of different actors requires high efforts of coordination activities at DG level and beyond with other DGs involved in FP6 and with Community activities and policies relevant for international cooperation. The Expert Group welcomes the establishment of the International Cooperation Steering Group with satisfaction. However, since only three meetings have taken place so far, it is probably too early to assess its effectiveness.

- *Identification of priority themes within the three routes of international cooperation.*

In general, the mechanisms for priority setting are the following:

- ✓ Co-ordination with Member States
- ✓ Bilateral agreements
- ✓ Bi-regional dialogue
- ✓ International forum

The participation of local actors, institutions and civil society organisations in the priority setting is not adequately documented.

For the seven Priority thematic areas and their work programmes: programming of activities was addressed by the Deputy DG in a note to the Directors on 24 June 2002 and Directors were asked to submit their draft action plans with regard to international cooperation by 12 August 2002. In parallel a note (28 June 2002) on International cooperation activities to be implemented in the priority thematic areas was distributed. This note lists priority areas for cooperation with specific third countries, and it also contains a matrix which matches scientific and technological objectives covered by the seven thematic priorities with regional priorities and global issues covered by the bi-regional dialogues.

A closer watch to the work programme for the seven TPs, shows that international cooperation is being addressed in very different shaping and with diverse objectives. For example, it is not among the issues which are specifically relevant to thematic area 1.3 – "Nanotechnology," while in 1.1 -- Life Science, Genomic -- activities are limited to certain isolated aspects (e.g. The European and Developing Countries Clinical Trials partnership – EDCTP); the work programme for Thematic Priority 1.2 Information Society, contains a specific reference in the context of reinforcing Europe's position in IST on the international scene and appreciates international collaboration as a unique value for the competitiveness of European industry. Research for strengthening the competitiveness of the manufacturing industry in the global market and in order to win global leadership for European

aeronautics with a competitive supply chain is done in thematic priority 1.4 Aeronautics. In comparison, thematic priorities 1.6.1 Sustainable Energy, 1.6.2 Sustainable Surface Transport and 1.6.3 Global Change, have an entirely different view with their focus being on activities of mutual concern and mutual benefit and synergy with other international programmes.

The research priorities for the “Specific measures in support of international cooperation” are defined on the basis of the interest and objectives of the Community’s political partnership with the different groups of countries, as well as their particular economic and social needs (Council decision specific programme “Integrating and strengthening the ERA”).

For the Human resources and mobility activities. “The possibility of refining priorities, as regards for example, scientific disciplines, participating regions, types of research organisations and potential of the targeted research populations, especially women and younger researchers will be retained” (Council decision specific programme “Structuring the ERA). The refining of priorities did not materialise in the global mobility schemes: there are no quotas for specific research areas or specific regions or specific research populations, but there is an entirely free market approach. This may be justified by the factors that first, the main criterion for offering a grant is scientific quality and that second, the number of grants is rather limited (100 million Euro for 4 years). However, it is now obvious that the three main routes for delivering the international dimension are not based on a comprehensive strategic approach.

Overall, the Community interest is a declared priority in routes 2 and 3. There is a widespread impression among actors that while the E.U. research profile was more pluralistic in previous Framework Programmes, the international dimension received greater autonomy within INCO in FP5. The Expert Group is concerned that while the objectives of international cooperation in FP6 and ERA become more closely linked and restricted to the 7 TPs, mostly functional to the EU’s interests, it is not clear how the different TP objectives relate to each other and to the objectives of other activities in international cooperation. The Commission services should invest more intellectual capacity to better and more clearly define the overall objectives of international cooperation and the real aims of the ERA in the most sensitive and ambivalent bundle of interests ranging from “winning global economic leaderships” over “solving problems of mutual concern at global level” to “shaping and supporting the development of a common foreign policy.” This is also a prerequisite for monitoring the effectiveness of the Framework Programme’s international dimension and forecasting its results.

- *Allocation and use of the 285 Mio€ in the seven Priority Thematic Areas of Research and Specific actions covering a wider field of research.*

The 285 Mio€ are already included in the overall appropriations of the thematic priorities, there is no extra money for the priorities. Additional money from the budgets of the thematic priorities can be used to fund participation from non-INCO target countries, and also for INCO target countries if the 285 million Euro are used up. Therefore, the 285 million Euro are not to be seen as an upper limit, but rather as a spending target.

Against this background, it was not surprising that the International Cooperation Steering Group agreed on an indicative pro-rata distribution of the 285 Mio€ for the first year of operation (2003). The Group agreed as well on regular monitoring and mid-term review because it is not so certain that the spending target will be attained under the given circumstances. In fact, the pro-rata distribution does not reflect the diverse and ambivalent objectives of international cooperation in the TPs and some fields and topics are more relevant, self-offering, or more important for international cooperation than others. The matrix on scientific and technological objectives covered by seven priorities and regional priorities and global issues shows that priorities 1.1.2. – Information Society – 1.1.3. – Nanotechnologies -- and 1.1.4. – Aeronautics -- have very limited relevance in bi-regional dialogues but 139,6 (approx. 50%) of the 285 Mio€, while priorities 1.1.5 – Food quality and safety -- and 1.1.6. –Sustainable development, Global change -- with their truly global dimension have only 65,1 Mio€. Pro-rata as a first approach may be good for overall acceptance of international cooperation in TPs because they are all treated in the same way.

However, the Expert Group strongly recommends a review of the allocation of the 285 Mio€ in the near future in parallel to reviewing the diverse and ambivalent objectives of the TPs mentioned above, and with regard to the global relevance of specific research topics.

- *Exchange of information and cross fertilisation between the various Programme Committees involved in international activities.*

The new Commitology of FP6 combines thematic committee configurations (e.g. for the seven TPs in Programme 1) with horizontal configurations for each of the two programmes. International cooperation issues were and will be addressed in the horizontal configurations mainly, and the Commission services rely on the Member States to ensure an information flow between the different Committee configurations. The Expert Group doubts that this is a realistic expectation and recommends to discuss international cooperation issues whenever relevant, also in the thematic committee configurations.

- *Structuring the dialogue with other Commission services and DG's such as Relex, Development, Environment, and Home Affaires.*

The dialogue does not seem to be well and appropriately structured. The International Cooperation Steering Group offers a formal platform for dialogue only with those DGs which are directly involved in FP6, while for the dialogue with other DGs it is difficult to determine what is actually done. The overall impression is that the dialogues are mostly informal and depend to a large extent from the individual staff members' initiatives. Some positive features have nevertheless been noted during 2002:

--Closer inter-service cooperation between DG RTD and DG JAI (Justice and Home Affairs) in developing a mobility strategy for ERA and for improving the conditions of entry of third country researchers to Europe.

--INTAS. Cooperation activities with Russia and other NIS set up jointly by the Community and the Member States.

--Inter-service consultations and cooperation with regards to the World Summit on Sustainable Development (WSSD) in Johannesburg. There would be merit in developing these efforts further, in particular with DFG Relex (External Relations).

- *Candidate Countries*

Concerning the Newly Associated States (NAS) and their involvement in FP 6, the situation is looking better now than a year before. All candidate countries have sent to the Commission the action plans aiming at the improvement of their participation in FP activities and all Memoranda of Understanding associating candidate countries to FP 6 have been signed. The candidate countries have also nominated their delegates for the programme committees.

5. CONCLUSIONS AND RECOMMENDATIONS

5.1 - General conclusions/majors trends/ main strenghts and weaknesses encountered

A) The Evolution of the International Dimension in the FP6 and ERA

It has now become more obvious than before, that the international dimension of the ERA and FP6 will be difficult to achieve for two reasons:

1. The international dimension and its objectives in the context of ERA are not clearly defined, and
2. There are implications which are not under the control of DG Research and/or national research ministers.

It is therefore not surprising that the three main routes for delivering the international dimension in FP6 are not based on a comprehensive strategic approach and international cooperation is being addressed in very different ways and with divers objectives. The international dimension in FP6 as compared to FP5 appears therefore weakened.

In particular, the international cooperation objectives in FP6 remain ambiguous in terms of EU external policies and influences, in terms of the international scientific mobility and in terms of IPR protection in a global context.

- (i) There is no common foreign policy that could provide guidance and orientation
- (ii) There are legal and administrative as well as social, cultural and practical obstacles for intra-European and global mobility of researchers, which can only be solved in cooperation with the ministries of the interior, home affairs and labour
- (iii) The absence of a Community Patent (although some recent progress have been made) hampers international R&D cooperation in the context of intellectual property protection and the use and dissemination of R & D results.

In the Expert Group's view, the Commission services should invest more intellectual capacity to better and more clearly define the overall strategy, the objectives of international cooperation and the real aims of ERA. The actions planned for developing the international dimension so far (*Commission of the European Communities, The European Research Area: Providing New Momentum, COM (2002) 565 final, Brussels, 16.10.2002*) are of limited strategic relevance and will probably have little impact. More emphasis should be given to removing the obstacles mentioned above and to creating a more friendly environment for international cooperation in the EU and beyond.

A special challenge to any meaningful international cooperation with developing countries is the willingness on the part of the EU to invest – in the context of development aid policies – in the development of scientific and technological infrastructure in the cooperating countries themselves. In the absence of facilities and resources available to retain cooperating country scientists, the whole relationship will result in many cases in a brain drain from third countries to industrialised countries, hence defeating the whole purpose of scientific cooperation in the first place.

The successful development of Community research and ERA depends on the creation of a better research climate in Europe, and on common efforts to create synergies between European, national and regional programmes. In that light, the efforts to improve the management of COST that is relevant to the coordination and cooperation of research at the national level and at the European level.

B) The INCO 2 Programme in FP5

The INCO 2 Program seems to have had a consistent internal cohesion, and a continuous process for implementation. All budgets of the program have been fully utilized although more funds were needed.

Nevertheless, there is yet no set procedure to allow us to determine the level of performance, the achievement of strategic targets and/or the ultimate impact of the Programme's implementation.

Gender mainstreaming as an institutional strategy to reach gender equality goals is not widely understood within INCO. The final result has been the omission of gender in key instruments procedures and programmes documents. The commitment to gender mainstreaming in INCO will require not only the development of gender competence of individuals, but also the development and implementation of gender mainstreaming infrastructures, policies, practices and procedures in each institutions.

The management of the INCO 2 Programme has overall been consistent, versatile and adjustable to the emerging requirements. However, the dichotomy between thematic orientation and target area activities, and the limited experience drawn so far from the International Cooperation Steering Group (ICSG) did not allow for a full deployment and a dynamic evolution of the management structure.

Delays in funds allocation to project coordinators create an unreasonable stress and an unfair claim of self-financing on project partners.

There is an expressed need for greater clarity in the information included in the proposal documents to assist inexperienced applicants by NCPs, local advisors, European Information Points, etc. with the view to rise the success rates for applications. Thus, a route map to the proposal documents and how they must be completed should be provided.

A functional FP-wide management information system (MIS) is required in order to standardize procedures and systems of management for projects (such as reporting guidelines, contract negotiation requirements, dissemination, etc.) as well as for programme monitoring purposes.

Internal evaluation systems must be established for bigger projects at mid-term, post-project, and at other intervals when appropriate to ensure compliance needed in any further phase of the work. This means that the programme should actively and systematically monitor the way in which is delivering its specific objectives at both project and programme level.

The participation of SMEs in projects has increased, in all groups of countries especially in the Developing Countries. However, there are no clearly defined objectives for SMEs involvement over and above the participation rates. Moreover, there is lack of a reasonable guidance to the modes of participation across the various fields of the Framework Programme. It is also important to collect and document informations on specific problems that SMEs have to face in transnational research and technology cooperation. The reason why such emphasis on SMEs should be given is due to the fact that they represent the most consistent part of the production systems in developing countries and, therefore, a productive potential that cannot be ignored without failing the overall socio-economic strategy for these countries.

Despite improvements in carrying out relevant campaigns, better public awareness of the Framework Programme is imperative for increasing participation. Sources of information for potential proposers, particularly in developing countries and associated countries could make better use of National Contact Points and EU Delegations as sources of information and documents in a timely manner. Currently, many National Contact Points are still not aware of INCO activities in their domains. Finally, the Framework Programme must review communication and marketing strategies, in order to develop a more user oriented approach.

5.2 Recommendations (a limited number of key recommendations)

- **Recommendations specific to the sp programme / era related activities**

1. The Expert Group strongly recommends to monitor and evaluate the efficacy of international cooperation through a specific set of criteria, benchmark indicators and statistics which will have to be provided periodically and with a high degree of consistency and accountability; this task has to be carried out by the ICSG. The results of this process have to be reflected in the allocation of funds to the different routes and the various specific and thematic activities for international cooperation. This applies in particular to reviewing the allocation of the 285 million € to the seven thematic priorities with regard to the global relevance of specific research topics.
2. The implementation of TIPs and all pertinent scientific and technological results have to be enforced through a more systematic exploitation and dissemination mechanism and with a higher degree of consistency, preferably from the beginning of each project.
3. The time to contract has to be shortened. The contractual procedures and the financial management of the community programmes should be build on trust and control, and do not justify that control hampers the fulfilment of the required financing of the project. A correct evaluation of the project should minimize the risk of administrative mismanagement, and the risk of mistakes contained within the application of the “best administrative practice” should be considered among the natural risk of such implementation by the Programme.
4. The Expert Group recommends the incorporation of the “Gender in Science” dimension into all relevant information and documentation associated international cooperation in FP6 .
5. The Commission services must provide a comprehensive policy and guidance paper on the objectives of SMEs’ participation from third countries in FP6 and the appropriate mechanisms for such participation across the various research activities of the framework programme.
6. NCPs, in as many countries as possible, EU Delegations etc. have to be strengthened and further deployed (in countries that they do not exist) in view of becoming more proactive partners in collecting information, making contacts and establishing partnerships as well as providing an efficient feedback to the Programme administration.
7. The International Cooperation Programme Monitoring by external experts has to be rearranged on a two-year interval and coupled with a more extensive and in-depth evaluation (interim or ex-post) of the real performance of all international cooperation activities across the Framework programme.

o **Recommendations of general significance for the whole fp/era**

1. The Expert Group strongly recommends to better and more clearly define the “international dimension” and the overall objectives of international cooperation, both in the context of FP6 and ERA.. This will require an implicit understanding and definition of the overall ERA aims and policy as well. The Expert Group proposes the opening of a cultural debate on the implications of intercultural activities within the Commission services and with major stakeholders involved in international RTD cooperation activities. Furthermore, the Expert Group proposes the establishment of a high level advisory group for the Commissioner with eminent members from the world’s main meso-regions nominated in their personal capacities and not through political channels.
2. The Commission services must develop and outline an action plan indicating how the ERA will develop over the period to 2010 to achieve the objectives of the Lisbon strategy. Although it is recognized that some elements of this already exist, it is also debatable to what extent it would be possible to more precisely define the concept of ERA at this stage.
3. The implementation of a generalized information system that includes all national and European RTD activities and programmes does not seem to be feasible. A more realistic approach should identify specific target groups, target countries and topics, by encouraging a bottom up approach based on already existing network and information exchange systems.
4. More emphasis should be devoted at the DG level to remove the legal, administrative, social, cultural and practical obstacles to transnational mobility of researchers. In addition, the potential of matching EU support schemes with national support schemes for the transnational mobility of researchers must be better exploited.
5. The participation in priority setting by local actors of various categories is now limited if not entirely missing. The absence of significant civil society’s organisations in the FP6 Panel and in the overall structure implementing FP6 and ERA is a striking factor. Therefore new forms of participation and involvement should be elaborated.

6. ANNEXES

6.1 - Budget for fps and sps + criteria + relevant articles from fp decisions

INCO
Typical calendar for evaluation, negotiation and selection delays in the context of current DG RTD procedures

ID	Task Name	Duration	M-1	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	
35	Authorisation of launching of written procedure	4 days																					
36	Commission decision	10 days																					
37	Individual commitments	3 days																					
38	Signature of contracts	40 days																					
39	Selection decision and contract signature (batch 3)	285 days																					
40	Precommitment	1 day																					
41	Authorisation of launching of inter-service consultation	5 days																					
42	Inter-Service Consultation	10 days																					
43	Consultation of programme committee (written consultation or meeting)	11 days																					
44	Authorisation of launching of written procedure	4 days																					
45	Commission decision	10 days																					
46	Individual commitments	3 days																					
47	Signature of contracts	40 days																					
48	Selection decision and contract signature (batch 4)	175 days																					
49	Precommitment	1 day																					
50	Authorisation of launching of inter-service consultation	5 days																					
51	Inter-Service Consultation	10 days																					
52	Consultation of programme committee (written consultation or meeting)	11 days																					
53	Authorisation of launching of written procedure	4 days																					
54	Commission decision	10 days																					
55	Individual commitments	3 days																					
56	Signature of contracts	40 days																					
57	Selection decision and contract signature (batch 5)	140 days																					
58	Precommitment	1 day																					
59	Authorisation of launching of inter-service consultation	5 days																					
60	Inter-Service Consultation	10 days																					
61	Consultation of programme committee (written consultation or meeting)	11 days																					
62	Authorisation of launching of written procedure	4 days																					
63	Commission decision	10 days																					
64	Individual commitments	3 days																					
65	Signature of contracts	40 days																					

SP INCO MONITORING PANEL MEETINGS IN BRUSSELS

- 8.11.2002 T. Arnold, C. Nauen, M. Kayamanidou, A. Karaoglou
- 22.11.2002 T. Arnold, L. Bellemin, C. Nauen
- 13-14.01.2003 F. Tilak Viegas, M. Kayamanidou, C. Patermann, M. Genovese, A. Karaoglou, G. Apostollatos, N. Newman, J. Sinnaeve, Y. Motteu, M. Bauer, A. Ghazi, Quinatra Trias, J. Gaudin, M. Romaris, Hugh Richardson.

6.2 – Abbreviations

C&EEC, CEEC	Central and Eastern European Countries
CA	Concerted Actions
CEC	Central European Countries
COST	European Cooperation in the field of Scientific and Technical Research
CRAFT	Cooperative Research Action in Technology
DC	Developing Countries
DP	Demonstration Projects
EAV	European Added Value
EIB	European Investment Bank
ERA	European Research Area
EU	European Union
EUREKA	Cooperation between European firms and research institutes in the field of advanced technologies (1985 - ...)
FP/SP	Framework Programme/Specific Programme
INCO	International Cooperation
INCO-DC/DEV	International Cooperation with Developing Countries
IPR	Intellectual Property Rights
INTAS	International Association for the Promotion of Cooperation with Scientists from New Independent States of the former Soviet Union
JRP	Joint Research Projects
JRC	Joint Research Centre
MEURO	Million Euro
MPC	Mediterranean Partner Countries
NAS	New Accession States
NIS	New Independent States of the former Soviet Union
PHARE	Economic Restructuring Support in Central and Eastern European Countries
PREST	Policy Research in Engineering, Science and Technology
R&D	Research and Development
RTD	Research, Technological Development and Demonstration
SP	Specific Programmes
S&T	Science and Technology
SFP	Scientific Fellowships Programme
SME	Small and Medium Sized Enterprises
STD	Science and Technology for Development
TACIS	Technical Assistance to the Commonwealth of Independent States
TIP	Technological Implementation Plan
TOR	Terms of Reference
TTC	Technology Transfer Centres
RELEX	Directorate General of External Relations
TREN	Directorate General for Transport and Energy
ENTRE	Directorate General for Enterprises
DEVELOPMENT	Directorate General for Development
EUROPEAID	Europe Aid Cooperation Office
AGRO	Directorate General for Agriculture
INFSO	Directorate on Information Society

6.3 - Information provided to the experts by the programme management

6.3.1. Published reports, articles and Decisions

Annual Monitoring Report on RTD activities under EC and Euratom framework Programmes, 1999

Annual Monitoring Report on RTD activities under EC and Euratom framework Programmes, 2000

Monitoring Report on the E.U. framework programme for Research and Technological Development, 2001

Specific Monitoring Report on European Research Area activity (ERA), 2001

Specific Monitoring Report on the Specific Programme for Research and Technological Development in the field of Confirming the International Role of Community Research, 2001

Five year assessment report related to the specific programme confirming the international role of Community research covering the period 1995-1999, May 2000.

Impact Assessment Report on the Specific Programme for Research and Technological Development in the field of Confirming the International Role of Community Research in Framework Programme 4

<http://www.cordis.lu/inco2/src/library.htm>

Commission of the European Communities, *Communication from the Commission, International Dimension of ERA, COM (2001) 346 final*

Commission of the European Communities, *Communication from the Commission, More research for Europe. Toward 3% of GDP, Brussels 11.9.2002. COM (2002) 499 final*

Commission of the European Communities, *Communication from the Commission, The ERA Providing New Momentum, COM (2002) 565 final*

Council, *Council Decision adopting a Specific Programme for Research, Technological Development and Demonstration: "Integrating and strengthening European Research Area (2202-2006), 29.10.2002.*

EUREKA. *Report of the Eureka SYnergies Working Group, July 2002*

INTAS, *Consolidation through innovation, Activity Report 1999-2000*

Molas-Gallart J. and Salter A. , "Diversity and Excellence: Considerations on Research Policy", in *The IPTS Report*, July 2002. n. 66.

The Council of the European Union, *Council decision adopting a specific programme for research, technological development and demonstration: "Integrating and strengthening the European Research Area". Brussels, 9 August 2002.*

The Council of the European Union, *Council decision adopting a specific programme for research, technological development and demonstration: "Structuring the European Research Area". Brussels 9 August 2002.*

The Council of the European Union, *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). Brussels PE-CONS 3647/02, RECH 144 CODEC 1003, "001/0202 (COD).*

Appel, M., Beall, Jo, de Boodt, K., Fleming, S., Martic, C. and Pigott, M., 2001 *Gender in Research. Gender Impact Assessment of the Specific Programmes of the Fifth Framework Programme Confirming the International Role of community Research. Executive Summary* Brussels, European Commission 81 p. EUR 200020

Capitalizing on People and Institutions. 10 Years of EC Scientific Cooperation for the Transition towards Sustainability Brussels, European Commission, 24 p. EUR 20351

Managed Land Ecosystems. 10 Years of EC Scientific Cooperation for the Transition towards Sustainability, Brussels, European Commission, 24 p. EUR 20352

Aquatic Ecosystems 10 Years of EC Scientific Cooperation for the Transition towards Sustainability, Brussels, *10 Years of EC Scientific Cooperation for the Transition towards Sustainability*, Brussels, European Commission, 24 p. EUR 20352

Healthy Societies 10 Years of EC Scientific Cooperation for the Transition towards Sustainability, Brussels, European Commission, 24 p. EUR 20354

Water for Life, EU Water Initiative, International Cooperation – from Knowledge to Action, 10 Years of EC Scientific Cooperation for the Transition towards Sustainability, Brussels, European Commission, 48 p. EUR 20612

Pre-accession countries: A research environment for an enlarged European Union Brussels, European Commission, 2002 leaflet

NIS and CEEC Partner Countries: Targeting sustainable in Eastern and Central Europe. Brussels, European Commission, 2002 leaflet

The Developing World: Creating sustainable development solutions in developing countries. Brussels, European Commission, 2002 leaflet

Mediterranean Countries: Targeting sustainable development around the Mediterranean Sea countries. Brussels, European Commission, 2002 leaflet

The International dimension of the European Research Area. Brussels, European Commission, 2002 leaflet

6.3.2. Miscellaneous Information Materials

European Commission DG Research Unit B.3, *Support to the participation of SMEs in the Sixth Framework Programme*. Working Document, 4 November 2002.

European Commission, *Capitalising on People and Institutions, Ten years of EC scientific cooperation for the transition towards sustainability*, EUR 20351

European Commission, *International Co-operation in Thematic Priorities of FP6*, Brussels, 9.7.2002

European Commission, *International cooperation. All calls 2001, Information Package*

European Commission, *International Scientific Cooperation Policy*, News.

European Commission, *Note to Directors DG RTD, International Scientific Cooperation in thematic priorities of FP6*, Brussels June 2002.

European Commission, *Note to the attention of DG RTD Directors, Use of 285 million Euro*, Brussels November 7, 2002

European Commission, *Participating in European Research, Sixth Framework Programme*, October 2002

European Commission, *The European Research Area. An internal knowledge market*, 2002

Gender in Research, Executive summary and recommendations, Amsterdam, September 2002

The International Dimension of ERA, A Regional Approach Specialized Workshops 11-13/11/02 Brussels

Wrap-Up INCO2 (99-02) Overview Statistics on Proposals received and ranked 24.06.02

International Scientific Cooperation in the 6thFP, Initial Training Sessions for FP NCPs, October 2002

2002 INCO Monitoring 8.11.02 Programme Documents

2002 INCO Monitoring 22.11.02 Programme Documents (I ,II)

Prof. K. Harrap, Dr. C. Bogliotti, *Proposal Evaluation Panels for INCO-MED, INCO-DEV, 9-10.10.01*

Prof. K. Harrap, *Proposal Evaluation Panels (Step 2) for INCO-MED, INCO-DEV, 15-16.11.01*

Independent Observation of INCO-DEV, INCO-MED, Evaluation Process 2001, Report

ISCONIS Workshop, *Research Cooperation with NIS :Dissemination and use of results, bmb+f – INTAS, June 1999*

Monitoring Committee for Euro-Mediterranean Cooperation in RTD, 6th Meeting, 18-20.4.99, Bremen

6.4 – Other

Subject: Monitoring of the implementation in 2002 of the European Research Area
Att. Prof. D. Thomas, Chairman of the ERA Expert Group

Reply by SP-International Dimension Panel
Chairman Mr. Bruno Amoroso

The ERA-SP - INCO Monitoring Panel has reviewed and discussed the Communication from the Commission COM(2002) 565 final, 16.10.2002; the Matrix with 1999-2001 recommendations from the FP Panel; and the Monitoring – Self-assessment of FP implementation 2002.

The Panel has focused its attention on the ERA Dimension and the FP implementation. A general evaluation will be provided by our report. Following considerations can be anticipated:

The international Dimension in ERA is moving up the political agenda, and it has been addressed at two European Councils recently. However, it will be difficult to achieve for a number of reasons which are not under control of DG Research and/ or the national research ministers:

- (i). There is no common foreign policy that could provide guidance and orientation
- (ii) There are legal and administrative as well as social, cultural and practical obstacles for intra-European and global mobility of researchers, which can only be solved in cooperation with the ministries of the interior, home affairs and labour
- (iii) The absence of a Community patent hampers international R&D cooperation in the context of intellectual property protection and the use and dissemination of R & D results.

At operational level within DG RTD the management structure for international co-operation in DG RTD had been reviewed in early 2001, in line with the new architecture for international scientific co-operation in FP 6. This led to the creation of two units which have complementary missions - Unit 06 with responsibilities for the dedicated programme ((i) above) and Unit 05 for the international cooperation dimension integral to the TPs ((ii) above) – under the direct responsibility of the Deputy Director-General (Deputy DG). The B1 and B2 mobility schemes in INCO were transferred to Directorate D in the new structure as a component of the international dimension of the European Research Area.

The work in furthering the international cooperation dimension in each of the Thematic Priorities with a view to the new structure in FP 6 has been no less challenging as ERA has taken shape and the need for a coherent dimension to this seems to be widely acknowledged now within DG RTD. Implementing international activities in FP 6 through three major routes (specific measures, activities in the seven thematic priorities, and mobility schemes) requires intensive and permanent co-ordination efforts at DG level. As recommended by the 2001 INCO monitoring experts, DG RTD decided to establish an International Co-operation Steering Group under the Chairmanship of the Deputy DG. Two meetings took place with active participation from all services involved. First major tasks were to ensure the coverage of the international dimension in work programmes and to develop scenarios for the use of 285 million Euro for international activities in the seven Thematic Priorities. It is too early to assess the efficiency and the effectiveness of the Steering Group.

The INCO Panel will focus its attention on the following questions:

1. Are there clear-cut indications on whether the objectives stated in the ERA for the International Dimension will be achieved?
2. Is common understanding and international culture among the involved actors sufficient and how does this affect the aims and the means?
3. Will coherence between the “inward” and “outward” orientation of the ERA strategy be achieved?
4. Will the positive attempt to integrate the international aspects into the thematic networks be frustrated because of the risk of prevailing technological considerations and Eurocentric approaches on the broader socio-economic dimension?
5. The international approach seems to be too wide, and the selective instruments applied for specific areas are more often determined by the need to respond political pressure by single member countries and emergency situations than placed in a strategic context (?).
6. Are the financial and human resources at disposal to implement the huge number of actions too limited?

With reference to the actions planned or for considerations (COM(2002) 565 final, 16.10.2002, page. 16) we state that:

The setting up, based on the model of the European Forum....

We recognize the importance of the establishment of transparent forms for the elaboration and monitoring of the E.U.'s policies in international forums and engagement. However this proposal should be further elaborated and permit the participation of users, scientists, scientists organizations, professional associations, "civil society" organizations (NGOs), etc.. This is not considered to be overall easy.

1. Putting in place more powerful mechanisms for the exchange.....

The idea of a generalized information system is not feasible, at national and at the European level. A more realistic and approach should identify groups of countries and topics, encouraging a bottom up approach based on already existing network and information exchange systems. The aim should be to facilitate and reinforce already existing initiatives in this area.

2. Exploration of the scope for the combined use of national and EU.....

More emphasis should be given to the legal, administrative, social, cultural and practical frameworks for transnational mobility. In addition emphasis should be given to stronger co-ordination of EU and national support schemes for the mobility of researchers and to the common support to basic pilot projects.

While we do not underestimate the importance of the improvement of the financial support schemes for the mobility of researchers, we state that the main obstacles to their mobility are due to the lack of appropriate research environment in European institutions. Greater research grants might rise the attractiveness of the European institutions in particular for those that could originate "brain drain", while the improvement of research environment would appeal to those that are interested in real exchange of knowledge during different periods, without cutting their links to their home institutions.

6.5 ISSUES AND RECOMMENDATIONS MATRIX 1999 – 2002

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
	1. STRATEGY AND OBJECTIVE		
Overall strategy and objectives		<ul style="list-style-type: none"> ▪ Develop Operational Mobility Strategy ▪ Develop System of data collection on mobility ▪ Paper on contribution of new Instruments on Regional Dimension 	<p>* The Evolution of the International Dimension in the FP6 and ERA will be difficult to achieve for two reasons:</p> <ol style="list-style-type: none"> 1. The international dimension and its objectives in the context of ERA are not clearly defined. 2. There are implications which are not under the control of DG. Research and/or national research ministers.
ERA	<ul style="list-style-type: none"> ▪ Conduct issue analysis and policy development for ERA ▪ Involve scientific community in mapping of excellence ▪ Strengthen the structural effect of the FP to implementation of ERA: ▪ ERA orientations in calls ▪ Support to training and mobility ▪ Facilitate clustering ▪ Role JRC in ERA reinforced 	<ul style="list-style-type: none"> ▪ Develop Action Plan for ERA ▪ Establish High Level ERA Policy Forum ▪ Expand ERA to ERIA ▪ Add “contribution to enlargement” to ERA objectives 	<p>* The international cooperation objectives in FP6 remain ambiguous in terms of EU external policies and influences, in terms of the international scientific mobility and in terms of IPR protection in a global context.</p> <ol style="list-style-type: none"> (i) There is no common foreign policy that could provide guidance and orientation (ii) There are legal and administrative as well as social, cultural and practical obstacles for intra-European and global mobility of researcher, which can only be solved in cooperation with the ministries of the interior, home affairs and labour (iii) The absence of a Community Patent (although some recent progress have been made) hampers international R&D cooperation in the context of intellectual property protection and the use and dissemination of R&D results.

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
Policy/intervention instruments		<ul style="list-style-type: none"> ▪ Ensure smooth launch new instruments and monitor this ▪ Clarify definition Centre of Excellence 	<p>* The Commission services should invest more intellectual capacity to better and more clearly define the overall strategy, the objectives of international cooperation and the real aims of ERA.</p> <p>* A special challenge to any meaningful international cooperation with developing countries is the willingness on the part of the EU to invest - in the context of development aid policies - in the development of scientific and technological infrastructure in the cooperating countries themselves.</p>
Candidate countries		<ul style="list-style-type: none"> ▪ Re-evaluation of financial rules for CC ▪ Add European Added Value criteria ▪ Support best-practice activities in CC 	

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
International cooperation	<ul style="list-style-type: none"> ▪ Develop with CREST framework for inter-Member State co-operation ▪ Enhance International component of ERA ▪ Create Directorate to design and monitor international (extra-EU) dimension of ERA ▪ Expert Advisory Group to decide on priorities 	<ul style="list-style-type: none"> ▪ New Deputy DG to develop brief on international dimension ERA/FP6 	<ul style="list-style-type: none"> • The INCO 2 Program seems to have had a consistent internal cohesion, and a continuous process for implementation. All budgets of the program have been fully utilized although more funds were needed. • The management of the INCO 2 Programme has overall been consistent, versatile and adjustable to the emerging requirements. • Delays in funds allocation to project coordinators create an unreasonable stress and an unfair claim of self-financing on project partners. • There is an expressed need of greater clarity in the information included in the proposal documents to assist inexperienced applicants by NCPs, local advisors, European Information Points, etc. with the view to rise the success rates for applications. • A functional FP-wide management information system (MIS) is required in order to standardize procedures and systems of management for projects (such as reporting guidelines, contract negotiation requirements, dissemination, etc) as well as for programme monitoring purposes.
SME's	<ul style="list-style-type: none"> ▪ Foster support to SMEs : -improve efficiency NCPs -coherence between DGs ▪ Promote Community Patent ▪ Improve co-ordination between innovation cells 	<ul style="list-style-type: none"> ▪ Launch analytical studies on relations programmes and SME activity ▪ Guidance paper on SMEs and FP6 ▪ Ensure high quality NCPs 	<ul style="list-style-type: none"> • The participation of SMEs in projects has increased, in all groups of countries especially in the Developing Countries. However, there are no clearly defined objectives for SMEs involvement over and above the participation rates.

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
Innovation (including patenting)	<ul style="list-style-type: none"> ▪ Strengthen I-TEC and bridges to financial community ▪ Closer co-ordination with Structural, Regional and Social Funds 	<ul style="list-style-type: none"> ▪ Launch study industry-university relations to improve commercialisation ▪ Seek synergies between Innovation programme and Thematic programmes ▪ Disseminate Innovation studies 	
Gender awareness	<ul style="list-style-type: none"> ▪ Gender awareness should be strengthened ▪ Increase female evaluators 	<ul style="list-style-type: none"> ▪ Include gender in science dimension to documentation and MIS ▪ Strengthen Women in Science Working Group ▪ Launch Girls into Science and Research effort ▪ Explore role of child care funding to increase female participation ▪ Progress Gender Relevance Studies 	<ul style="list-style-type: none"> • Gender mainstreaming as an institutional strategy to reach gender equality goals is not widely understood within INCO.
Public awareness	<ul style="list-style-type: none"> ▪ PAoST set up under each Programme Director, with 5-year plans and with support from IHRP +Socio-Economic programmes 		<ul style="list-style-type: none"> • Despite improvements in carrying out relevant campaigns, better public awareness of the Framework Programme is imperative for increasing participation.

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
Socio-economic aspects			
2. IMPLEMENTATION , MANAGEMENT AND PROCESSES			

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
Procedures and tools in general	<ul style="list-style-type: none"> ▪ Develop quality improvement systems and training ▪ Better delegation of decisions within Commission ▪ Analyse productivity of management tools in FP5 	<ul style="list-style-type: none"> ▪ Publish Internal analytic reports on generic practical issues ▪ Short note on co-operation policy and mechanisms in FP6 ▪ EU directives to be accompanied by analysis of research requirements ▪ Analyse Time to contract/payment ▪ Prepare timetable up to first payment ▪ Annual Report to contain performance comparison for countries 	<p>* The Expert Group strongly recommends to monitor and evaluate the efficacy of international cooperation through a specific set of criteria, benchmark indicators and statistics which will have to be provided periodically and with a high degree of consistency and accountability.</p> <p>* The implementation of TIPs and all pertinent scientific and technological results have to be enforced through a more systematic exploitation and dissemination mechanism and with a higher degree of consistency, preferably from the beginning of each project.</p> <p>* The time to contract ha to be shortened.</p> <p>* The Expert Group recommends the incorporation of the “Gender in Science” dimension into all relevant information and documentation associated international cooperation in FP6.</p> <p>* The Commission services must provide a comprehensive policy and guidance paper on the objectives of SMEs’ participation from third countries in FP6 and the appropriate mechanisms for such participation across the various research activities of the framework programme.</p>

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
Launch of activities (calls for proposals, information to proposers, application tools...)	<ul style="list-style-type: none"> ▪ The administration of the Call for Proposals to project contract phase should be improved ▪ Improve information to proposers ▪ Provide interactivity and proposal assistance via the various websites ▪ Reassessment legalistic environment ▪ Bring discrepancy quality NCPs to the attention of MS ▪ Set target of 100% electronic submission 	<ul style="list-style-type: none"> ▪ Develop effective electronic submission by end 2002 ▪ Short study electronic support for the evaluation system 	<p>* NCPs, in as many countries as possible, EU Delegations etc. have to be strengthen and further deployed (in countries that they do not exist) in view of becoming more proactive partners in collecting information, making contacts and establishing partnerships as well as providing an efficient feedback to the Programme administration.</p> <p>* The International Cooperation Programme Monitoring by external experts has to be rearranged on a two-year interval and coupled with a ore extensive and in-depth evaluation (interim or ex-post) of the real performance of all international cooperation activities across the Framework programme.</p>

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
Evaluation and selection of proposals (evaluation manual, time to contract...)	<ul style="list-style-type: none"> ▪ Review Proposal Evaluator database ▪ Clarification of socio-economic requirements and coherence EU policies as selection criteria ▪ Effective feedback system ▪ Set acceptable targets for procedures and for time to contract, while shortening delays 		<p>* The Expert Group strongly recommends to better and more clearly define the “international dimension” and overall objectives of international cooperation, both in the context of FP6 and ERA. The EG proposes the establishment of a high level advisory group for the Commissioner with eminent members from the world’s main meso-regions nominated in their personal capacities and not through political channels.</p> <p>* The Commission services must develop and outline an action plan indicating how the ERA will develop over the period to 2010 to achieve the objectives of the Lisbon strategy.</p> <p>* The implementation of a generalized information system that includes all national and European RTD activities and programmes does not seem to be feasible. A more realistic approach should identify specific target groups, target countries and topics, by encouraging a bottom up approach based on already existing network and information exchange systems.</p>
Management Information System/ Internal IT system	<ul style="list-style-type: none"> ▪ State-of-the art information system for FP6 should be in place by July 2001 ▪ Address problems current systems 	<ul style="list-style-type: none"> ▪ Install a detailed 3-year operational plan ▪ User needs specifications by end 2002 ▪ Responsibility MIS for the DG 	<p>* More emphasis should be devoted at the DG level to remove the legal, administrative, social, cultural and practical obstacles to transnational mobility of researchers.</p> <p>* The participation in priority setting by local actors of various categories is now limited if not entirely missing.</p>
Specific cases /programmes	<ul style="list-style-type: none"> ▪ Unified management structure and co-ordination in IST and Energy programmes 	<ul style="list-style-type: none"> ▪ Prepare decision on the Next Step (ITER) in Fusion Research 	

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
Dissemination of information and results	<ul style="list-style-type: none"> ▪ The wider dissemination of research results is still not sufficient 	<ul style="list-style-type: none"> ▪ Central data store for all FP5 Final reports ▪ Publications policy on project results ▪ Develop more user friendly approach 	
Evaluation and monitoring	<ul style="list-style-type: none"> ▪ Develop coherent monitoring and evaluation tools ▪ Data on project impact aligned with contract data ▪ Each programme one individual for Monitoring and 5YA ▪ Develop follow-up system for FPMP recommendations on FP and SP level 	<ul style="list-style-type: none"> ▪ Formally reply to Monitoring in 3 months ▪ Each SP to provide follow-up ▪ Comment on Monitoring in Self-assessments ▪ Adopt Monitoring requirements for FP6 	<p>* The Expert Group strongly recommends to monitor and evaluate the efficacy of international cooperation through a specific set of criteria, benchmark indicators and statistics which will have to be provided periodically and with a high degree of consistency and accountability.</p>
Human resources	<ul style="list-style-type: none"> ▪ Develop HR policy across FP5 ▪ Reinforce management culture and methods in Commission and train people accordingly ▪ Define functions Project Officers more clearly 	<ul style="list-style-type: none"> ▪ Draw up outline HR plan for ERA/FP6 	

3. IMPACT OF POLICY AND PROGRAMMES

ISSUES	RECOMMENDATIONS		
	1999-2000	2001	2002
Impact assessment (incl. TIP)	<ul style="list-style-type: none"> ▪ Develop R&D Impact mechanisms: ▪ Improve priority of Innovation cells ▪ Support structure for staff dealing with TIP ▪ TIP to be improved and simplified 	<ul style="list-style-type: none"> ▪ Publish Impact Assessment Policy for FP4/5 and 6 ▪ Launch assessment per programme by early 2003 	<p>* The implementation of TIPs and all pertinent scientific and technological results have to be enforced through a more systematic exploitation and dissemination mechanism and with a higher degree of consistency, preferably from the beginning of each project.</p>
4. OTHERS			
	<ul style="list-style-type: none"> ▪ Explore co-operation mechanisms with national research programmes 	<ul style="list-style-type: none"> ▪ Write Communication on Synergies between Research, Education and Training ▪ Ensure appropriate Programme Committee Structure in FP6 	

PART B:

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

**RESPONSES BY COMMISSION SERVICES TO THE
2002 CONFIRMING THE INTERNATIONAL ROLE OF COMMUNITY RESEARCH MONITORING REPORT**

Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
<p>3. The time to contract has to be shortened. The contractual procedures and the financial management of the community programmes should be build on trust and control, and do not justify that control hampers the fulfilment of the required financing of the project. A correct evaluation of the project should minimise the risk of administrative mismanagement, and the risk of mistakes contained within the application of the "best administrative practice" should be considered among the natural risk of such implementation by the Programme.</p>	<p>The Commission concurs with the general philosophy of the introductory statement. However, according to the financial regulation, administrative verifications and clearance circuits are considered indispensable before signing a contract and cannot be compressed easily. They are unconnected to the preceding well-tested evaluation process.</p> <p>The time to contract will be monitored continually.</p>		
<p>4. The Expert Group recommends the incorporation of the "Gender in Science" dimension into all relevant information and documentation associated international cooperation in FP6</p>	<p>The gender dimension is taken in account in all documents related to the implementation of the Sixth Framework Programme.</p> <p>In addition, INCO Guide for Proposers has already been strengthened in this direction from the beginning of the Sixth Framework Programme as also reflected in the structure of proposals. Evaluation processes demand a comment on gender, though it is not a criterion, which can lead by itself to the exclusion of an otherwise strong proposal. This is an important structural step to introduce the gender concept (still occasionally confused with the more limited connotation of 'women in science') into all steps of the research process.</p> <p>Reporting requirements on 'women in science' in support of gender mainstreaming are also being stepped up. This will increase awareness.</p> <p>Moreover, the increasing emphasis on systems and policy research warrants 'engendering' the research agenda in more explicit ways in the 2004 INCO work programme.</p>	<p>Engendering of successive Work programmes</p>	<p>2004</p>

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Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
<p>5. The Commission services must provide a comprehensive policy and guidance paper on the objectives of SMEs' participation from third countries in FP6 and the appropriate mechanisms for such participation across the various research activities of the framework programme.</p>	<p>Desirability of SME participation is signalled in the INCO Guide for Proposers and is part of the questions addressed during the evaluation process.</p> <p>Standard format for sixth-monthly report on international co-operation across the Sixth Framework Programme includes reporting on horizontal or cross-cutting issues (such as SME participation from third countries).</p>		<p>First reports Dec. 2003</p>
<p>6. NCPs, in as many countries as possible, EU Delegations etc. have to be strengthened and further deployed (in countries that they do not exist) in view of becoming more proactive partners in collecting information, making contacts and establishing partnerships as well as providing an efficient feedback to the Programme administration.</p>	<p>Contact persons in third countries are nominated via bi-regional dialogues. They tend to be senior officials in S&T ministries who so far dedicate limited or no time to the micro-management aspects of fostering bi-regional S&T cooperation. In as much as S&T cooperation attracts higher political visibility, beefing up their functions towards broader coverage similar to NCPs in Member and Associate states becomes a realistic objective, particularly in countries with an active S&T agreement.</p> <p>EC Delegations are always recipients of info packs for wider dissemination, receive lists of projects involving partners from the country to which they are accredited and are otherwise made aware of INCO activities so as to become more pro-active in raising the visibility of international S&T cooperation. In the medium term, the objective is to develop their ability to strengthen links between research, development and innovation as is shaping up in a couple of cases in Latin America already.</p>	<p>Done</p>	
<p>7. The International Co-operation Programme Monitoring by external experts has to be</p>	<p>These recommendations will be duly taken into consideration in the new monitoring and</p>	<p>Reconfiguration of the monitoring system</p>	<p>2003</p>

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Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
<p>rearranged on a two-year interval and coupled with a more extensive and in-depth evaluation (interim or ex-post) of the real performance of all international co-operation activities across the Framework programme.</p>	<p>evaluation policy proposed for all RTD areas. The monitoring will be reconfigured as an essentially - but not exclusively- internal management process. The implementation of the Annual Management Plan and its regular follow-up, possibly accompanied by the opinion of external experts could be a major component of such a revised process. In addition, a focussed external review of the implementation could take place at midterm of a Framework Programme's life cycle (see on this subject the response to the recommendation N° 10 to the Framework Programme Monitoring report).</p> <p>In addition, mechanisms for regular reporting have been set up by the International Cooperation Steering Group (ICSG), such as six monthly reports by activity and a midterm review.</p>	<p>Sixth month reporting</p> <p>Midterm review</p>	
Recommendations of general significance for the whole Framework Programme/European Research Area			
<p>1. The Expert Group strongly recommends to better and more clearly define the "international dimension" and the overall objectives of international cooperation, both in the context of FP6 and ERA. This will require an implicit understanding and definition of the overall ERA aims and policy as well. The Expert Group proposes the opening of a cultural debate on the implications of intercultural activities within the Commission services and with major stakeholders involved in international RTD cooperation activities. Furthermore, the Expert Group proposes the establishment of a high level advisory group for the Commissioner with eminent members from the world's main meso-regions nominated in their personal capacities and</p>	<p>The Commission's intention and policies regarding International cooperation are set out in the Sixth Framework Programme, the Specific programme 'Integrating and Strengthening the European Research Area', the corresponding work programmes, in particular the update of 4.3.2003, and the Communication on 'The International dimension of the European Research Area' (COM(2001) 346).</p> <p>The EC has established, in November 2001, a European Research Advisory Board (EURAB) consisting of a high group of 45 experts nominated in their personal capacity. The tasks of EURAB are to advise the Commission on the design and implementation of Community RTD policy and, in particular, on the realisation of the European</p>		

**RESPONSES BY COMMISSION SERVICES TO THE
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Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
not through political channels.	Research Area and the use of policy instruments such as the RTD Framework Programmes. EURAB has already provided an opinion on issues relating to enlargement and ERA at the beginning of 2003. The Commission recommends making full use of this existing mechanism to explore the broader strategic issues of international cooperation in the framework of ERA instead of creating new ones.		
2. The Commission services must develop and outline an action plan indicating how the ERA will develop over the period to 2010 to achieve the objectives of the Lisbon strategy. Although it is recognised that some elements of this already exist, it is also debatable to what extent it would be possible to more precisely define the concept of ERA at this stage.	On 16 October 2002, the Commission published the Communication 'The ERA: providing new momentum', (COM (2002) final). The Communication assesses the ongoing activities and proposes overall measures for structuring, reorienting and opening new perspectives. The new target adopted in Barcelona aims at increasing the European research financing towards 3% of the GDP by 2010. This objective is one of the major issues addressed by the EU to contribute to meeting the ambitious goal of the European Research Area. The European Commission adopted at the end of April 2003 a new Communication defining an action plan to reach this objective.	Done	
3. The implementation of a generalised information system that includes all national and European RTD activities and programmes does not seem to be feasible. A more realistic approach should identify specific target groups, target countries and topics, by encouraging a bottom up approach based on already existing network and information exchange systems.	As foreseen in the Sixth Framework Programme, the Commission prepares currently the development of an integrated information system on research policy and programmes. It is intended to be easily accessible, user-friendly and updated regularly, to provide relevant information in order to support evidence-based policy-making in the research field. The target audience will be all those involved in policy-making in Europe at EU, national and sub-national level (policy makers and	a) Development of an integrated information system on research policy and programmes	Preparatory phases under way, development of the system starting end 2003/beginning 2004 in view of opening of the system beginning 2005

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Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
	<p>programme managers). The system will include information on national and regional research programmes, instruments, research activities undertaken and planned. It will be accessible to the research community. The system would cover all countries associated to the Sixth Framework programme and allow for eventual coverage of additional geographic areas and countries according to specific needs examined case by case.</p> <p>From a different, complementary (not alternative) perspective, thematic or regional approaches are on-going (and sometimes supported by research funding) to organise existing knowledge to the extent possible in searchable information systems to support knowledge accumulation processes and render such knowledge more widely accessible and relevant for educational, 'technical', innovation, and policy applications. The European Commission supported global electronic information system on all fish (www.fishbase.org) is a case in point for how scientific knowledge can be successfully collated for both expert and general use (8 million hits in May 2003 alone). We note that this approach is gaining currency in several other areas as well (Species 2000, Global Biodiversity Information Facility – GBIF - etc.).</p>	<p>b) Through the ISCG information on international co-operation is being collected throughout FP6 and a first overview is to be established before end 2003</p> <p>c) Example: EU Water initiative web development (EUWI) underway for topic-related information integration.</p>	<p>c) Pilot web site December 2003</p>
<p>4 More emphasis should be devoted at the DG level to remove the legal, administrative, social, cultural and practical obstacles to transnational mobility of researchers. In addition, the potential of matching EU support schemes with national support schemes for the transnational mobility of researchers must</p>	<p>The Commission has adopted the Communication 'A mobility strategy for the European Research Area' in June 2001, where a series of initiatives to remove obstacles to mobility have been proposed. Different actions have already been undertaken by the Commission in close cooperation with the Member States and Candidate Countries. It should be particularly pointed out that as a follow-up of</p>	<p>Directive on conditions of entry and stay of third country researchers; Action plan</p>	<p>Autumn 2003</p>

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Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
<p>be better exploited.</p>	<p>the Strategy, the Commission foresees to propose by autumn 2003 a Directive on Conditions of entry and stay of third country researchers and an action plan. More generally concrete initiatives such as 'a Researchers Mobility Portal' (on line for test by June 2003) and a European Network of mobility centres (to be launched in autumn 2003) will improve the information available to researchers at the international level and provide customised assistance to mobile researchers in the European Research Area.</p> <p>A first report on the implementation of the above mentioned communication has been produced. (SEC (2003) 146).</p>	<p>Improved information via a new mobility portal and a European Network of mobility centres</p>	<p>Autumn 2003</p>
<p>5. The participation in priority setting by local actors of various categories is now limited if not entirely missing. The absence of significant civil society's organisations in the FP6 Panel and in the overall structure implementing FP6 and ERA is a striking factor. Therefore new forms of participation and involvement should be elaborated.</p>	<p>In the context of international S&T dialogue with partner regions (taking place in an organised fashion in the contexts of the Mediterranean, ASEM, NIS, Latin America and Caribbean (ALCUE and ACP), consultations from the top political to scientific working level ensure broad participation in region-specific priority setting in addition international dialogue in UN bodies and other global fora, which inform the programming of the international dimension of research in the Sixth Framework Programme. Region-specific themes are addressed to the extent they are thematically covered by the mandate conferred by the Council decision and available resources in INCO3. Globally important international themes or those of a direct European interest are being addressed in the thematic priorities and other Sixth framework Programme parts accessing a share of the €85 Mio. earmarked for this type of international S&T cooperation.</p> <p>At a more general level, the Commission's Science and Society Action Plan envisages improving the</p>		

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Experts Recommendations	Commission Services' Responses	Services' Commitments (if any)	Deadline
	<p>participation of civil society in shaping and implementing RTD policy.</p> <p>In June 2003, the Commission organised a conference on the role of civil society in the European Research Area as part of a study aimed at improving research governance with increased civil society participation on the basis of experiences and lessons learnt at the National and European levels.</p> <p>This study will be completed by the end of 2003, and together with other activities in the Science and Society component of the specific programme on Structuring the European research Area will form the basis for specific activities aimed at greater participation by civil society.</p>		